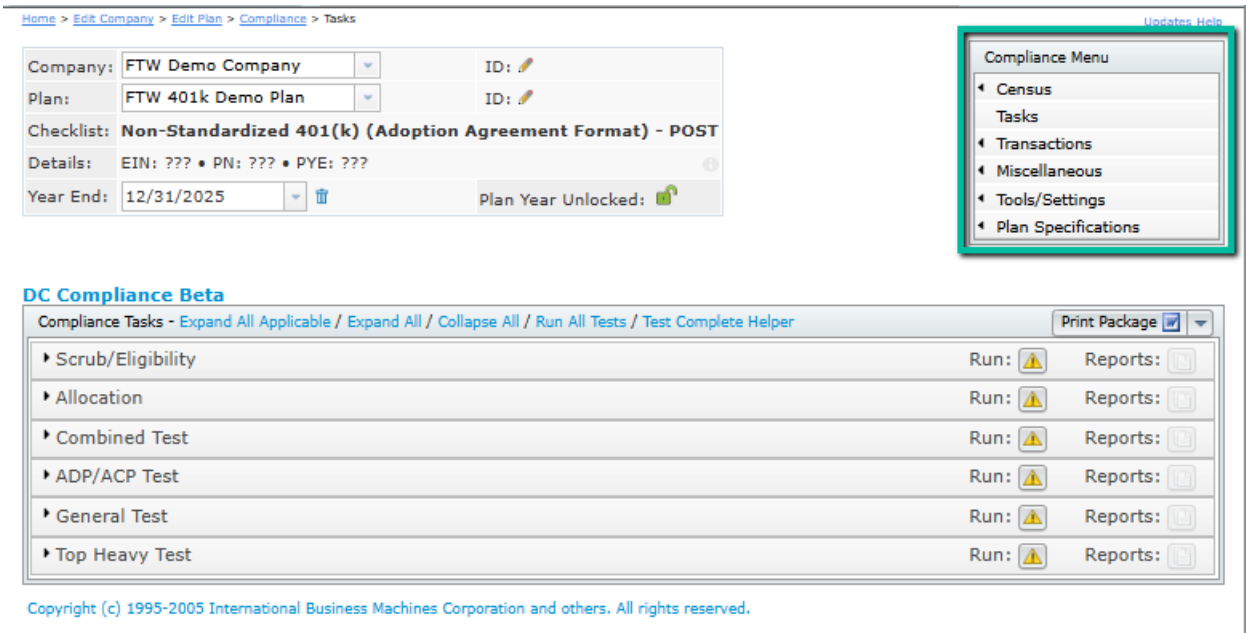


3.1. Compliance Menu

08/27/2025 12:26 pm CDT

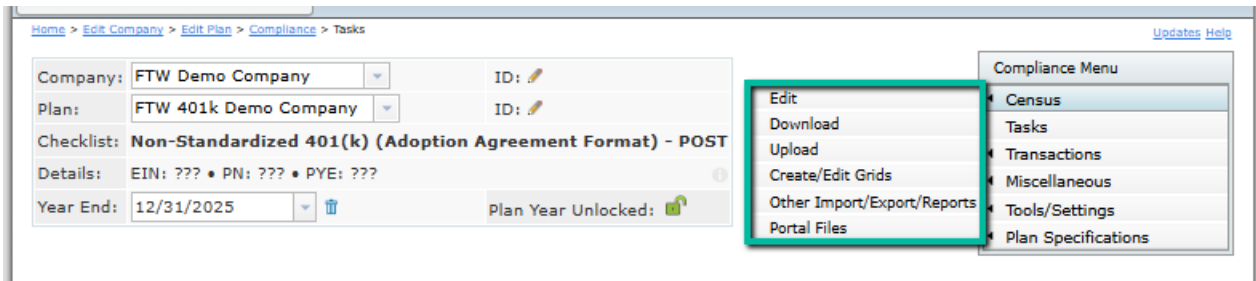
The Compliance Menu is located in the upper right hand corner of the screen in the Compliance Module. This menu can be found in all of the main pages throughout the Compliance Module and is a handy way to navigate to any page, from any page.



The Compliance Menu is where users will find the following areas of the software:

Census

Hovering over the census option from the Compliance Menu expands to give users the option to edit (navigates to the census grid page), download the census, upload the census, create/edit census grids, navigate to the Other Import/Export Reports screen or to Portal files. Simply clicking the Census option will also take the user to the Census grid page.

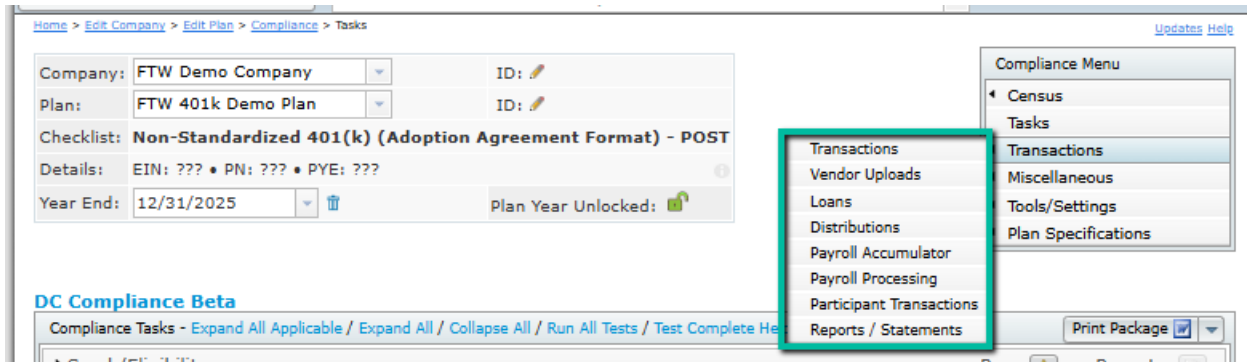


Tasks

Clicking Tasks from the Compliance Menu will navigate the user to the Tasks page, where the data scrub, allocations and testing is done.

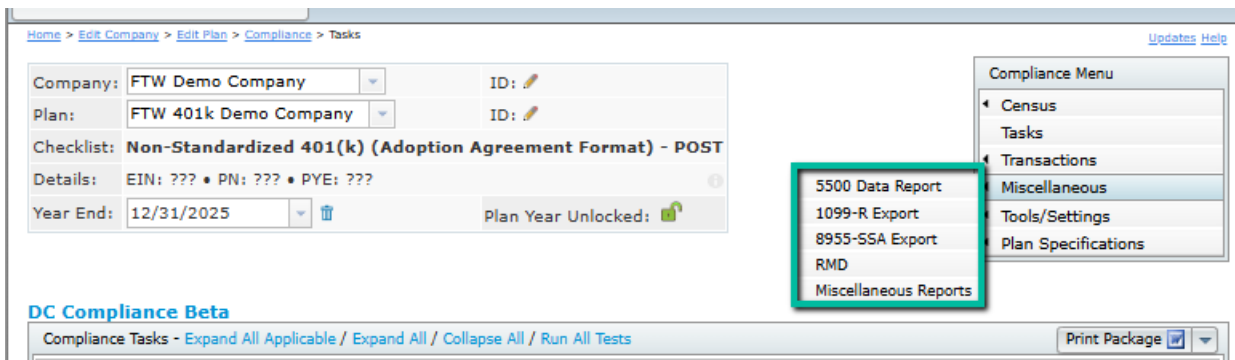
Transactions

Clicking Transactions from the Compliance Menu will bring the user to the Transactions web page. Hovering over Transactions from the Compliance Menu gives user the option to go to the Transactions web page, perform vendor uploads, navigate to the Loan and Distributions modules, navigate to the Payroll Accumulator and Payroll Processing tools, view participant transactions and print Transaction reports/statements.



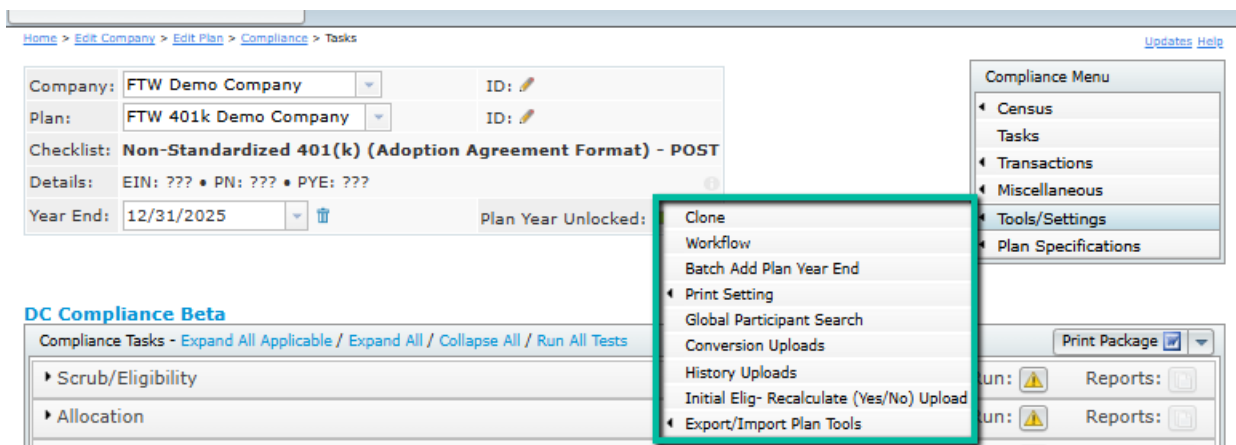
Miscellaneous

Hovering over Miscellaneous from the Compliance Menu will expand the list, giving the user the ability to access the 5500 data report, 1099-R Export menu, 8955-SSA Export menu, RMD menu and Miscellaneous Reports (which include the Catch up and Excess report, Summary of Test Results, Plan Highlights report, Vesting Export reports, Historical Hours Export, Master File Changes report and the Run All Tests Results).



Tools/Settings

Hovering over Tools/Settings from the Compliance Menu will expand, giving users access to the Clone feature, Workflow, batch add Plan Year end, print settings, the Global Participant Search feature, conversion uploads, history uploads, Initial eligibility recalculation tool, and the Export/Import plan tools.



Plan Specifications

Clicking on Plan Specifications from the Compliance Menu navigates the user to the Plan Specifications web page. Hovering over Plan Specifications gives users the edit option (will navigate the user to the Plan Specifications web page), ability to print Plan specifications and compare the Plan specifications in Compliance to those in the Plan document (and generate the comparisons as a CSV).

