

7.1. Adding Transaction Batches

10/29/2024 2:02 pm CDT

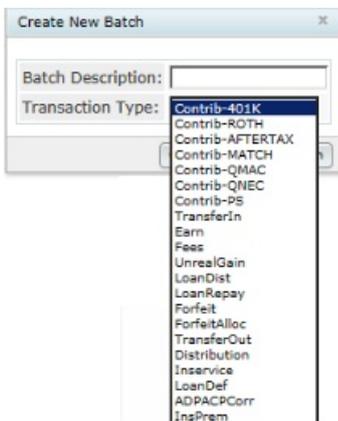
There are several ways to add transaction batches to the Transaction Batches box:

- Adding a manual batch.
- Creating batches from allocations you have previously run.
- Uploading a file from the asset custodian.
- Using the loan module and adding loan distributions or repayments - please see the [Loan Module](#) for information.

We will address each of these below.

Creating a Manual Batch

To create your own batch, click on "Create New Batch". You will be taken to the "Create Batch" page where you can select the transaction type from a drop-down box.

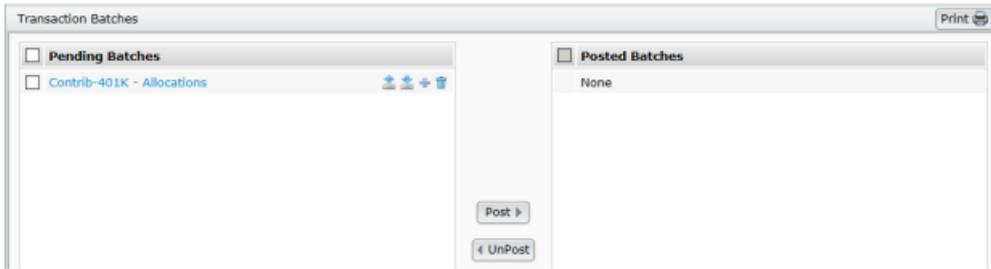


After you have selected the type of batch to add, you may want to provide your own description in the box provided and then click on "Add Batch". The Batch you created will now appear as a "Pending" batch in the "Select Batch" box.

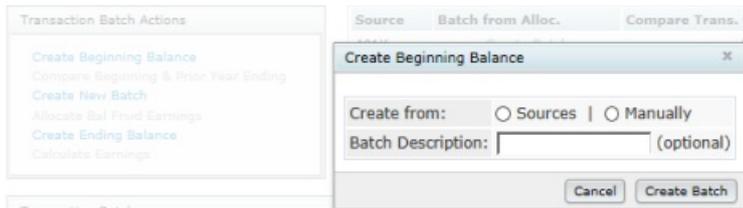
You may add transactions to a batch via an upload or by manually entering them for each applicable participant on the batch data entry grid. To upload transactions, from the "Select Batch" box under "Pending", click on the "csv" link to the right of the batch. Open the file and add your transactions to the spreadsheet; save it as a .csv file on your hard drive. Then click the "Upload" link to the right of the batch, browse for the file and upload it. To add transactions manually for a particular Participant, double click on the batch in the "Select Batch" box. A data entry grid will open and at the bottom of the page you should see options to "Add Transaction" with a drop-down box to select a participant. After selecting the participant and clicking on "Add transaction", you can enter data into the grid for the participant.

Modifying and Posting Batches. Whenever you upload, create or add batches, they appear as a "Pending" batch in the "Select Batch" box. Whilst pending, batches can be deleted, modified or posted; you do need to move each batch to the "Posted" area for the transactions to be included in the participant statements and financial reports. To post a batch, from "Transaction Batches" box check the small box to the left of the batch and click the "Post" button. This moves the batch to the Posted Batches area - you can always unpost it later if you find that you need to make a correction etc. To post multiple batches, check the box to the left of the "Pending Batches" text at the top. This will select all batches below. Then simply press the action that you wish to take for all of the batches

(post/unpost/delete).



Adding a "Create Beginning Balance" Batch. If this is the first testing year the plan is on the system, unless it is the first year a plan is in existence, you will want to create a new batch for the beginning balances. Click on "Create Beginning Balance" and select to either create the beginning balance from sources or manually.



Save the batch and add your transaction amounts by participant and by source as described above.

If it is the second year the plan is on the ftwilliam.com Compliance system and transactions were completed in the prior year, you will have the option to create the beginning balance from the prior year ending balance. This option will create a pending batch bringing forward the prior year ending balances.

Adding a "Create Ending Balance" Batch. Ending balances are normally calculated fields, based on the beginning balance and the financial activity during the period. So you would not normally create an ending balances batch until you have finished all the annual work on the plan and are ready to add a new plan year. Adding the ending balances batch will populate the fixed ending balance fields from which the next year's beginning balances can be brought forward.



Using the "Compare Trans. to Allocations" Feature. Clicking this link will compare the allocations created in the Compliance system to the transactions (whether posted or unposted). It will show the grand total and "NO ERRORS" if there are no differences between the two files. If there are differences between the two files, it will provide a list of participants with differing balances and the amount in the allocation file and the transaction file for that participant.

Creating Batches from Allocations You Have Previously Run

After you have run allocations for a plan year, you will see options to create batch from the different allocation types. If you click on "Create Batch" under the "Batch from Alloc" column, you will be provided with an allocation date and will be prompted to enter the contribution date. Each is explained below:

- The Allocation Date will be provided as the last day of the current testing year; this indicates the allocation

was made for that plan year even if actually contributed in a later year.

- The Contribution Date is the date that the contributions were actually made to the plan (for top heavy testing purposes). If a profit sharing allocation is not actually made until February of the next plan year, enter that date. If you are entering elective deferral contributions that were all made during and throughout the plan year, you may just enter the last day of the plan year.

Source	Batch from Alloc.	Compare Trans. to Alloc.	Alloc. from Batch
401K	Create Batch	N/A	N/A

Once you click on "Add Batch", the batch will be added to the Select Batch Menu under "Pending".

Uploading Transaction Files from an Asset Custodian

ftwilliam.com offers the option of importing financial data from an asset custodian or vendor. You would download a transaction file from the vendor's TPA website, and then upload the file on the ftwilliam site. Uploads from the following vendors are available:

Vendor	File Type
American Funds	.csv</
Great West	.pas</
Guardian	.csv</
Hartford-MFS	.csv</
ING	.fi1</
ING-Omni	.fi1</
John Hancock	.txt</
Lincoln	.csv</
Nationwide	.txt</
Principal	.csv</
Transamerica	.csv</
Generic	.csv</

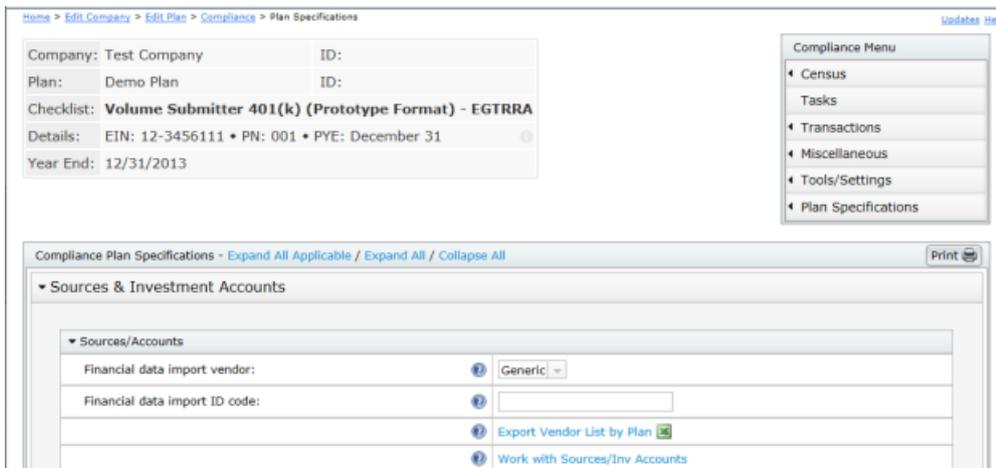
The generic upload format is available for uploads from vendors that we do not have a custom tool for; you would need to reformat the data into a specific layout to upload it. You can request a sample layout from ftwilliam.com - it's an Excel spreadsheet.

Uploading Transactions from the Asset Custodian for a Single Plan

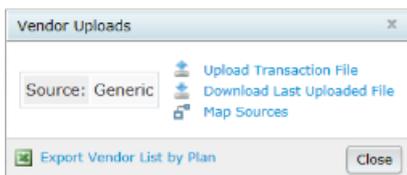
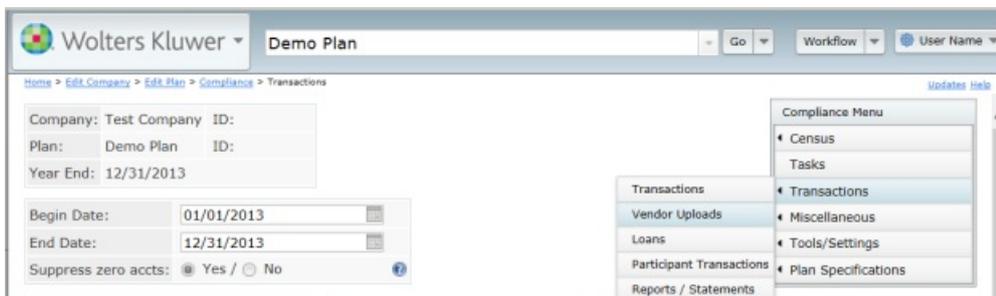
The steps for set up and uploading files are as follows:

1. From the Compliance Menu page select "Plan Specifications". In the top Sources & Investment Accounts box select the Financial data import vendor from the drop-down box. Enter the plan's vendor account number

(usually their contract number) into the Financial data import ID code box. You will also need to click on the “Work with Sources/Inv Accounts” link to review the sources allowed by the document.



2. Go to the vendor’s TPA website, log in and download a transaction file for the period you need. The format of the file you need differs from vendor to vendor so you need to make sure you get the correct file format - see the different types in the table above.
3. Save the file on your hard drive or server. You should not open it; just save with the appropriate suffix.
4. From the main Compliance Menu on ftwilliam.com, hover over the Transaction option and click on “Vendor Uploads”.



5. Click “Map Sources”. You will see a list of all the sources that may be used by this vendor and you need to indicate for each source this plan has, which ftwilliam source they should be mapped to. Once you have completed this, click on “Update” and then return to the previous screen.
6. Click “Upload Transaction File”. Browse for the file on your hard drive or server, select it and click “Submit”.
7. The uploaded transactions will be displayed as batches in the “Pending” area in the “Select Batch” box. You can edit or delete any of the batches at this point, or post them. We do suggest that you do not post an “Ending Balances” batch if that is included; rather you should let the software calculate the ending balances.

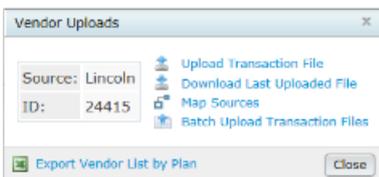
Note that once the upload is complete, if it contained any transactions for plans that are not set up already, with the appropriate year, on ftwilliam you will receive an error message. If you receive such messages you can make the

corrections on ftwilliam, i.e. add the appropriate plan(s) and/or year(s), and then do the upload again.

Lincoln Batch

Working with Lincoln Financial, ftwilliam.com has developed a tool to import transactions for multiple plans at one time. Follow the steps below to import from Lincoln:

1. Log on to the Lincoln website and enter "Data Direct".
2. Click on "Data Download" on the Navigation Bar on the left. Select "Report Request".
3. Enter your search criteria and click "Search". The screen will populate with a list of plans meeting your search criteria.
4. Check the "Select" box for all the plans you want to download transactions for. Scroll to the bottom of the page and click "Next" to go to the "Report Request" page.
5. On the "Report Request" page select "Activity Import File" from the "Report Type" drop-down box. Enter the date range you want and indicate whether you wish to receive an e-mail notification when the report is available. You should also indicate the "Result Type" as a "CSV" file. Click "Submit".
6. When the report is available, go to the "Active Downloads" screen to retrieve it. Save the file to your hard drive or server as a .csv file.
7. On ftwilliam.com you should complete steps 1 and 4 described above for each plan in the Lincoln download.
8. From the main Compliance Menu on ftwilliam.com, hover over the Transaction option and click on "Vendor Uploads" from any of the plans for which the batch will apply.
9. Click "Map Sources". You will see a list of all the sources that may be used by this vendor and you need to indicate for each source this plan has, which ftwilliam source they should be mapped to. Once you have completed this, click on "Update" and then return to the previous screen.
10. Click "Batch Upload Transaction File". Browse for the file on your hard drive or server, select it and click "Submit".
11. The uploaded transactions will be displayed as batches in the "Pending" area in the "Select Batch" box. You can edit or delete any of the batches at this point, or post them. We do suggest that you do not post an "Ending Balances" batch if that is included; rather you should let the software calculate the ending balances.



Download File

After uploading a transaction file from a vendor, the user can click "Download Last Uploaded File" to view the file that was uploaded. Please note that this link will show all vendor files with the exception of ING and Mass Mutual files.
