Wolters Kluwer ftwilliam.com

Frequently Asked Questions About Converting to ftwilliam.com

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How do I transfer data from my current provider to your system?

We have various ways to import data from your current vendor to our system. Your ftwilliam.com Sales Consultant will be able to supply you with the formatting information relevant to your specific provider. If you cannot extract the requested information from your current system, you can still import any information you have in spreadsheet format. Our conversion specialists will assist you with how to set up your spreadsheet.

Another way to download information is through our unique 55Autofill* feature. 55Autofill will automatically download all of the available information from the most recently completed Form 5500. All you need to do is enter the plan sponsor's taxpayer identification number and the 5500s from the prior three years for each plan sponsored will be automatically imported for your use. This feature is not dependent on using our Form 5500 software in a previous year.

The import of your data is free with ftwilliam.com. Please contact us at 800.596.0714 for additional information about transferring from your current provider.

What can I do to have my name appear on the documents generated from the ftwilliam.com web site?

All of the pre-approved documents produced on the ftwilliam.com website may be branded with your company name. You have the option of having your name or our name appear on the documents.

If you would like an IRS pre-approval Opinion Letter in your name as a word-for-word adopter of the ftwilliam.com plan(s), you will need to file an application with us to submit to the IRS. There is a $400 (per plan type) fee for this.

Will I need to immediately restate my plans that are on documents from my prior vendor?

We recommend that you restate to the ftwilliam.com PPA documents as soon as administratively possible. The PPA restatement period for defined contribution plans ends on April 30, 2016. Please contact your sales representative or one of our document specialists for more information on your specific conversion requirements.

What is included in the annual subscription price?

The annual subscription price includes:

- all documents,
- amendments, updates,
- software maintenance,
- licensing fees, and
- ability to access a list of clients using the documents.

We do not break out our fees. Because we are web-based, all updates and maintenance are done on our servers, and by entering your documents in our system, we automatically keep an updated list of your plans.

What kind of technical support will I receive and is there a fee?

We provide outstanding customer support to all customers regardless of the product you use with industry leading turn around times. You may contact us by phone at 800.596.0714 or via email at support@ftwilliam.com.

All customer support included in the product fees.

Do all of your prototype and volume submitter documents have IRS approval letters?

All of our defined contribution and traditional defined benefit pre-approved documents have the latest IRS approval letters. You may view those by signing up for our free online demo.

The IRS does not currently offer a pre-approved plan program for ESOPs. Accordingly, our ESOP and KSOP documents are individually designed plans that you will need to file for an IRS Determination Letter. ESOP and KSOP pre-approved documents will be permitted in the next defined contribution plan restatement period. (submission in 2017 - anticipated release in 2019).

New pre-approved programs for cash balance and 403(b) plans are being initiated by the IRS. We have already submitted our master 403(b) plans to the IRS for approval. We will be submitting our defined benefit (including cash balance plans) documents for approval in October. In the meantime, you can complete Form 8905 to indicate your intention to adopt our pre-approved 403(b) and defined benefit plan documents.

How do you handle amendments and other updates?

You will be notified of all required amendments and updates via email and through our 'Recent Technical 'Updates' link in your account. This is found on the "Home" page (also the first page you see after logging into your account). For any new documents you produce after the release date of an amendment, any applicable interim amendments will automatically be provided at the end of the document as an addendum.

For our annual subscription customers, we provide a Batch Restatement Module for all mandatory amendments and certain discretionary amendments. The Batch Amendment Module permits you to update documents for all of your clients in a few easy steps.

If you wish to make an individual amendment to your plan, we provide a sample Consent/Amendment/SMM that you can modify to suit your needs. If you subscribe to our Pro-Amend program, it will automatically create the amendment/SMM for you based on your changes to the plan's Checklist.

Is our information secure?

ftwilliam.com utilizes multiple redundant paths to the internet in order to ensure the availability of services . Your data is kept safe using the same encryption standards as is employed by banks, and we perform daily back-ups.

What other programs will I need to use your software?

- Microsoft Windows Vista or later, with the latest updates and service packs (Windows 7 preferred).
- One of the following browsers:
  - Microsoft Internet Explorer 9 or later, with all of the latest updates
  - Google Chrome with all of the latest updates
  - Mozilla Firefox with all of the latest updates
- The Latest version of Adobe Acrobat (Reader or Professional), with the latest updates and service packs. (8.0 or later Preferred)
- Microsoft Word with the latest updates and service packs.

* Patent Pending