



DC/Win Transfer from DOS

Important things to consider when transferring a Plan (con't)


- After transfer, source definitions may need to be adjusted especially for accounts defined as Other for Safe Harbor and QNECs or IRA in DOS.
- Employees with overridden dates of participation in DOS may have to be adjusted once the plan is in Windows.
- Terminated employees may be hidden after transfer.



DC/Win Transfer from DOS

DOS Accounts = DC/Win Source and DC/Win Investment

- Each DOS account is, at the same time, a SOURCE of contribution and an INVESTMENT.
- In DC/Win, sources and investments are completely separated.




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DC/Win Transfer from DOS

- The transfer program makes assumptions about the source of contribution in the DOS plan based on the Account Type (EMVISKO) located on the Account Definition screen.

DOS	Type	DC/Win
E	Employer	ER
M	Mandatory	Mand
V	Voluntary	VOL
I	IRA	(more on this later)
S	Deferral	SR
K	Matching	MTCH
O	Other	(more on this later)




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*** ACCOUNT DEFINITION/ADJUSTMENT
Plan Number ABC
Account Name..... Employer Account Number 1
Account Type (E,M,V,I,S,K,O)..... E Loan Account (Y,N)
Election Percent..... 100.00000
Gain/Loss Definition (1-5)..... 1
Gain/Loss Alloc Code (0-6)..... 0
Gain/Loss Split with These Accounts.....
Gain/Loss From This Account..... Goes to Account
Expense/Adjustment Alloc Code (0-6,D).....
Expense/Adj Cont. Weighting Factor (pct).....
Expense/Adjustment Amount (+ or -).....
Alloc on Current, Period, or Year (C,P,Y).....
Transfer Amount..... To Account....
Employees Included in Transfer (1,2)....
Ticker Symbol..... @POOL CUSIP...
Investment Account Number.....
Share Begin Year Begin Long Per Begin Period End Period
Value
    
```




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- If only one account per source is set up the transfer program assumes that there is only one investment and will choose a default pooled investment unless directed otherwise. The default investments are:

<u>Ticker Symbol</u>	<u>Description</u>
@pool	pooled investment
@selfdir	self directed investment
@loan	loan
@recv	receivable
@cash	cash

EXAMPLE: A plan that has 3 accounts; Employer, Deferral and Matching would transfer with those 3 sources and with the all money going into the pooled (@pool) investment.




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- If there is more than one account per source of contribution (2 type E accounts for example), or where there is a mix of pooled and self-directed accounts the system will use the account name as the investment name.
- Use Ticker Symbols to direct the DOS accounts to a specific Windows investment.

EXAMPLE: A plan where the employer profit sharing money in Account 1 is in a pooled investment, the deferral in account 2 and matching in account 3 are self-directed and some participants have loans from deferral in account 4. Before you transfer that plan, go to the account definition screens and enter the following ticker symbols:


Acct#	Ticker
1	@pool
2	@selfdir
3	@selfdir
4	@loan



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- There are default investments set up for the investment companies used for importing. Put the ticker symbol in the Ticker Symbol field on the account definition screen in DOS to have Windows use that investment.

Company	Ticker
AXA Equitable	@EQUITBL
FAS Corp	@FASCORP
Great West	@GRTWEST
Guardian	@GUARDN
John Hancock	@HANCOCK
ING	@ING
Lincoln National	@LINCOLN
Nationwide	@NATWIDE
MET LIFE	@METLIFE
Transamerica	@TRANSAM



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- Multiple sources and multiple investments use 'GAIN/LOSS SPLIT WITH THESE ACCOUNTS' or ticker symbols if entered to set up the investments in DC/Win.
- Loan accounts must be marked LOAN ACCOUNT (Y/N) as Y
- QNEC, QMAC, Safe Harbor and Rollovers are type O (Other) and type I (IRA) accounts in DOS.
- In DC/Win each source has separate contribution allocations, its own participation and contribution requirements.



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- The transfer program will make assumptions about what your type O and type I accounts are based on how screen 14 has been coded.
- The log file that is generated with every transfer will tell you what the system assumed your type O and I accounts to be.
- Each source has separate entry dates in DC/Win. An overridden date of participation in DOS could cause an employee to be eligible or ineligible for a source that he wasn't previously.
- Census by Source report will give you the entry dates and anticipated entry dates for each employee for each source of contribution.



DC/Win Transfer from DOS

Select Employee

Search for:

Search by:
 Soc Sec #
 Name
 EE Number

Limit to:
 In Plan
 Employees
 All Employees
 Any Sponsor

Select plan
DCWIN, DC/Win Profit Sharing Plan and Trust

Anderson, Tom
Bluffton, Taylor
Brach, Janie
Jahr, Sally
Jones, Bob
Jones, Mary
Smith, Andy
Smith, Susie
Spears, John
Wiggins, Sam

Anderson, Tom
SS #: 987-65-4321 EE #:
Employer: DC/Win Sponsor Plan
ID=DCWIN

Ok
Cancel

All Employees lists current employees and all prior paid out termines



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- Employees terminated in prior years with no balance may disappear in DC/Win. Message such as Employee Number or Social Security Number already in Use may appear when entering employees.
- To find these employees, click on the binoculars. Set 'Limit to:' on the Select Employee screen to 'All Employees'. 'All Employees' will display both current and all terminees while 'Employees' only displays the current active employees.