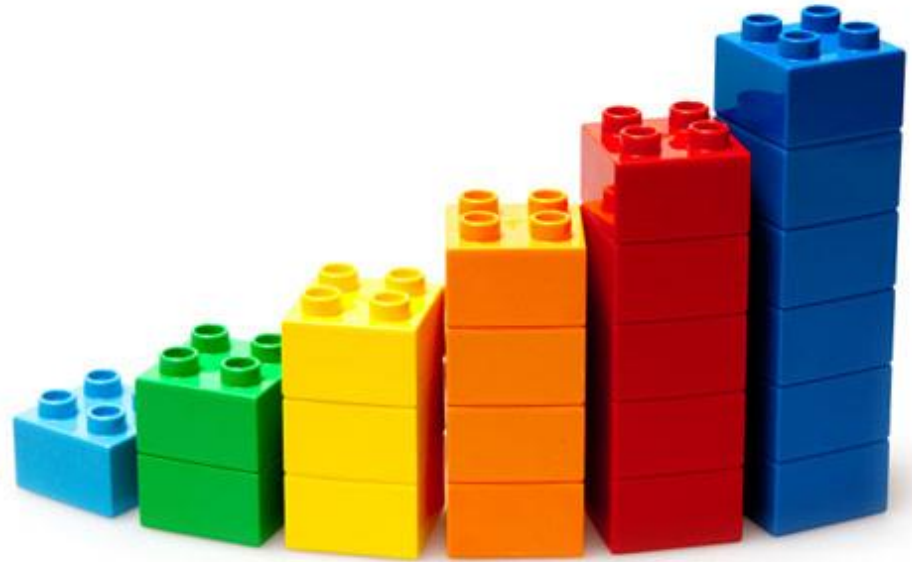


BUILDING FOR THE FUTURE

giving your employees the tools to develop and grow



Investment Roundtable

2016 DDI User Group Conference



Discussion Topics

- State Sales Registration
- State Sales Reports(IL238 & IL226)
- Transition from Physical Certificate to Book Entry
- IL219 vs. IL246 – Maturity Options
- Dormancy/Escheatment
- IL289 – Investment Statements
- Other Audit Questions
- Different Marketing Ideas

State Sales Demo



Physical → Book Entry Certificates

- What is your procedure?
- What are the challenges with your procedure?
- Lost Investment Forms/Withdrawal Authorizations



Physical → Book Entry Certificates

Investment Maintenance

Inv #: 122215

Account: 000001379

Account Name/Address Block

Yellow River AMEZ Church
Mr Thomas E Ambler
Mrs Rachel F Ambler
6201 Strathmore Dr
Bremerton, WA 98337

Settings | Payments | Methods | Support | ACH

Interest computation: 0 - 30 day month / 360 day year

Issuance method: 00 - Send Note

00 - Send Note

01 - Book Entry

02 - Safekeep Note

Redemption method: 00 - No Action Taken



IL219 vs IL246 – Maturity Processing

- IL246
 - Uses IL227 to print new notes/extensions
 - More robust maturity options
 - Follows investor interest payment preference



IL219 vs IL246 – Maturity Processing

Investment Maintenance

Inv #: 80292

Account: 000001502

Account Name/Address Block

Bright Creek Christian Church
P O Box 668
Richmond, VA 23222

Settings

Payments

Methods

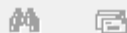
Support

ACH

Payment code: 52 - Direct Deposit Savings - Semiannually

Renew pay code: 04 - Compound, Monthly

Alt payee PIN:



ABA #: 123123123

Bank account: 123456

Bank name: Chase

IL219 vs IL246 – Maturity Processing

Investment Maintenance

Inv #: 80292

Account: 000001502

Account Name/Address Block

Bright Creek Christian Church
P O Box 668
Richmond, VA 23222

Settings

Payments

Methods

Support

ACH

Interest computation: 0 - 30 day month / 360 day year

Issuance method: 00 - Send Note

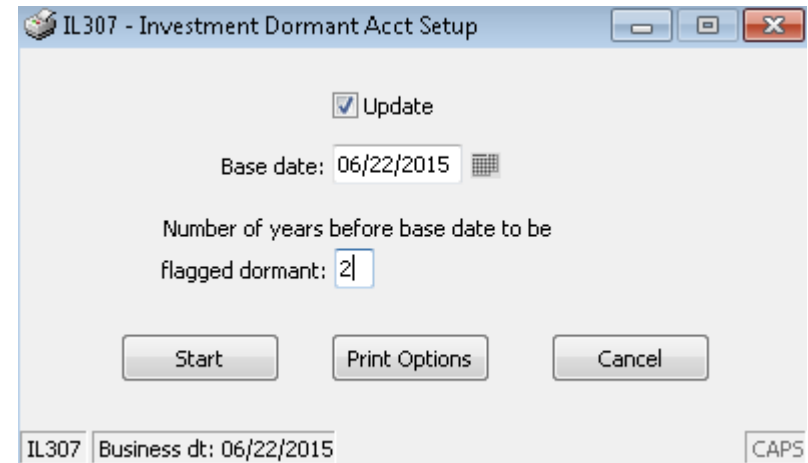
Premium method: 00 - None

Redemption method: 50 - Redeem investment, No action

- 51 - Redeem investment via Check
- 52 - Redeem investment via EFT to Checking
- 53 - Redeem investment via EFT to Savings
- 56 - Renew investment into same Inv Type
- 57 - Renew investment into other Inv Type

Dormancy/Escheatment

- IL307 – Investment Dormant Acct Setup
 - Set dormant account status
 - Exempt Transactions
 - Duplicate Investment
 - Tax Split
 - Transfer To/From
 - Renew To/From
 - Premium Exp/Check
 - Deposit
 - Correction
 - New
 - Interest Check, EFT, Extend



The screenshot shows a Windows-style dialog box titled "IL307 - Investment Dormant Acct Setup". It contains the following elements:

- A checked checkbox labeled "Update".
- A text field for "Base date:" containing "06/22/2015" and a calendar icon to its right.
- A label "Number of years before base date to be flagged dormant:" followed by a text field containing the number "2".
- Three buttons: "Start", "Print Options", and "Cancel".
- A status bar at the bottom with "IL307" on the left, "Business dt: 06/22/2015" in the middle, and "CAPS" on the right.

Dormancy/Escheatment

- Investment Dormant Account Setup
 - Review Dormant Account Transactions

The screenshot displays the 'Investment Audit Inquiry' window. On the left is a navigation tree with 'Investment Audit Inquiry' selected. The main area shows a table titled 'Investment Internal Audit List' with columns for C, ID, Inv #, Date, Principal, Interest, Penalty, Withheld, and Total. A start date of 06/22/2012 is entered. Below the table, a yellow box contains a note: '050 - Principal and/or accrued interest has been withdrawn and paid by batch check.' The audit reason is 'Reg #1316511 01/29/2008 Dormant investment account'. At the bottom, there are buttons for 'Detail', 'Before/After', 'View Group', 'Complete', 'Inquiry', 'Check', and 'Image'.

C	ID	Inv #	Date	Principal	Interest	Penalty	Withheld	Total
	050	99935	06/26/2012	6,645.69	97.45	0.00	0.00	6,743.14
	100	101239	06/26/2012	0.00	0.00	0.00	0.00	0.00
	100	118688	06/27/2012	0.00	0.00	0.00	0.00	0.00
	050	99502	06/28/2012	1,733.81	25.70	0.00	0.00	1,759.51
	050	100463	07/06/2012	223.34	0.11	0.00	0.00	223.45
	041	132772	09/11/2012	15,000.00	0.00	0.00	0.00	15,000.00
	080	132772	09/11/2012	0.00	-118.33	0.00	0.00	-118.33
	100	118688	09/27/2012	0.00	0.00	0.00	0.00	0.00
	050	100408	10/15/2012	120.56	1.05	0.00	0.00	121.61
	050	100398	11/28/2012	235.00	2.91	0.00	0.00	237.91
	020	100242	11/29/2012	189.20	2.34	2.24	0.00	191.54
	100	125802	12/19/2012	0.00	0.00	0.00	0.00	0.00
	050	125802	12/19/2012	541.69	0.62	0.00	54.23	542.31
	100	118688	12/21/2012	0.00	0.00	0.00	0.00	0.00
	070	128195	12/31/2012	2,522.00	0.00	0.00	0.00	2,522.00

050 - Principal and/or accrued interest has been withdrawn and paid by batch check.

Audit reason: Reg #1316511 01/29/2008 Dormant investment account

Completed:

Buttons: Detail, Before/After, View Group, Complete, Inquiry, Check, Image

Dormancy/Escheatment

IL309 - Investment Internal Audit List

Start date: 06/22/2015

End date: 06/22/2015

Start Print Options Cancel

IL309 Business dt: 06/22/2015 CAPS

05/10/2016 3:21 PM EDT DDI Demo for Church Extension Funds Page 1
 IL309 Investment Internal Audit List
 06/01/2012 thru 06/22/2015

Registration	Registration Text	Investment Tran	Transaction Description	Reason for audit	Date
001204784	MRS SHELLEY T CARLSON MR JESSE THOMSON 8592 KINSMAN RD MERCED, CA 95340	101085 050	Principal and/or accrued interest has been withdrawn and paid by batch check.	Reg #1204784 09/16/1998 Dormant investment account	04/17/2013
001276231	THE REVEREND HANK MCDONALD 4214 EDDINETON OKLAHOMA CITY, OK 73165	100463 050	Principal and/or accrued interest has been withdrawn and paid by batch check.	Reg #1276231 06/22/1998 Dormant investment account	07/06/2012
001316511	ALL SAINTS CHURCH OF GOD IN CHRIST BOX 625 CEDAR FALLS, IA 50613	99935 050	Principal and/or accrued interest has been withdrawn and paid by batch check.	Reg #1316511 01/29/2008 Dormant investment account	06/26/2012
001316511	ALL SAINTS CHURCH OF GOD IN CHRIST BOX 625 CEDAR FALLS, IA 50613	101239 100	A maintenance transaction has been applied to this investment. The causes no financial activity.	Reg #1316511 01/29/2008 Dormant investment account	06/26/2012
001412208	CANNON COMPANY MRS MELODY M CONWAY 409 BERMONT ORANGE, CA 92665	132772 041	This investment has received a deposit via a transfer.	Tax reporting PIN 1040935 11/26/2003 Deceased	09/11/2012

IL289 – Investment Statement

IL289 - Investment Statements

Date range: 06/22/2015 thru: 06/22/2015

Sort mode: Account

Account:

Constituent:

Investments:

Include categories:

Exclude categories:

Include investment types:

Exclude investment types:

Statement format: Name / Account / Investment

Include interest rate changes

Include IRA accounts

Include demand investments

Corrected statement

Capitalize address

Generate statements

Exclude closed investments

Form code:

Correspondence method:

Transfer mode: Report only

Start Print Options Cancel

IL289 Business dt: 06/22/2015 CAPS

«TableStart:ttName»



Statement Period

«StartDate» - «EndDate»

«address1»
«address2»
«address3»
«address4»
«address5»
«address6»

«tblMainAccoun»

«TableStart:ttInvest»

Investment Information	
Investment #:	«invNum»
Previous Investment #:	«investDesc»
Investment Type:	«invTypeDesc»
Interest Rate:	«currentRate»
Interest YTD:	«intEa medYtd»
Maturity Date:	«maturityDate»

Date	Deposits	Withdrawals	Interest	Fees	Balance
«TableStart:ttDetail» «tr» «anDate»	«depositAmt»	«withdra wAmt»	«interestAmt»	«withheldAmt»	«balanceAmt»
Total	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	

«TableEnd:ttInvest»

«TableEnd:ttName»

Audit Topics

- Confirmation Letters
- Audit Reports
 - IL310
 - IL231
 - IL302
 - IL331
- Sub ledger Balancing
- Other Challenges



Audit Topic – Confirmation Letters

- Confirmation Letters
 - What does your auditors have you do?
 - Do you produce the letters or do your auditors?
 - What can DDI do to make this process easier in the future?



Audit Topic – Confirmation Letters

- Options in DDI-Connect™
– IL330



IL330 - Active Investments Auditor R...

Base date: 06/22/2015

Purchase Start: 06/22/2015

Purchase End: 06/22/2015

Categories:

Investment Numbers:

Sort order: Investments

Minimum amount: 0.00

Create email audit file

Form code: CONFNOTE

Merge method:

Include supporting loan detail

Start Print Options Cancel

«process-dt|

«reg-addr1»

«reg-addr2»

«reg-addr3»

«reg-addr4»

«reg-addr5»

Re: «inv-num»

Our auditors, Auditors-R-Us, are conducting an audit of our financial statements. Please confirm directly to them the following information relating to our note payable to you at December 31, 2015.

Date of Note:	
Original Amount of Note:	
Unpaid principal balance:	«principal-bal»
Maturity date:	«maturity-dt»
Interest rate:	«interest-rate»
Date to which interest has been paid:	December 31, 2015
Description of collateral or personal guarantees: (if none, please so indicate: None)	None

Please indicate in the space provided below whether the above information is in agreement with your records. If it is not, please furnish our auditors any information you have that will help them reconcile the difference. After signing and dating your reply, please mail it directly to Auditors-R-Us in the enclosed return envelope.

Very truly yours,

Bill Smith
Controller

To: Auditors-R-Us

The above information regarding the obligation from DDI Corporation agrees with our records at December 31, 2015 with the following exceptions (if any):

If there are any direct or contingent liabilities to you not otherwise indicated above, please list:

Audit Topic – Confirmation Letters

- Options in DDI-Connect™
– IL310

IL310 - Investment Master Report

Base date: 06/22/2015

Search criteria: All Investments

Investment categories:

Investment statuses:

States of sales: of: 06/22/2015

Create data file

File name: M:\IL310.csv

Start Print Options Cancel

IL310 Business dt: 06/22/2015 CAPS



ACCOUNT VERIFICATION LETTER

5/31/16

«Registration_Name»
«Registration_Addr1»
«Registration_City», «Registration_State» «Registration_Zip»

Dear «Registration_Name»,

We are engaged in a routine examination of the Investment records of DDI Church Extension Fund, Inc. We ask that you determine whether your records agree with the investment information stated below as of 5/31/16. This request concerns only the investment indicated even though you may have other notes with DDI Church Extension Fund, Inc.

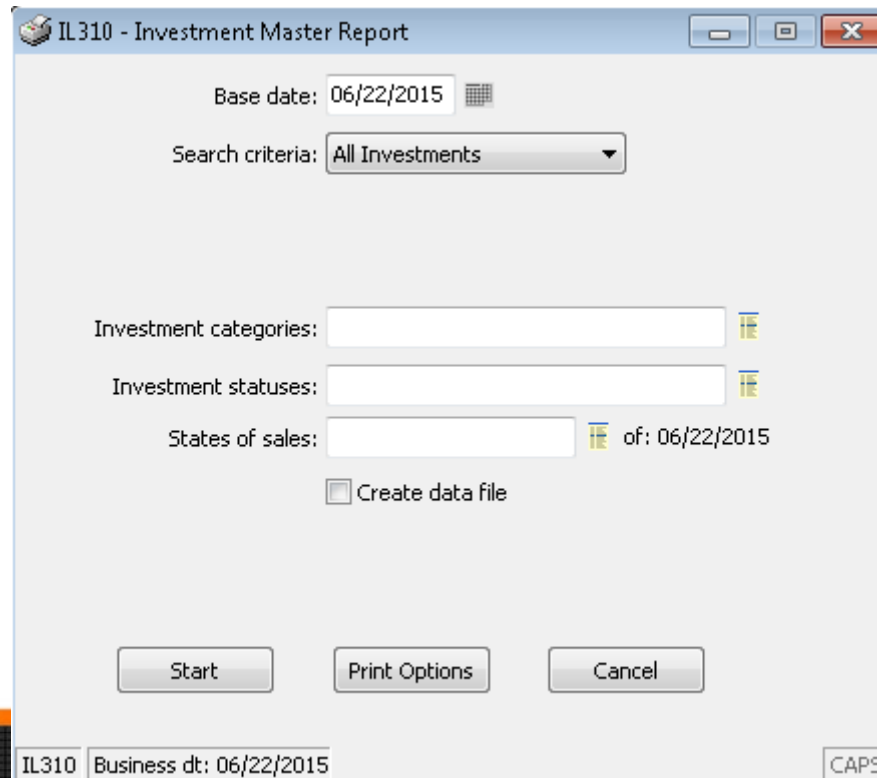
Investment:

Investment Number	«Inv_»
Rate	«Rate»
Maturity Date	«Maturity_Date»
Current Balance	«Balance»

Please confirm the above information by signing and returning this letter in the enclosed business reply envelope.

Audit Topic – Reports

- Reports in DDI-Connect™
 - IL310: Investment Master Report



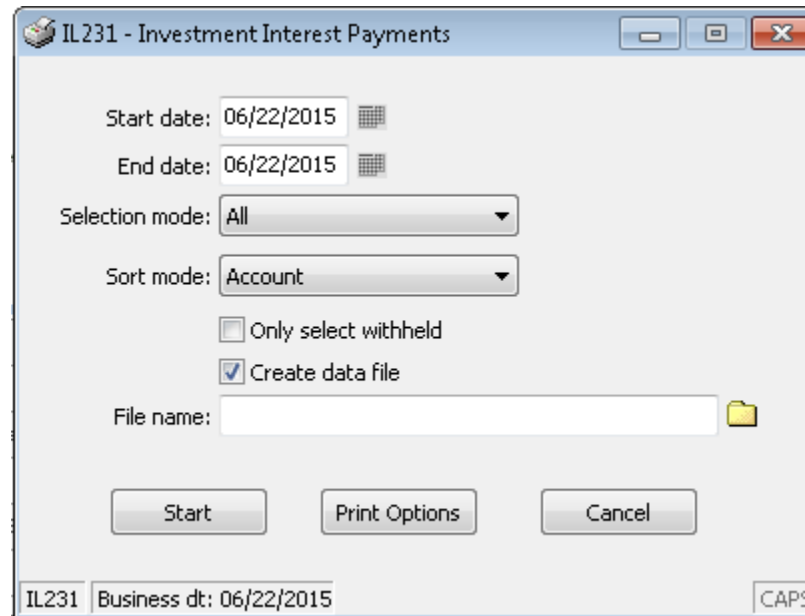
The screenshot shows a Windows-style dialog box titled "IL310 - Investment Master Report". The dialog contains the following fields and controls:

- Base date:** A text box containing "06/22/2015" with a calendar icon to its right.
- Search criteria:** A dropdown menu currently showing "All Investments".
- Investment categories:** An empty text box with a magnifying glass icon to its right.
- Investment statuses:** An empty text box with a magnifying glass icon to its right.
- States of sales:** An empty text box with a magnifying glass icon to its right, followed by the text "of: 06/22/2015".
- Create data file:** A checkbox that is currently unchecked.
- Buttons:** Three buttons at the bottom: "Start", "Print Options", and "Cancel".

At the bottom of the dialog, there is a status bar with the text "IL310 Business dt: 06/22/2015" on the left and "CAPS" on the right.

Audit Topic – Reports

- Reports in DDI-Connect™
 - IL231: Investment Master Report

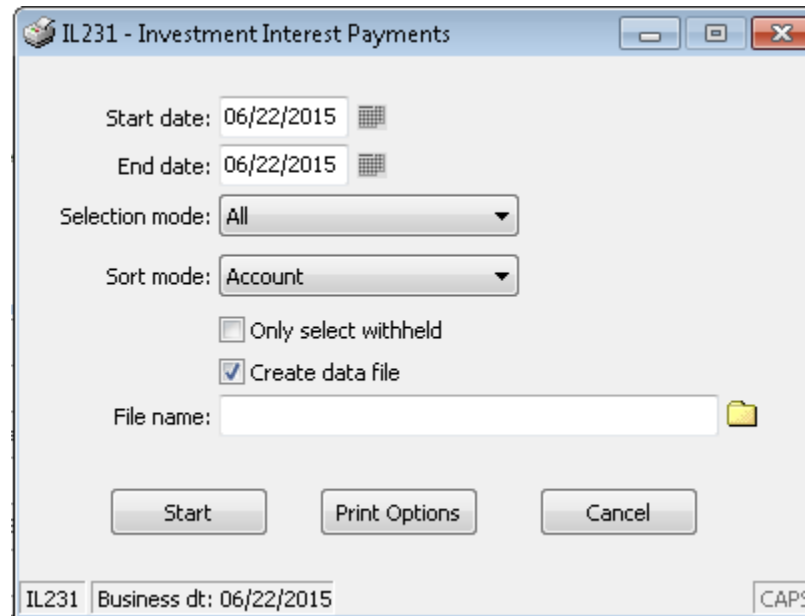


The screenshot shows a software window titled "IL231 - Investment Interest Payments". The window contains the following fields and controls:

- Start date: 06/22/2015 (with a calendar icon)
- End date: 06/22/2015 (with a calendar icon)
- Selection mode: All (dropdown menu)
- Sort mode: Account (dropdown menu)
- Only select withheld
- Create data file
- File name: (empty text field with a folder icon)
- Buttons: Start, Print Options, Cancel
- Status bar: IL231 Business dt: 06/22/2015 CAPS

Audit Topic – Reports

- Reports in DDI-Connect™
 - IL231: Investment Master Report

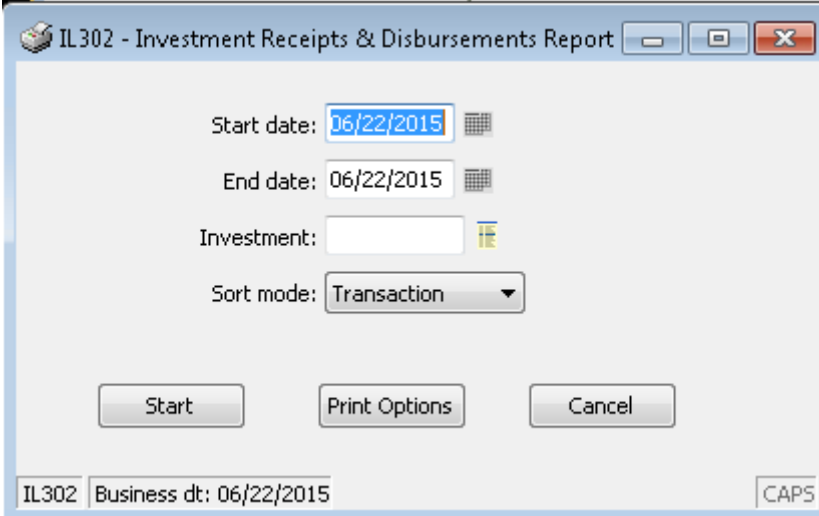


The screenshot shows a software window titled "IL231 - Investment Interest Payments". The window contains the following fields and controls:

- Start date: 06/22/2015 (with a calendar icon)
- End date: 06/22/2015 (with a calendar icon)
- Selection mode: All (dropdown menu)
- Sort mode: Account (dropdown menu)
- Only select withheld
- Create data file
- File name: (empty text field with a folder icon)
- Buttons: Start, Print Options, Cancel
- Status bar: IL231 Business dt: 06/22/2015 CAPS

Audit Topic – Reports

- Reports in DDI-Connect™
 - IL302: Investments Receipts and Disbursements



The screenshot shows a dialog box titled "IL302 - Investment Receipts & Disbursements Report". It contains the following fields and controls:

- Start date: 06/22/2015 (with a calendar icon)
- End date: 06/22/2015 (with a calendar icon)
- Investment: (empty text box with a list icon)
- Sort mode: Transaction (dropdown menu)
- Buttons: Start, Print Options, Cancel
- Status bar: IL302 Business dt: 06/22/2015 CAPS

Audit Topic – Sub ledger Balancing

- Reports in DDI-Connect™
 - IL225: Investment by GL
 - Investment Balance Total
 - FW30: Trial Balance
 - GL Balances



Marketing/New Investment Sales

- What strategy is working for your organization?
- What has not work for attracting new investors?
- What strategies are you putting in place to tackle your aging investor population?



Discussion, Questions, Comments

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