# Portal Document and DocPrint Batch Options

02/26/2025 4:59 pm CST

This section walks through the variety of Portal Document and DocPrint batch processing options available through the Portal.

## How to Post a Batch Annual Notice to the Portal

**Note**: You do have to subscribe to the Documents Module and 'ftwPortal Pro' to post annual notices. To batch generate batch Annual Notices, select the Wolters Kluwer logo >Batches>DocPrint :



In the DocPrint menu you will first need to create a batch file. Click the "Create New Batch" button and give your batch file a name. You will also need to select the checklist type you will be generating the amendment for via the drop-down menu. Once you have made your selection, click "OK".

Batch: DocPrin	t						
Create New Batch   Work	k Flow						
Batch Name	Batch ID	Count					
Batch Name	Batch ID	Count	Error	Complete	Print	Publish	Status
New Batch			х				
Enter batch name: A Select Checklist: N	nnual Notice Ion-Standard	e Batch lized 401	(k 🗸				
			ОК				

Once your plan list appears, you can utilize the filters at the top of the box to search for specific plans and narrow down your search results. When finished, use the checkboxes to the left of the menu to select the plans you want to add to your batch file. You can use the top checkbox to select all the plans in the menu. Once you have made your selection, click on the "Add" button.

	Company Name	Company ID	Plan Name	Plan ID	EIN
1	Company Name	Company ID	Plan Name	✓ Plan ID	EIN
	Test Plan 1 for docprint		Test Plan 99		53-433
	Test Plan 1 for docprint		Test Plan 98		53-433
	Test Plan 1 for docprint		Test Plan 97		53-433
	Test Plan 1 for docprint		Test Plan 96		53-433
	Test Plan 1 for docprint		Test Plan 95		53-433
	Test Plan 1 for docprint		Test Plan 94		53-433
	Test Plan 1 for docprint		Test Plan 93		53-433
	Test Plan 1 for docprint		Test Plan 92		53-433

From within the batch screen, you are able to identify the document format you prefer (Word or PDF) in the Batch options menu in the upper right-hand corner. Once your plans have been selected and added to the batch, select the "Publish" option from above the grid

Batch:	DocPrint	Count:	5	Error:	<u> </u>	Batch Options		
Batch Name:	Annual Notice B	Complete:		Print:		Document Format: PDF 🗸 🚨		
Batch ID:	295231	Publish:		Status:		Edit Filenames: Level 1   Level 2   Level 3		
Checklist:	4KPT:VolSub:POST					Convert Plans   Batch Edit Plan Grid		
Add Plans			<b>`</b>					
(res).								
Compa	any Name			EIN	Company ID	Plan Name		
Compa	any Name any Name			EIN	Company ID Company ID	Plan Name Plan Name		
Compa Comp Comp	any Name any Name Ilan 1 for docprint			EIN EIN 53-43396	Company ID Company ID 21	Plan Name Plan Name Test Plan 1		
Compa	any Name any Name Ilan 1 for docprint Ilan 1 for docprint			EIN EIN 53-43396 53-43396	Company ID Company ID 21 21	Plan Name Plan Name Test Plan 1 Test Plan 2		
Compa Comp Test F Test F	any Name any Name Ilan 1 for docprint Ilan 1 for docprint Ilan 1 for docprint			EIN EIN 53-43396 53-43396 53-43396	Company ID Company ID 21 21 21	Plan Name Plan Name Test Plan 1 Test Plan 2 Test Plan 3		
Compa Comp Test F Test F Test F	any Name any Name Ilan 1 for docprint Ilan 1 for docprint Ilan 1 for docprint Ilan 1 for docprint			EIN 53-43396 53-43396 53-43396 53-43396 53-43396	Company ID Company ID 21 21 21 21 21	Plan Name Plan Name Test Plan 1 Test Plan 2 Test Plan 3 Test Plan 4		

This will populate a new window where you are able to select which items you wish to publish to your Portal users. For publishing options, you can choose to mark your batch as published or not as well as indicate if you wish to send all your selected documents and forms in individual files by choosing "One File per Form" – this is recommended for E-Signing. If you prefer all documents and forms be contained in one big file, choose "One File, All forms" (the second option does not allow for e-signature options). This section defaults to "Mark as Published" and "One File per Form":

Batch Publish:	Mark as Published 🗸	
	Mark as Published	
	Do not mark as Published	
Publish Options:	One File per Form 🗸	í
	One File per Form	-
	One File, All forms - E-Sign Not Available	

Next you will need to indicate what items you wish to publish to the portal; in this instance you will select from the Annual Notice option. Once selected, click "Next":

atch Publish:	Mark as Publi	shed 🗸	
ublish Options: [	One File per F	form 💙 í	
Documents / Forms		· · · · · · · · · · · · · · · · · · ·	Select All / Deselect A
Plan Document Adoption Agree Basic Plan Docu Joinder Agreem Trust Agreemen Required Amendn SECURE/CARES Amendment	ment ument lent nt <b>ments *</b> G/CAA	Summary Plan Description Summary Plan Description Summary Plan Description English Including Spanish Foreign Language Requirement Summary Plan Description - Spanish Highlights Plan Highlights Plan Highlights - Spanish Administrative Policies Loan Procedures QDRO Procedures QDRO Procedures Funding Policy Model/Sample Amendment Short Plan Year Amendment Consent Amendment Short Plan Year Amendment Firemination Kit non MP Discretionary Match Sample Kit Safe Harbor Non-Elective Amendment	Annual Notice Annual Notice - Spanish Annual Notice - no QDIA Annual Notice - no QDIA - Spanish Annual Notice - no QDIA - Spanish Annual Notice - QDIA only - Spanish Annual Notice - QDIA only - Spanish Annual Notice - SIMPLE 401(k) Annual Notice - SIMPLE 401(k) - Spanish Forms Follow-up Notice Deferral Election Form Deferral Election Form - Spanish Bonus Deferral Election Form Self Employed Deferral Election Form Publicly-Traded Stock Notice - Spanish Beneficiary Designation
		Amendment Cease Safe Harbor	Spanish Bellever Centribution
		Amendment - Spanish	Special Tax Notice
			Special Tax Notice - Spanish
			Special Tax Notice In-Plan
			Distribution Election Form - QJSA

This will pull the Annual Notice information and prepare the documents to send, a progress bar will populate to indicate you are ready to proceed, select OK:

Publishing	
100%	
Plan(s): 5 / 5	
100%	
Document(s) Prepared	
	ОК

This will create a communication window where you will specify the following information:

**A. Classifications:** If you are publishing more than one document with different types of "Classifications", the classification type of "Plan Forms" will be used. If you have just one type, for example, Amendments, the classification type of "Required Amendment" will be used.

**B. Subject:** Each communication needs a subject for it to be sent.

**C. Send Email Invite**: This toggle option indicates whether a communication will be sent to the portal user that the items are available, or you can choose to simply publish the items to the portal without sending them an email invitation.

**D. Confirmation Email Recipient**: This field indicates who will receive a confirmation that the Portal User has downloaded or e-signed the documents in the communication (this will either be the Admin associated with the plan or the Master User on the account)

**E. Expiration Field**: this field allows you to set an expiration date. Once this date has passed these documents will no longer be on the Portal Users Portal. (this is an uncommon field, as most users would like their portal users to have access to these documents in an ongoing basis)

**F. Email Invite:** This is the field that indicates what template to use when sending the invitation to your portal user to inform them they have items to review or sign. You can select from system generated or custom templates by selecting the dropdown icon in this section. You are also able to create or edit templates by selecting the gear icon to the right of the template dropdown. You also have an option to add information to the **Portal Message**, which is the message that displays within the portal view for your users. This can be left blank, you may be able to enter a custom message, or you can elect to have the e-mail invitation copied to the Portal messages by marking the indicated box below.



**G. Folder Name:** This allows you to specify a folder for the documents you are publishing to portal. This is often used to help organize documents by specific years or item type.

**H.** Add ToDo with Portal Access: this allows you to add items that do not require actions to a client's 'To Do' list. Adding items to the To Do list will also trigger reminders if reminders are set in the Global Email Settings. The task of E-Signing a document will appear on the portal user's To Do List. Yet, allowing the portal user to have view access to the document after E-Signing will not. If you would like to add viewing the document to the user's To Do List after E-Signing, be sure to check the box.

## I. Do with Selected: In this field you are able to Add e-sign options, Remove E-sign options, or Remove selected plans/files from the batch.

J. This field contains the ability to **Preview** your communication as well as create a Direct Link, the direct link option (that looks like two chains linked together) offers users the ability to access the documents within the communication/Direct Message without having to log in to the Portal. **Please Note:** Direct Link cannot be used for items set for e-signing. When Direct Link is enabled, the link will turn green:



When Using Direct Link, you can also set an expiration for how long the link is viable:

			×		
Cashlad					
Enabled					
<ul> <li>Link Expires (optional)</li> </ul>					
03/31/2022	1				
		d. C	к		
Plan Annual Notice 👻 🗛					
Annual Notice Batch		в			
Send Email Invite C D Confirmation Email Recipient: Confirmation er	mails will l	be sent ba	ed on your default set-up	o. E Expire	s (Optional): MM/DD/YYYY
il Invite Portal Message F			Annual Notices	G	▼ Edit Fo
il Invite Portal Message F ault Upload Email	•	0	Annual Notices	G • FileName	E-Sign Add Signe
il Invite Portal Message <b>F</b> 'ault Upload Email ustomLanguage The I@IClassification file(s) I@IFileName have been uploaded to the plan I@IPlanNar	▼ ne.	•	Annual Notices	G FileName	Edit Fol
Il Invite Portal Message F ault Upload Email ustomLanguage The (@Classification file(s) )@/FileName have been uploaded to the plan )@/PlanNam ie use the following link to download the file(s) and view any attached information: ginlink	▼ ne.	•	Annual Notices	G FileName Annuel Notice.odf	E-Sign Add Signe
III Invite Portal Message F ault Upload Email ustomLanguage The I@:Classification file(s) I@:FileName have been uploaded to the plan I@:PlanName to use the following link to download the file(s) and view any attached information: gonink portal logio Information is: norme: IIII liseration	vne.	•	Annual Notices	G FileName	E-Sign Add Signe
Ill Invite         Portal Message         F           'ault Upload Email	The.	•	Annual Notices	G FileName FileName finual Notice.adf	Edit Fo E-Sign Add Signe
Ill Invite         Portal Message         F           'ault Upload Email         ustomLanguage The l@/Classification file(s) l@/FileName have been uploaded to the plan l@/PlanNar se use the following link to download the file(s) and view any attached information: ginlink           portal login information is: name: @/Uurame me werd: l@/Plassword         main d@/Uurame	The.	0	Annual Notices	G  FileName Annuel Notice of	Edit Fol E-Sign Add Signer
Il Invite         Portal Message         F           fault Upload Email         ustomLanguage The I@/Classification file(s) I@/FileName have been uploaded to the plan I@/PlanName set use the following link to download the file(s) and view any attached information: ginink           portal login information is: name: I@/Username word: I@/Password	The second secon	•	Annual Notices	G FileName FileName Annuel Notice.of	Edit Fol E-Sign Add Signer      Add Signer      Add Signer      Add Signer
Ill Invite         Portal Message         F           Fault Upload Email         ustomLanguage The I@/Classification file(s) I@/FileName have been uploaded to the plan I@/PianName is use the following link to download the file(s) and view any attached information: girlink.           uportal login information is: mane: I@/Upersent is: word: I@/Password         mane: I@/Upersent is:	The second	0	Annual Notices	G  FileName  FileName  Annual Notice of  Annual Notice of  Annual Notice of	Edit for E-Sign Add Signer      Add Signer      Add Signer      Add Signer      Add Signer      Add Signer
Ill Invite         Portal Message         F           Fault Upload Email         ustomLanguage The I@IClassification file(s) I@IFileName have been uploaded to the plan I@IPlanNar         use the following link to download the file(s) and view any strached information:           upprail login information is:         name: @IUlearme         mark: @IUlearme           word: I@IPsssword	ne.	•	Annual Notices	G  FileName  FileName  Annual Notice.of  Annual Notice.of  Annual Notice.of	Edit Foi E-Sign Add Signer      Add Signer      Add Signer      Add Signer      Add Signer
Invite         Portal Message           Fault Upload Email         Invite Message           ustomLanguage The Li@IClassification file(s) I@IFIeName have been uploaded to the plan I@IPIanNam se use the following link to download the file(s) and view any attached information:           uprail login information is:           man: @IUEPrenew           word: I@IPResword	The	•	Annual Notices Plan Test Plan Test Plan Test Plan 2 Test Plan 3 Test Plan 3 Test Plan 3 Do with Selected 3	G  FileName  Annuel Notice and  Annuel Notice and	Edit Fol E-Sign Add Signer      Add Signer      Add Signer      Add Signer

Once the communication is set as you specify and the 'Post+Send Invites' or "Post' button are selected (based on if you wish to send an e-mail to your portal users or simply post the document to the user's portal, a window will populate with a progress bar:

s	ending Posts
	Posting Complete!
	100%
	Post(s) Sent: 5 / 5
	100%
	Email(s) Sent: 1 / 1
	ок

The communications can then be viewed on the Global or Plan Level Dashboards. The red flag on your dashboard indicates there are unread messages for that portal user. The paper icon next to the flag indicates this portal user was sent files from a batch.

## How to Send Files Via the Portal Document Batch

Note: To use the Portal Document Batch feature, you must set up the 'Document' email settings for 'Specify a Server'.

The purpose of Portal Document Batch is to allow you to send one file or multiple files to the portal users assigned to the plans within your batch.

For example, if your firm sends a monthly newsletter, you can customize the files for portal users assigned to plans in your batch. You can also send multiple files to clients in a single batch.

#### Option 1:

To send the same files to all the plans within your batch:

- 1. Select 'Portal Documents' from the 'Batches' drop-down list on the home screen.
- 2. Create New Batch
- 3. Enter a Folder Name (optional). The file(s) that you send to the portal user will be in this folder.
- 4. Click on Add File to upload one file at a time.
- 5. Select a Classification (mandatory). When you add plans, only portal users who have permissions to the selected classification will display. You will have the option to choose a portal user if 'None' have permissions.
- 6. Check the 'ToDo' box if you would like the file(s) to appear in the portal user's ToDo list.
- 7. Expiration Date. You can add an expiration date for your client to be able to view the file(s).
- 8. You can enter a 'Message' to send in addition to the default email message.
- 9. Click on 'Add Plans' to select the plans you would like in the batch.
- 10. Once you have the batch set up with steps 1-9, you can Post your batch and if you wish to send e-mail invitations to your users, select the check box next to 'and send invites'. This will post files to all indicated plans at one time.

Batch (	Options							
	Name:	SampleBatch	1	Edit Name	Download	ed: -	Posted:	Post Batch and send invites
	Batch Type:	Portal Docum	nents		Invit	ed: -		
			💡 This	form saves changes automa	atically.			
		Email Templa	ate: Default Upload Email	✓ Edit	Display ema	ail template in	the portal?	
	Folder:	Company F	iles	· ·	Cla	assification:	* Other	~
		Edit Folde	r List					
	Files: *	None				ToD	<b>0:</b> □ • • • • • • • • • • • • • • • • • •	li - t
							C Add to 1000	list
		Add Files	Encrypt 🕐					
		Split zip	file using plan IDs 🔞 Edit	File Format				
		Use the f	folders in the zip file <u>list Export Plan File ID List</u>					
		Receive	email confirmation when p	ortal user downloads file	Ex	piration Dat	e:	-
		Confirmatio	n email default set to plan	admin.	1	Description:	* Monthly Newslet	ter
		Confirmat	nation Name			Messag	e: Optional Informa	ation
		Defau	lt:					
		Confirm	nation Email:					
								/
2 Pla	Add Plans							
	Plan Name		Portal Users	Customized	Posted		Invited	Downloaded
面	ABC Company 401	(k) Plan	ABC Company, +2 more	Not Customized	Pos	st Batch	-	-
Ū	Example Company	POST PPA	Jane Doe, +1 more	Not Customized	Pos	st Batch	-	-

#### Option 2:

To customize files to all (or some) of the plans within your batch:

- 1. Follow Steps 1-9 under Option 1 above.
- 2. When you have added plans to your batch, you will see a 'Not Customized' button below the 'Customized' column. Click on the button to upload file(s) for the specific plan. Once you have 'customized' the plan and return to the 'Edit Batch' screen, the button will switch from 'Not Customized' to 'Customized'. Repeat this step for all plans you would like to 'customize'.
- 3. You may Post your batch and Send Invites once you have your file(s) uploaded.

#### Customize Batch

#### Company: ABC Company

Plan: ABC Company 401(k) Plan

▲ Note: The plan document options set below will only override the batch options if you have uploaded a file to the plan options below. If you specify a file, you must also specify a classification and description. If you previously uploaded a custom plan document file, clicking 'Remove' will remove it from the plan, causing it to use the batch settings again.

Custom F	Plan Document		
Folder:	Control This form saves change Email Template: Default Upload Email Edit Folder List	es automatically. Edit Display template in the portal? Classification: *	~
Files: *	None Add Files Encrypt  Confirmation confirmation when portal user downloads file Confirmation email default set to plan admin. Confirmation Remail Overrides Confirmation Name: Default: Confirmation Email:	ToDo: Add to ToDo list  Expiration Date: Description: * Message:	

#### Option 3:

To customize all plans within your batch using the Split Zip option:

- 1. Select Portal Documents from the Batches drop-down list on the home screen.
- 2. Create New Batch
- 3. Enter a Folder Name (optional). The file(s) that you send to the portal user will be in this folder.
- 4. Check the box to Split zip file using plan ids. The 'Add Plans' button will grey out.
  - Click on Plan ID List to view an online list of plan ids.
  - Click on Export Plan ID List to download the list of plan ids.
  - You will need to enter the plan id in front of the file names you plan to upload.
    - For example, Sample Plan will have the files 'sample.pdf', 'sample2.csv' and 'sample3.rtf' uploaded. The Plan ID for Sample Plan is "504883100". Before the files can be uploaded via split zip, the files must be renamed to include the plan ids '504883100-sample.pdf', '504883100-sample2.csv' and '504883100-sample3.rtf'. Next, the files must be zipped into a folder to upload. Click on "Add File" to browse for the zip folder.
- 5. Select a 'Classification' (mandatory). When you add plans, only portal users who have permissions to the selected classification will display. You will have the option to choose a portal user if 'None' have permissions.
- 6. Check the "ToDo" box if you would like the file(s) to appear in the portal user's ToDo list.

- 7. Expiration Date. You can add an expiration date for your client to be able to view the file(s).
- 8. You can enter a 'Message' to send in addition to the default email message.
- 9. Once you have the batch set up with steps 1-8, you can Post your batch at which time you will be able to view the plans you have added (based on the plan ids). Note: you may want to un-check the 'Send Invites' box when posting the batch. After you have verified that the plans have portal users assigned, you will have the option to send the invites.

Batch Options					
Name:	SampleBatch	Edit Name Do	ownloaded: -	Posted:	Post Batch and send invites
Batch Type:	Portal Documents		Invited: -		
Folder:	Company Files	form saves changes automatically <u>Edit</u> Dis	y. play email template in Classification: *	the portal? * Other	~
Files: *	Edit Folder List		ToDo	• 🗆 Add to ToDo I	st
	Add Files Encrypt () Split zip file using plan IDs () Edit Use the folders in the zip file Plan File ID List Export Plan File ID List	File Format			
	Receive email confirmation when po Confirmation email default set to plan a Confirmation Email Overrides	ortal user downloads file admin.	Expiration Date Description: *	Monthly Newslett	er
	Confirmation Name: Default: Confirmation Email:		ncssuge		
0 Plans Add Plans					
Plan Name	Portal Users	Customized	Posted I	nvited	Downloaded

### How to Post a Required Amendment via Batch

Note: You must subscribe to the Documents Module and 'ftwPortal Pro' to post required amendment batches.

To batch generate amendments select the Wolters Kluwer logo >Batches>DocPrint :

	). Wolters Kluwer 👻	Select a Plan Select a Plan From Hi		
	Home			
8	Edit Profile	lan Search		
	Company / Plan	News as ID		
	Batches	ACA		
	Distribution Tracking	5500 Batch / Workflow		
	Plan Design Summary	1099		
	ftwPortal Pro	DocPrint		
	Reports •	PPA Restatement		
	Downloads	403(b) PPA Restatement		

In the DocPrint menu you will first need to create a batch file. Click the "Create New Batch" button and give your batch

file a name. You will also need to select the checklist type you will be generating the amendment for via the drop-down menu. Once you have made your selection, click "OK".

. /	Wolters Kl	uwer 👻	Select a	a Plan				- Go -
Home > E	Batch DocPrint							
Batch	: DocPrir	nt						
Create	New Batch Wor	k Flow						
D	Batch Name	Batch ID	Count					
	Batch Name	Batch ID	Count	Error	Complete	Print	Publish	Status

New Batch	х
Enter batch name:	Sample Batch
Select Checklist:	Prototype Non-Standardi 🗙
	[ ок ]

Next, you will need to add plans to your batch file. Click the "Add Plans" button to get a list of plans in your account with the checklist type you selected.

Batch Name: Sample Batch Batch ID: 111191 Publish: Distatus: Document Format: Word V V Edit Filenames: Level 1   Level 2   Level 3 Convert Plans   Batch Edit Plan Grid Company Name EIN Company ID Plan Name No records available	Batch:	DocPrint	Count:	0	Error:	<u>A</u>	Batch Options	
Batch ID: 111191 Checklist: TG:ProtoNS:POST	Batch Name	Sample Batch	Complete:		Print:		Document Format: Word 💙 📝	
Checklist: TG:ProtoNS:POST Convert Plans   Batch Edit Plan Grid Convert Plans   Batch Edit Plan Grid Company Name EIN Company Name No records available	Batch ID:	111191	Publish:		Status:		Edit Filenames: Level 1   Level 2   Level	3
Add Plans       EIN       Company ID       Plan Name         Company Name       EIN       Company ID       Plan Name         No records available       No records available	Checklist:	TG:ProtoNS:POST					Convert Plans   Batch Edit Plan Grid	
Company Name     EIN     Company ID     Plan Name       Company Name     EIN     Company ID     Plan Name	Add Plans							
Company Name EIN Company ID Plan Name	Comp	any Name			EIN	Company ID	Plan Name	
No records available	Com	bany Name			EIN	Company ID	Plan Name	
					No records avail	able		

Once your plan list appears, you can utilize the filters at the top of the box to search for specific plans and narrow down your search results. When finished, use the checkboxes to the left of the menu to select the plans you want to add to your batch file. You can use the top checkbox to select all the plans in the menu. Once you have made your selection, click on the "Add" button.

Company Name         Company ID         Plan Name         Plan ID         El           Select all or individual plans.         NSTG         Post PPA Test Company NS Tar         Utilize filters to narrow your search results.         76           Company         NSTG         Post PPA Test Company NS Tar         76           Post PPA Test Company         NSTG         Post PPA Test Company NS Tar         76           Post PPA Test Company         NSTG         Post PPA Test Company NS Target Benefit Plan 4         76           Post PPA Test Company         NSTG         Post PPA Test Company NS Target Benefit Plan 5         76	AnneCompany IDPlan NamePlan IDEINAnneNSTGPost PPA Test Company NS TarUtilize filters to narrow your search results.78-78978InanyNSTGPost PPA Test Company NS Tar78-78978PAPA TestNSTGPost PPA Test Company NS Target Benefit Plan 478-78978PAPA TestNSTGPost PPA Test Company NS Target Benefit Plan 578-78978PA TestNSTGPost PPA Test Company NS Target Benefit Plan 578-78978PA TestNSTGPost PPA Test Company NS Target Benefit Plan 678-78978PA TestNSTGPost PPA Test Company NS Target Benefit Plan 678-78978PA TestNSTGPost PPA Test Company NS Target Benefit Plan 778-78978PA Test anyNSTGPost PPA Test Company NS Target Benefit Plan 878-78978PA Test anyNSTGPost PPA Test Company NS Target Benefit Plan 778-78978PA Test anyNSTGPost PPA Test Company NS Target Benefit Plan 878-78978		Company Name	Company ID	Plan Name	Plan ID	EIN
Select all or individual plans.         NSTG         Post PPA Test Company NS Tar         Utilize filters to narrow your search results.         78           Company         NSTG         Post PPA Test Company NS Tar         78           Post PPA Test Company         NSTG         Post PPA Test Company NS Tar         78           Post PPA Test Company         NSTG         Post PPA Test Company NS Target Benefit Plan 4         76           Post PPA Test         NSTG         Post PPA Test Company NS Target Benefit Plan 5         76	Petet all or indual plans.       NSTG       Post PPA Test Company NS Tar Post PPA Test Company NS Tar any       Utilize filters to narrowyour search results.       78-78978         PA Test any       NSTG       Post PPA Test Company NS Tar Post PPA Test Company NS Target Benefit Plan 4       78-78978         PA Test any       NSTG       Post PPA Test Company NS Target Benefit Plan 5       78-78978         PA Test any       NSTG       Post PPA Test Company NS Target Benefit Plan 5       78-78978         PA Test any       NSTG       Post PPA Test Company NS Target Benefit Plan 6       78-78978         PA Test any       NSTG       Post PPA Test Company NS Target Benefit Plan 6       78-78978         PA Test any       NSTG       Post PPA Test Company NS Target Benefit Plan 7       78-78978         PA Test any       NSTG       Post PPA Test Company NS Target Benefit Plan 8       78-78978		Comnany Name	Company ID	Plan Name	Plan ID	EIN
Company         NSTG         Post PPA Test Company NS Tar         search results.         76           Post PPA Test Company         NSTG         Post PPA Test Company NS Target Benefit Plan 4         76           Post PPA Test         NSTG         Post PPA Test Company NS Target Benefit Plan 4         76           Post PPA Test         NSTG         Post PPA Test Company NS Target Benefit Plan 5         76	NSTG       Post PPA Test Company NS Tar       search results.       78-78976         PPA Test any       NSTG       Post PPA Test Company NS Target Benefit Plan 4       78-78976         PA Test any       NSTG       Post PPA Test Company NS Target Benefit Plan 5       78-78976         PA Test any       NSTG       Post PPA Test Company NS Target Benefit Plan 5       78-78976         PA Test any       NSTG       Post PPA Test Company NS Target Benefit Plan 6       78-78976         PA Test any       NSTG       Post PPA Test Company NS Target Benefit Plan 7       78-78976         PA Test any       NSTG       Post PPA Test Company NS Target Benefit Plan 8       78-78976	2	Select all or individual plans.	NSTG	Post PPA Test Company NS Tar Utilize filters to narrowyour		78-78978
Post PPA Test Company         NSTG         Post PPA Test Company NS Target Benefit Plan 4         76           Post PPA Test         NSTG         Post PPA Test Company NS Target Benefit Plan 5         76	PPA Test NARY       NSTG       Post PPA Test Company NS Target Benefit Plan 4       78-78978         PPA Test nany       NSTG       Post PPA Test Company NS Target Benefit Plan 5       78-78978         PPA Test nany       NSTG       Post PPA Test Company NS Target Benefit Plan 6       78-78978         PPA Test nany       NSTG       Post PPA Test Company NS Target Benefit Plan 7       78-78978         PPA Test nany       NSTG       Post PPA Test Company NS Target Benefit Plan 7       78-78978         PPA Test any       NSTG       Post PPA Test Company NS Target Benefit Plan 8       78-78978		Company	NSTG	Post PPA Test Company NS Tar		78-78978
Post PPA Test NSTG Post PPA Test Company NS Target Benefit Plan 5 78	OPPA Test any         NSTG         Post PPA Test Company NS Target Benefit Plan 5         78-78978           VPA Test any         NSTG         Post PPA Test Company NS Target Benefit Plan 6         78-78978           VPA Test any         NSTG         Post PPA Test Company NS Target Benefit Plan 7         78-78978           VPA Test any         NSTG         Post PPA Test Company NS Target Benefit Plan 8         78-78978		Post PPA Test Company	NSTG	Post PPA Test Company NS Target Benefit Plan 4		78-78978
Company	PPA Test any         NSTG         Post PPA Test Company NS Target Benefit Plan 6         78-78978           PPA Test any         NSTG         Post PPA Test Company NS Target Benefit Plan 7         78-78978           PPA Test any         NSTG         Post PPA Test Company NS Target Benefit Plan 8         78-78978           PPA Test any         NSTG         Post PPA Test Company NS Target Benefit Plan 8         78-78978		Post PPA Test Company	NSTG	Post PPA Test Company NS Target Benefit Plan 5		78-78978
Post PPA Test Company NSTG Post PPA Test Company NS Target Benefit Plan 6 76	PPA Test lany         NSTG         Post PPA Test Company NS Target Benefit Plan 7         78-78978           PA Test any         NSTG         Post PPA Test Company NS Target Benefit Plan 8         78-78978		Post PPA Test Company	NSTG	Post PPA Test Company NS Target Benefit Plan 6		78-78978
Post PPA Test Company NSTG Post PPA Test Company NS Target Benefit Plan 7 76	PPA Test NSTG Post PPA Test Company NS Target Benefit Plan 8 78-78978		Post PPA Test Company	NSTG	Post PPA Test Company NS Target Benefit Plan 7		78-78978
Post PPA Test Company NSTG Post PPA Test Company NS Target Benefit Plan 8 76			Post PPA Test Company	NSTG	Post PPA Test Company NS Target Benefit Plan 8		78-78978
	PPA Test Jany NSTG Post PPA Test Company Holly's Plan NS Target Benefit 78-78978		Post PPA Test Company	NSTG	Post PPA Test Company Holly's Plan NS Target Benefit Plan 1		78-78978

Now that you have added your plans you can proceed with any necessary parameter updates before creating your amendments. Click the "Batch Edit Plan Grid" link in the "Batch Options" box.

Batch Options
Document Format: Word 🗸 📝
Edit Filenames: Level 1   Level 2   Level 3
Convert Plans Batch Edit Plan Grid
2

Next, use the "Grid View" drop-down menu to view the parameters for a specific section in the checklist. To make changes in bulk, select the plans you want to update by using the checkboxes to the left of the plan name in the grid and then click the "Do with Selected" drop-down menu. By choosing "Change Columns" a new menu will appear listing all the parameters for that grid view or checklist section.

Err Doc Err Fo	anID Err Doc	Err For
<u>A</u> <u>A</u>	<b>A</b>	4
	<u>A</u>	4
	A	•

To make changes, first select the checkbox next to the parameter you wish to update. Next, select the new value for that question and then click "OK" at the bottom of the menu. By doing this, any plans you selected will be automatically updated in batch. You will not need to go into each plan individually to make those changes.

Cha	nge Columns - <b>2</b> selected	Show Selected X
	Column	New Value
	SECUREQBOAD	Yes 👻
4	SECUREQBOADDate	
	SECUREQBOADLimit	Yes 👻
	SECUREQBOADLimitDesc	
	SECURERMD	Yes 👻
	SECURERMDOption	will not receive distribution 👻
	SECURERMDDate	
	SECURERMDRollover	None 👻
	SECUREAnnuity	Yes 👻
	SECUREAnnuityDate	
	SECUREAnnuityLimit	Yes 👻
	SECUREAnnuityLimitDesc	
	SECUREInService	Yes 👻
	SECUREInServiceAge	
	SECUREInServiceDate	

Now that your plans have been updated (if needed), you can proceed with delivery. Before printing, you will have the option to customize the file naming convention. In the "Batch Options" menu, you will see Level 1, Level 2, and Level 3

options.

Level 1 is the naming convention for the folder that is downloaded from DocPrint. This will contain plan folders and files for all the plans in your batch.

Level 2 is the naming convention for the file or folder within the zip folder in Level 1.

Level 3 is the naming convention for all the files inside of the folders in Level 2.

Batch Options
Document Format: Word 🗸 🗷
Edit Filenames: Level 1   Level 2   Level 3
Convert Plans   Batch Edit Plan Grid

Now that you've set-up your filenames, click the "Print" checkbox at the top of the menu to select the files you wish to print for the plans inside of your batch file.

Post PPA Test Company				78-7897897	NSTG	Post PPA Test Company Holly's Plan NS Targ Plan 1	
Comp	any Name			EIN	Company ID	Plan Name	
Compa	iny Name			EIN	Company ID	Plan Name	
Add Plans							
Checklist: TG:ProtoNS:POST						Convert Plans   Batch Edit Plan Grid	
Batch ID:	111191	Publish:		Status:	100	Edit Filenames: Level 1   Level 2   Level 3	
Batch Name:	Sample Batch	Complete:		Print: [		Document Format: Word 🗸 🕅	
Batch:	DocPrint	Count:	1	Error:	<u> </u>	Batch Options	

You will find a list of all the documents and supporting materials that can be printed with your amendments. Make sure to indicate the "Download" option you want before clicking the "Print" button.

Print Batch: Sample Batch		х
Print Batch: Sample Batch Batch Print Status: Download Option: Documents / Forms Plan Document Adoption Agreement Blank Adoption Agreement Basic Plan Document Joinder Agreement Trust Agreement RK Plan Information	Mark as Printed ZIP: One Folder, All forms ZIP: One Folder, All forms ZIP: One Folder, All forms ZIP: One folder per Plan, One file per ZIP: One Plan, All forms single file Crignish rendoming Spanish Foreign Language Requirement Summary Plan Description - Spanish Highlights Plan Highlights - Spanish Administrative Policies Loan Procedures QDRO Procedures Funding Policy Model/Sample Amendments/Agreements	x Select All / Deselect All r form icly-Traded Stock Notice icly-Traded Stock Notice icly-Traded Stock Notice specials Beneficiary Designation Rollover Contribution Special Tax Notice
	Amendment Short Plan Year Amendment	Benefit Statement Notice of Multiple Statements Blackout Notice Blackout Notice - Spanish
		204(h) Notice 204(h) Notice - Spanish
		Print Cancel

You may also choose to include a cover letter with your amendment. Click the drop-down menu next to Cover Letter to locate the list of templates available. You may use the templates provided or use the "Edit" button to the right of the drop-down menu and customize your own cover letter. Please note that if you use ftwPortal Pro, the cover letter can be used as the email template when you invite your clients to the portal.

Print Batch: VS4KPTPPA.Secu	re	1
Batch Print Status:	Update Printed date 💙	
Download Option:	ZIP: One Folder, All forms	
Cover Letter:	N/A V Ed	
Documents / Forms	N/A	lect All / Deselect Al
Plan Document Adoption Agreement Blank Adoption Agreement Adoption Agreement DDT	403b Secure Cares CAA Amendment 457b SECURE CARE CAA	ce ce - Spanish
TEST Basic Plan Document Joinder Agreement	DC PPA SECURE CARES CAA Amendment Default Annual Notice Email	ce - no QDIA ce - no QDIA - ce - QDIA only

If you subscribe to ftwPortal Pro and you would like to batch deliver files to the portal, click the "Publish" checkbox to open the publishing menu.

Home > Edit Compa	ers Kluwer 💌	H rint >	OIIY LIVE D	ocument Test	:			v Go v Workflow v 🕲 Holly Roussel v
Batch:	DocPrint		Count:	4	Error:		<u>^</u>	Batch Options
Batch Name:	Post PPA		Complete:		Print:			Document Format: Word 🗸 🗹
Batch ID:	111199		Publish:	V	Status:	View		Edit Filenames: Level 1   Level 2   Level 3
Checklist:	4K:ProtoSTD:POST	:		6				Convert Plans   Batch Edit Plan Grid
Add Plans								

Once the "Publish Batch" modal is open you can choose to update the status of your batch after publishing files with the date the files were pushed to the portal.

If you choose "Update Publish date", the date you delivered files to the portal will appear next to the "Publish" checkbox in the batch menu.

If "Leave Unchanged" is chosen, the software will leave the previous publish date or no publish date if the files were not pushed to the portal previously.

If you choose "Mark as Not Published" the checkbox will be left unchecked.

Publish Batch: Post PPA			х
Batch Publish: Updat	te Publish date		
Publish Options: Updat	te Publish date		
Documents / Forms Leave	Unchanged	Select All /	Deselect All
Plan Document Plan Document	as Not Published y Plan De mary Plan Summary Plan	Scription Annual Notice	

For publishing options, you can choose to send all of your selected documents and forms in individual files by choosing "One File per Form" – this is recommended for E-Signing. If you prefer all documents and forms be contained in one big file, choose "One File, All forms".

Batch Publish:       Update Publish date         Publish Options:       One File per Form         Documents / Forme       One File per Form         Select All / Deselect All         Plan Document       One File, All forms         Plan Document       One File, All forms         Joinder Agreement       Summary Plan Description         Joinder Agreement       Summary Plan Description - English Including Spanish	Publish Batch: Post PPA		х
Batch Publish:       Update Publish date         Publish Options:       One File per Form         Documents / Forms       One File per Form         Plan Document       One File, All forms       mary Plan Description         Plan Document       One File, All forms       mary Plan Description         Joinder Agreement       Summary Plan Description - English Including Spanish       Annual Notice - no QDIA			
Publish Options:       One File per Form       Select All / Deselect All         Documents / Forms       One File per Form       Select All / Deselect All         Plan Document       One File, All forms       mary Plan Description       Annual Notice         Plan Document       One File, All forms       mary Plan Description       Annual Notice         Joinder Agreement       Summary Plan Description - English Including Spanish       Annual Notice - no QDIA	Batch Publish: Update Publish	h date 🗸	
Documents / Forms       One File per Form       Select All / Deselect All         Plan Document       One File, All forms       nary Plan Description       Annual Notice         Plan Document       One File, All forms       nary Plan Description       Annual Notice         Joinder Agreement       Summary Plan Description - English Including Spanish       Annual Notice - no QDIA	Publish Options: One File per Fo	orm	
Plan Document       One File, All forms       nary Plan Description       Annual Notice         Plan Document       Summary Plan Description       Annual Notice       Annual Notice         Joinder Agreement       Summary Plan Description - English Including Spanish       Annual Notice - no QDIA	Documents / Forms One File per Fo	form	Select All / Deselect All
	Plan Document One File, All fo	orms <b>nary Plan Description</b> Jummary Plan Description Summary Plan Description - English Including Spanish	Annual Notice Annual Notice Annual Notice Annual Notice - no QDIA Annual Notice - ODIA only

The last step is to select the checkbox next to the amendment, documents and forms you want to deliver to the portal. When finished, clicked on the "Next" button to be redirected to the portal menu.



Once the publishing menu appears, you will have several options to choose from.

In the drop-down menu on the top left, you can choose a classification for the files being delivered to the portal.

You can provide a "Subject" for the email communication your portal user will receive inviting them to the portal to download or electronically sign their files.

Use the green toggle to turn the email invitation on or off. If you prefer not to send an email invitation, make sure the toggle is gray (off mode).

The email provided is the default for the system. You can select a different email template from the drop-down list that will be delivered to your portal users. Use the blue gear icon to modify or create new email templates.

You can set-up a Portal Message that your portal users will see when they log into the portal or check the box to have the email template appear as the Portal Message.

If you still need to set-up portal users, you can access that menu by clicking on the "Edit Portal Users" button.

To: Plan Forms  Choose classification			Edit Portal Us	sers					
Subject: Provide Subject Here				Qui users a	ckly edit your po before portal do nd e-signatures	ortal slivery 			
Send Email Invite Confirmation Email Recipient: Confirmation emails	s will b	e sen	t based on your defau	ult set-up.	Expir	es (Optiona	i): MM/DD/YYY	rr 📛	
Email Invite Portal Message	1		No Folder	* 0					
Default Upload Email	,		Plan	FileName		E-Sign	Add Signer	View A	ŕ
1@ICustomLanguage The 1@IClassification file(s) 1@IFileName have been uploaded to the plan 1@IPIanName.			Hawk's Meadow 401(k) Plan					0	
Please use the following link to download the file(s) and view any attached information: 1@iloginlink		0		Hawk's Mean Plan_422640	dow 401(k) I255.Plan.rtf		Add Signers		
Your partal login information is: Username: @Ulusername Descuente: @Username				Hawk's Mea Plan_422640	dow 401(k) 1255.SPD.rtf		Add Signers		
Posavi u . Igi Posavi u				Hawk's Mea Plan_422640	dow 401(k) 1255.Highlig		Add Signers		
Use the ToDo list to remind plan sponsors to complete an action.									
Add lobo the rollal User's with View Access:		•	Do with Colostad -	1				÷	
						Close	Post + Send I	nvite	

To the right of the menu, you will find a list of files that you selected to send to the portal. If you are inviting your plan sponsors to sign a file, select the checkbox next to the file name or batch select multiple files by using the checkboxes to the left of the file name and then use the "Do with Selected" button to select "Add E-Sign". Either method will turn the toggle(s) green.

h	I	No Folder 🔹	٥			
	<b>~</b>	Plan	FileName	E-Sign	Add Signer	View A
		Hawk's Meadow 401(k) Plan				0
	2		Hawk's Meadow 401(k) Plan_422640255.Plan.rtf		1 Signees	
			Hawk's Meadow 401(k) Plan_422640255.SPD.rtf		0 Signees	
			Hawk's Meadow 401(k) Plan_422640255.Highlig		0 Signees	
	F	Add E-Sign Remove E-Sign				-
	D	o with Selected 🖑				ŗ
			: 0	Close	Post + Send	Invite

The number of signers set-up in the plan will appear in the blue box to the right of the green toggle. If you want to review your signers or make changes, click the blue button and a new menu will appear. You can remove signers, turn on the e-signature completion email or change who the user is signing as. Click "OK" when finished.

Portal Users	Signing As	Notify E-Signing Complete
Sample Signer	Plan Admin	
	Plan Admin	
	Trustee	
	Plan Admin/Trustee	
	None	

If you are not inviting a portal user to sign, you have the option to use "Direct-Link Delivery" by clicking on the link icon on the bottom right. By clicking on the icon, a new menu will appear where you can turn the option on or off and provide an expiration date for the files delivered to the portal.



If you would like to preview the email that will be delivered to your plan sponsors, click the tri-colon icon at the bottom right of the menu.



Once you click the "Post + Invite" button, you will be able to check on the status of your file delivery in the Portal Communication Manager.

The red flag on your dashboard indicates there are unread messages for that portal user. The paper icon next to the flag indicates this portal user was sent files from a batch.

		Humber.	
ORTAL COMPL	IANCE DISTRIBUTIONS		
Portal Users	Communications	All 👻 Q	
		Red flag indicates there	
To / From		Status is an unread message for the plder	
filter		rilter	
			)

On the right side of the dashboard you can view your e-signers by clicking on the e-signature icon. If you would like to send a new communication, click on the "New" button.

		Portal Doc Admin:	Update
			a new inication.
	This icon will display signature details.	▼ New	
escription	Pot	Documents	≝ ∠
	11/02/2020	2	