

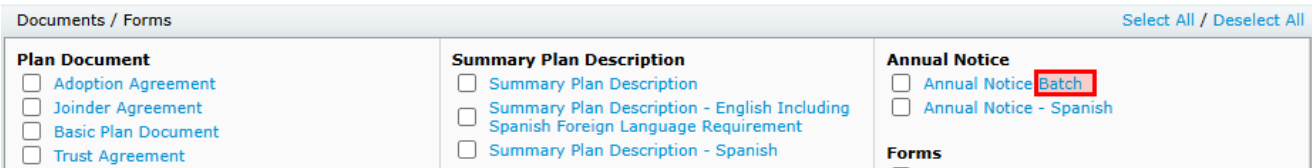
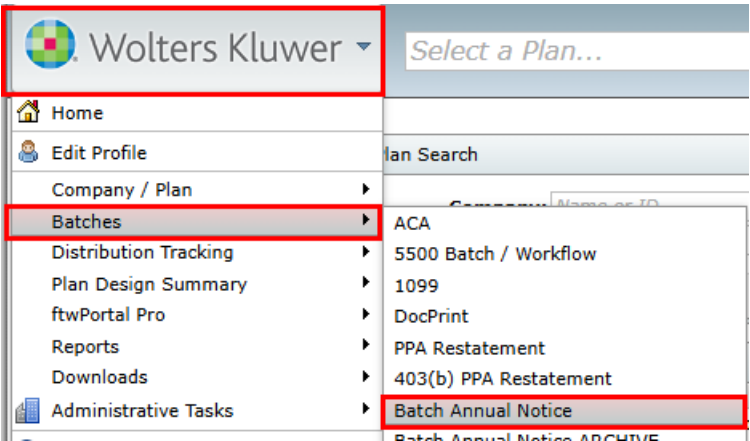
Batch Annual Notice

10/09/2025 2:14 pm CDT

Annual document subscribers have access to the Batch Annual Notice feature which allows for the generation of multiple plan's Annual Notices at one time. The process includes creating batches, adding plans, managing batch contents, printing, and publishing to the ftwPortal Pro.

Accessing Batch Annual Notice

The Batch Annual Notice feature can be accessed in two places: via the Wolters Kluwer menu and via the print Plan Documents page after plan selection.



Creating a Batch

To create a batch, first select the Month and year (PYE), then click on the "Select Date" button. For example, for notices effective January 1, 2026, select December for the "Month" and 2026 for the "Year End".



1. To create a batch, click the "Create New Batch" button.

Home > Batch Annual Notice - 12/2026

Batch: Annual Notice

Month: Dec

Year End: 2026

Select Date

NOTE: For efficiency, keep batches below 300 plans.

To prepare QDIA Notices please use the DocPrint tool [here](#).

Create New Batch

2. Type in a name for the batch and click "Ok".

PLEASE NOTE: Separate batches are required for 401(k) plans and 403(b) plans. To prepare notices for 403(b) plans check the box "403(b) Only". You will be able to generate an Annual Notice, Universal Availability Notice and 415 Notice for each 403(b) plan in your batch.

You will be directed to the batch menu where you can add plans to your batch.

Create New Batch

	Batch Name	Batch ID	Count	
<input type="checkbox"/>	Batch Name	Batch ID	Count	Error

New Batch

Enter batch name: Sample Annual Notice Batch

☐ 403(b) Only

OK

To select an existing batch, click on the batch name.

	Batch Name	Batch ID
<input type="checkbox"/>	Batch Name	Batch ID
<input type="checkbox"/>	Sample 403b Annual Notice	345607
<input type="checkbox"/>	Sample Annual Notice Batch	345606
<input type="checkbox"/>	Sample Batch Test	345726

Adding Plans to a Batch

There are two options for adding plans to a batch. You can click on the "Add Plans" button near the top of the menu. Or you can use the "Add Plans From File" option available under the "Batch Options" menu.

Home > Batch Annual Notice - 12/2026 > Sample Annual Notice Batch

Batch:	Annual Notice	Count:	0	Error:	
Batch Name:	Sample Annual N...	Complete:	<input type="checkbox"/>	Print:	<input type="checkbox"/>
Batch ID:	345606	Publish:	<input type="checkbox"/>	Status:	
Month:	12				
Year End:	2026				

Add Plans

Batch Options

Document Format: Word

Edit Filenames: [Level 1](#) | [Level 2](#) | [Level 3](#)

Add Plans From File | [Batch Edit Plan Grid](#) | [Edit Batch Name](#)

To add plans via the "Add Plans" button, the software will open a window displaying a list of all plans on your account that require an Annual Notice for the specified PYE. Keep in mind, if your batch is 403(b) Only, then 403(b) plans that require an Annual Notice will be listed.

Filters at the top of the window may be utilized to narrow the list of plans. You can choose to select plans individually or by checking the select all box. Once you have selected your desired plans, click on the "Add" button.

PLEASE NOTE: the software will prevent plans from being added to multiple batches for the same PYE. In addition, for efficiency, we recommend limiting the number of plans in your batch to 300 or less.

If you cannot locate a plan in the list, it is possible that the plan is already in another batch, the plan is marked as not responsible for Plan Documents, or you may need to review the plan provisions to determine why the plan is not on the list.

Add Plans

Plan Name

<input type="checkbox"/>	Company Name	Plan Name	PlanID	PlanNumber
<input type="checkbox"/>	Sample Company	Sample Company 401(k) Plan		001

Add **Cancel**


Current View Total: 1 / Number Selected: 0
Results are filtered

[Export current view to CSV](#)

To upload a list of plans, click on the link "Add Plans From File", located under the Batch Options menu. Download the "Export Plan List" first. This list will be the same as it appears on the "Add Plans" grid. You can filter the list using Excel and save your changes as a CSV file. This file contains the required IDs (FTWCustomerID and FTWPlanID) for the software to add the plans to the batch.

PLEASE NOTE: The required IDs columns should not be changed or eliminated.

Batch Options

Document Format: Word 

Edit Filenames: [Level 1](#) | [Level 2](#) | [Level 3](#)

[Add Plans From File](#) | [Batch Edit Plan Grid](#) | [Edit Batch Name](#)

Add Plans From File

The system will not perform data integrity edits on uploaded data.
403(b) plans **cannot** be added to this batch.

Upload Plans to the Batch

To add plans to this batch you must include the following columns:

- FTWCustomerID (can be found by clicking on "Export Plan List below")
- FTWPlanID (can be found by clicking on "Export Plan List below")

OR

- PlanID

After clicking 'Submit' you will be shown a preview of the changes that will take place after performing the import, as well as warnings and errors you can click on for more information. Click 'Perform Upload' to complete the upload of data.

Below is a link to a sample spreadsheet.

[Sample Spreadsheet](#)

This upload can only be used to add plans to the batch.

[Export Plan List](#)

Next, you can upload your plans from the bottom of the "Upload Plans to the Batch" window. Choose the file that you saved. If rows were added to the file that are above the column headers, indicate the number of rows to ignore. Click on the "Submit" button to upload the file and add plans to your batch.

Upload file name: Choose File No file chosen

Number of rows before column headers:

Submit


[Cancel](#)

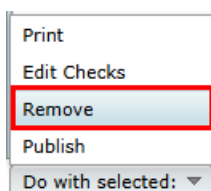
PLEASE NOTE: If your batch is 403(b) only, you can only upload 403(b) plans. If your batch is not 403(b) only, then you cannot add or upload 403(b) plans to your batch.

Working Within Your Batch

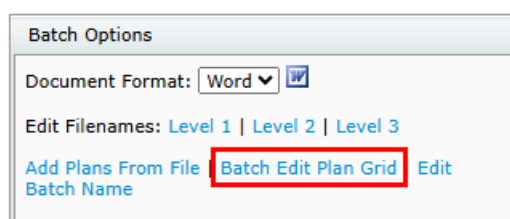
Once you have added your plans to your batch, there are several functions available to you.

Delete a plan from the list - if you have added a plan by mistake, you can remove the plan from your batch. First, select the plan and then click on the "Do with selected" drop down and choose "Remove".

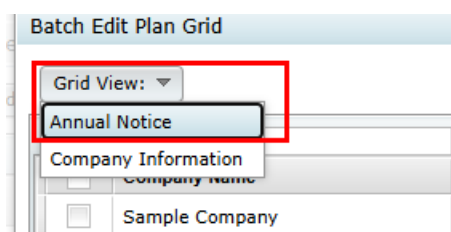
	Company Name
<input checked="" type="checkbox"/>	Company Name
<input checked="" type="checkbox"/>	Sample Company



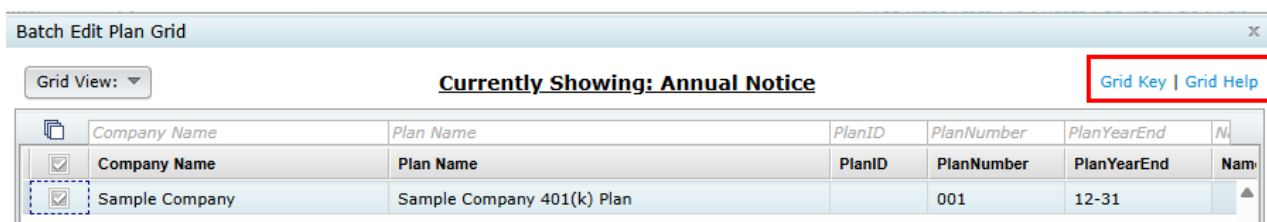
Edit Plan parameters - if you would like to update certain parameters that affect the Annual Notice, you can do this within your batch. Click on the "Batch Edit Plan Grid" link located under the "Batch Options" menu.



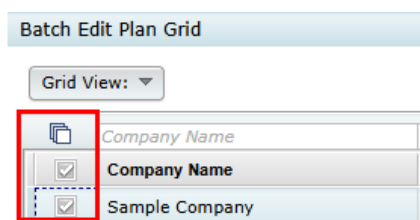
Click on the "Grid View" button and select "Annual Notice" from the drop down. The software will display all the parameters that may be updated from the checklist.



For additional assistance with the grid, you can click on the "Grid Key" in the upper right. This key will provide an explanation of the shading in the grid. For an explanation of the column header and which question is linked to the plan document checklist, you can click on the "Grid Help" link.



You can also update certain parameters by clicking on the "Do with selected" button at the bottom and select "Change columns" from the drop down. You will want to first select the plans that you want to update.



Do with selected: ▾

Show Selected

Change columns

Then select the check box for the parameter that you want to update and then click "Ok" at the bottom of the menu. The software will update all plans selected.

Change Columns - 1 selected Show Selected X

<input type="checkbox"/>	Column	New Value
<input type="checkbox"/>	Name	
<input checked="" type="checkbox"/>	FKModifications	Each pay period
<input type="checkbox"/>	InvestmentChange	Each pay period
<input type="checkbox"/>	InvestmentChangeOther	Monthly
<input type="checkbox"/>	DeferralElectMethod	Quarterly
<input type="checkbox"/>	DeferralElectMethodDesc	Semi Annual
<input type="checkbox"/>	InvestmentElectMethod	Pursuant to Plan Administrator procedures
<input type="checkbox"/>	InvestmentElectMethodDesc	Paper form ▾
<input type="checkbox"/>	AutoEnrollDueDate	
<input type="checkbox"/>	AnnNotCustomDate	Yes ▾
<input type="checkbox"/>	AnnNotCustomDateSpecify	
<input type="checkbox"/>	FKElectionsChange	
<input type="checkbox"/>	SHSECURE	Yes ▾
<input type="checkbox"/>	ADPACPMaybe	Yes - Include for Prior Year ▾
<input type="checkbox"/>	MaybeSHMatch	Yes ▾
<input type="checkbox"/>	InclCOLALimits	Yes ▾
<input type="checkbox"/>	AnnualNoticeCustom	
<input type="checkbox"/>	QDIA	Yes ▾
<input type="checkbox"/>	QDIAAnnualNotice	Yes ▾
<input type="checkbox"/>	EACADefaultInvest	
<input type="checkbox"/>	EACASelfDirect	
<input type="checkbox"/>	QDIAfundinfo	
<input type="checkbox"/>	AltFinancialAdvisor	Yes ▾
<input type="checkbox"/>	AltFinancialAdvisorID	

OK Cancel

Change batch name - if you would like to change the name of your batch, you can do so by clicking on the "Edit Batch Name" link located under the "Batch Options" menu.

Batch Options

Document Format: Word
Edit Filenames: [Level 1](#) | [Level 2](#) | [Level 3](#)
Add Plans From File | [Batch Edit Plan Grid](#) | [Edit Batch Name](#)

Type in the new name and click the "Change name" button.

Edit Batch Name

Enter new batch name:

Change name
Close

Printing Annual Notices and Supporting Documents/Forms

Prior to printing your Annual Notices and supporting documents/forms, it is recommended to first run the edit checks before printing.

To run the edit checks for all plans in your batch, go to the top of the batch screen and click on the symbol next to "Error". To print Annual Notices and desired supporting documents/forms, click on the "Print" checkbox.

Batch:	Annual Notice	Count:	1	Error:		Batch Options Document Format: Word Edit Filenames: Level 1 Level 2 Level 3 Add Plans From File Batch Edit Plan Grid Edit Batch Name
Batch Name:	Sample Batch Te...	Complete:	<input type="checkbox"/>	Print:	<input type="checkbox"/>	
Batch ID:	345726	Publish:	<input checked="" type="checkbox"/> 09/18/2025	Status:	View	
Month:	12					
Year End:	2026					

You can also select plans from your list to have the edit checks run and select which plans you want to print the Annual Notice and supporting documents/forms. Select your plans, then click on the "Do with selected".

Company Name

☒ Company Name
☒ Sample Company

Print
Edit Checks
Remove
Publish
Do with selected:

On the "Print Batch" page, you can choose which documents/forms you want to include. In addition, you can update the "Batch Printed" status, choose your download options via the "Print Options" drop down, include a cover letter, and choose to suppress the error page. Once you have made your selections, click on the "Print" button.

Print Batch: Sample Batch Test

Batch Printed:

Print Options:

Cover Letter: [Edit](#)

Suppress Error Page:

Documents / Forms [Select All / Deselect All](#)

Highlights

☐ Plan Highlights

☐ Plan Highlights - Spanish

Model/Sample Amendments/Agreements

☐ Discretionary Match Sample Kit

Annual Notice

☐ Annual Notice

☐ Annual Notice - Spanish

☐ Annual Notice - SIMPLE 401(k)

☐ Annual Notice - SIMPLE 401(k) - Spanish

Forms

☐ Deferral Election Form

☐ Deferral Election Form - Spanish

On the "Print Batch" page, there are four options available.

1. "Batch Printed" - Updates the "Print" date on the Batch Menu. You can choose to update the print date, leave the print date unchanged, or choose to mark as not printed.

Count:	1	Error:	
Complete:	<input type="checkbox"/>	Print:	<input type="checkbox"/>

Print Batch: Sample Batch Test

Batch Printed:

Print Options:

Cover Letter: [Edit](#)

Suppress Error Page:

Documents / Forms [Select All / Deselect All](#)

2. "Print Options" - Provides options to choose from on how Annual Notices and supporting materials are printed.

- "ZIP: One Folder, All forms" - generates a zip file in a single folder for all plans in the batch. The folder will include the Annual Notice and selected supporting materials.
- "ZIP: One folder per Plan, One file per form" - generates a zip file with individual folders for each plan in your batch. Individual plan folders will contain the appropriate Annual Notice and selected supporting materials for the specific plan.
- "ZIP: One Plan, All forms single file" - generates a zip file containing a single document with all Annual Notices and selected supporting materials for all plans in the batch. This will be a large file. You can expect to experience additional time for it to download and print.

Print Batch: Sample Batch Test x

Batch Printed:	Update Print date ▼
Print Options:	ZIP: One Folder, All forms ▼
Cover Letter:	ZIP: One Folder, All forms
Suppress Error Page:	ZIP: One folder per Plan, One file per form
Documents / Forms	ZIP: One Plan, All forms single file

[Select All](#) / [Deselect All](#)

3. "Cover Letter" - Provides the option of using the "Default Annual Notice" cover letter. You can modify the letter by clicking on the "Edit" link next to the drop-down menu.

Print Batch: Sample Batch Test x

Batch Printed:	Update Print date ▼
Print Options:	ZIP: One Folder, All forms ▼
Cover Letter:	N/A ▼
Suppress Error Page:	N/A
Documents / Forms	Default Annual Notice Email

[Select All](#) / [Deselect All](#)

4. "Suppress Error Page" - gives the option of suppressing the error page. The error page generates as the first page of all documents when the checklist has not passed all edit checks.

Print Batch: Sample Batch Test x

Batch Printed:	Update Print date ▼
Print Options:	ZIP: One Folder, All forms ▼
Cover Letter:	N/A ▼
Suppress Error Page:	No ▼
Documents / Forms	No
Highlights	Yes
Annual Notice	

[Select All](#) / [Deselect All](#)

After making your print selections, choose which supporting materials you would like to include, and click on the "Print" button at the bottom of the menu.

Print Batch: Sample Batch Test X

Batch Printed: Update Print date ▼

Print Options: ZIP: One Folder, All forms ▼

Cover Letter: N/A ▼ [Edit](#)

Documents / Forms [Select All](#) / [Deselect All](#)

<p>Highlights</p> <p><input type="checkbox"/> Plan Highlights</p> <p><input type="checkbox"/> Plan Highlights - Spanish</p> <p>Model/Sample Amendments/Agreements</p> <p><input type="checkbox"/> Discretionary Match Sample Kit</p>	<p>Annual Notice</p> <p><input type="checkbox"/> Annual Notice</p> <p><input type="checkbox"/> Annual Notice - Spanish</p> <p><input type="checkbox"/> Annual Notice - SIMPLE 401(k)</p> <p><input type="checkbox"/> Annual Notice - SIMPLE 401(k) - Spanish</p> <p>Forms</p> <p><input type="checkbox"/> Deferral Election Form</p> <p><input type="checkbox"/> Deferral Election Form - Spanish</p>
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Cancel Print

PLEASE NOTE: If you have QDIA only plans, you will need to use DocPrint to print these notices as you cannot add plans to the Batch Annual Notice that do not require an Annual Notice.

In 403(b) Only batches, you can select to add the Universal Availability Notice, and 415 Notice.

The Discretionary Match Kit will only appear as an option if the plan requires it.

Publishing Annual Notices to the Portal

Customers that also subscribe to ftwPortal Pro can choose to deliver Annual Notices and supporting documents/forms using the "Publish" option at the top of the Batch Menu.

Count:	1	Error:	
Complete:	<input type="checkbox"/>	Print:	<input type="checkbox"/>
Publish:	<input type="checkbox"/>	Status:	

Prior to publishing your Annual Notices and supporting documents/forms, it is recommended to first run the edit checks before printing.

To run the edit checks for all plans in your batch, at the top of the Batch Menu, click on the symbol next to "Error". To publish Annual Notices and desired supporting documents/forms, click on the "Publish" checkbox.

You can also select plans from your list to have the edit checks ran and select which plans you want to publish the Annual Notice and supporting documents/forms. Select your plans, then click on the "Do with selected".

	Company Name
<input checked="" type="checkbox"/>	Company Name
<input checked="" type="checkbox"/>	Sample Company

Print

Edit Checks

Remove

Publish

Do with selected: ▾

On the "Publish Batch" page, you can choose which documents/forms you want to include update the "Batch Publish" status, choose your publish options via the "Publish Options" drop down, and suppress the error page. Once you have made your selections, click on the "Publish" button.

Publish Batch: **Sample Batch Test**

Batch Published: Update Publish date ▾

Publish Options: One File per Form ▾ *i*

Suppress Error Page: No ▾

Documents / Forms Select All / Deselect All

Highlights

☐ Plan Highlights
 ☐ Plan Highlights - Spanish

Model/Sample Amendments/Agreements

☐ Discretionary Match Sample Kit

Annual Notice

☐ Annual Notice
 ☐ Annual Notice - Spanish
 ☐ Annual Notice - SIMPLE 401(k)
 ☐ Annual Notice - SIMPLE 401(k) - Spanish

Forms

☐ Deferral Election Form
 ☐ Deferral Election Form - Spanish

Cancel

Publish

On the "Publish Batch" page, there are three options available.

1. "Batch Published" - Updates the "Publish" date on the Batch Menu. You can choose to update the publish date, leave the publish date unchanged, or choose to mark as not published.

Publish Batch: **Sample Batch Test**

Batch Published: Update Publish date ▾

Publish Options: ▾ *i*

Suppress Error Page: ▾

Documents / Forms Select All / Deselect All

Update Publish date

Leave Unchanged

Mark as Not Published

2. "Publish Options" - provides options to choose from on how Annual Notices and selected documents/forms are published to the Portal.

- "One File per Form" - sends all Annual Notices and selected documents/forms in individual files. This option is recommended for E-Sign.
- "One File, All forms" - sends all Annual Notices and selected documents/forms in one file. This may be a large file. You may experience additional processing time.

Publish Batch: Sample Batch Test

Batch Published: Mark as Published

Publish Options: One File per Form

Documents / Forms Select All / Deselect All

Highlights One File, All forms - E-Sign Not Available

Annual Notice

3. "Suppress Error Page" - gives the option of suppressing the error page. The error page generates as the first page of all documents when the checklist has not passed all edit checks.

Publish Batch: Sample Batch Test

Batch Published: Update Publish date

Publish Options: One File per Form

Suppress Error Page: No

Documents / Forms Select All / Deselect All

Highlights No

Annual Notice Yes

After making your publish selections, choose which documents/forms you would like to include, and click on the "Publish" button at the bottom of the menu.

PLEASE NOTE: If you have QDIA only plans, you will need to use DocPrint to publish these notices to the Portal as you cannot add plans to the Batch Annual Notice that do not require an Annual Notice.

In 403(b) Only batches, you can select to add the Universal Availability Notice, and 415 Notice.

The Discretionary Match Kit will only appear as an option if the plan requires it.

Publish Batch: Sample Batch Test

Batch Published: Update Publish date

Publish Options: One File per Form

Suppress Error Page: No

Documents / Forms Select All / Deselect All

Highlights

☐ Plan Highlights

☐ Plan Highlights - Spanish

Model/Sample Amendments/Agreements

☐ Discretionary Match Sample Kit

Annual Notice

☐ Annual Notice

☐ Annual Notice - Spanish

☐ Annual Notice - SIMPLE 401(k)

☐ Annual Notice - SIMPLE 401(k) - Spanish

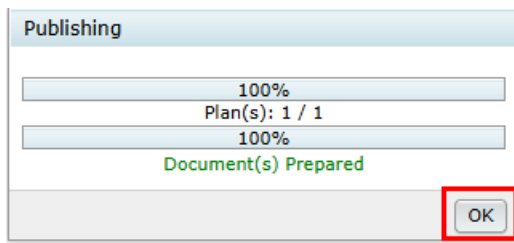
Forms

☐ Deferral Election Form

☐ Deferral Election Form - Spanish

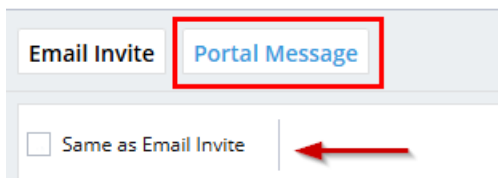
Cancel Publish

A progress bar window will appear to indicate you are ready to proceed. Click on the "Ok" button.



The software will direct you to the Communication Manager in the Portal, where there are several options to choose from.

1. **Classifications:** If you are publishing more than one document with different types of "Classifications", the classification type of "Plan Forms" will default. If you have just one type, for example Annual Notice, the classification type of "Plan Annual Notice" will default. You can choose a different classification from the drop-down menu.
2. **Subject:** Each communication requires a subject to be sent.
3. **Send Email Invite:** This toggle option indicates whether communication will be sent to the Portal User that the items are available, or you can choose to publish the files to the Portal without an invitation. When the toggle is gray (off mode), an invitation will not be sent.
4. **Confirmation Email Recipient:** This field indicates who will receive 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 your account.
5. **Expires Field:** This field allows you to set an expiration date. Once the date has passed these documents will no longer be on the Portal User's Portal. **NOTE: this is an uncommon field, as most prefer their Portal Users to have access to these documents on an ongoing basis.**
6. **Email Invite:** This field indicates what template to use when sending the invitation to your Portal User to inform them of items to review or sign. You can select from system generated or custom templates from the dropdown icon in this section. You can also create or edit templates by selecting the gear icon to the right of the template dropdown.
7. **Portal Message:** This is the message that is displayed within the portal view for your Portal Users. This can be left blank, you can enter a custom message, or you can choose to have the email invitation copied to the Portal message by checking the box next to "Same as Email Invite".



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

9. Add ToDo with Portal Access: This allows you to add items that do not require action to the Portal User's "ToDo" list. Adding items to the ToDo list will also trigger reminders if reminders are set in the Global Email Settings. To add viewing the document to the Portal User's ToDo list after E-Signing, be sure to check the box.

10. Do with Selected: This field will allow you to add E-Sign options, remove E-Sign options, or remove selected plans/files from the batch.

11. Preview Portal Invite: The tri-colon at the bottom of the page allows you to preview your communication.

12. Direct-Link: The chain icon at the bottom of the page allows you to send your documents/files in email. This offers the Portal User the ability to access the documents within the communication (Direct Message) without having to log into the Portal.

Please Note: Direct-Link cannot be used for items set for E-Sign. When Direct-Link is enabled, the link will turn green. To use this feature requires "Specify a Server" to be set up in your Global Email Settings. For detailed instructions on Specify a Server, please click [here](#). For detailed instructions on how to verify your Global Email Settings, please click [here](#).



When using Direct-Link, you can also set an expiration for how long the link is visible.

