

Fax to Vendor FAQs

Does Docupace transmit anything to the vendors/custodians?

Yes, there are many documents that are set up to fax to the vendor/custodian after Operations completes the Work Item, assuming the forms are properly indexed, and the vendor is set up to fax. It is always a best practice to follow up directly with the vendor/custodian to ensure all documents were received and the account was established and/or maintenance conducted.

How do I know if something is transmitting via "Fax to Vendor" in Docupace?

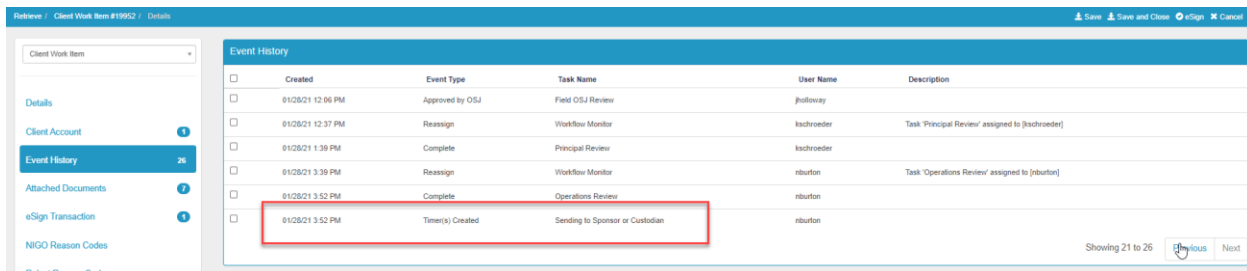
The Work Item will show as Sending to Sponsor or Custodian within Event History and on the Dashboard.

To access Event History, hover over the Work Item row within Client Work Item and click the pencil icon (Details), then click on Event History.



Client Work Item					Client Account						
Work Item ID	Work Item Priority	Request Type	Account #	Client Folder Group	Client Folder Last Name	Client Folder First Name	Client Folder Company Name	Client Folder SSN Masked	Client Folder Rep Code	Client Folder Last Name	Advisor
19673		New Account		CLIENT HOUSEHOLD CLIENT	PRIMARY			XXXXX9999	BD12: PS003 PS123	REP	

Within Client Work Item Details, click on Event History on the left.



Event Type	Task Name	User Name	Description
Created	Field OSJ Review	jholway	
Approved by OSJ			
Reassign	Workflow Monitor	Ischroeder	Task 'Principal Review' assigned to [Ischroeder]
Complete	Principal Review	Ischroeder	
Reassign	Workflow Monitor	rburton	Task 'Operations Review' assigned to [rburton]
Complete	Operations Review	rburton	
Timer(s) Created	Sending to Sponsor or Custodian	rburton	

What if the document or vendor/custodian is not eligible for faxing?

If the indexed form is not eligible for auto faxing, the user will receive a warning message prior to submission indicating they need to send to the vendor/custodian manually.

The document(s) are not eligible to be sent electronically. Please manually fax the documents to ✕ the vendor once the request has been reviewed by the Back Office.

What if the fax fails?

If the fax fails, a Work Item will come into a Send Failed queue to let the user know they need to send to the vendor/custodian manually.



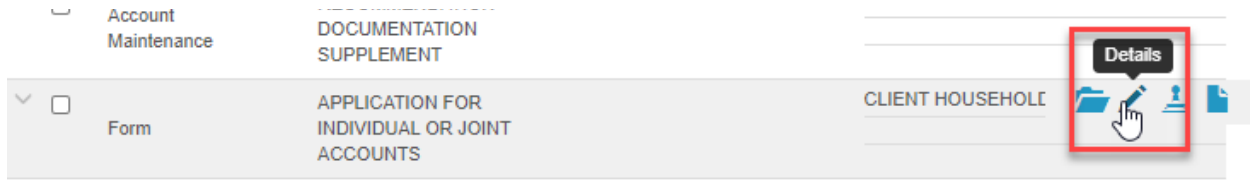
What about unindexed or improperly indexed documents?

Unindexed and improperly indexed documents will not fax. As in the example below, the first document faxed, but the second did not (even though it was the same form for Pershing.)

The screenshot shows a document management system interface. It includes sections for 'Client Folder', 'Client Subfolder', and 'Client Documents'. The 'Client Documents' section contains a table with columns for Document Type, Name, Priority, Form Name, Last Note, Description, Account #, Client Folder Group, Client Folder Last Name, Client Folder First Name, Client Folder Company Name, Client Folder SSN Masked, Client Folder Rep Code, Advisor Last Name, Advisor First Name, Advisor Rep SSN, Advisor OSJ Code, Rep Code, Advisor Last Name, Advisor First Name, Advisor Rep SSN, Advisor OSJ Code, Document ID, Business Type, Creation Date, Number of Pages, User, Work Item, Fax Status, and Sponsor/Custodian Message. The first document is 'IRA DESIGNATION OF BENEFICIARY (1)' with a 'Completed' status. The second document is 'Unindexed 161' with a 'Unindexed' status. Both 'Completed' and 'Unindexed 161' are highlighted with red boxes.

How can I tell if a document is set to "Fax to Vendor"?

If you look at the Details of the Work Item Client Document (pencil icon), you can confirm if the document type is set to "Fax to Vendor".



Scroll down within the Details section, and if the document is set to "Fax to Vendor" and there is a fax number on file for the vendor, then it will fax.

