

Form 5500 User Guide

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General 5500 Instructions

This section contains a brief review of the Form 5500 Annual Return/Report including related schedules applicable to plans required to File Form 5500.

Form 5500 Annual Return/Report of Employee Benefit Plan

The Form 5500 is filed annually which reports information to the Department of Labor (DOL) on the plan sponsor, plan provisions and participant counts. Large plan filers and certain small plan filers will file Form 5500 including applicable schedules.

Large Or Small Plan Filer

If your plan had 100 or more employees with an account balance on the first day of the plan year, your plan is considered a large plan filer. Large plan filers have additional filing requirements including the completion of Schedule H (Financial Information), engaging an independent auditor to conduct an audit of the plan and filing the audit report along with the Form 5500 filing. Large plan filers may also be required to file Schedule C (Service Provider Information).

If your plan had less than 100 employees with an account balance on the first day of the plan year, your plan is considered a small plan filer. Small plan filers are allowed to file a more abbreviated Form 5500 filing. Most small plan filers will qualify to file the Form 5500-SF (Short Form Annual Return /Report of Small Employee Benefit Plan) which consists only of the Form 5500-SF; in which no schedules are required to be filed. Some small plan filers may not qualify to file using the Form 5500-SF and will be required to file the regular Form 5500 along with applicable schedules.

Form 5500-SF Short Form Annual Return/Report of Small Employee Benefit Plan

The Form 5500-SF is filed for certain small plans with less than 100 employees with account balances at the beginning of the plan year. Plans eligible to file the Form 5500-SF will benefit from abbreviated reporting that includes only filing only the Form 5500-SF. No schedules are required to be filed with this type of filing.

Form 5558 Application for Extension of Time

Your IRS Form 5500 Annual Report is due to the IRS by the last day of the 7th month following the plan year-end (July 31 for calendar year plans), unless you file Form 5558 'Application for Extension of Time', to extend the filing deadline. An extension allows an additional 2 ½ months (October 15 for calendar year plans) beyond the deadline.

Supplemental Schedules

Schedule A Insurance Information

The Schedule A is required to be filed for all plans with benefits provided by an insurance carrier. This form reports any commission or fee compensation paid to brokers or advisors during the plan year and includes asset balance reporting on any annuity or general account assets held inside an insurance contract.

Schedule C Service Provider Information

The Schedule C is required to be filed for large plan filers in which one or more service providers received \$5,000 or more in direct or indirect fee compensation or their fee disclosures reported fee compensation in a formula format. A second purpose for filing Schedule C is to report information if a large plan filer has terminated an accountant or actuary.

Schedule D DFE/Participating Plan Information

The Schedule D is required to be filed for all plans holding assets that include Pooled Separate Accounts (PSA), Common Collective Trusts (CCT), Master Trusts (MTIA) and 103-12e's. This form reports the type of asset, sponsor of the asset and the dollar amount invested at plan year-end.

Schedule H Financial Information (Large plan filers)

Schedule H provides the financial information for large plan filers including contributions, earnings, distributions and fee expenses. In addition, there is information on the independent audit and transaction activity during the plan year. The required audit (for large plan filings) performed by the independent auditor and the auditor's opinion must be attached to the filing when a Schedule H is filed.

Schedule I Financial Information (Small plan filers)

Schedule I provides the financial information for small plan filers that are not eligible to file a Form 5500-SF including contributions, earnings distributions and fee expenses. The plan is not required to complete an audit (assuming 95% or more of the assets in the plan are qualifying assets).

Schedule R Retirement Plan Information

For defined contribution plans, the Schedule R reports certain information on plan distributions, general plan compliance and minimum funding requirements for money purchase plans. Schedule R is only filed if the plan paid out distributions during the plan year or was a money purchase plan subject to minimum funding requirements.

Form 8955-SSA Reporting Separated Participants

Form 8955-SSA identifies terminated participants with deferred vested benefits payable from a retirement plan. In addition to reporting accrued benefits, the form is also used to report participants that previously had an accrued balance and were paid out during the plan year.

Plan Audit Information

If you determine you are a large filer and require an audit, you will also need to have an audit package sent to your auditors. Audit Packages are requested through the PSC site. Please go to the Plan tab where the fiduciary documents are located, click on the Plan Audit Request option, and then follow the completion instructions. The secure URL containing the audit file will be sent to the email address(es) you provide through the PSC request. The email address containing the secure URL will be delivered from planaudit_no_reply@retirementpartner.com. **Failure to attach and file your Accountants Opinion Report with your Form 5500 could result in penalties of up to \$50,000.**

Form 5500 Electronic Filing

This section contains information on the following topics:

Obtaining Credentials

Due to mandatory electronic filing for the Form 5500, you must obtain Credentials (an electronic signature) to file your Form 5500 with the Department of Labor (DOL). This section provides instructions on how to order your Credentials (electronic signature) from the DOL.

Auditor Attachments

For large plan filers only (generally plans with 100 or more employees with account balances as of the beginning of the plan year). Large plan filers must have an annual independent audit performed for their plan. During the audit process, the auditor will prepare an Accountant's Opinion which must be attached and included with the Form 5500 filing when filed electronically with the DOL. This section provides instructions, once the plan sponsor has received an electronic copy of the Accountant's Opinion (pdf format) on how to attach the opinion, so it is filed electronically with the Form 5500 filing.

Electronic Filing Checklist

All Form 5500 filings must be filed electronically instead of mailing a printed copy to the DOL. This section provides instructions on how plan sponsors may review the Form 5500 filing, and how to use their Credentials to file the Form 5500 and related schedules electronically to the DOL.

Instructions for Filing Form 8955-SSA

The Form 8955-SSA is filed separately with the Internal Revenue Service (IRS). We will be electronically filing the Form 8955-SSA on your behalf.

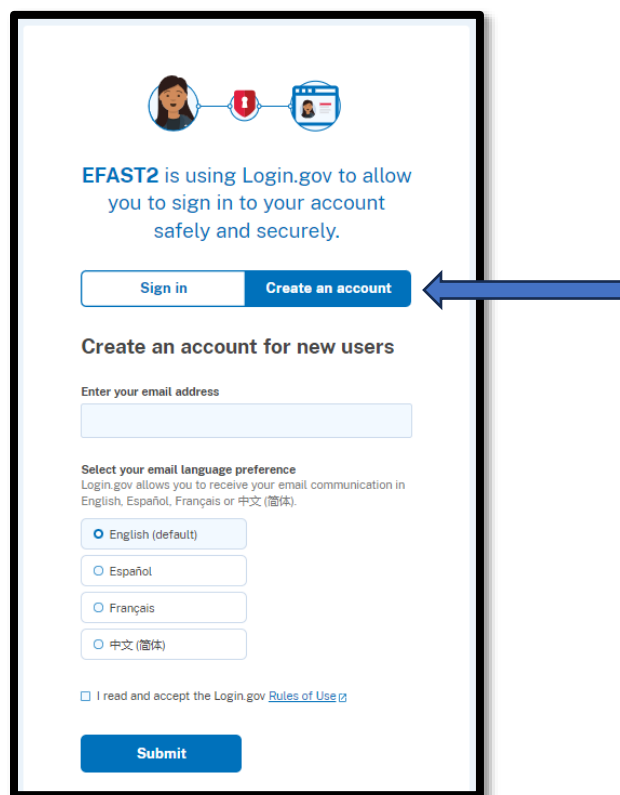
Obtaining Electronic Signature Credentials

Beginning January 1, 2023, all new EFAST2 website accounts will be created using the Login.gov process. As a plan sponsor you are required to obtain electronic signature credentials to electronically file the Form 5500 on the Plan Service Center.

We prepare your plan's Form 5500 filing as part of our compliance services, but we cannot sign the filing on your behalf. Your signature as Plan Sponsor and/or Plan Administrator is still required, but signing of the forms must be done electronically. Each authorized person responsible for signing your Form 5500 must apply for Electronic Signature Credentials on the Login.gov website.

We recommend that you register for your Electronic Signature Credential in advance to avoid any delay in meeting the filing deadlines. Once we prepare your Form 5500, we will provide you detailed instructions on how to file electronically through the Plan Service Center (PSC) using your Electronic Signature Credentials.

1. Log on to the Login.gov Website at secure.login.gov
2. Select Create an account to begin the registration process.



EFAST2 is using Login.gov to allow you to sign in to your account safely and securely.

Create an account for new users

Enter your email address

Select your email language preference
Login.gov allows you to receive your email communication in English, Español, Français or 中文 (简体).

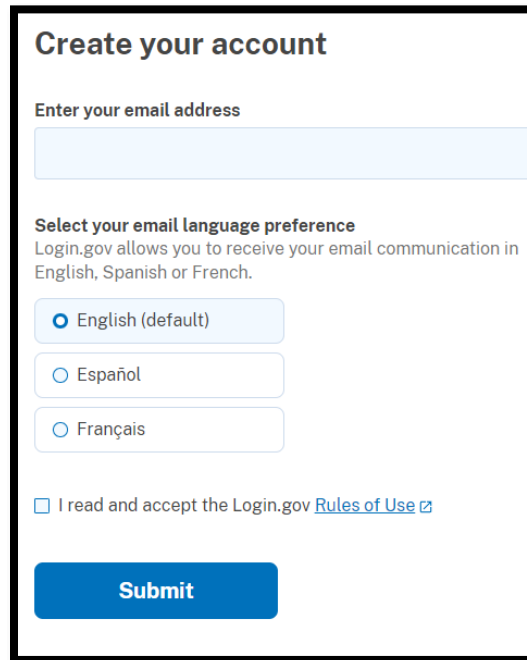
☒ English (default)
☐ Español
☐ Français
☐ 中文 (简体)

☐ I read and accept the Login.gov [Rules of Use](#)

Problems with EFAST2?

Contact the EFAST2 Help Line at **1-866-GO-EFAST (1-866-463-3278)** if you have any problems with the registration process or if your user information becomes lost or stolen.

3. Enter the information, accept Rules of Use and click Submit.



Create your account

Enter your email address

Select your email language preference
Login.gov allows you to receive your email communication in English, Spanish or French.

☒ English (default)

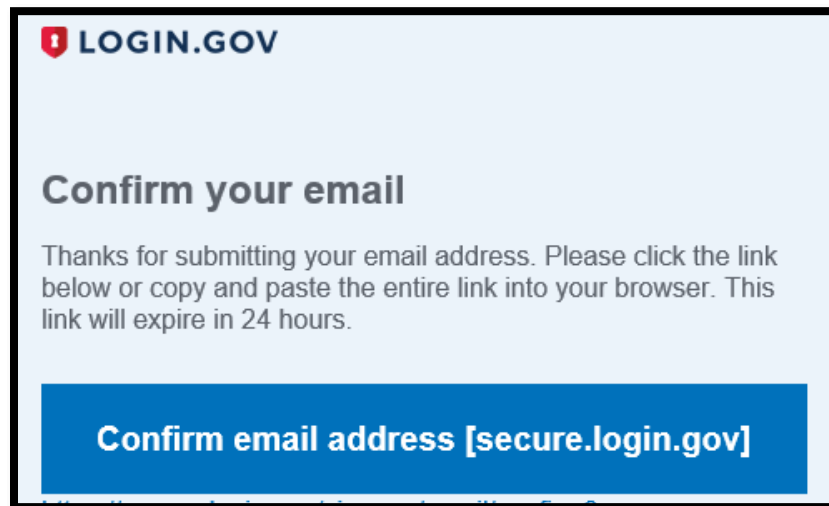
☐ Español

☐ Français

☐ I read and accept the Login.gov [Rules of Use](#)

Submit

4. You will receive an email from Login.gov to confirm your email. Click on Confirm email address and follow the remaining onscreen instructions to create your account.



LOGIN.GOV

Confirm your email

Thanks for submitting your email address. Please click the link below or copy and paste the entire link into your browser. This link will expire in 24 hours.

Confirm email address [secure.login.gov]

Problems with EFAST2?

*Contact the EFAST2 Help Line at **1-866-GO-EFAST (1-866-463-3278)** if you have any problems with the registration process or if your user information becomes lost or stolen.*

5. Create password and click Continue.

5

You have confirmed your email address

Create a strong password

Your password must be **12 characters** or longer. Don't use common phrases or repeated characters, like abc or 111.

Password

Confirm password

☐ Show password

Password strength: Great

Continue

6. Select at least two authentication method setups. Click Continue

Authentication method setup

Add an additional layer of protection to your Login.gov account by selecting a multi-factor authentication method. We recommend you select at least two different options in case you lose one of your methods.

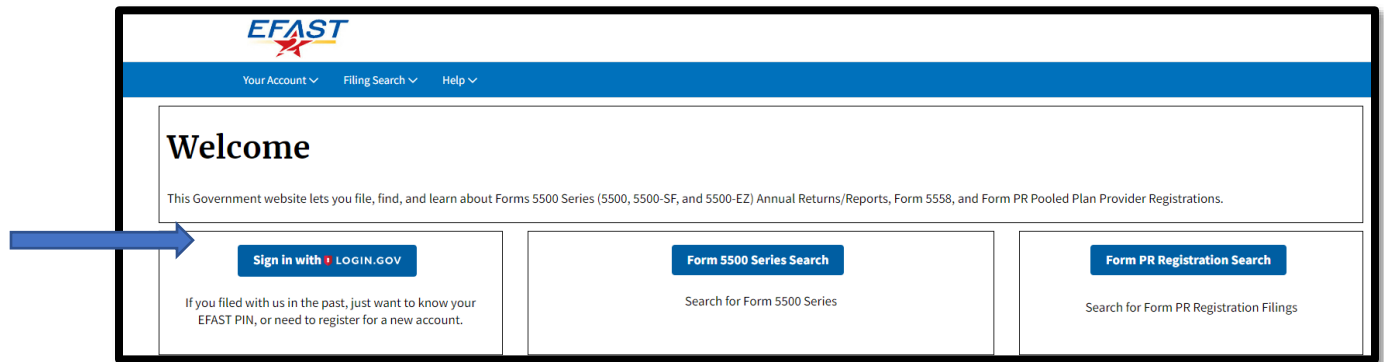
- ☐ **Authentication application**
Download or use an authentication app of your choice to generate secure codes.
- ☐ **Text or voice message**
Receive a secure code by (SMS) text or phone call.
- ☐ **Security key**
Connect your physical security key to your device. You won't need to enter a code.
- ☐ **Government employee ID**
PIV/CAC cards for government and military employees. Desktop only.
- ☐ **Backup codes**
A list of ten codes you can print or save to your device. Because backup codes are easy to lose, choose this option only as a last resort.

Continue

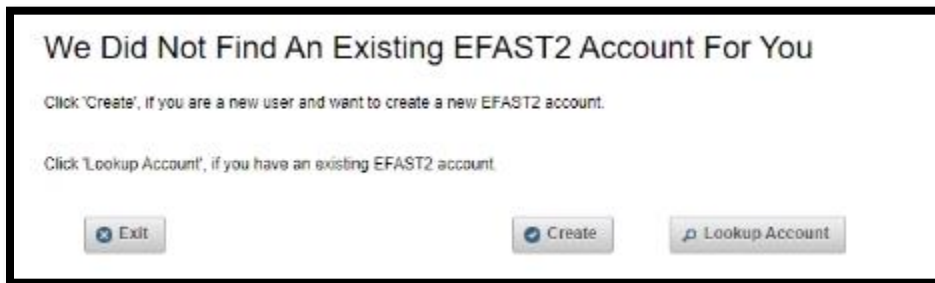
Problems with EFAST2?

*Contact the EFAST2 Help Line at **1-866-GO-EFAST (1-866-463-3278)** if you have any problems with the registration process or if your user information becomes lost or stolen.*

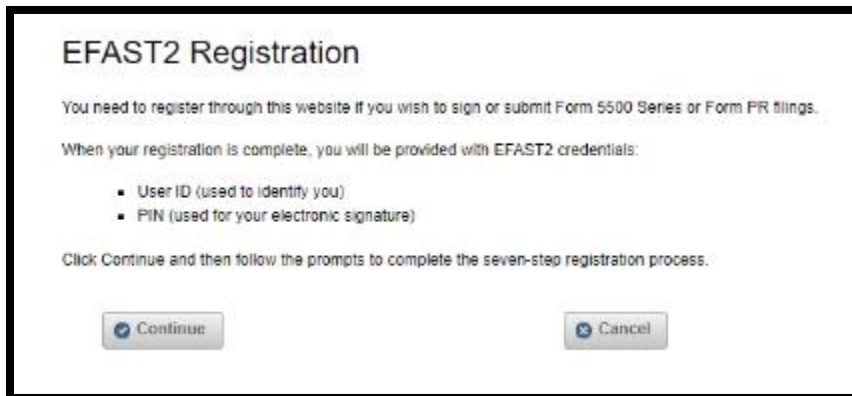
7. Next go to efast.dol.gov and click on Sign in with Login.gov



8. When the below screen appears, click Create



9. Click Continue



Problems with EFAST2?

Contact the EFAST2 Help Line at **1-866-GO-EFAST (1-866-463-3278)** if you have any problems with the registration process or if your user information becomes lost or stolen.

10. Accept Privacy and Security Statement.

Register - Privacy Statement
Please read and accept the following privacy statement to continue.

Privacy and Security Statement

Thank you for visiting the U.S. Department of Labor (DOL or Department) website and reviewing our privacy and security statement. DOL is committed to maintaining the privacy of your personal information and the security of our computer systems. With respect to the collection, use and disclosure of personally identifiable information (PII), DOL makes every effort to ensure compliance with applicable federal law, including, but not limited to, [The Privacy Act of 1974](#), [The Paperwork Reduction Act](#), and [The Freedom of Information Act](#).

As a general rule, the Department does not collect personally identifiable information when you visit our site unless you choose to provide such information. The information we collect varies based on what you do when visiting our site.

If you respond to an online request for personal information

The information requested by the Department will be used to respond to your inquiry or to provide you with the service associated with the request. When this information is requested, a customized "Privacy Notice" will describe fully the reasons for collecting it and will provide a description of the Department's intended use of the information. This Privacy Notice will appear in one of two places. It will either be on the webpage where the information is collected or it will be accessible through a link prominently displayed immediately preceding the information request.

I have read this agreement ☒

11. Complete Profile Information: **Please note for User Type:** User Type will have "Filing Author" and "Filing Signer" boxes marked. Keep these boxes marked. The remaining user choices do not apply to your profile setup as a signer of the 5500. Review the Register Summary and select "Next".

Register - Profile Information

Enter your profile information below then select Next to continue. Fields marked with an "*" are required.

You must provide accurate and reliable contact details below so we can correspond with you.

Note that the first three user types require registration by an individual person. The credentials for this account may not be shared with others.

OMB Control Number: 1210-0117 Exp. Date: 11/30/2024

* First Name:
* Last Name:
* Address:
Address 2:
* City/Town:
* State:
* Country:
* ZIP:
* Daytime Phone: [Do not include dashes and do not begin with '1']
Fax:
* Email:
* Company Name:

You must choose at least one User Type, but you may choose more.

I want to:	User Type	Definition
Create, import or amend a filing	☒ Filing Author	The person who starts filing out the form 5500/5500-SF/5500-EZ/PR filing and is responsible for submitting it. This user type has no signature authority.
Sign a Filing	☒ Filing Signer	Filing signers are Plan Administrators, Employers/Plan Sponsors, or Direct Filing Entities who electronically sign the Form 5500/5500-SF/5500-EZ. This role should also be selected by plan service providers that have written authorization to file on behalf of the plan administrator under the EFAST2 e-signature option. Filing signers are also pooled plan providers who electronically sign the Form PR. No other filing-related functions may be performed by selecting this user role alone.
Create a schedule but not a filing	☐ Schedule Author	A person who has been asked, by the Filing Author, to complete one of the Schedules to include in the Form 5500/5500-SF/5500-EZ filing. This user type cannot start, sign or submit a filing. This is rare.
Submit a filing on behalf of an individual or company	☐ Transmitter	An individual or company/organization authorized by the plan sponsor or plan administrator to submit electronic returns for the plan. This is rare.
Develop and certify third party software	☐ Third Party Software Developer	A company, trade, business, or other person applying for authorization to be an EFAST2 Software Developer. This is rare.

Problems with EFAST2?

Contact the EFAST2 Help Line at **1-866-GO-EFAST (1-866-463-3278)** if you have any problems with the registration process or if your user information becomes lost or stolen.

12. You will receive an email of your Registration Confirmation

Register - PIN Agreement

Please read and accept the following PIN Agreement to continue.

By activating your PIN, you agree not to share your PIN with anyone. The security of your PIN is important because it can be used to:

- Electronically sign documents, and
- Access your personal records

If your PIN is lost or stolen, you also agree to:

- Contact the EFAST2 Contact Center at 1-866-463-3278 (1-866-GO-EFAST), or
- Request a new PIN by selecting User Profile from the EFAST2 Web site

☒ I have read this agreement

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Register - Signature Agreement

Please read and accept the following Signature Agreement to continue.

I understand and agree that the electronic signature is not transferable and that the inclusion of such electronic signature in a Form 5500 Series Annual Return/Report or Form FR filed in electronic form shall have the same legal force and effect as my hand written signature. If I am not the Transmitter, I also agree that my electronic signature on a Form 5500 Series Annual Return/Report constitutes consent for EFAST2 personnel to send my Transmitter an acknowledgment of receipt of transmission and to communicate with my Transmitter about the success or failure of the transmission and specific reason(s) for any failure(s).

If I am an EFAST2 Software Developer or EFAST2 Transmitter, I declare that I am authorized to make and sign this statement on behalf of the applicant. The applicant agrees that it and its employees will comply with all provisions of the EFAST2 procedures for the electronic filing of Form 5500 Series Annual Return/Report for each year in which the applicant participates. Noncompliance will result in the applicant no longer being allowed to participate as an EFAST2 Software Developer or Transmitter. The applicant understands that acceptance as an EFAST2 Software Developer or Transmitter is not transferable. If applying to be an EFAST2 Transmitter, the applicant further agrees that a copy of all returns/reports that the applicant transmits electronically to the Department of Labor will be provided to the plan administrator, employer or direct filing entity on whose behalf the return/report was transmitted.

Under penalties of perjury, I declare that I have examined this agreement, and to the best of my knowledge and belief the information provided in my request for access to the EFAST2 system is true, correct, and complete. I agree that this application can be made public information.

I declare that I am authorized to make and sign this statement.

☒ I have read this agreement

[Back to Top](#)

13. Once the PIN and Signature Agreements are completed you will receive confirmation of your registration which will include your User ID and PIN which are used to electronically file the Form 5500.

Helpful Hints

- You are responsible for maintaining your User ID, PIN, and Password. Keep them in a safe secure place.
- Your User ID and PIN are equivalent to your physical signature. This information should not be shared.
- You only need to apply once for EFAST2 Signature Credentials. They will remain active unless they are unused for 3 consecutive years.
- Your signature credentials are not transferable.
- You can use the same User ID and PIN to sign for more than one Form 5500 filing.

Problems with EFAST2?

Contact the EFAST2 Help Line at **1-866-GO-EFAST (1-866-463-3278)** if you have any problems with the registration process or if your user information becomes lost or stolen.

Instructions for Retrieving Existing Electronic Signature Credentials

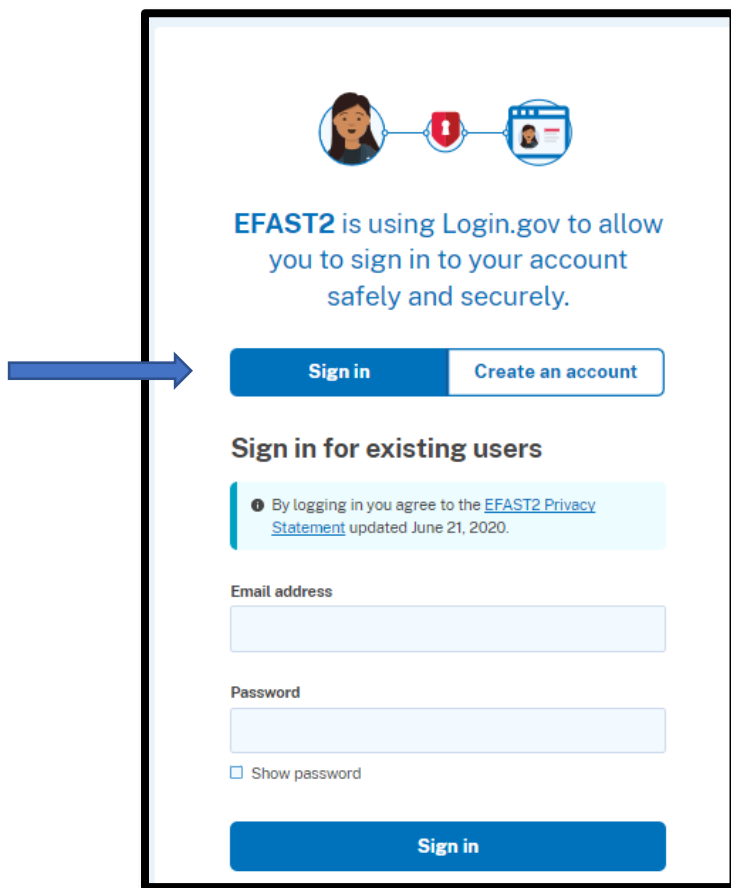
You may have registered for filing electronic credentials but have misplaced or no longer have these credentials since the last time these credentials were used. The following instructions apply if you previously registered for credentials and need to retrieve them for filing purposes.

Our submission software will store credential information for the last filing signer. However, if your company is using a different signer who previously registered and needs credentials, then you may use the following instructions to retrieve those credentials.

The two items you will need to file your 5500 are your electronic filing credentials, the User ID (begins with “A” following by a seven-digit number) and your four-digit PIN. You will need your Login.gov User ID and Password to retrieve your credentials. The following workflow will show you how to retrieve your electronic credential User ID and PIN.

Retrieving your Password and User ID

1. Log on to the Login.gov Website at secure.login.gov
2. Click on Sign In



The screenshot shows the EFAST2 Login.gov interface. At the top, there are three icons: a person, a shield with a key, and a computer monitor. Below them, text states: "EFAST2 is using Login.gov to allow you to sign in to your account safely and securely." There are two buttons: "Sign in" and "Create an account". A blue arrow points to the "Sign in" button. Below these buttons, the heading "Sign in for existing users" is followed by a light blue box containing a privacy statement: "By logging in you agree to the [EFAST2 Privacy Statement](#) updated June 21, 2020." Below this are input fields for "Email address" and "Password". There is a checkbox labeled "Show password" and a final "Sign in" button at the bottom.

Problems with EFAST2?

Contact the EFAST2 Help Line at **1-866-GO-EFAST (1-866-463-3278)** if you have any problems with the registration process or if your user information becomes lost or stolen.

3. Select Forgot Password.

EFAST2 is using Login.gov to allow you to sign in to your account safely and securely.

[Sign in](#) [Create an account](#)

Sign in for existing users

 By logging in you agree to the [EFAST2 Privacy Statement](#) updated June 21, 2020.

Email address

Password

☐ Show password

[Sign in](#)

[Sign in with your government employee ID](#)

[Back to EFAST2](#)
[Forgot your password?](#)

4. You will be prompted to enter your email address. This should be the email address you provided when you initially registered for EFAST filing credentials. Enter your email address and select Continue.

Forgot your password?

Don't know your password? Reset it after confirming your email address.

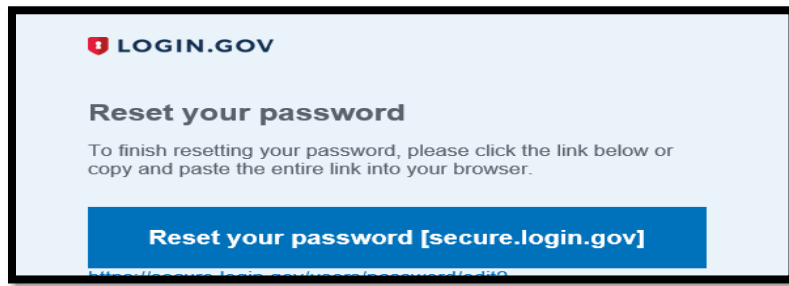
Email address

[Continue](#)

Problems with EFAST2?

Contact the EFAST2 Help Line at **1-866-GO-EFAST (1-866-463-3278)** if you have any problems with the registration process or if your user information becomes lost or stolen.

5. You will receive an email from Login.gov and will be prompted to Reset your password.



6. Now that you have reset your password you will be prompted to re-login to Login.gov. You can now retrieve your electronic credential User ID and PIN from the Filing Summary Page.

Problems with EFAST2?

*Contact the EFAST2 Help Line at **1-866-GO-EFAST (1-866-463-3278)** if you have any problems with the registration process or if your user information becomes lost or stolen.*

Electronic Filing Instructions

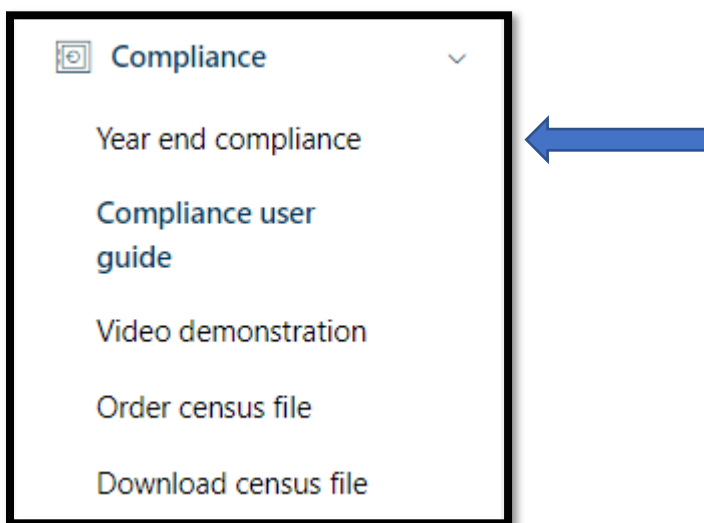
The following instructions reference Form 5500 however this term is used interchangeable for both Form 5500-Annual Return (larger filer, including schedules and attachments) and the Form 5500SF-Short Form Annual Return (small filer, no schedules).

To electronically file your Form 5500 to the U.S. Department of Labor's (DOL) Employee Benefit Security Administrations (EBSA) from the Plan Service Center (PSC) website follow these easy steps.

- Review Form 5500 and Related Schedules
- Attach applicable reports (generally for large plan filings only)
- Print and retain a signed copy for your records.
- Electronically sign and submit the filing to the DOL.
- Check filing status.

Getting started from the Plan Service Center

- Log on to the PSC
- Select 'Compliance' from the menu, then click on 'Year End Compliance'



- Click on 'Available' under the 'Correspondence and Services' heading for the applicable plan year.

Plan Year Begin	Plan Year End	Request	Ownership	Census	Questionnaire	Correspondence and Services
01/01/2022	12/31/2022	Change	Complete (01/18/2023)	Complete (04/25/2023)	Complete (04/25/2023)	Available



- Choose 'Form 5500 E-File'



- Large filers click 'Fill in Selected fields' ① to complete attachments and continue to Step 1.
- Small filers click 'Print and Sign' ② and then skip to Step 7 below.

ABC Incorporated 401(k) Plan

Plan Home
ToDo List (2)
Documents
Edit 5500

Welcome Message

Welcome to the ABC Incorporated 401(k) Plan

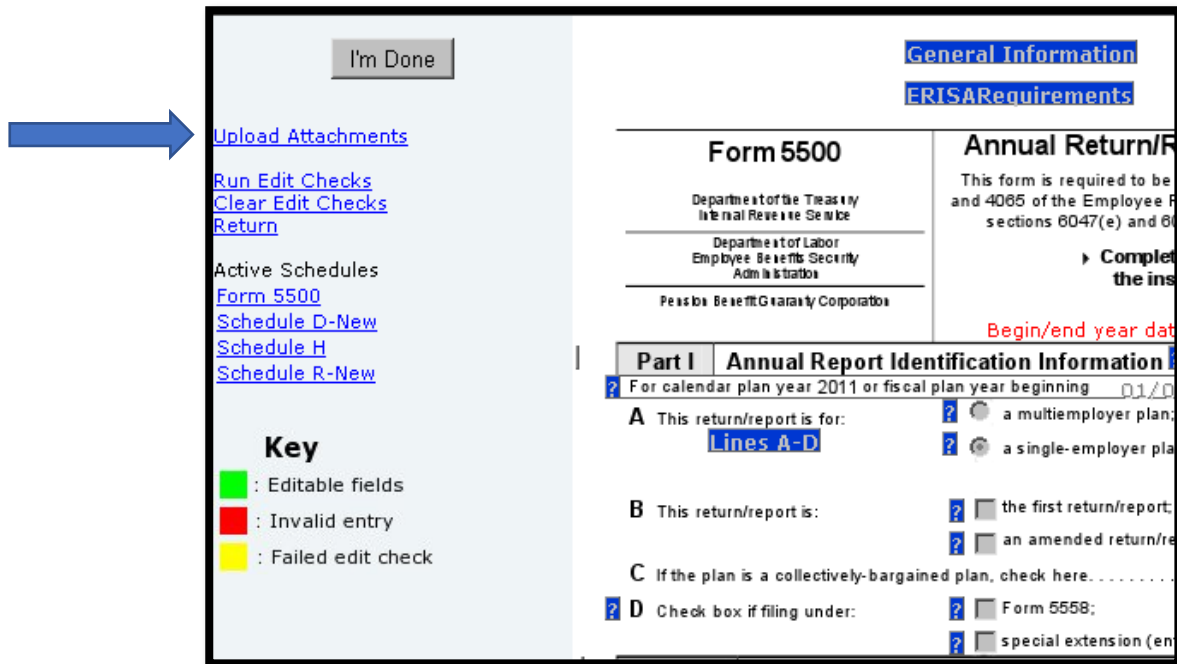
Please select an option from the left to continue working with your plan.

ToDo List

ToDo	Days
Fill in selected fields ABC Incorporated 401(k) Plan - 5500 - 2011	0
Print and Review ABC Incorporated 401(k) Plan - 5500 - 2011	
Print and Sign ABC Incorporated 401(k) Plan - 5500 - 2011	0

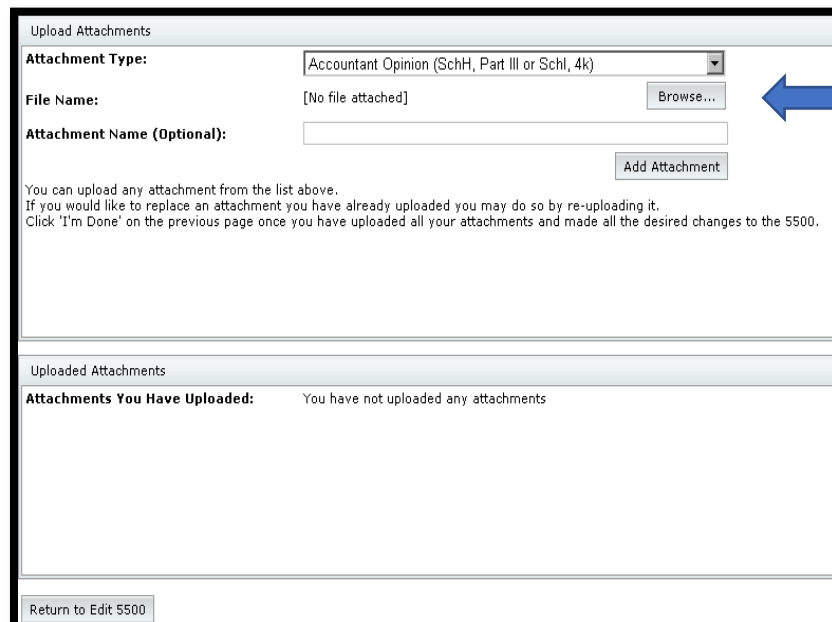
© 2007-2012 CCH Incorporated or its affiliates

1. Obtain the applicable attachment in PDF format. All attachments will need to be added to your E-Filing.
2. Select 'Upload Attachments'



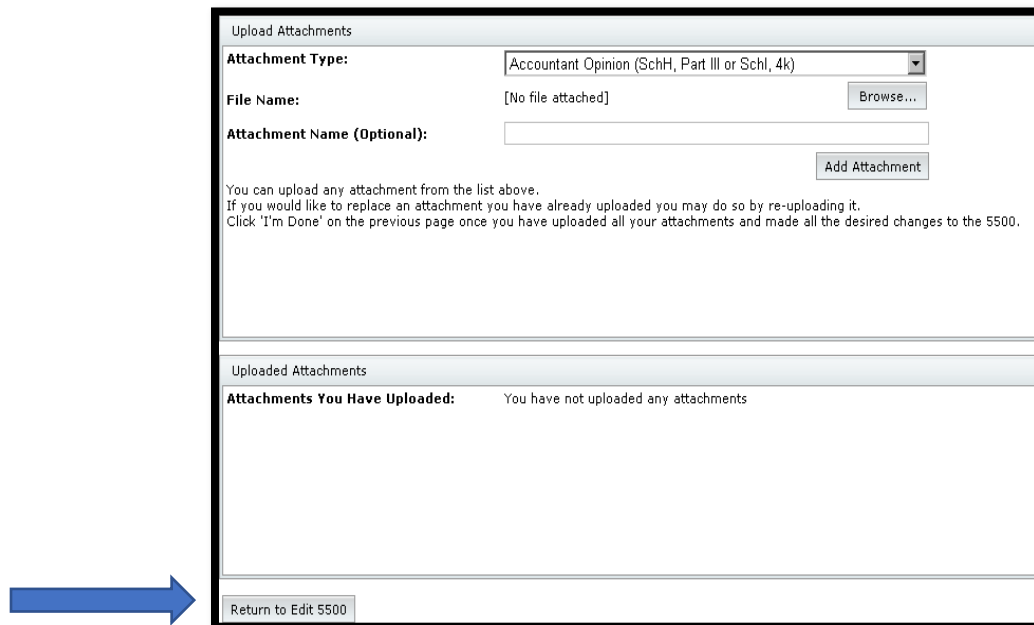
The screenshot shows the E-Filing interface. On the left, there is a sidebar with a blue arrow pointing to the 'Upload Attachments' link. The sidebar also includes links for 'Run Edit Checks', 'Clear Edit Checks', 'Return', 'Active Schedules', 'Form 5500', 'Schedule D-New', 'Schedule H', and 'Schedule R-New'. Below these links is a 'Key' section with three items: a green square for 'Editable fields', a red square for 'Invalid entry', and a yellow square for 'Failed edit check'. At the top of the sidebar is an 'I'm Done' button. The main content area displays the 'Form 5500' and 'Annual Return/Report' sections. The 'Form 5500' section includes the Department of the Treasury, Internal Revenue Service, and Department of Labor, Employee Benefits Security Administration. The 'Annual Return/Report' section includes the text 'This form is required to be filed by the employer and 4085 of the Employee Retirement Income Security Act of 1974, sections 6047(e) and 6058'. Below these sections is the 'Part I Annual Report Identification Information' section, which includes fields for 'For calendar plan year 2011 or fiscal plan year beginning', 'A This return/report is for:', 'B This return/report is:', 'C If the plan is a collectively-bargained plan, check here...', and 'D Check box if filing under:'. A blue arrow points to the 'Upload Attachments' link in the sidebar.

3. Click 'Add Attachment'. Select the file to attach by clicking 'Browse'. Then click 'Add Attachment'



The screenshot shows the 'Upload Attachments' dialog box. It has a title bar 'Upload Attachments'. Below the title bar, there is a section for 'Attachment Type:' with a dropdown menu showing 'Accountant Opinion (SchH, Part III or Schl, 4k)'. Below this is a 'File Name:' field with the text '[No file attached]' and a 'Browse...' button. Below the 'File Name' field is an 'Attachment Name (Optional):' field. Below the 'Attachment Name' field is an 'Add Attachment' button. Below the 'Add Attachment' button is a paragraph of text: 'You can upload any attachment from the list above. If you would like to replace an attachment you have already uploaded you may do so by re-uploading it. Click "I'm Done" on the previous page once you have uploaded all your attachments and made all the desired changes to the 5500.' Below the text is a section titled 'Uploaded Attachments' with a sub-section 'Attachments You Have Uploaded:' and the text 'You have not uploaded any attachments'. At the bottom of the dialog box is a 'Return to Edit 5500' button. A blue arrow points to the 'Browse...' button.

- Once all the attachments have been successfully attached click 'Return to Edit 5500'. This will take you back to the previous page.



Upload Attachments

Attachment Type: Accountant Opinion (SchH, Part III or Schl, 4k)

File Name: [No file attached]

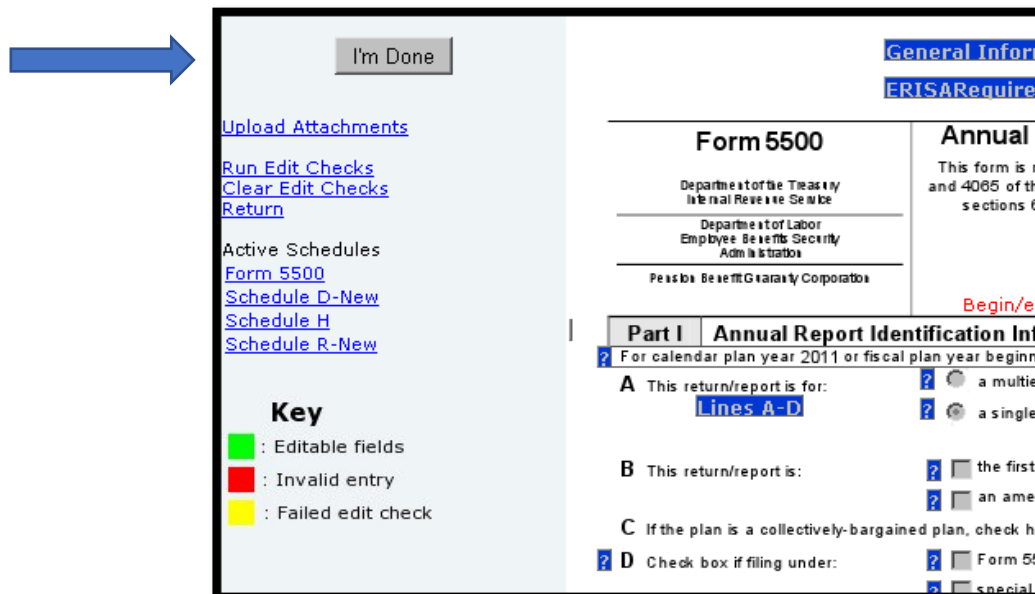
Attachment Name (Optional):

You can upload any attachment from the list above.
If you would like to replace an attachment you have already uploaded you may do so by re-uploading it.
Click 'I'm Done' on the previous page once you have uploaded all your attachments and made all the desired changes to the 5500.

Uploaded Attachments

Attachments You Have Uploaded: You have not uploaded any attachments

- Click on 'I'm Done' to continue.



[Upload Attachments](#)

[Run Edit Checks](#)

[Clear Edit Checks](#)

[Return](#)

Active Schedules

[Form 5500](#)

[Schedule D-New](#)

[Schedule H](#)

[Schedule R-New](#)

Key

- : Editable fields
- : Invalid entry
- : Failed edit check

Form 5500

Department of the Treasury
Internal Revenue Service

Department of Labor
Employee Benefits Security
Administration

Pension Benefit Guaranty Corporation

Annual

This form is required under sections 6031 and 4085 of the Internal Revenue Code.

[Begin/End](#)

Part I Annual Report Identification Information

For calendar plan year 2011 or fiscal plan year beginning on 1/1/2011

A This return/report is for: ☐ a multiple ☐ a single

B This return/report is: ☐ the first ☐ an amended

C If the plan is a collectively-bargained plan, check here: ☐ Form 5500 ☐ special

D Check box if filing under: ☐ Form 5500 ☐ special

6. Once all the attachments are successfully attached click 'Confirm I'm Done' to continue to the signing page.

You have indicated that you are done working with this 5500.
You will no longer be allowed to make changes to this 5500 and Attachments will be locked once you click 'Confirm'.
Click 'Back to Edit 5500' to continue working with this 5500.

[Back to Edit 5500](#) [Confirm 'I'm Done'](#)

7. The 5500 must be printed prior to filing. Click 'Print 5500'

ABC Incorporated 401(k) Plan John Doe Log Out

Plan Home To Do List (2) Documents E-Sign 5500

Sign 5500 - 2011

Step 1: Print Paper Copy of Form 5500
You must print your 5500 before you will be allowed to sign. Print a hard copy of your 5500 by clicking on "Print 5500" below:

[Print 5500](#)

Step 2: Review and Sign Paper Copy before Filing
Once you have read through the filing and find it acceptable, sign the printed copy with a "wet" signature. Keep your signed copy in a safe place. A paper copy will not be sent to the Department of Labor but an electronic version will be sent once you electronically sign below.

Step 3: Enter/Review EFAST Credentials
Verify that Name, User ID, and PIN exactly match (including punctuation and spacing) what you entered/received from the DOL registration process. If it does not exactly match click the button 'Change Name' below to change the name on this 5500.

Administrator/Sponsor Name: John Doe [Change Name](#)

Administrator/Sponsor DOL User ID:

Administrator/Sponsor DOL PIN:

Step 4: Sign and File Electronically
Under penalties of perjury and other penalties set forth in the instructions, I declare that I have examined this return/report, including accompanying schedules, statements and attachments, as well as electronic version of this return/report, and to the best of my knowledge and belief, it is true, correct and complete.

[Sign 5500](#)

If you do not have your signing credentials you will need to obtain them by going to <http://www.efast.dol.gov/> and registering as a

8. Unless this is the first year filing, the Administrator's name will be populated with the individual that signed the prior year's filing.
9. If the Administrator/Sponsor name is blank or is not the individual that will sign the filing for the current year, click on 'Change Name'.

ABC Incorporated 401(k) Plan John Doe Log Out

Plan Home To Do List (2) Documents E-Sign 5500

Sign 5500 - 2011

Step 1: Print Paper Copy of Form 5500
You must print your 5500 before you will be allowed to sign. Print a hard copy of your 5500 by clicking on "Print 5500" below:

[Print 5500](#)

Step 2: Review and Sign Paper Copy before Filing
Once you have read through the filing and find it acceptable, sign the printed copy with a "wet" signature. Keep your signed copy in a safe place. A paper copy will not be sent to the Department of Labor but an electronic version will be sent once you electronically sign below.

Step 3: Enter/Review EFAST Credentials
Verify that Name, User ID, and PIN exactly match (including punctuation and spacing) what you entered/received from the DOL registration process. If it does not exactly match click the button 'Change Name' below to change the name on this 5500.

Administrator/Sponsor Name: John Doe [Change Name](#)

Administrator/Sponsor DOL User ID:

Administrator/Sponsor DOL PIN:

Step 4: Sign and File Electronically
Under penalties of perjury and other penalties set forth in the instructions, I declare that I have examined this return/report, including accompanying schedules, statements and attachments, as well as electronic version of this return/report, and to the best of my knowledge and belief, it is true, correct and complete.

[Sign 5500](#)

If you do not have your signing credentials you will need to obtain them by going to <http://www.efast.dol.gov/> and registering as a

10. Once the 5500 has been printed the credentials field will be unlocked. Enter the DOL User ID and PIN number for the Administrator/Sponsor listed.

ABC Incorporated 401(k) Plan

John Doe Log Out

Plan Home
ToDo List (2)
Documents
E-Sign 5500

Sign 5500 - 2011

Step 1: Print Paper Copy of Form 5500
You must print your 5500 before you will be allowed to sign. Print a hard copy of your 5500 by clicking on "Print 5500" below:

Step 2: Review and Sign Paper Copy before Filing
Once you have read through the filing and find it acceptable, sign the printed copy with a "wet" signature. Keep your signed copy in a safe place. A paper copy will not be sent to the Department of Labor but an electronic version will be sent once you electronically sign below.

Step 3: Enter/Review EFAST Credentials
Verify that Name, User ID, and PIN exactly match (including punctuation and spacing) what you entered/received from the DOL registration process. If it does not exactly match click the button 'Change Name' below to change the name on this 5500.

Administrator/Sponsor Name: John Doe Change Name

Administrator/Sponsor DOL User ID:

Administrator/Sponsor DOL PIN:

Step 4: Sign and File Electronically
Under penalties of perjury and other penalties set forth in the instructions, I declare that I have examined this return/report, including accompanying schedules, statements and attachments, as well as electronic version of this return/report, and to the best of my knowledge and belief, it is true, correct and complete.

Sign 5500

If you do not have your signing credentials you will need to obtain them by going to <http://www.efast.dol.gov/> and registering as a

If you have not yet registered for Electronic Signature Credentials, please refer to 'Obtaining Credentials' in the Compliance User Guide.

If you already obtained your Electronic Signature Credentials you do not need to register again. Use the same credentials to electronically sign subsequent years Form 5500.

Each signer will require their own individual signature credentials.

Signature credentials for signing a filing:

- User ID = 8 digits starting with 'A'
- PIN = 4-digit number

11. Click on 'Sign 5500' to submit the filing to the DOL.

ABC Incorporated 401(k) Plan

John Doe Log Out

Plan Home
ToDo List (2)
Documents
E-Sign 5500

Sign 5500 - 2011

Step 1: Print Paper Copy of Form 5500
You must print your 5500 before you will be allowed to sign. Print a hard copy of your 5500 by clicking on "Print 5500" below:

Step 2: Review and Sign Paper Copy before Filing
Once you have read through the filing and find it acceptable, sign the printed copy with a "wet" signature. Keep your signed copy in a safe place. A paper copy will not be sent to the Department of Labor but an electronic version will be sent once you electronically sign below.

Step 3: Enter/Review EFAST Credentials
Verify that Name, User ID, and PIN exactly match (including punctuation and spacing) what you entered/received from the DOL registration process. If it does not exactly match click the button 'Change Name' below to change the name on this 5500.

Administrator/Sponsor Name: John Doe Change Name

Administrator/Sponsor DOL User ID: 12345678

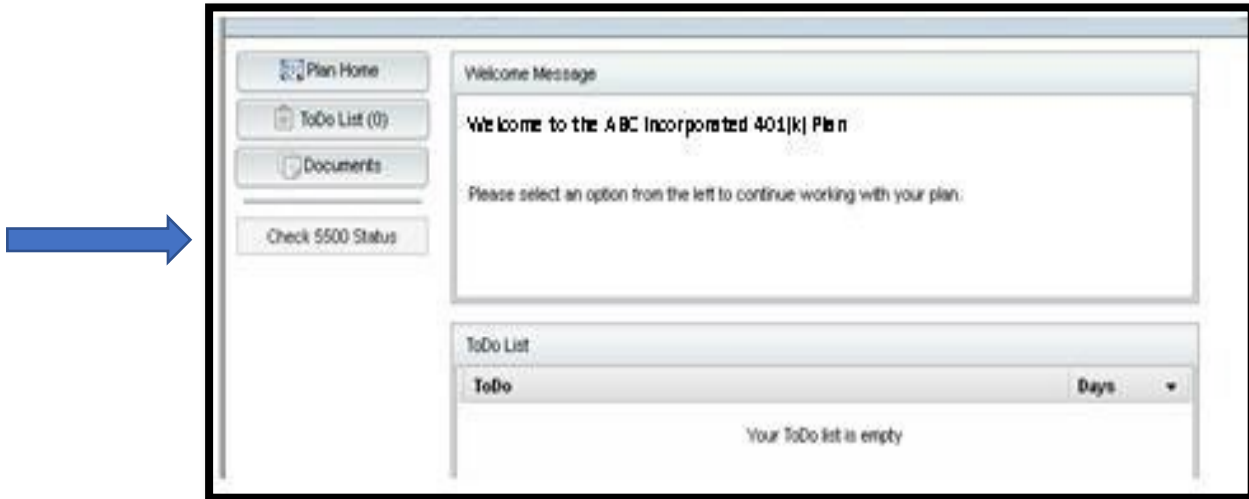
Administrator/Sponsor DOL PIN: 1234

Step 4: Sign and File Electronically
Under penalties of perjury and other penalties set forth in the instructions, I declare that I have examined this return/report, including accompanying schedules, statements and attachments, as well as electronic version of this return/report, and to the best of my knowledge and belief, it is true, correct and complete.

Sign 5500

If you do not have your signing credentials you will need to obtain them by going to <http://www.efast.dol.gov/> and registering as a

12. It is very important to verify the electronic filing was successfully submitted and accepted by the EFAST system. Click on 'Check 5500 Status' to see the filing status and to obtain the Acknowledgement ID for your records.

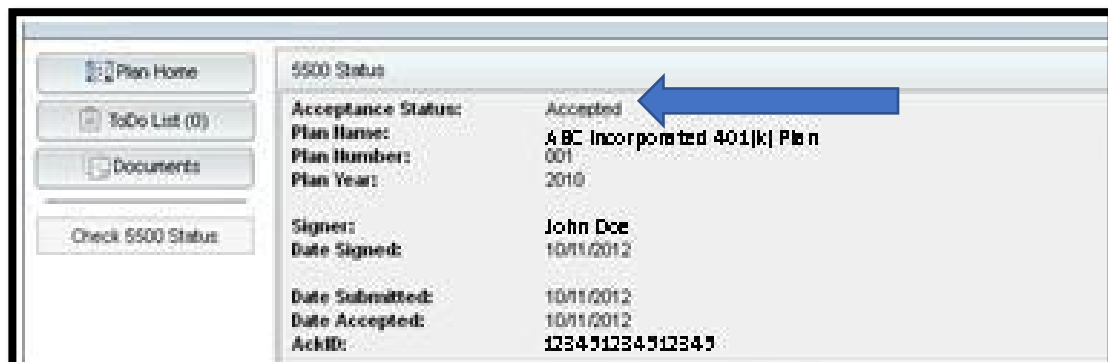


13. A filing will fall under one of three categories:

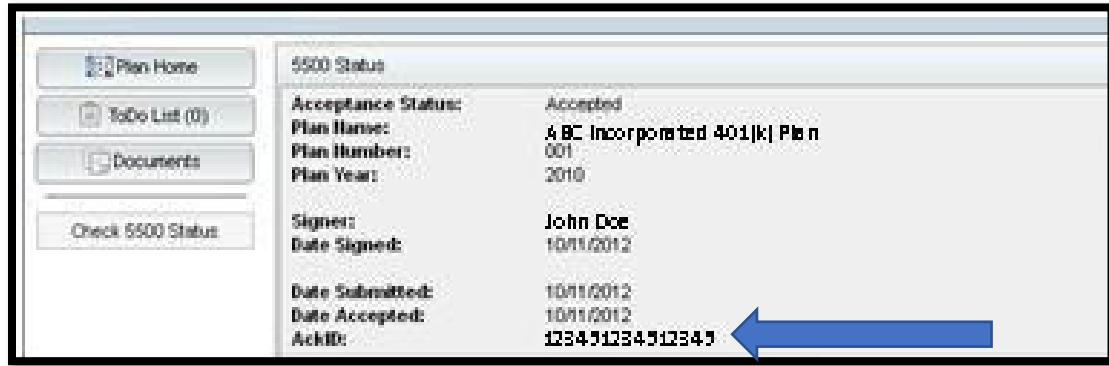
Accepted = Successfully Filed

Rejected = Not Filed

Not Accepted = Filed but with Errors



14. Print and retain a copy of the AckID.



The screenshot shows a web interface for checking 5500 status. On the left is a sidebar with buttons: 'Plan Home', 'ToDo List (0)', 'Documents', and 'Check 5500 Status'. The main area is titled '5500 Status' and contains the following information:

Acceptance Status:	Accepted
Plan Name:	ABC Incorporated 401(k) Plan
Plan Number:	001
Plan Year:	2010
Signer:	John Doe
Date Signed:	10/11/2012
Date Submitted:	10/11/2012
Date Accepted:	10/11/2012
AckID:	123451234512345

A blue arrow points to the AckID value.

If filings containing errors are not rectified by the filing deadline, the filing could be subject to rejection and penalties. Filings that are not successfully received by EFAST must be resubmitted.

Any filings that are received with errors and/or warning may be amended.

The Form 5500 filing should be completed at least 48 hours prior to the filing deadline to avoid unexpected problems or delays related to high volume filing times or other system issues.

View or Print Prior Form 5500 Electronic Filing

1. To view or print a prior electronic Form 5500/5500-SF go to www.efast.dol.gov
2. Click on Form 5500 Series Search

U.S. DEPARTMENT OF LABOR

EFAST

Your Account ▾ Filing Search ▾ Help ▾

Welcome

This Government website lets you file, find, and learn about Forms 5500 Series (5500, 5500-SF, and 5500-EZ) Annual Returns/Reports and Form PR Pooled Plan Provider Registrations.

Sign In/Up
If you filed with us in the past, just want to know your EFAST PIN, or need to register for a new account.

Form 5500 Series Search
Search for Form 5500 Series

Form PR Registration Search
Search for Form PR Registration Filings

3. You can choose to search by Plan Name, Plan Sponsor, EIN, PN or ACK ID. If searching by Plan Name, the name entered must be exact. Enter the information and click Go!

Form 5500 Search

[Show Filters](#) [Help](#)

This search tool allows you to search for Form 5500 series returns/reports filed since January 1, 2010. Posting on the web does not constitute acceptance of the filing by the U.S. Department of Labor, the Pension Benefit Guaranty Corporation, or the Internal Revenue Service.

See the [CSV File Data Dictionary](#) and [Form 5500 Series Data Dictionary](#) for additional information regarding the data included in the downloads.

Use the box below to search for specific filings.

Plan Name ▾
Plan Name
Plan Sponsor
EIN
PN
ACK ID

Go!

[Export to CSV](#) [Reset Form](#)

EFAST2, an all-electronic system, receives and displays Forms 5500 Series Annual Returns/Reports and Form PR Pooled Plan Provider Registrations on behalf of [DOL](#), [IRS](#), and [EOPSS](#).

[About EFAST2](#) [Related Resources](#) [Privacy & Security Statement](#) [Office of the Inspector General](#)

4. All 5500/5500-SFs that have been electronically filed will populate under the search results. To obtain/print a copy, click on the download arrow next to the appropriate Plan Year needed.

	↑ Plan Name	Plan Year
↓	ABC	2009
↓	ABC	2008

5. A copy of the filing will open in a new browser tab. You can now save and/or print the filing as needed from the top right corner.

20110228092725P040017731021 x +

https://efast2-filings-public.s3.amazonaws.com/prd/2011/02/28/20110228092725P040017731025001.pdf

Set Microsoft Edge as the default application for reading PDF files? [Set as default](#)

Draw | Read aloud | 1 of 2 | [Print] [Save] [Share]

Form 5500-SF
Department of the Treasury
Internal Revenue Service
Department of Labor
Employee Benefits Security Administration
Pension Benefit Guaranty Corporation

Short Form Annual Return/Report of Small Employee Benefit Plan
This form is required to be filed under sections 104 and 4065 of the Employee Retirement Income Security Act of 1974 (ERISA), and section 6058(a) of the Internal Revenue Code (the Code).
▶ **Complete all entries in accordance with the instructions to the Form 5500-SF.**

OMB Nos. 1510-0110
1510-0069
2009
This Form is Open to Public Inspection

Part I Annual Report Identification Information
For calendar plan year 2009 or fiscal plan year beginning 10/01/2009 and ending 09/30/2010

A This return/report is for:
☒ single-employer plan ☐ multiple-employer plan (not multiemployer) ☐ one-participant plan

B This return/report is for:
☐ first return/report ☒ final return/report
☐ an amended return/report ☐ short plan year return/report (less than 12 months)

C Check box if filing under:
☐ Form 5558 ☐ automatic extension ☐ DFVC program
☐ special extension (enter description)

Part II Basic Plan Information—enter all requested information

1a Name of plan
ABC

1b Three-digit plan number (PN) ▶ 001

1c Effective date of plan

2a Plan sponsor's name and address (employer, if for single-employer plan)
ABC

2b Employer Identification Number (EIN)

2c Plan sponsor's telephone number

2d Business code (see instructions)

If you have questions or problems with the website, you can call the EFAST2 Help Line at 1-866-GO-EFAST (1-866-463-3278).