

Instructions for Reviewing, Signing, and E-Filing Form 5500

Please follow the below instructions to review, sign, and e-file your Form 5500. *Note: to skip the review and complete only the mandatory steps (i.e., “quick-file”), you may complete only steps 4 (Attachments/SAR), 5 (Signing and E-Filing), and 6 (Signed Hard Copy).*

1. **Print These Instructions:** It is recommended that you print these instructions to guide you as you review and sign the Form 5500.
2. **Planbooks:** A Planbook is a collection of forms comprised of Form 5500 and any related schedules. To access your Planbooks, select the “**Planbooks**” option from the “**Main**” menu in the top navigation bar. Select the appropriate year from the “**View plans for form year**” drop down menu and then click on the “**Go**” button to view Planbooks for the selected year.
3. **Viewing Forms and Schedules associated with a Planbook:** To view a listing of forms and schedules within a Planbook, click on the “**View Forms**” link in the “**Actions**” column of the grid. To view a specific form in the Planbook, click on the “**View Form**” link in the “**Actions**” column of the next grid. The selected form will display on the screen (please be patient, this may take a few moments, depending upon your connection speed). Use the scroll bar on the right side of the form to page through the form. *(Note: if left blank, the “Attachment to Form 5500” fields at the bottom of each form are not required to be completed and should be disregarded. If it is necessary to include attachments, they will be viewable in the next step and will be attached to the filing as a PDF file.)* To exit a form and return to the form listing, click on the “**Return to Plan Details**” link that is located under the “**File**” menu in the left margin.
4. **Attachments/SAR:** Once you have finished reviewing the Form 5500 and related schedules (if any), select “**Planbooks**” from the “**Main**” menu to get back to the main Planbook listing page. Select the “**Attachments**” link in the “**Actions**” column of the grid in order to review any attachments. *(Note: “EFAST2 Attachments”, if any, will be included with the filing submitted to the DOL. “Other Attachments”, if any, will only be included with the filing if the “E-File” box is checked. Most small plans (<100 participants) will have neither EFAST2 nor Other Attachments.)* A copy of the Summary Annual Report (SAR) must be given to all plan participants. To open the Summary Annual Report, select the SAR link under “Reference Attachments” at the bottom of the page. Please then print copies and distribute them to plan participants. *(Note: The due date of Form 8955-SSA (which is to be filed on paper with the IRS) has been extended to 1/17/12 due to an IRS delay in releasing the form’s new format. If your plan is required to file Form 8955-SSA, it will follow at a later time in a separate communication from our office.)*
5. **Signing and E-Filing:** Select “**Planbooks**” from the “**Main**” menu to get back to the main Planbook listing page. At the top of the Planbook listing page, select “**EFAST**” from the “**Form Set**” drop-down box and select “**Go**”. Then, select the “**E-File**” link in the “**Actions**” column of the grid. This will begin the signing and e-filing process.
 - a. Select the checkbox next to the signature line that you are completing: if there will be only one signer, that individual should enter his/her DOL “Filing Signer” User ID and PIN and write his/her name (if not already populated) on only the “plan administrator” signature line. Please enter the User ID and PIN very carefully; a mis-keyed entry will

result in a rejected filing, requiring a re-file. Once the signature line is completed, continue to the below three steps, b-d.

1. *Note: if a signer's User ID and PIN do not pre-populate when the checkbox is selected next to the signature line, and if the User ID and PIN have been lost or forgotten, please see the "Instructions to Retrieve Lost/Forgotten Filing Signer Credentials" on the "Main → Home" page to retrieve them.*
 2. *Note: if two different individuals will be signing the Form 5500 – one as "plan administrator" and the other as "employer/plan sponsor" – they must log into this 5500 system separately using different credentials. On the "E-File" page, each will enter their individual DOL User ID and PIN on the appropriate line, and then complete the below three steps.*
- b. If the question appears, check the box next to the text: "Would you like to save your PIN for future use?" if you would like the system to save the DOL "Filing Signer" credentials for future filings.
 - c. In the **"Signing Agreement"** section, read the Penalties of Perjury clause, and then check the box next to the text: "I have read and accept this agreement."
 - d. If you are the only signer for the plan, click on the **"Agree and Transmit"** button to transmit your 5500 to the DOL. If there will be a second signer for the plan after you, click on the **"Agree and Save"** button. If you are the second signer for the plan and the first individual has already signed, click on the **"Agree and Transmit"** button to transmit your 5500 to the DOL.
6. **Signed Hard Copy:** In addition to e-Filing, the DOL requires the plan sponsor to keep a signed hard copy of the Form 5500 on file. To print the forms for signature, select **"Planbooks"** from the **"Main"** menu and select the **"Print"** link in the **"Actions"** column of the grid. Your Form 5500 and any related schedules will appear in a PDF file. Please print all pages and sign and date each signature line. The signed copy should be kept with your permanent plan files.
 7. **Finish:** Once all of the above steps have been completed, return to the Planbook and click the **"Finish"** link. This will notify our office that you have completed your filing for the plan year.

If you have questions about any of the forms or how to complete the above steps, please contact a Customer Service Representative at 888-673-5440.