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ABA Retirement Funds Program

# Form 5500 E-Filing

For Plan Administrators

*For plan sponsor use only. Not for use with participants.*



## Welcome to the ABA Retirement Funds Program's presentation on EFAST2.

The purpose of this presentation is to provide you with step-by-step guidance on electronically filing your Form 5500/5500-SF/5500EZ.

[abaretirement.com/Resources](http://abaretirement.com/Resources)

## Table of Contents

- The requirements
- Obtaining electronic credentials
- Accessing your Form 5500/5500-SF/5500EZ
- Communicating any financial changes
- Managing Form attachments
- Approving your electronic filing
- E-Filing your Form 5500/5500-SF/5500EZ with the Department of Labor (DOL)
- E-Filing your Form 8955-SSA (if applicable)
- Additional Information

# Form 5500/5500-SF/5500EZ E-Filing

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## Requirements

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## EFAST2



- The DOL requires all pension and welfare plans to file their annual Forms 5500/5500-SF electronically. While Form 5500EZ can still be filed on paper, this year an electronic filing will be permitted.
- The ABA Retirement Funds Program (the Program) will prepare the Form 5500/5500-SF/5500EZ (whichever is applicable). We will deliver your completed Form to a web-based application, which is associated with your email address on record at the Program.
- Using our web-based application, you will be able to access your Form for review, approval and electronic filing with the DOL.

## Maintaining Email Addresses

- As plan administrator, it's your responsibility to maintain an accurate email address with the Program. If we do not have your email address on file, you will not receive email notification that these time-sensitive documents are available for your review.
- If you have not provided us with your email address, would like to add your auditor's or interested party's email address, or your email address on file has changed, please notify the Program promptly at **[contactus@abaretirement.com](mailto:contactus@abaretirement.com)**.

# Form 5500/5500-SF/5500EZ Electronic Filing

## E-Filing has been in place for many years

- Paper copies are not accepted by the DOL. However, a final copy of the filing, including all attachments, should be printed, signed and retained for your records.
- An electronic signature is required. Electronic credentials must be obtained directly from the DOL. Internet access and an email account are required.
- The Program cannot obtain electronic filing credentials on your behalf
- Attachment of Form 5558- Application for Extension, if filed with the IRS, is not required with the 5500 filing. *A printed hardcopy must be retained for your records.*

# Form 5500/5500-SF/5500EZ E-Filing

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## Obtaining Your Credentials

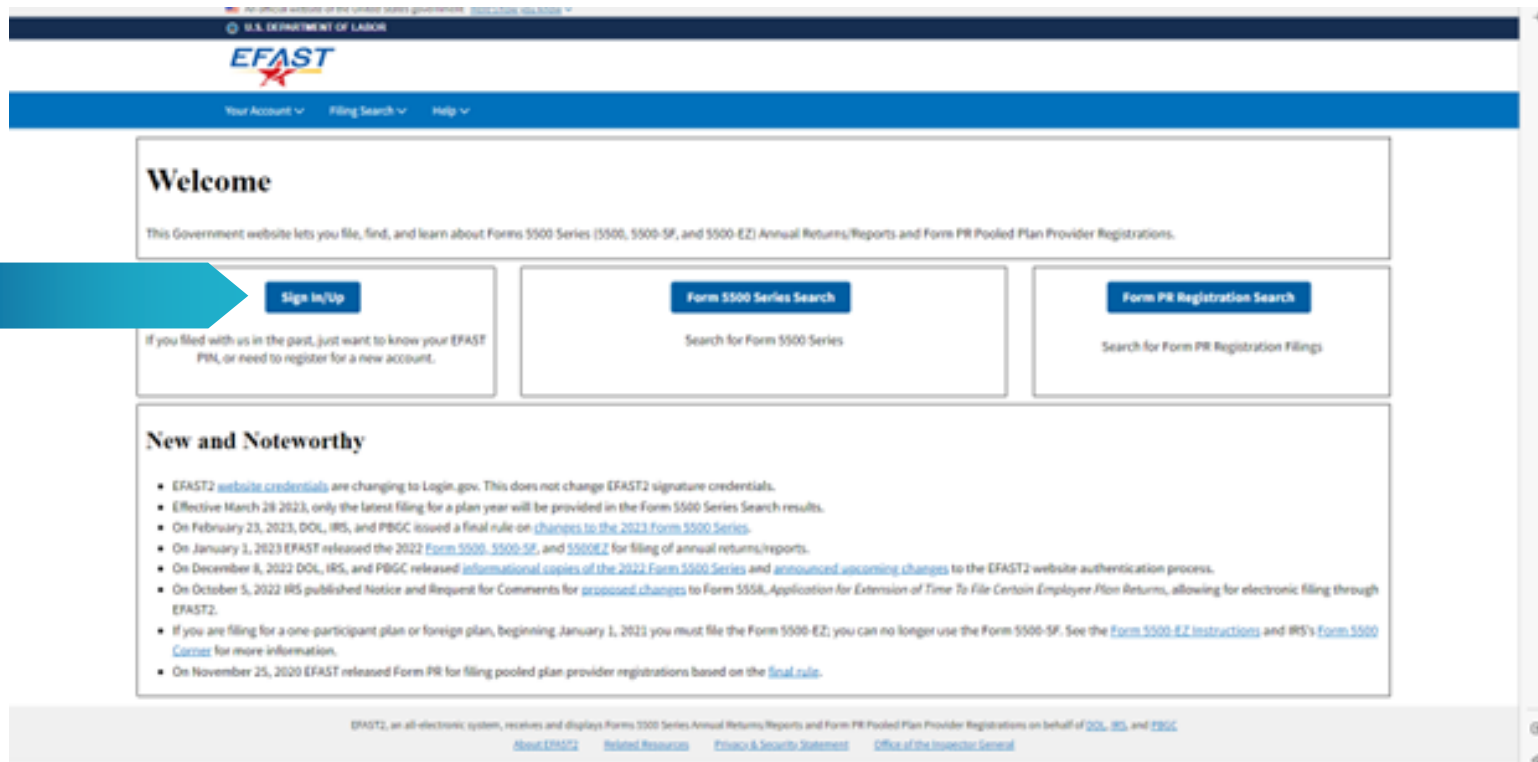
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# Credentials for Existing Filers - Step 1

Visit <http://www.efast.dol.gov/welcome.html> and select Sign In/Up.



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

### New and Noteworthy


- EFAST2 [website credentials](#) are changing to Login.gov. This does not change EFAST2 signature credentials.
- Effective March 28 2023, only the latest filing for a plan year will be provided in the Form 5500 Series Search results.
- On February 23, 2023, DOL, IRS, and PBGC issued a final rule on [changes to the 2023 Form 5500 Series](#).
- On January 1, 2023 EFAST released the 2022 [Form 5500](#), [5500-SF](#), and [5500-EZ](#) for filing of annual returns/reports.
- On December 8, 2022 DOL, IRS, and PBGC released [informational copies of the 2022 Form 5500 Series](#) and [announced upcoming changes](#) to the EFAST2 website authentication process.
- On October 5, 2022 IRS published Notice and Request for Comments for [proposed changes](#) to Form 5558, *Application for Extension of Time To File Certain Employee Plan Returns*, allowing for electronic filing through EFAST2.
- If you are filing for a one-participant plan or foreign plan, beginning January 1, 2023 you must file the Form 5500-EZ; you can no longer use the Form 5500-SF. See the [Form 5500-EZ Instructions](#) and IRS's [Form 5500 Corner](#) for more information.
- On November 25, 2020 EFAST released Form PR for filing pooled plan provider registrations based on the [final rule](#).

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 [PBGC](#).

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

# Credentials for Existing Filers - Step 2

Choose to sign in with Login.gov or to continue using EFAST2 until September 1, 2023.



U.S. DEPARTMENT OF LABOR

**EFAST**

Your Account ▾ Filing Search ▾ Help ▾

### EFAST2 Login

[Sign in with LOGIN.GOV](#)

OR

User ID  
[Copy User ID](#)

Password  
[Copy Password](#)

[Login](#)

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

Using Login.gov is the preferred way to sign in to the EFAST2 website.  
You can create a new EFAST2 account by selecting Sign in with Login.gov.

If you have an existing EFAST2 account and do not wish to use Login.gov, you can try to sign with your EFAST2 User ID and Password.  
However, this option is being [phased out](#).

EFAST2, an all-electronic system, receives and displays Forms 5500 Series Annual Returns/Reports and Form 990 Pooled Plan Provider Registration on behalf of DOL, IRS, and CBDO

[About EFAST2](#) [EFAST2 Resources](#) [EFAST2 A Search Statement](#) [EFAST2 of Investor Contact](#)

## Credentials for Existing Filers - Step 3

Everyone who chooses Login.gov will be brought to the Login.gov website. Enter your existing credentials and click Log In.

The screenshot shows the EFAST2 Login interface. At the top, there is a header with the U.S. Department of Labor logo and the EFAST logo. Below the header, there is a navigation bar with links for "Your Account", "Filing Search", and "Help". The main content area is titled "EFAST2 Login" and contains a sign-in form. The form has two columns. The left column contains a "Sign in with LOGIN.GOV" button, an "OR" separator, and input fields for "User ID" (with a "Copy User ID" link), "Password" (with a "Copy Password" link), and a "Login" button. A large blue arrow points to the "Login" button. The right column contains explanatory text: "Using Login.gov is the preferred way to sign in to the EFAST2 website. You can create a new EFAST2 account by selecting Sign in with Login.gov." and "If you have an existing EFAST2 account and do not wish to use Login.gov, you can try to sign with your EFAST2 User ID and Password. However, this option is being phased out." At the bottom of the form, there is a link to the "EFAST2 Privacy Statement, updated June 27, 2020". The footer of the page contains the text: "EFAST2, an all-electronic system, receives and displays Forms 990 Series Annual Returns/Reports and Form 990 Elected Plan Provider Registration on behalf of DOL, IRS, and CBDO" and links for "About EFAST2", "EFAST2 Resources", "Privacy & Security Statement", and "Office of Investor Counsel".

## Credentials for Existing Filers - Step 4

You will be brought to the Login.gov site where you will link your existing EFAST2 credentials by entering them into the fields provided.

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

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

Email address

Password

Show password

**Sign in**

[First time using Login.gov?](#)

## Credentials for Existing Filers - Step 5

After logging in, you will soon receive an email from Login.gov to confirm your contact information.



### 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](#)

## Credentials for Existing Filers - Step 5a

From there you will be asked to add an additional level of security to your data.

### Authentication method setup

Add another layer of security by selecting a multi-factor authentication method. We recommend you select at least (2) two different options in case you lose one of your methods.



#### Security key

A physical device, often shaped like a USB drive, that you plug in to your device.



#### Government employee ID

PIV/CAC cards for government and military employees. Desktop only.

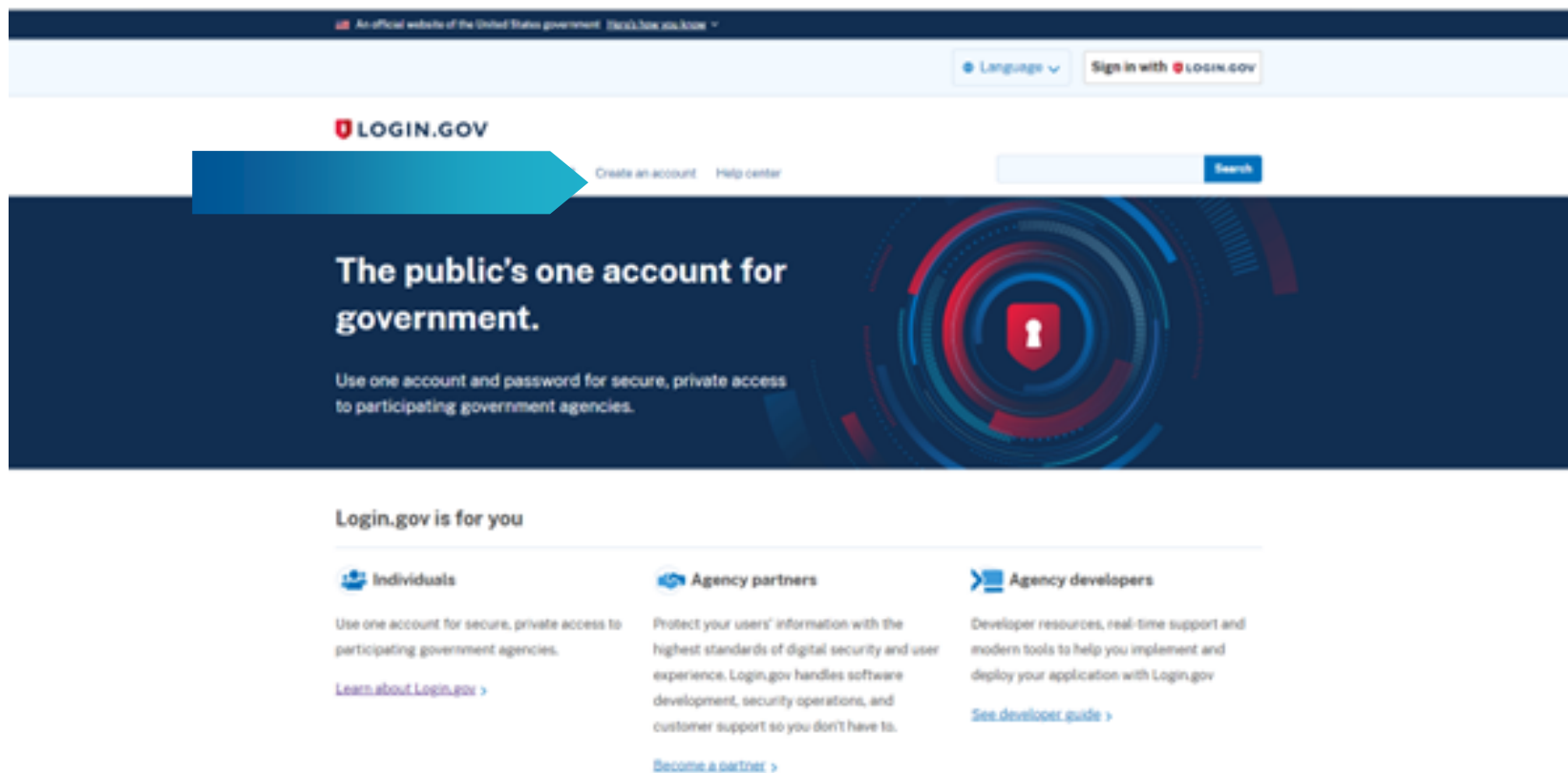
## Credentials for Existing Filers - Step 6

You will finish syncing your EFAST2 data to your Login.gov account on this final screen.

The screenshot shows the EFAST2 interface. At the top, there is a dark blue header with the U.S. Department of Labor logo and the EFAST logo. Below this is a blue navigation bar with links for 'Your Account', 'Filing Search', and 'Help'. The main content area is titled 'Your Existing EFAST2 Accounts' and contains the following text: 'We found multiple EFAST2 accounts that match your Login.gov credentials. Please select which EFAST2 account you want to use:'. There is a radio button selected next to the text 'Account Id: Email:'. At the bottom, there are two buttons: 'Exit' and 'Continue'.

# Credentials for New Filers - Step 2

If you have never set up Filing Credentials, please visit [Login.gov](https://login.gov) and click **Create Account**.





# Credentials for New Filers - Step 3

Read through the information on the page to better understand the process and click once more on **Create an account** at the bottom of the page.



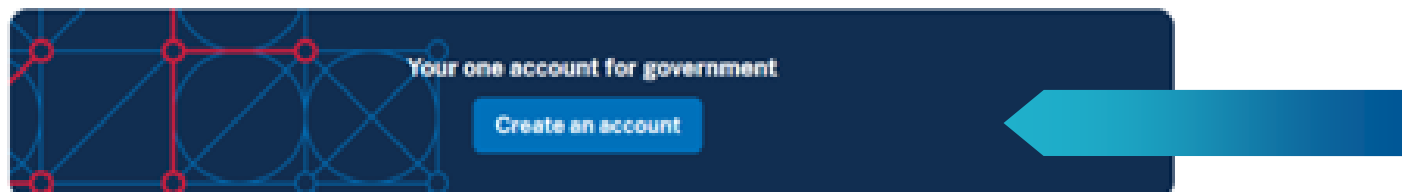
## 2. Secure password

- Passwords must be at least 12 characters and should not include commonly used words or phrases.



## 3. One or more authentication methods such as:

- **More secure**
  - Security Key
  - Authentication application
  - Federal government employee or military identification (PIV/CAC)
- **Less secure**
  - SMS/Text messages
  - Backup codes



## Credentials for New Filers - Step 4

On the next screen, enter your email address and preferred language, then check the box for Rules of Use and click Submit.

**LOGIN.GOV**

### 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**

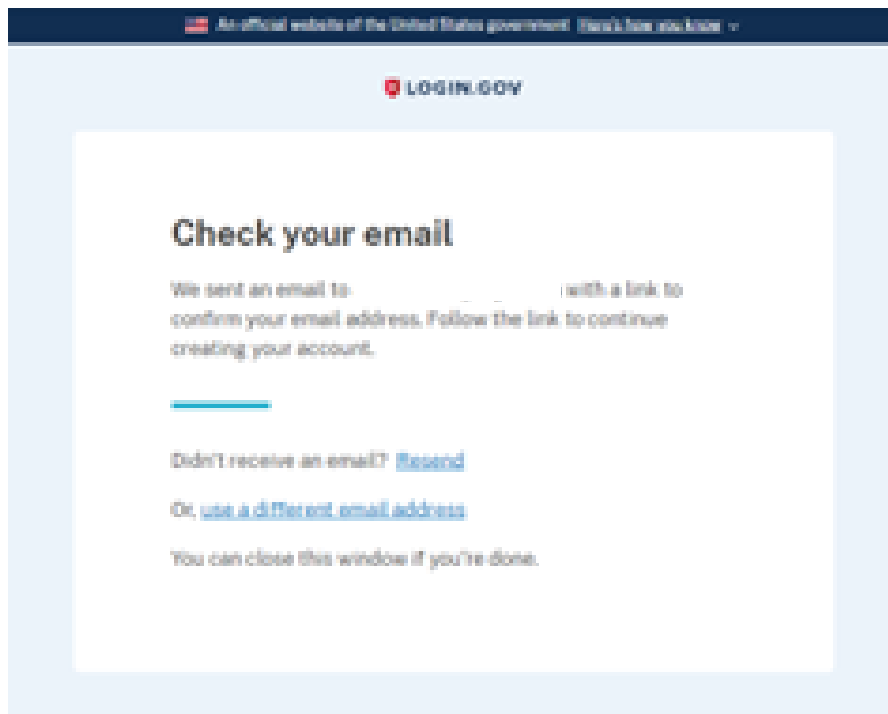
[Cancel](#)

[Security Practices and Privacy Act Statement](#)

[Privacy Act Statement](#)

## Credentials for New Filers - Step 5

At this point, you will be prompted to check your email in order to confirm your email address. Follow the link provided in the email to continue creating your account.



# Form 5500/5500-SF/5500EZ E-Filing

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## Instructions

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## Initial Communication

All “5500” email addresses on file for the plan will receive **two** emails from the Program when the Form is ready for review.

**1. The first email will include a link to the Web-based application:**

<https://www.sgc02.com/5500Client/?id=NTYw-3Y+B/olz13c=Z>

It will also include a summary of the actions needed to access the Form for review, approval and electronic filing directly with the Department of Labor

**2. The second email will include the User Name(s) for the “5500” email address on file, as well as the information detailed above.**

# Log in Page



**ABA RETIREMENT FUNDS PROGRAM**

User Name: John.Doe\_123      Password: ●●●●●●      Log In

[Forgot Password?](#)

### Welcome...

To the ABA Retirement Funds Program e-file website, designed to assist you with filing your firm's Form 990 and Schedules through the Department of Labor's EFAST2 system. With the exception of one-person plans, all plans are required to file electronically. Please log in above.

Form 8955-SSA can be filed electronically. If your plan is required to file a Form 8955-SSA form, please log in and upload it at this site so that you may file it electronically. Please note it is filed separately from the Form 5500.

Form 5558 (Application for Extension) will be produced and uploaded here as well for you. The Program will not file Form 5558 on your firm's behalf.

If you have any questions or are uncertain, please contact us through Friday, 8 AM to 8 PM Eastern time.

When you click on the link provided to you in the email notification, it will take you to the login page. Enter the User Name that was provided to log in, as well as your password (no longer provided with the filing notification).

*You may want to save the URL to your "Favorites" and use Google Chrome as the browser so you can save your username and password for future logons.*

# User Information Page



The screenshot shows a web browser window titled "Login - Microsoft Internet Explorer provided by CitiStreet ID". The address bar shows the URL: <https://www.sgc02.com/5500Client/Login2.aspx?migrate=True&user=kathryn.chandler>. The page header displays "ABA RETIREMENT FUNDS PROGRAM" and "Welcome back, kathryn.chandler Logout".

The main content area is titled "User Information" and contains the following form fields:

- User Name:
- First Name:  \*
- Last Name:  \*
- E-mail:  \*
- Password:  \*
- Confirm Password:  \*
- Security Question 1:
- Security Answer 1:  \*
- Security Question 2:
- Security Answer 2:  \*
- Security Question 3:
- Security Answer 3:

\* Fields denoted with an asterisk are required.

If you have questions or concerns about your Form 5500 or e-file, Please call our Plan Administrator Line at (800) 752-6313, Monday through Friday, 8 Am to 8 PM Eastern time.

First time users will be brought to the User Information page which will be pre-filled with your user name and email address.

You will need to enter your First and Last Name, choose a Password and select three Security Questions. When you are finished, click "Update Profile."

# Home Page



Welcome Ann Kotfica (edit) Log Out ? (Print Queue)

## ABA Retirement Funds Program

ABA Retirement Funds

### Plan Selection

Form year: 2018

Page size: 10 1 items in 1 pages

| Plan Name                             | EIN       | Plan # | Plan Year End Date | Form Status | EFAST Filing Status | 8955-SSA Filing Status |
|---------------------------------------|-----------|--------|--------------------|-------------|---------------------|------------------------|
| <a href="#">SAMPLE PLAN FAKE PLAN</a> | 999999999 | 001    | 12/31/2018         | Published   | Not Filed           |                        |

#### Instructions

Welcome to the Form 5500 Filing System - Web Client. As you can see, there are many changes to the user interface and we hope you will find it easier to use. You will find an instruction sheet on just about every page to guide you through the filing process. You can return to this page at any time by clicking on the "home" icon located in the top left corner of every page. In addition, there is a User's Guide that you can access by clicking on "?" at the top of the screen.

This is the Plan Selection screen. The table below shows the plans that have been published for you. To begin the filing process, click on the plan name. That will take you to the Plan Selection screen. From the Plan Selection screen, click on the plan name. That will take you to the Plan Selection screen.

Please Note: The filing deadline for the 5500-SF is 12/31/2018. So if (for example) your plan year ends on December 31, you must file the 5500-SF by 12/31/2018.

**The Program will request an extension of time to file a partially completed Form 5558 if you wish to file the 5558, and mail it to:**

If you have questions about this website, your Form 5500, or are uncertain about your login ID, please call our Plan Administrator Line at (800) 752-6313, Monday through Friday, 8 AM to 8 PM Eastern Time.

From the home page, you will be able to access your Form 5500-SF (or 5500, Schedules and attachments) by clicking on the Plan Name.



# Accessing Your User Profile

Click on “Welcome (your name).” This will bring you to the User Profile screen. The first tab you will see is the **User Profile** tab. On this tab, your user name and email address will be pre-filled. You will be able to update your first and last name if necessary. Once you are finished, click **Update** to save any changes.

Welcome Lisa Fama (edit) Log Out ? (Print Queue)

## ABA RETIREMENT FUNDS PROGRAM

ABA Retirement Funds™

**Plan Summary** SAMPLE RETIREMENT PROFIT SHARING PLAN

EIN: 01-2345678 Plan #: 001 Plan ID: SAMPLE Plan Year End: 12/31/2012 Form Year: 2012 Plan Year: 2012

## ABA RETIREMENT FUNDS PROGRAM

ABA Retirement Funds™

Main Plan Management Organization Management Help

Welcome back, ABA\_RF\_Program Logout

User Profile User Settings Security Settings IREG Credentials

**User Information**

Username: ABA\_RF\_Program

E-mail Address: efile@abaretirement.com \*

First Name: EFile \*

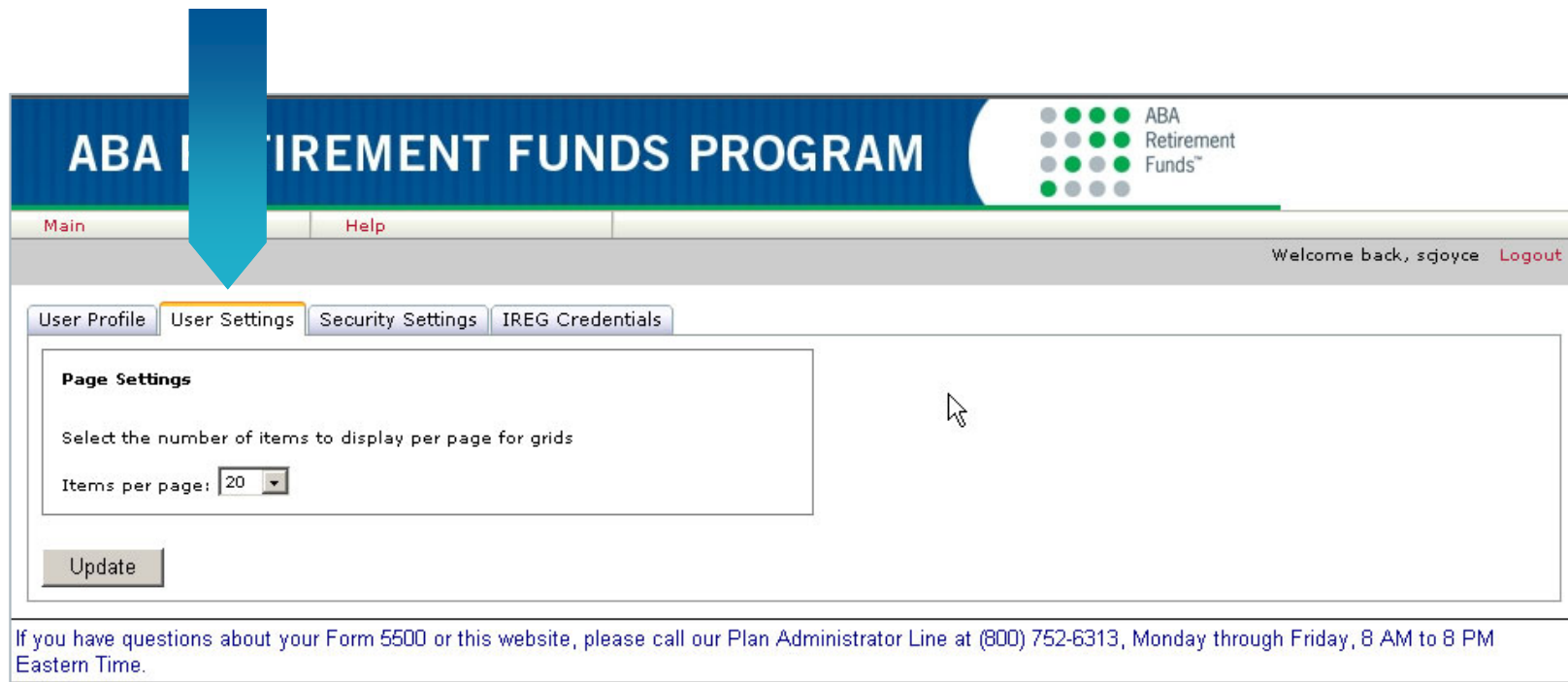
Last Name: ABA RF Program \*

*\* Fields denoted with an asterisk are required*

Update

# User Settings

The next tab is the **User Settings** tab. This tab will allow you to control the number of line items you will be able to view when looking at the information about your plan. Click on the drop down box next to **Items per page** and choose the number of items you would like to view. Then click **Update** to save your changes.



ABA RETIREMENT FUNDS PROGRAM

Main Help

Welcome back, sjoyce [Logout](#)

User Profile **User Settings** Security Settings IREG Credentials

**Page Settings**

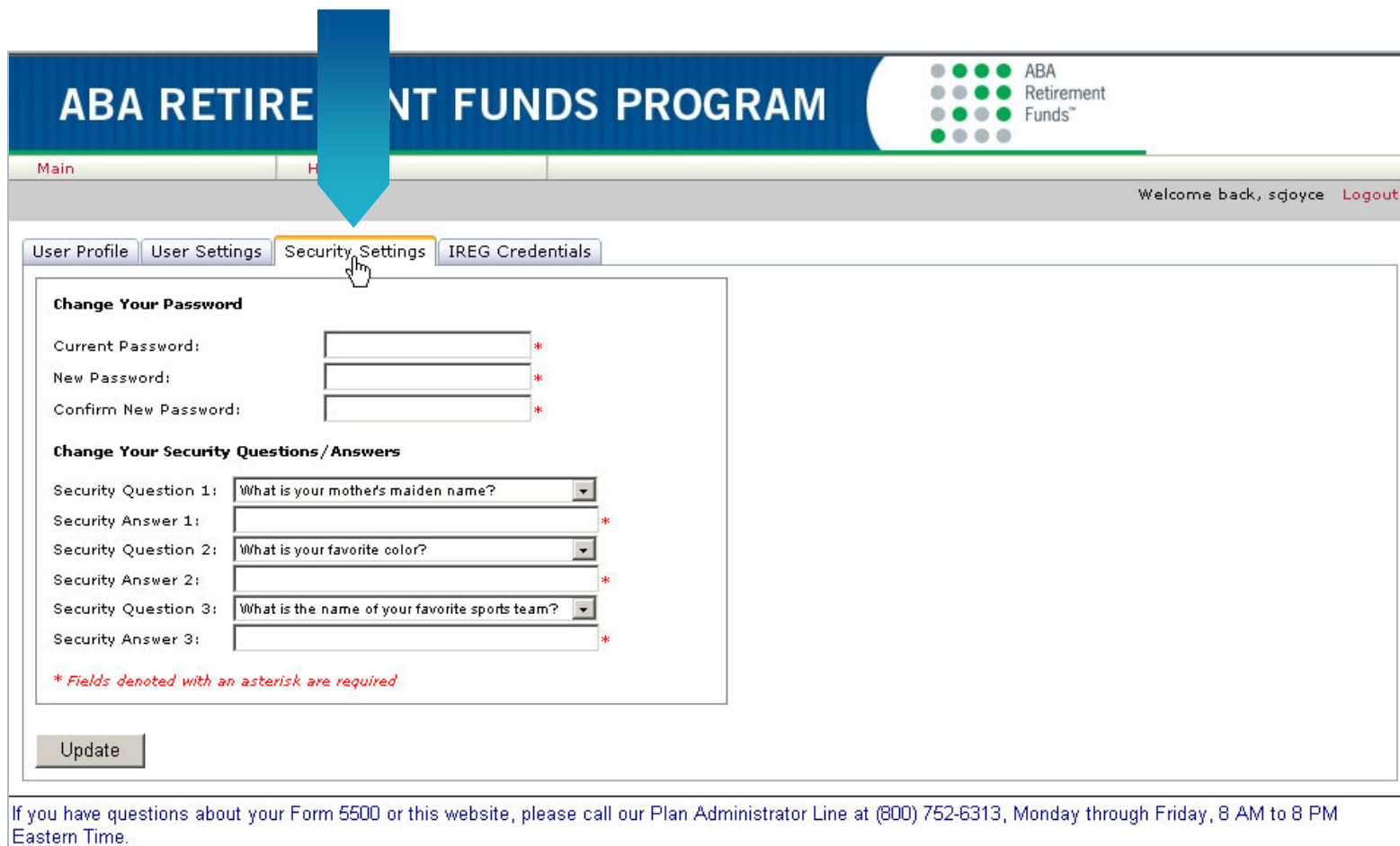
Select the number of items to display per page for grids

Items per page:

If you have questions about your Form 5500 or this website, please call our Plan Administrator Line at (800) 752-6313, Monday through Friday, 8 AM to 8 PM Eastern Time.

# Security Settings

The **Security Settings** tab will allow you to change your password. To do this, enter your current password and new password. Next, confirm your new password. You will also be able to change your security questions and answers below as well. Click on **Update** to save any changes.



**ABA RETIREMENT FUNDS PROGRAM**

Main Home

Welcome back, sjoyce [Logout](#)

User Profile User Settings **Security Settings** IREG Credentials

**Change Your Password**

Current Password:  \*

New Password:  \*

Confirm New Password:  \*

**Change Your Security Questions / Answers**

Security Question 1:  \*

Security Answer 1:  \*

Security Question 2:  \*

Security Answer 2:  \*

Security Question 3:  \*

Security Answer 3:  \*

*\* Fields denoted with an asterisk are required*

If you have questions about your Form 5500 or this website, please call our Plan Administrator Line at (800) 752-6313, Monday through Friday, 8 AM to 8 PM Eastern Time.

# IREG Credentials



This tab allows you to store your Internet Registration (IREG) Credentials.

Electronic credentials must be obtained directly from the DOL to complete the signature process. If you have already obtained your IREG Credentials through the DOL, you are able to store your IREG User ID and IREG PIN on this page. Click on **Update** to save your information and go back to the home page.

The screenshot shows the ABA Retirement Funds Program website interface. At the top, there is a blue header with the text "ABA RETIREMENT FUNDS PROGRAM" and the logo. Below the header, there is a navigation bar with "Main" and "Help" links. A user is logged in, with the text "Welcome back, sjoyce" and a "Logout" link. The main content area has four tabs: "User Profile", "User Settings", "Security Settings", and "IREG Credentials". The "IREG Credentials" tab is selected and highlighted. Below the tabs, there is a form titled "IREG Credentials" with three input fields: "IREG User ID:", "IREG PIN:", and "Confirm IREG PIN:". Below the form is an "Update" button. A large blue arrow points to the "IREG Credentials" tab. At the bottom of the page, there is a footer with the text: "If you have questions about your Form 5500 or this website, please call our Plan Administrator Line at (800) 752-6313, Monday through Friday, 8 AM to 8 PM Eastern Time."

# Form 5500/5500-SF/5500EZ E-Filing

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## Accessing Your Form 5500/5500-SF/5500EZ

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# Accessing Your Form 5500/5500-SF/5500EZ



To get back to the home page, press the “house” icon in the upper left corner. Then, in the **Form Year** drop down menu, choose the **Plan Year** being filed. **Then click on the plan name.**

The screenshot shows the ABA Retirement Funds Program web client interface. At the top, there is a navigation bar with a home icon, the text "Welcome Ann Kotfica (edit) Log Out", and a help icon. Below this is a banner for the "ABA Retirement Funds Program". The main content area is titled "Plan Selection" and includes a "Form year:" dropdown menu set to "2018". Below the dropdown is a table with the following data:

| Plan Name                             | EIN       | Plan # | Plan Year End Date | Form Status | EFAST Filing Status | 8955-SSA Filing Status |
|---------------------------------------|-----------|--------|--------------------|-------------|---------------------|------------------------|
| <a href="#">SAMPLE PLAN FAKE PLAN</a> | 999999999 | 001    | 12/31/2018         | Published   | Not Filed           |                        |

Below the table is an "Instructions" section with the following text:

Welcome to the Form 5500 filing system - Web Client. As you can see, there are many changes to the user interface and we hope you will find it easier to use. You will find an instruction pane like this one on just about every page to guide you through the filing process. You can return to this page at any time by clicking on the "home" icon located at the top left corner of every page. In addition, there is a User's Guide that you can access by clicking on "?" at the top of the screen.

This is the Plan Selection screen. You can see the details and the current statuses of each plan that has been published for you. To begin the filing process, find the plan you want to work with. Make sure the appropriate Form Year is reflected in the dropdown on the right, then click on the plan name. That will take you to the Plan Summary page where you will begin the filing process.

Please Note: The **filing deadline** is the last day of the seventh month following your plan year end. So if (for example) your plan year ends on December 31, your filing deadline is July 31 of the following year.

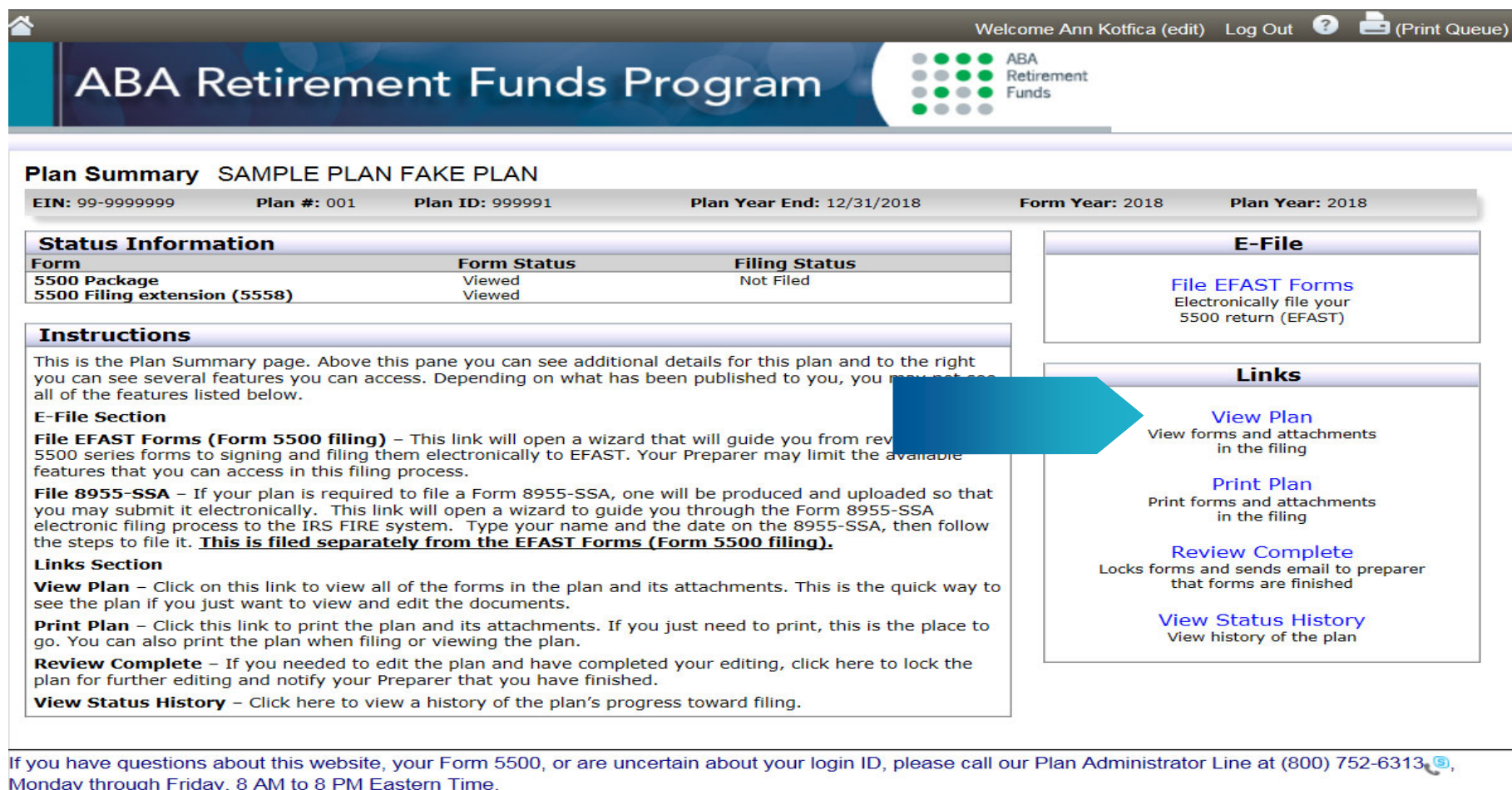
**The Program will not file an extension on your firm's behalf. This year, we've included a partially completed Form 5558 if you wish to request an extension of your filing deadline.** To request the extension, print, sign and date the 5558, and mail it to:

Department of the Treasury  
Internal Revenue Service Center  
Ogden, UT 84201-0045

At the bottom of the page, there is a footer with contact information: "If you have questions about this website, your Form 5500, or are uncertain about your login ID, please call our Plan Administrator Line at (800) 752-6313, Monday through Friday, 8 AM to 8 PM Eastern Time."

# Viewing Your 5500/5500-SF/5500EZ

You will be brought to a page that lists the Form 5500/5500-SF/5500EZ that has been prepared for your plan. To access the prepared schedules, click “**View Plan**” and click on the form or schedule you would like to review on the far right side of the screen.



Welcome Ann Kotfica (edit) Log Out (Print Queue)

## ABA Retirement Funds Program

**Plan Summary** SAMPLE PLAN FAKE PLAN

EIN: 99-9999999 Plan #: 001 Plan ID: 999991 Plan Year End: 12/31/2018 Form Year: 2018 Plan Year: 2018

| Status Information           |             |               |
|------------------------------|-------------|---------------|
| Form                         | Form Status | Filing Status |
| 5500 Package                 | Viewed      | Not Filed     |
| 5500 Filing extension (5558) | Viewed      |               |

**E-File**

[File EFAST Forms](#)  
Electronically file your 5500 return (EFAST)

**Links**

[View Plan](#)  
View forms and attachments in the filing

[Print Plan](#)  
Print forms and attachments in the filing

[Review Complete](#)  
Locks forms and sends email to preparer that forms are finished

[View Status History](#)  
View history of the plan

**Instructions**

This is the Plan Summary page. Above this pane you can see additional details for this plan and to the right you can see several features you can access. Depending on what has been published to you, you may not see all of the features listed below.

**E-File Section**

**File EFAST Forms (Form 5500 filing)** – This link will open a wizard that will guide you from reviewing 5500 series forms to signing and filing them electronically to EFAST. Your Preparer may limit the available features that you can access in this filing process.

**File 8955-SSA** – If your plan is required to file a Form 8955-SSA, one will be produced and uploaded so that you may submit it electronically. This link will open a wizard to guide you through the Form 8955-SSA electronic filing process to the IRS FIRE system. Type your name and the date on the 8955-SSA, then follow the steps to file it. **This is filed separately from the EFAST Forms (Form 5500 filing).**

**Links Section**

**View Plan** – Click on this link to view all of the forms in the plan and its attachments. This is the quick way to see the plan if you just want to view and edit the documents.

**Print Plan** – Click this link to print the plan and its attachments. If you just need to print, this is the place to go. You can also print the plan when filing or viewing the plan.

**Review Complete** – If you needed to edit the plan and have completed your editing, click here to lock the plan for further editing and notify your Preparer that you have finished.

**View Status History** – Click here to view a history of the plan’s progress toward filing.

If you have questions about this website, your Form 5500, or are uncertain about your login ID, please call our Plan Administrator Line at (800) 752-6313, Monday through Friday, 8 AM to 8 PM Eastern Time.

# Viewing Your 5500/5500-SF/5500EZ



You will be asked if you would like to **view** the form/schedule or **edit** it. By clicking View (or Edit, if available), you are able to view (and edit) each of these schedules. Please be sure to review each of your schedules for accuracy and communicate any necessary changes to the Program. **All changes must be made before filing your Form electronically with the DOL.**

Welcome Ann Kotfica (edit) Log Out ? (Print Queue)

## ABA Retirement Funds Program

**Plan Details** SAMPLE PLAN FAKE PLAN

EIN: 99-9999999 Plan #: 001 Plan ID: 999991 Plan Year End: 12/31/2018 Form Year: 2018 Plan Year: 2018

### Forms

| Forms | Name      | Actions                                   |
|-------|-----------|-------------------------------------------|
|       | Plan Info | <a href="#">View</a> <a href="#">Edit</a> |
|       | 5500-SF   | <a href="#">View</a> <a href="#">Edit</a> |
|       | 5558      | <a href="#">View</a> <a href="#">Edit</a> |

[Print](#)

### Attachments

[Add New EFAST Attachment](#) [Add Other Attachment](#)

| Select                   | Type   | Form/Schedule                               | Item # | Description | Size |
|--------------------------|--------|---------------------------------------------|--------|-------------|------|
| <input type="checkbox"/> | Global | SAR (Pension) (Web).rtf                     |        |             | 0.1  |
| <input type="checkbox"/> | Global | 5500EfilingCredentialsInstructions_2016.pdf |        |             | 0.3  |
| <input type="checkbox"/> | Global | Form-5500-eFile-Instructions_2016.pdf       |        |             | 3.8  |

[View](#) [Update](#) [Delete](#)



# Viewing Your 5500/5500-SF/5500EZ



This is a sample of what the Form will look like when viewed through this application. All fields have been opened for editing, such as participant count, or whether you are filing under extension, or the amount of your fidelity bond.

Home
Welcome Ann Kotfica (edit) Log Out ? (Print Queue)

## ABA Retirement Funds Program

Form ▾
Edit ▾
Help ▾

|                                                                                                                                                                                                                                                                                                                                                                                                                            |                                                                                                                                                                                                                                                                                                                                                                                                                     |                                                                                                                                                                   |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p><b>Form 5500-SF</b></p> <p style="font-size: small;">Department of the Treasury<br/>Internal Revenue Service</p> <hr/> <p style="font-size: small;">Department of Labor<br/>Employee Benefits Security Administration</p> <hr/> <p style="font-size: small;">Pension Benefit Guaranty Corporation</p>                                                                                                                   | <p><b>Short Form Annual Return/Report of Small Employee Benefit Plan</b></p> <p style="font-size: small;">This form is required to be filed under sections 104 and 4065 of the Employee Retirement Income Security Act of 1974 (ERISA), and sections 6057(b) and 6058(a) of the Internal Revenue Code (the Code).</p> <p>▶ <b>Complete all entries in accordance with the instructions to the Form 5500-SF.</b></p> | <p>OMB Nos. 1210-0110<br/>1210-0089</p> <hr/> <p style="font-size: large; font-weight: bold;">2018</p> <hr/> <p><b>This Form is Open to Public Inspection</b></p> |
| <p><b>Part I Annual Report Identification Information</b></p> <p>For calendar plan year 2018 or fiscal plan year beginning <span style="background-color: blue; color: white;">01/01/2018</span> and ending <span style="background-color: blue; color: white;">12/31/2018</span></p>                                                                                                                                      |                                                                                                                                                                                                                                                                                                                                                                                                                     |                                                                                                                                                                   |
| <p><b>A</b> This return/report is for:</p> <p><input checked="" type="checkbox"/> a single-employer plan      <input type="checkbox"/> a multiple-employer plan (not multiemployer) ( Filers checking this box must attach a list of participating employer information in accordance with the form instructions.)</p> <p><input type="checkbox"/> a one-participant plan      <input type="checkbox"/> a foreign plan</p> |                                                                                                                                                                                                                                                                                                                                                                                                                     |                                                                                                                                                                   |
| <p><b>B</b> This return/report is</p> <p><input type="checkbox"/> the first return/report      <input type="checkbox"/> the final return/report</p> <p><input type="checkbox"/> an amended return/report      <input type="checkbox"/> a short plan year return/report (less than 12 months)</p>                                                                                                                           |                                                                                                                                                                                                                                                                                                                                                                                                                     |                                                                                                                                                                   |
| <p><b>C</b> Check box if filing under:</p> <p><input type="checkbox"/> Form 5558      <input type="checkbox"/> automatic extension      <input type="checkbox"/> DFVC program</p> <p><input type="checkbox"/> special extension (enter description) <input type="text"/></p>                                                                                                                                               |                                                                                                                                                                                                                                                                                                                                                                                                                     |                                                                                                                                                                   |
| <p><b>Part II Basic Plan Information</b>—enter all requested information</p>                                                                                                                                                                                                                                                                                                                                               |                                                                                                                                                                                                                                                                                                                                                                                                                     |                                                                                                                                                                   |
| <p><b>1a</b> Name of plan</p> <div style="background-color: blue; color: white; padding: 2px;">SAMPLE PLAN FAKE PLAN</div>                                                                                                                                                                                                                                                                                                 | <p><b>1b</b> Three-digit plan number (PN) ▶</p> <div style="background-color: blue; color: white; padding: 2px;">001</div>                                                                                                                                                                                                                                                                                          | <p><b>1c</b> Effective date of plan</p> <div style="background-color: blue; color: white; padding: 2px;">01/01/1990</div>                                         |

# Viewing Your 5500/5500-SF/5500EZ



To return to a listing of the schedules prepared for your plan, click on **Form** from the menu on the far left of the screen. Then click on “**Open Other Forms in Plan.**” To return to the page listing all of the filings associated with your plan, click on “**Close Form.**”

Welcome Ann Kotfica (edit) Log Out ? (Print Queue)

## ABA Retirement Funds Program

Form

|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                                                                                                                                                                                                                                                                                                                                                                                           |                                                                                                                                                                   |                                                                   |                                                                   |                                                                  |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------|-------------------------------------------------------------------|------------------------------------------------------------------|
| <p><b>Form 5500-SF</b></p> <p>Department of the Treasury<br/>Internal Revenue Service</p> <hr/> <p>Department of Labor<br/>Employee Benefits Security Administration<br/>Pension Benefit Guaranty Corporation</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      | <p><b>Short Form Annual Return/Report of Small Employee Benefit Plan</b></p> <p>This form is required to be filed under sections 104 and 4065 of the Employee Retirement Income Security Act of 1974 (ERISA), and sections 6057(b) and 6058(a) of the Internal Revenue Code (the Code).</p> <p>▶ <b>Complete all entries in accordance with the instructions to the Form 5500-SF.</b></p> | <p>OMB Nos. 1210-0110<br/>1210-0089</p> <hr/> <p style="font-size: 1.2em; font-weight: bold;">2018</p> <hr/> <p><b>This Form is Open to Public Inspection</b></p> |                                                                   |                                                                   |                                                                  |
| <p><b>Part I Annual Report Identification Information</b></p> <p>For calendar plan year 2018 or fiscal plan year beginning <b>01/01/2018</b> and ending <b>12/31/2018</b></p> <p><b>A</b> This return/report is for:</p> <p><input checked="" type="checkbox"/> a single-employer plan      <input type="checkbox"/> a multiple-employer plan (not multiemployer) ( Filers checking this box must attach a list of participating employer information in accordance with the form instructions.)</p> <p><input type="checkbox"/> a one-participant plan      <input type="checkbox"/> a foreign plan</p> <p><b>B</b> This return/report is</p> <p><input type="checkbox"/> the first return/report      <input type="checkbox"/> the final return/report</p> <p><input type="checkbox"/> an amended return/report      <input type="checkbox"/> a short plan year return/report (less than 12 months)</p> <p><b>C</b> Check box if filing under:</p> <p><input type="checkbox"/> Form 5558      <input type="checkbox"/> automatic extension      <input type="checkbox"/> DFVC program</p> <p><input type="checkbox"/> special extension (enter description) <input type="text"/></p> |                                                                                                                                                                                                                                                                                                                                                                                           |                                                                                                                                                                   |                                                                   |                                                                   |                                                                  |
| <p><b>Part II Basic Plan Information</b>—enter all requested information</p> <table border="1" style="width: 100%;"> <tr> <td style="width: 70%; vertical-align: top;"> <p><b>1a</b> Name of plan</p> <p><b>SAMPLE PLAN FAKE PLAN</b></p> </td> <td style="width: 10%; vertical-align: top;"> <p><b>1b</b> Three-digit plan number (PN) ▶</p> <p><b>001</b></p> </td> <td style="width: 20%; vertical-align: top;"> <p><b>1c</b> Effective date of plan</p> <p><b>01/01/1990</b></p> </td> </tr> </table>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |                                                                                                                                                                                                                                                                                                                                                                                           |                                                                                                                                                                   | <p><b>1a</b> Name of plan</p> <p><b>SAMPLE PLAN FAKE PLAN</b></p> | <p><b>1b</b> Three-digit plan number (PN) ▶</p> <p><b>001</b></p> | <p><b>1c</b> Effective date of plan</p> <p><b>01/01/1990</b></p> |
| <p><b>1a</b> Name of plan</p> <p><b>SAMPLE PLAN FAKE PLAN</b></p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      | <p><b>1b</b> Three-digit plan number (PN) ▶</p> <p><b>001</b></p>                                                                                                                                                                                                                                                                                                                         | <p><b>1c</b> Effective date of plan</p> <p><b>01/01/1990</b></p>                                                                                                  |                                                                   |                                                                   |                                                                  |

# Form 5500/5500-SF/5500EZ E-Filing

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## Managing Form Attachments

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# Managing Form Attachments



If you are a “full filer” with 100 or more participants, you will need to attach a copy of your independent auditor’s report. To add attachments to your 5500, click on “**Add New EFAST Attachment.**”

Home
Welcome Ann Kotfica (edit) Log Out ? (Print Queue)

## ABA Retirement Funds Program

**Plan Details** SAMPLE PLAN FAKE PLAN

|                 |             |                 |                           |                 |                 |
|-----------------|-------------|-----------------|---------------------------|-----------------|-----------------|
| EIN: 99-9999999 | Plan #: 001 | Plan ID: 999991 | Plan Year End: 12/31/2018 | Form Year: 2018 | Plan Year: 2018 |
|-----------------|-------------|-----------------|---------------------------|-----------------|-----------------|

**Forms**

| Forms     | Name | Actions                                   |
|-----------|------|-------------------------------------------|
| Plan Info |      | <a href="#">View</a> <a href="#">Edit</a> |
| 5500-SF   |      | <a href="#">View</a> <a href="#">Edit</a> |
| 5558      |      | <a href="#">View</a> <a href="#">Edit</a> |

[Print](#)

**Attachments**

[Add New EFAST Attachment](#)    [Add Other Attachment](#)

| Select                   | Type   | Form/Schedule                               | Item # | Description | Size |
|--------------------------|--------|---------------------------------------------|--------|-------------|------|
| <input type="checkbox"/> | Global | SAR (Pension) (Web).rtf                     |        |             | 0.1  |
| <input type="checkbox"/> | Global | 5500EfilingCredentialsInstructions_2016.pdf |        |             | 0.3  |
| <input type="checkbox"/> | Global | Form-5500-eFile-Instructions_2016.pdf       |        |             | 3.8  |

[View](#)    [Update](#)    [Delete](#)

# Adding an Attachment to Your 5500

You will be brought to a page with a listing of the attachments that may be included with your filing, where applicable. To add an attachment, put a check mark in the box next to the type of document you want to attach. Then click on **“Choose File,”** THEN, **“Upload.”**

| 5500                     | Plan        | Information                                                                                |
|--------------------------|-------------|--------------------------------------------------------------------------------------------|
| <input type="checkbox"/> | 5500 Sch. C | Part III Termination Information<br>Notice to Terminated Accountant or Enrolled Actuary    |
| <input type="checkbox"/> | 5500 Sch. H | Part III<br>Accountants Opinion                                                            |
| <input type="checkbox"/> | 5500 Sch. H | Line 3<br>Financial statements used in formulating the IQPA's opinion                      |
| <input type="checkbox"/> | 5500 Sch. H | Line 4i<br>Schedule of Assets (Held at End of Year)                                        |
| <input type="checkbox"/> | 5500 Sch. H | Line 4i<br>Schedule of Assets (Acquired and Disposed of Within Year)                       |
| <input type="checkbox"/> | 5500 Sch. H | Line 4j<br>5% Transaction Schedule - Schedule of Reportable Transactions                   |
| <input type="checkbox"/> | 5500 Sch. H | Line 4a<br>Schedule of Delinquent Participant Contributions                                |
| <input type="checkbox"/> | 5500 Sch. R | Part V<br>Summary of Funding Improvement Plan                                              |
| <input type="checkbox"/> | 5500 Sch. R | Part V<br>Summary of Rehabilitation Plan                                                   |
| <input type="checkbox"/> | 5500 Sch. R | Part V<br>Update of Funding Improvement Plan or Rehabilitation Plan                        |
| <input type="checkbox"/> | 5500 Sch. R | Line 13d<br>Collective Bargaining Agreement Expiration Date                                |
| <input type="checkbox"/> | 5500 Sch. R | Line 13e<br>Information on Contribution Rates and Base Units                               |
| <input type="checkbox"/> | 5500 Sch. R | Line 17<br>Information on Assets and Liabilities Transferred to or Merged with This Plan   |
| <input type="checkbox"/> | 5500 Sch. R | Line 18<br>Funded Percentage of Plans Contributing to the Liabilities of Plan Participants |

**Select File to Upload**

\* Required Field

File selected to upload:  No file chosen

## Adding an Attachment to Your 5500

- You will be brought to a screen where you will be able to find and upload the file(s) from your network directory.
- For example, if your plan has an audit requirement (generally plans over 100 participants), you must attach an accountant's opinion and related financial statements. The accountant's opinion must be on the accountant's letterhead (showing their address) and must be signed and attached in PDF format to your electronic filing.
- **The DOL requires that attachments to your filing be in PDF format.**

# Form 5500/5500-SF/5500EZ E-Filing

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## Approving Your Electronic Filing

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# Checklist



## You are almost ready to file.

Please ensure that the following steps have been taken before you proceed

**If applicable, all changes must be communicated directly to the Program.** We will then make the necessary corrections and republish the 5500/5500-SF/5500EZ (and any affected schedules) for your review. We will notify you when your revised forms are available via the email address on record.

- ✓ Have you attached all appropriate information to your 5500/5500-SF/5500EZ?
- ✓ If your plan has an audit requirement, you must attach an accountant's opinion (*this is not required for plans with less than 100 participants as of the beginning of the plan year*).
- ✓ All other attachments must be in PDF format
- ✓ Once you have reviewed your Form 5500/5500-SF/5500EZ and are ready to submit, you should print, sign and retain a hardcopy of the final version of your Form 5500/5500-SF/5500EZ for your records
- ✓ **Make sure no attachment contains confidential information like social security numbers**



# Form 5500/5500-SF/5500EZ E-Filing

E-Filing your Form with the Department of Labor (DOL)



# Electronic Filing (E-File)

You are now ready to file your Form 5500/5500-SF/5500EZ. In order to begin the electronic filing process, click on “**File EFast Forms**” from the “**E-File**” menu.

Welcome Ann Kotfica (edit) Log Out ? (Print Queue)

## ABA Retirement Funds Program

**Plan Summary** SAMPLE PLAN FAKE PLAN

EIN: 99-9999999 Plan #: 001 Plan ID: 999991 Plan Year End: 12/31/2018 Form Year: 2018 Plan Year: 2018

| Status Information           |             |               |
|------------------------------|-------------|---------------|
| Form                         | Form Status | Filing Status |
| 5500 Package                 | Viewed      | Not Filed     |
| 5500 Filing extension (5558) | Viewed      |               |

**E-File**

[File EFAST Forms](#)  
Electronically file your 5500 return (EFAST)

**Links**

[View Plan](#)  
View forms and attachments in the filing

[Print Plan](#)  
Print forms and attachments in the filing

[Review Complete](#)  
Locks forms and sends email to preparer that forms are finished

[View Status History](#)  
View history of the plan

**Instructions**

This is the Plan Summary page. Above this pane you can see additional details for this plan and to the right you can see several features you can access. Depending on what has been published to you, you may not see all of the features listed below.

**E-File Section**

**File EFAST Forms (Form 5500 filing)** – This link will open a wizard that will guide you from reviewing the 5500 series forms to signing and filing them electronically to EFAST. Your Preparer may limit the available features that you can access in this filing process.

**File 8955-SSA** – If your plan is required to file a Form 8955-SSA, one will be produced and uploaded so that you may submit it electronically. This link will open a wizard to guide you through the Form 8955-SSA electronic filing process to the IRS FIRE system. Type your name and the date on the 8955-SSA, then follow the steps to file it. **This is filed separately from the EFAST Forms (Form 5500 filing).**

**Links Section**

**View Plan** – Click on this link to view all of the forms in the plan and its attachments. This is the quick way to see the plan if you just want to view and edit the documents.

**Print Plan** – Click this link to print the plan and its attachments. If you just need to print, this is the place to go. You can also print the plan when filing or viewing the plan.

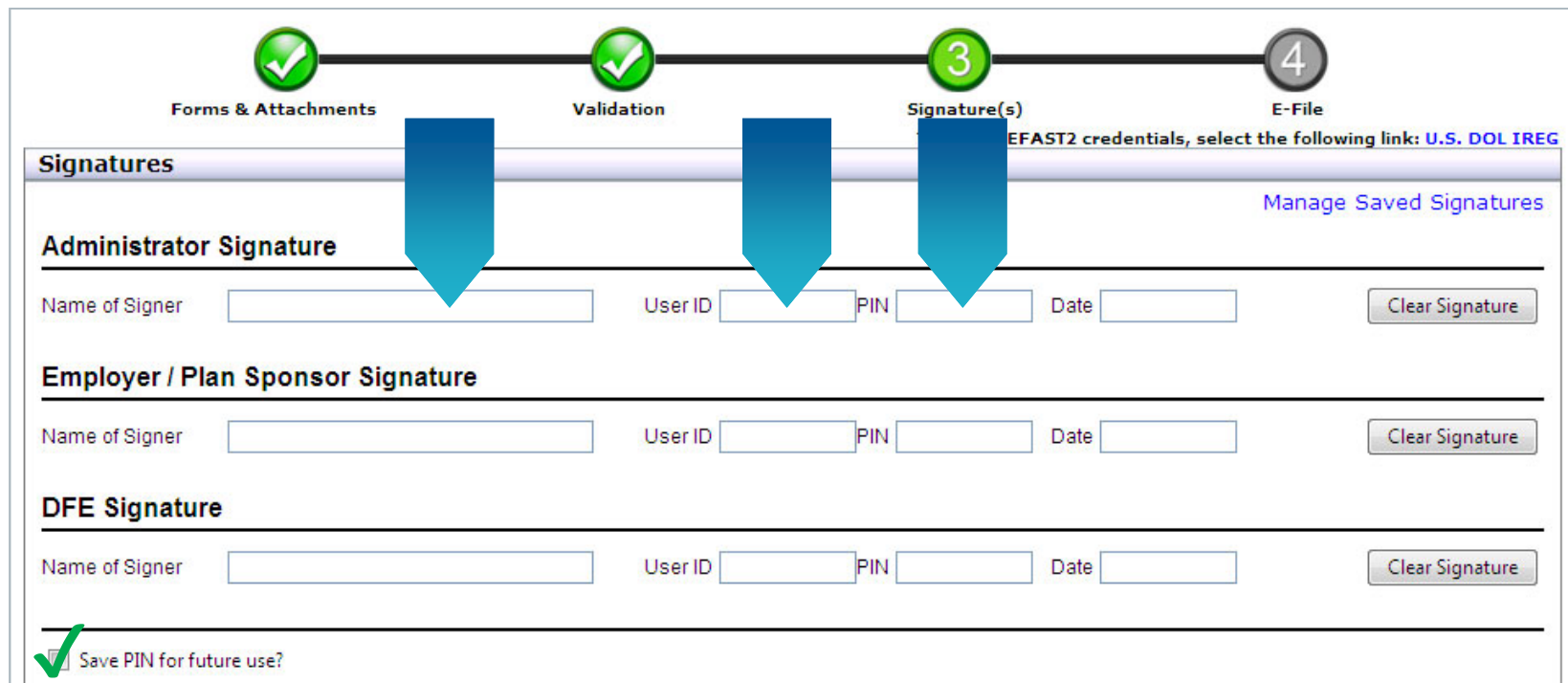
**Review Complete** – If you needed to edit the plan and have completed your editing, click here to lock the plan for further editing and notify your Preparer that you have finished.

**View Status History** – Click here to view a history of the plan’s progress toward filing.

If you have questions about this website, your Form 5500, or are uncertain about your login ID, please call our Plan Administrator Line at (800) 752-6313, Monday through Friday, 8 AM to 8 PM Eastern Time.

# Electronic Filing (E-File)

On this screen, you will enter your EFAST2 Signer credentials. Enter your name. If you have saved your IREG credentials to your User Profile, you can check the box for Administrator/Plan Sponsor and your User ID and PIN will be automatically filled out. Otherwise, you will have to manually enter your User ID and PIN.



Progress bar: 1 Forms & Attachments, 2 Validation, 3 Signature(s), 4 E-File

Signatures [Manage Saved Signatures](#)

EFAST2 credentials, select the following link: [U.S. DOL IREG](#)

**Administrator Signature**  
 Name of Signer  User ID  PIN  Date

**Employer / Plan Sponsor Signature**  
 Name of Signer  User ID  PIN  Date

**DFE Signature**  
 Name of Signer  User ID  PIN  Date

Save PIN for future use?

**Good Idea!**

# Electronic Filing (E-File)

After you have read and accepted the Signing Agreement, check the box “I have read this agreement.” The final step is to click the **Agree and Transmit** button to file. Note: If there are two people who will be signing the filing, the first signer will click **Agree and Save** to save their signature and wait for the second signer to sign their portion. Then click **Agree and Transmit** to file.

To obtain EFAST2 credentials, select the following link: [U.S. DOL IREG](#)

**Signatures** [Manage Saved Signatures](#)

---

**Administrator Signature**

Name of Signer  User ID  PIN  Date  Clear Signature

---

**Employer / Plan Sponsor Signature**

Name of Signer  User ID  PIN  Date  Clear Signature

---

**DFE Signature**

Name of Signer  User ID  PIN  Date  Clear Signature

---

Save PIN for future use?

**Signing Agreement**

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 the electronic version of this return/report and to the best of my knowledge and belief, it is true, correct, and complete.

I have read this agreement..

↓

Previous
Disagree and Cancel
Agree and Save
Agree and Transmit

# Form 5500/5500-SF/5500EZ E-Filing

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E-Filing your Form 8955-SSA (if applicable)

---



# Viewing the 8955-SSA



The 8955-SSA is only filed if you have participants with balances in the plan at the end of the year who terminated employment during the prior year. Otherwise, you are not required to file an 8955-SSA. To view your 8955-SSA, click on “**Forms in Plan,**” then select “**8955-SSA.**”

Welcome Ann Kofica (edit) Log Out (Print Queue)

## ABA Retirement Funds Program

**Plan Summary** SAMPLE PLAN FAKE PLAN

EIN: 99-9999999 Plan #: 001 Plan ID: 999991 Plan Year End: 12/31/2018 Form Year: 2018 Plan Year: 2018

| Form                         | Form Status | Filing Status |
|------------------------------|-------------|---------------|
| 5500 Package                 | Published   | Not Filed     |
| 8955-SSA filing              | Published   | Not Filed     |
| 5500 Filing extension (5558) | Published   |               |

### Status Information

### Instructions

This is the Plan Summary page. Above this pane you can see additional details for this plan and to the right you can see several features you can access. Depending on what has been published to you, you may not see all of the features listed below.

#### E-File Section

**File EFAST Forms (Form 5500 filing)** – This link will open a wizard that will guide you from reviewing the 5500 series forms to signing and filing them electronically to EFAST. Your Preparer may limit the available features that you can access in this filing process.

**File 8955-SSA** – If your plan is required to file a Form 8955-SSA, one will be produced and uploaded so that you may submit it electronically. This link will open a wizard to guide you through the Form 8955-SSA electronic filing process to the IRS FIRE system. Type your name and the date on the 8955-SSA, then follow the steps to file it. **This is filed separately from the EFAST Forms (Form 5500 filing).**

#### Links Section

**View Plan** – Click on this link to view all of the forms in the plan and its attachments. This is the quick way to see the plan if you just want to view and edit the documents.

**Print Plan** – Click this link to print the plan and its attachments. If you just need to print, this is the place to go. You can also print the plan when filing or viewing the plan.

**Review Complete** – If you needed to edit the plan and have completed your editing, click here to lock the plan for further editing and notify your Preparer that you have finished.

**View Status History** – Click here to view a history of the plan’s progress toward filing.

### E-File

[File EFAST Forms](#)  
Electronically file your 5500 return (EFAST)

[File 8955-SSA](#)  
Electronically file your 8955-SSA return (FIRE)

### Links

[View Plan](#)  
View forms and attachments in the filing

[Print Plan](#)  
Print forms and attachments in the filing

[Review Complete](#)  
Locks forms and sends email to preparer that forms are finished

[View Status History](#)  
View history of the plan

If you have questions about this website, your Form 5500, or are uncertain about your login ID, please call our Plan Administrator Line at (800) 752-6313, Monday through Friday, 8 AM to 8 PM Eastern Time.

# Viewing the 8955-SSA



Review the data for accuracy. The 8955-SSA is only filed if you have participants with balances in the plan as of the current day who terminated employment during the prior year. Otherwise, you are not required to file an 8955-SSA.

**PART I Annual Statement Identification Information**  
 For the plan year beginning 01/01/2018, and ending 12/31/2018  
 A  Check here if plan is a government, church, or other plan that elects to voluntarily file Form 8955-SSA. (See instructions.)  
 B  Check here if this is an amended registration statement.  
 C Check the appropriate box if filing under:  Form 5558  Automatic extension  
 Special extension (enter description)

**PART II Basic Plan Information - enter all requested information**  
 1a Name of plan: SAMPLE PLAN FAKE PLAN  
 1b Plan Number (PN): 001  
**Plan Sponsor Information**  
 2a Plan sponsor's name: SAMPLE PLAN FAKE PLAN  
 2c Trade name (if different from plan sponsor name):  
 2e In care of name:  
 2f Mailing address (room, apt., suite no. and street, or P.O. box): 30 BRAINTREE HILL OFFICE PARK  
 2j Foreign province (or state): 2k Foreign country:  
**Plan Administrator Information**  
 3a Plan administrator's name (if other than plan sponsor): Same  
 3c In care of name:  
 3e Mailing address (room, apt., suite no. and street, or P.O. box):  
 3i Foreign province (or state): 3j Foreign country:  
 4 If the name or EIN of the plan administrator has changed since Plan administrator's name:

**PART III Participant Information - enter all requested information**  
 9 Enter one of the following Entry Codes in column (a) for each separated participant with deferred vested benefits who:  
 Code A — has not previously been reported.  
 Code B — has previously been reported under the above plan number, but whose previously reported information requires revisions.  
 Code C — has previously been reported under another plan, but who will be receiving benefits from the plan listed above instead.  
 Code D — has previously been reported under the above plan number, but whose benefits have been paid out or who is no longer entitled to those deferred vested benefits.

| (a) Entry Code | (b) Social Security Number (or FOREIGN) | (c) Name of Participant (See instructions.) |      |           | Use with entry code "A", "B", "C", or "D" |                       | Use with entry code "A" or "B"              |                                                        | Entry code "C" only        |                          |
|----------------|-----------------------------------------|---------------------------------------------|------|-----------|-------------------------------------------|-----------------------|---------------------------------------------|--------------------------------------------------------|----------------------------|--------------------------|
|                |                                         |                                             |      |           | (d) Type of annuity                       | (e) Payment frequency | Amount of vested benefit                    |                                                        | (h) Previous sponsor's EIN | (i) Previous plan number |
|                |                                         | First name                                  | M.I. | Last name |                                           |                       | (f) Defined benefit plan — periodic payment | (g) Defined contribution plan — total value of account |                            |                          |
| A              | 999-99-9991                             | FIRST NAME                                  |      | LAST NAME | A                                         | A                     |                                             | 10,000                                                 | -                          |                          |
| D              | 999-99-9992                             | FIRST NAME                                  |      | LAST NAME |                                           |                       |                                             |                                                        | -                          |                          |
|                |                                         |                                             |      |           |                                           |                       |                                             |                                                        | -                          |                          |
|                |                                         |                                             |      |           |                                           |                       |                                             |                                                        | -                          |                          |
|                |                                         |                                             |      |           |                                           |                       |                                             |                                                        | -                          |                          |
|                |                                         |                                             |      |           |                                           |                       |                                             |                                                        | -                          |                          |
|                |                                         |                                             |      |           |                                           |                       |                                             |                                                        | -                          |                          |
|                |                                         |                                             |      |           |                                           |                       |                                             |                                                        | -                          |                          |
|                |                                         |                                             |      |           |                                           |                       |                                             |                                                        | -                          |                          |
|                |                                         |                                             |      |           |                                           |                       |                                             |                                                        | -                          |                          |
|                |                                         |                                             |      |           |                                           |                       |                                             |                                                        | -                          |                          |
|                |                                         |                                             |      |           |                                           |                       |                                             |                                                        | -                          |                          |
|                |                                         |                                             |      |           |                                           |                       |                                             |                                                        | -                          |                          |
|                |                                         |                                             |      |           |                                           |                       |                                             |                                                        | -                          |                          |
|                |                                         |                                             |      |           |                                           |                       |                                             |                                                        | -                          |                          |
|                |                                         |                                             |      |           |                                           |                       |                                             |                                                        | -                          |                          |
|                |                                         |                                             |      |           |                                           |                       |                                             |                                                        | -                          |                          |
|                |                                         |                                             |      |           |                                           |                       |                                             |                                                        | -                          |                          |
|                |                                         |                                             |      |           |                                           |                       |                                             |                                                        | -                          |                          |
|                |                                         |                                             |      |           |                                           |                       |                                             |                                                        | -                          |                          |
|                |                                         |                                             |      |           |                                           |                       |                                             |                                                        | -                          |                          |

# E-Filing the 8955-SSA



To complete the filing, click on “Transmit.”

A screenshot of the ABA Retirement Funds Program web interface. The header features the text "ABA RETIREMENT FUNDS PROGRAM" in white on a dark blue background, with the logo to its right. Below the header is a navigation bar with tabs for "Plan Management", "Organizational Management", "User Profile", and "Help". Underneath, there are menu items: "Plans", "Reassign Plans", "Manage Clients", "Manage Preparers", "Printing", and "Utilities". The main content area shows a confirmation message: "Your filing has been successfully validated and is ready to be electronically filed through the FIRE system. Would you like to submit your 8955-SSA for processing?". Below the message are two buttons: "Transmit" and "Cancel". A large blue arrow points upwards from the bottom of the page towards the "Transmit" button.

## Congratulations!



# Form 5500/5500-SF/5500EZ E-Filing

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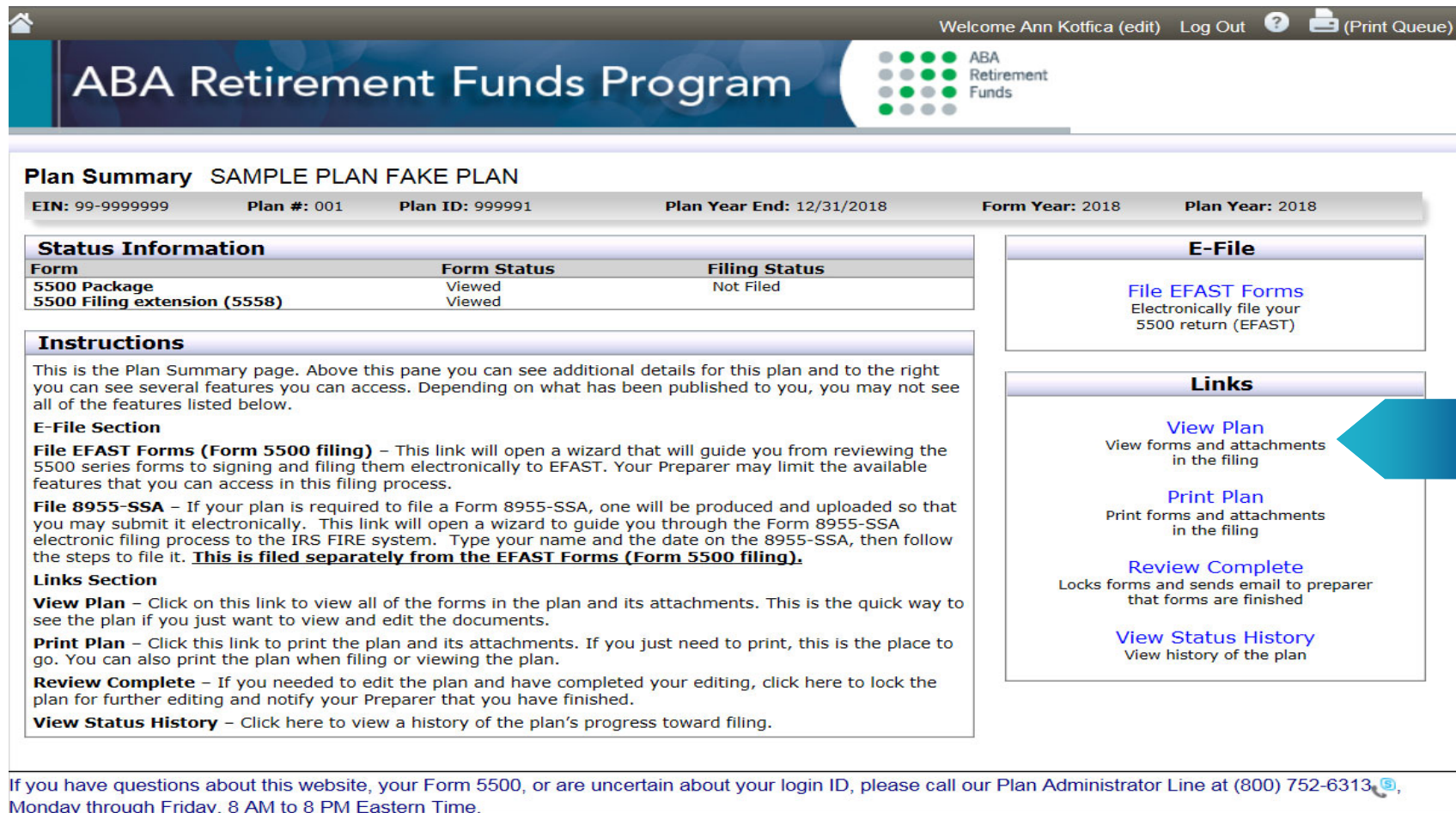
## Additional Information

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# Need an Extension?

To file for an extension, simply click on “View Plan” and select Form 5558- the extension. **This must be printed and mailed to the IRS.**



Welcome Ann Kotfica (edit) Log Out ? (Print Queue)

## ABA Retirement Funds Program

**Plan Summary** SAMPLE PLAN FAKE PLAN

EIN: 99-9999999 Plan #: 001 Plan ID: 999991 Plan Year End: 12/31/2018 Form Year: 2018 Plan Year: 2018

| Status Information           |             |               |
|------------------------------|-------------|---------------|
| Form                         | Form Status | Filing Status |
| 5500 Package                 | Viewed      | Not Filed     |
| 5500 Filing extension (5558) | Viewed      |               |

**Instructions**

This is the Plan Summary page. Above this pane you can see additional details for this plan and to the right you can see several features you can access. Depending on what has been published to you, you may not see all of the features listed below.

**E-File Section**

**File EFAST Forms (Form 5500 filing)** – This link will open a wizard that will guide you from reviewing the 5500 series forms to signing and filing them electronically to EFAST. Your Preparer may limit the available features that you can access in this filing process.

**File 8955-SSA** – If your plan is required to file a Form 8955-SSA, one will be produced and uploaded so that you may submit it electronically. This link will open a wizard to guide you through the Form 8955-SSA electronic filing process to the IRS FIRE system. Type your name and the date on the 8955-SSA, then follow the steps to file it. **This is filed separately from the EFAST Forms (Form 5500 filing).**

**Links Section**

**View Plan** – Click on this link to view all of the forms in the plan and its attachments. This is the quick way to see the plan if you just want to view and edit the documents.

**Print Plan** – Click this link to print the plan and its attachments. If you just need to print, this is the place to go. You can also print the plan when filing or viewing the plan.

**Review Complete** – If you needed to edit the plan and have completed your editing, click here to lock the plan for further editing and notify your Preparer that you have finished.

**View Status History** – Click here to view a history of the plan’s progress toward filing.

**E-File**

[File EFAST Forms](#)  
Electronically file your 5500 return (EFAST)

**Links**

[View Plan](#)  
View forms and attachments in the filing

[Print Plan](#)  
Print forms and attachments in the filing

[Review Complete](#)  
Locks forms and sends email to preparer that forms are finished

[View Status History](#)  
View history of the plan

If you have questions about this website, your Form 5500, or are uncertain about your login ID, please call our Plan Administrator Line at (800) 752-6313, Monday through Friday, 8 AM to 8 PM Eastern Time.

## Verify that your Filing was received by EFAST2

After you have filed your return/report, you will receive an email from the DOL approximately 20 minutes after submission.

- The individual who transmitted the return/report to EFAST2 or the signer(s) of the return/report can check the filing status using the Web-based application.
- You can go directly to the EFAST2 Web site to check on your filing status: <http://www.efast.dol.gov> (*Note: Form 5500EZ is not posted online*).
- You can also check your filing status by calling the EFAST2 Help Line at 866.463.3278 (866.GO.EFAST)

# Verify that your Filing was received on the EFAST2 Web Site

- Go to [www.efast.dol.gov](http://www.efast.dol.gov). Click **Form 5500/5500-SF Search** under Filings.
- Enter your EIN. If you have more than one plan, you may also enter your three-digit IRS plan number (e.g., 001). Then click the **Search** button on the bottom of the page.

The screenshot shows the 'Form 5500/5500-SF Filing Search' page on the EFAST2 website. The page header includes the United States Department of Labor logo and navigation links. The main content area features a search form with the following fields:

- Plan Name:
- Sponsor Name:
- Plan Administrator:
- Filing ID:
- Acknowledgement ID:
- EIN:  (highlighted with a blue arrow and the text "(EIN is the best search method)")
- PN:

Below the main search fields are optional search criteria:

- Plan Year Begin Date:
- Plan Year End Date:
- Form Year:

At the bottom of the page, there is a 'Search' button and a 'Number of Results: 100' dropdown menu.

# Troubleshooting

- If the filing status states “Filing Received,” “Filing Error,” or “Filing Stopped,” then the annual return/report is considered received. However, **filings with a status of “Filing Error” or “Filing Stopped” must be corrected through an amended filing.**
- By looking closer at the Filing Status, you can see specific error messages applicable to the transmitted filing. Below is a chart summarizing the submission and filing statuses.

| Status                                 | What It Means                                                                                                                                                                                                                                                                                                              | Return/Report Considered A Filing?                                                                                                                                   |
|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b><i>Unprocessable Submission</i></b> | EFAST2 was not able to process the submission or “envelope” a transmitter sent. There may be multiple returns/reports in a single submission. EFAST2 could not read or process any of the annual returns/reports in this submission. All returns/reports in this submission are considered not received by the Government. | No - This submission must be corrected and re-submitted.                                                                                                             |
| <b><i>Processable Submission</i></b>   | EFAST2 was able to process the submission or “envelope” a transmitter sent. There may be multiple annual returns/reports in a single submission. EFAST2 will next need to try to read and process each of the annual returns/reports in this submission.                                                                   | No - The annual return/report(s) may not have been processed.                                                                                                        |
| <b><i>Processing</i></b>               | EFAST2 is currently trying to read and process each of the annual return/reports in the submission. Annual returns/reports should not remain in this status for more than 20 minutes.                                                                                                                                      | No - The annual return/report has not yet been processed. Please check the filing status at a later time to determine the annual return/report’s processing outcome. |
| <b><i>Filing Unprocessable</i></b>     | EFAST2 could not read this annual return/report. This annual return/report is not considered filed with the Government.                                                                                                                                                                                                    | No - This annual return/report must be corrected and resubmitted.                                                                                                    |
| <b><i>Filing Stopped</i></b>           | EFAST2 could read this annual return/report but could not fully check the filing for errors because crucial information was not provided by the filer. This annual return/report must be corrected and resubmitted in its entirety as an amended filing.                                                                   | Yes                                                                                                                                                                  |
| <b><i>Filing Error</i></b>             | EFAST2 discovered errors in the annual return/report information provided by the filer. This annual return/report must be corrected and resubmitted in its entirety as an amended filing.                                                                                                                                  | Yes                                                                                                                                                                  |
| <b><i>Filing Received</i></b>          | EFAST2 either found no errors or only identified possible errors in the annual return/report information provided by the filer. If corrections are warranted, they should be made and the corrected filing resubmitted in its entirety as an amended filing.                                                               | Yes                                                                                                                                                                  |

## Filing an Amended Form 5500/5500-SF/5500EZ

- If it is necessary to file an amended return, the Program will prepare a new Form 5500/5500-SF/5500EZ and/or associated Schedule(s) and upload it for you to file. You will receive filing notifications exactly as you did before, and you will follow the same steps presented in these instructions to file the amended return.
- The Form 5500/5500-SF/5500EZ will have the “Amended Return” box checked, and there is no filing deadline to file it.

# Printing a Copy of the Form 5500/5500-SF/5500EZ

Be sure to print and sign a hard copy of your Form 5500/5500-SF/5500EZ for your records. From the plan summary, select “**Print Plan**” and follow the prompts.

Welcome Ann Kotfica (edit) Log Out ? (Print Queue)

## ABA Retirement Funds Program

**Plan Summary** SAMPLE PLAN FAKE PLAN

EIN: 99-9999999 Plan #: 001 Plan ID: 999991 Plan Year End: 12/31/2018 Form Year: 2018 Plan Year: 2018

| Status Information                           |                  |               |
|----------------------------------------------|------------------|---------------|
| Form                                         | Form Status      | Filing Status |
| 5500 Package<br>5500 Filing extension (5558) | Viewed<br>Viewed | Not Filled    |

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# Form 5500/5500-SF Summary Annual Report

- The Summary Annual Report (SAR) must be given to all plan participants within nine months of the end of the plan year or within two months of the filing extension period.
- The Program will post the SAR along with the 5500/5500-SF and Schedules on our eFile website. See the “Attachments” section.
- You may deliver it to plan participants and beneficiaries by mail, by email or in person.

**SUMMARY ANNUAL REPORT**  
**For SAMPLE PLAN FAKE PLAN**

This is a summary of the annual report for SAMPLE PLAN FAKE PLAN, EIN 99-9999999, Plan No. 001, for period January 01, 2018 through December 31, 2018. The annual report has been filed with the Employee Benefits Security Administration, U.S. Department of Labor, as required under the Employee Retirement Income Security Act of 1974 (ERISA).

**Basic Financial Statement**

Plan expenses were \$75,000. These expenses included \$75,000 in benefits paid to participants and beneficiaries. A total of 22 persons were participants in or beneficiaries of the plan at the end of the plan year, although not all of these persons had yet earned the right to receive benefits.

The value of plan assets, after subtracting liabilities of the plan, was \$2,781,500 as of December 31, 2018, compared to \$2,789,000 as of January 01, 2018. During the plan year the plan experienced a decrease in its net assets of \$7,500. This decrease includes unrealized appreciation and depreciation in the value of plan assets; that is, the difference between the value of the plan's assets at the end of the year and the value of the assets at the beginning of the year or the cost of assets acquired during the year. The plan had total income of \$67,500, including employer contributions of \$11,000, employee contributions of \$50,000, and earnings from investments of \$6,500.

**Your Rights To Additional Information**

You have the right to receive a copy of the full annual report, or any part thereof, on request. The items listed below are included in that report:

- an accountant's report;
- financial information;

To obtain a copy of the full annual report, or any part thereof, write or call the office of SAMPLE PLAN FAKE PLAN at 30 BRAINTREE HILL OFFICE PARK, BRAINTREE, MA 02184, or by telephone at (999) 999-9999. The charge to cover copying costs will be \$0.00 for the full annual report, or \$0.00 per page for any part thereof.

You also have the right to receive, from the plan administrator, on request and at no charge, a statement of the assets and liabilities of the plan and a accompanying notes, or a statement of income and expenses of the plan and accompanying notes, or both. If you request a copy of the full annual report from the plan administrator, these two statements and accompanying notes will be included as part of that report. The charge to cover copying costs given above does not include a charge for the copying of these portions of the report because these portions are furnished without charge.

You also have the legally protected right to examine the annual report at the main office of the plan (SAMPLE PLAN FAKE PLAN, 30 BRAINTREE HILL OFFICE PARK, BRAINTREE, MA 02184) and at the U.S. Department of Labor in Washington, D.C., or to obtain a copy from the U.S. Department of Labor upon payment of copying costs. Requests to the Department should be addressed to: Public Disclosure Room, Room N-1513, Employee Benefits Security Administration, U.S. Department of Labor, 200 Constitution Avenue, N.W., Washington, D.C. 20210.

**Small Plan Audit Waiver**



# Questions?



For more detailed information and/or instructions, you can access the Q&A published directly on the DOL Web site for frequently asked questions (FAQs) on EFAST2: <https://www.dol.gov/agencies/ebsa/about-ebsa/our-activities/resource-center/faqs/efast2-credentials#q0>



We hope that you have found this presentation helpful. If you have reviewed all of the materials and you still have questions about the delivery and filing of your Form 5500/5500-SF, please contact us at **800.752.6313**, Monday through Friday, 8 a.m. to 8 p.m., Eastern time, or email us at [contactus@abaretirement.com](mailto:contactus@abaretirement.com).

# Disclosures

For plan sponsor use only. Not for use with participants.

Neither Voya<sup>®</sup> nor its affiliated companies or representatives provide tax or legal advice. Please consult a tax adviser or attorney regarding your company's circumstances.

Please read the Program Annual Disclosure Document (April 2022) carefully before investing. This Disclosure Document contains important information about the Program and investment options. For email inquiries, contact us at: [contactus@abaretirement.com](mailto:contactus@abaretirement.com).

Registered representative of and securities offered through Voya Financial Partners, LLC (member SIPC).

Voya and the ABA Retirement Funds, Inc. are separate, unaffiliated entities, and not responsible for one another's products and services.

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