

EFAST2

Welcome to the ERISA Services
Electronic Filing Instructions on EFAST2

Overview

In this presentation, you will be instructed on how to:

- Access your Form 5500
- Communicate necessary changes
- Manage attachments
- Obtain electronic credentials (IREG Credentials)
- E-File your Form 5500 with the Department of Labor (DOL)
- Print your 5500

E-Filing requirements

- Paper copies are not accepted. However, a final copy of the filing, including all attachments, needs to be printed, signed and retained.
- An electronic signature is required. Electronic credentials must be obtained directly from the DOL. Internet access and an email account are required.
- Voya® cannot obtain electronic filing credentials on your behalf
- ERISA Services also delivers Form 8955-SSA to our web-based application, where the Form 5500 is also stored. Sponsors will receive an email notification and instructions, at the time the 8955-SSA is delivered.
- If Voya® is responsible for performing Form 5500 services for your plan, we will file the extension Form 5558 on your behalf. This will extend the filing deadline for the Form 5500 as well as Form 8955-SSA.

Initial Client Communication

You will receive an email when your Form 5500 is ready for your review.

Email: **From:** rgf.messaging@fisglobal.com on behalf of (the person that prepared your 5500)

The email will include the following:

- A user name
- A link to the web-based application:

<https://rgf.fisglobal.com/5500Client/Site/Security/Login?ReturnUrl=%2F5500Client%2F%3FId%3D363030-3DA1AD5279B3CD54>

- A summary of the actions needed to access your Form 5500 for review and electronic filing directly with the Department of Labor

Log In Page

When you click on the link provided to you in the email notification, it will take you to the Log in page of the Voya® web-based application.

On this screen, you will enter the user name and password. Click, **Log In**.

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User Name Password

[Forgot Password?](#)

→ Welcome to the Form 5500 web application!

This site will allow you to:

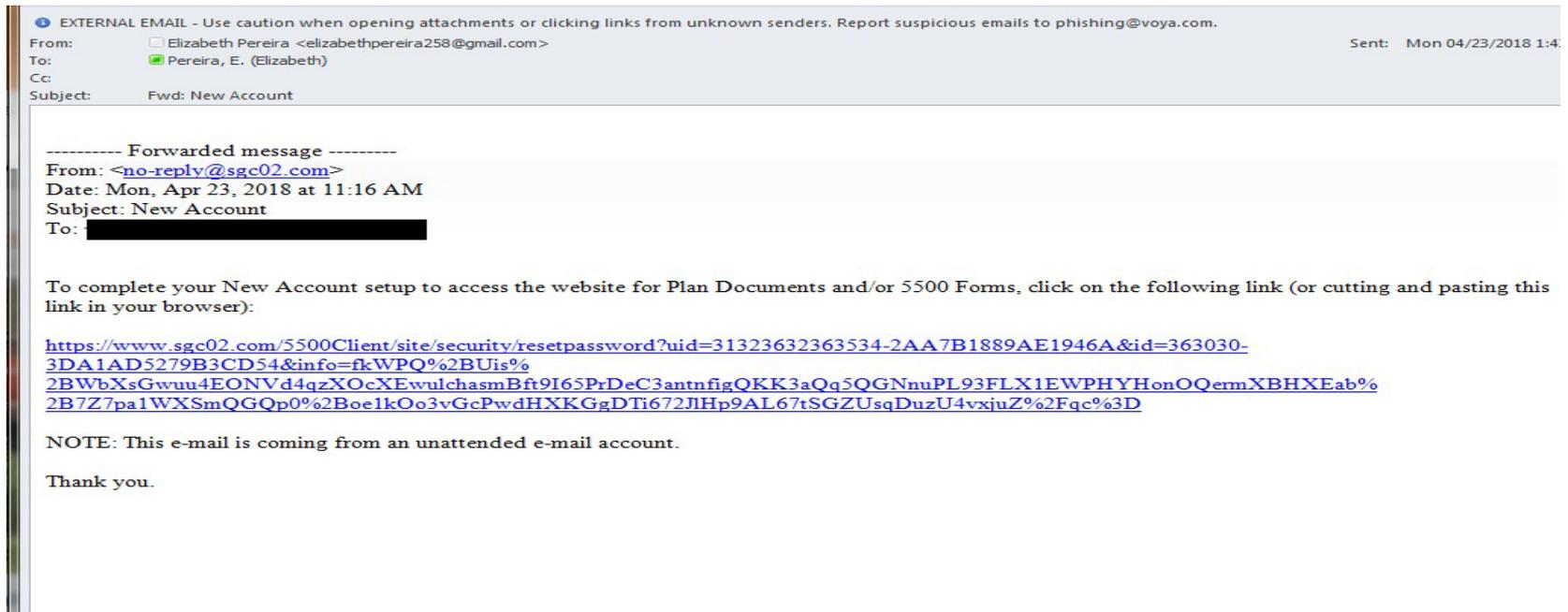
- ... view your Form 5500 filing
- ... electronically sign your Form 5500
- ... securely file your Form 5500 with the Department of Labor in compliance with the latest EFAST2 standards

PLAN | INVEST | PROTECT

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First Time User

- If you are a first time user or your email address has changed you will also receive a “New Account” email. Upon receipt, click on the link as instructed and follow the prompts for creating your password.



User Information Page: First Time Users

- Upon receipt, click on the link as instructed and follow the prompts for creating your password
- If you are a first time user or your email address has changed, you will need to choose a password, enter your first and last name and select 3 security questions. When you are finished, click **submit**.

User Information

User Name:
 *

Password: *

Verify Password: *

First Name: *

Last Name: *

E-mail: *

Phone: (use commas to add ext. and +1 for country code):

Mobile Phone: (use commas to add ext. and +1 for country code):

Security Questions

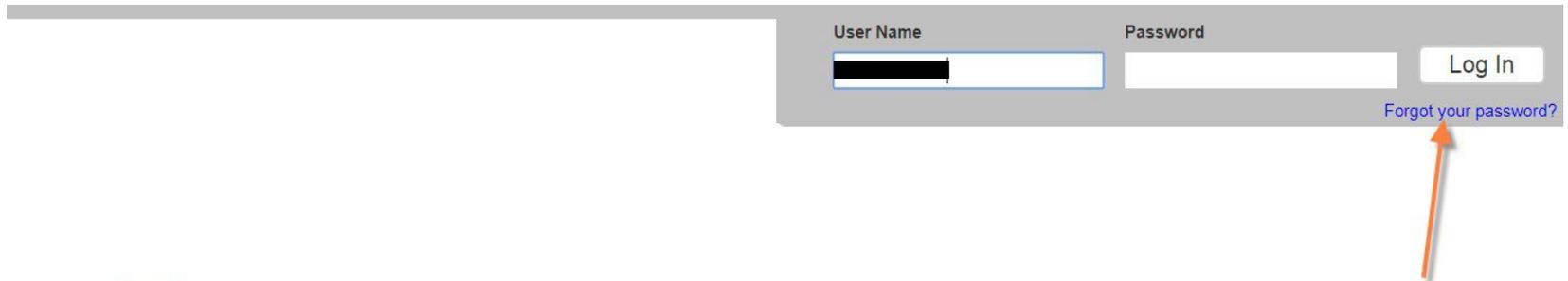
Security Question 1
What is your mother's maiden name? ▼ *

Security Question 2
What is your favorite color? ▼ *

Security Question 3
What is the Make/Model of your first car? ▼ *

Return Users

- If you are a return user, Logon to the web application using the URL provided on the notification email and enter the user name provided in the email and your password.
- If you have forgotten your password, select “Forgot your password”.



A screenshot of a web application login interface. It features a grey header bar with a white background. On the right side of the header, there are two input fields: 'User Name' and 'Password'. The 'User Name' field contains a blacked-out username. To the right of the 'Password' field is a 'Log In' button. Below the 'Log In' button is a blue link that says 'Forgot your password?'. An orange arrow points from the bottom of the slide up to the 'Forgot your password?' link.



Welcome to the Form 5500 web application!

This site will allow you to:
view your Form 5500 filings

- Next, follow the prompts for resetting your password.

Plan Selection Screen

- Once you have updated your security settings, you will be brought to the Plan Selection screen, as shown below. You can see the details and the current statuses of each plan that has been published to you.
- Please familiarize yourself with the navigation tools and features on this page.
 - Home Icon** – You can return to this page at any time by clicking on the "home" icon at the top left corner of any page you are on.
 - (edit) Link** – Click on this link to view or edit your user profile
 - "?"** – Click on the "?" icon to access a Web Client User Guide
 - Instructions Pane** - You will find an instruction pane like this one on just about every page to guide you through the filing process.

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

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Plan Selection Form year: 2023

Page size: 10 1 items in 1 pages

Plan Name	EIN	Plan #	Plan Year End Date	Form Status	EFAST Filing Status	5558 Filing Status	8955-SSA Filing Status
Test Plan	359999999	001	12/31/2023	Published	Not Filed		Not Filed

Instructions

Welcome to the new 5500 Web Client! As you can see there are many changes to the user interface and we hope you will find it easier and more intuitive 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 at the top left corner of any page you are on. In addition there is a User's Guide that you can access by clicking on the "?" 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 to you. To begin the filing process find the plan you want to work with and left-click on the plan name. That will take you to the Plan Summary page where you start the filing process.

Plan Selection Screen: Accessing Your Form 5500

To review your 5500 and begin the filing process, find the plan you want to work with and left-click on the plan name. That will take you to the Plan Summary page where you are able to view forms in the filing, manage attachments, begin the filing process and view a status history for a filing.

Please be sure the Form Year at the top of the page reflects the plan year you want to view.

The screenshot displays the VOYA Financial Plan Selection screen. At the top right, there is a navigation bar with 'Welcome [redacted] (edit) Log Out ? (Print Queue)'. The VOYA Financial logo is on the left. Below the logo, the 'Plan Selection' title is centered, and a 'Form year: 2023' dropdown menu is highlighted with a red box. Below this, there is a table with columns: Plan Name, EIN, Plan #, Plan Year End Date, Form Status, EFAST Filing Status, 5558 Filing Status, and 8955-SSA Filing Status. The table contains one row for 'Test Plan' with EIN 359999999, Plan # 001, Plan Year End Date 12/31/2023, Form Status Published, EFAST Filing Status Not Filed, 5558 Filing Status Not Filed, and 8955-SSA Filing Status Not Filed. The 'Test Plan' link is highlighted with a red box. Below the table is an 'Instructions' section with the following text: 'Welcome to the new 5500 Web Client! As you can see there are many changes to the user interface and we hope you will find it easier and more intuitive 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 at the top left corner of any page you are on. In addition there is a User's Guide that you can access by clicking on the "?" 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 to you. To begin the filing process find the plan you want to work with and left-click on the plan name. That will take you to the Plan Summary page where you start the filing process.'

Plan Summary Page: Viewing Your 5500

The plan summary page will allow you to access several features of your filing. These features are outlined in the instructions pane with corresponding links to the right.

Click on the “**View Plan**” link on the right of screen to view all of the forms in the plan and its attachments.

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Welcome (edit) Log Out (Print Queue)

Plan Summary Test Plan

Plan ID: 200005 Plan Year End: 12/31/2023 Form Year: 2023 Plan Year: 2023
EIN: 35-9999999 Plan #: 001

Form	Form Status	Filing Status
5500 Package	Published	Not Filed
8955-SSA filing	Published	Not Filed

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 – 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.

Links Section

View Plan – Click on this link to view all of the forms in the plan and its attachments.

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.

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

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

Viewing Your 5500: Forms and Schedules

You will be brought to a page listing the individual schedules that have been prepared for your plan. By clicking **View**, you are able to view each of these schedules. Please review each of your schedules for accuracy and communicate any necessary changes to your 5500 Preparer. All changes must be made before filing your Form 5500 electronically with the DOL

The screenshot displays the VOYA Financial web interface. At the top, there is a navigation bar with a home icon, the text "Welcome [redacted] (edit) Log Out ? (Print Queue)", and the VOYA Financial logo. Below the logo, the "Plan Details" section for a "Test Plan" is shown, including Plan ID: 200005, Plan Year End: 12/31/2023, Form Year: 2023, Plan Year: 2023, EIN: 35-9999999, and Plan #: 001. The "Forms" section contains a table with columns for Print, Forms, Name, and Actions. The table lists three forms: 5500, 5500 Sch. H, and 8955-SSA. The "View" links in the Actions column are highlighted with a red box. Below the table is a "Print" button. The "Attachments" section includes links for "Add New EFAST Attachment" and "Add Other Attachment", and a table with columns for Select, Type, Form/Schedule, Name, Item #, Description, and Size. The table currently shows "No records to display." and has "View", "Update", and "Delete" buttons below it.

Print	Forms	Name	Actions
<input type="checkbox"/>	5500		View
<input type="checkbox"/>	5500 Sch. H		View
<input type="checkbox"/>	8955-SSA		View

Select	Type	Form/Schedule	Name	Item #	Description	Size
No records to display.						

Viewing Your 5500

This is a sample of what the Form 5500 will look like when viewed through this application. As a reminder, any changes to your form must be communicated to your 5500 Preparer.

Click on **Close Form List** from the menu on the left of the screen. Click on **Return to Plan Summary** to return to the Plan Summary Page.

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Welcome (edit) Log Out ? (Print Queue)

Form Edit Help

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

Annual Return/Report of Employee Benefit Plan
This form is required to be filed for employee benefit plans 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).
▶ Complete all entries in accordance with the instructions to the Form 5500.

OMB Nos. 1210-0110
1210-0089
2023
This Form is Open to Public Inspection

Part I Annual Report Identification Information
For calendar plan year 2023 or fiscal plan year beginning 01/01/2023 and ending 12/31/2023

A This return/report is for: a multiemployer plan a multiple-employer plan (Filers checking this box must provide participating employer information in accordance with the form instructions.)
 a single-employer plan a DFE (specify) []

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

C If the plan is a collectively-bargained plan, check here.

D Check box if filing under: Form 5558 automatic extension the DFVC program
 special extension (enter description) []

E If this is a retroactively adopted plan permitted by SECURE Act section 201, check here.

Managing Your Attachments

To manage your attachments, find the plan you want to work with on the “**Plan Selection**” Screen and left-click on the Plan Name. This will bring you to the “**Plan Summary**” page where you will be able to add and/or view your filing attachments.

To access a list of acceptable EFAST 2 attachments, click on the “**View Plan**” link on the right side of the page. *Please note: Attachments will not be necessary for all plans. For plans that do require attachments, it will probably be limited to the “Accountant’s Opinion and the “Financial Statements”.

The screenshot shows the VOYA Financial Plan Summary page for a 'Test Plan'. The page includes a navigation bar with 'Welcome', '(edit)', 'Log Out', and '(Print Queue)'. The main content area is titled 'Plan Summary Test Plan' and displays plan details: Plan ID: 200005, Plan Year End: 12/31/2023, Form Year: 2023, Plan Year: 2023, EIN: 35-9999999, and Plan #: 001. A table under 'Status Information' shows the 5500 Package and 8955-SSA filing status as 'Published' and 'Not Filed' respectively. The 'Instructions' section contains a red-bordered box around the 'View Plan' link, which is also highlighted in the 'Links' section on the right. The 'E-File' section provides links for filing EFAST forms and 8955-SSA returns. The 'Links' section includes 'View Plan', 'Print Plan', and 'View Status History'.

Form	Form Status	Filing Status
5500 Package	Published	Not Filed
8955-SSA filing	Published	Not Filed

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 – 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.
Links Section
View Plan – Click on this link to view all of the forms in the plan and its attachments.
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.
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
View Status History
View history of the plan

Managing Your Attachments

You will be brought to the **Plan Details page**. Scroll down to the “**Attachments**” heading at the center of the page. For a list of attachments, click on “**Add New EFAST attachment**”.

Plan Details Test Plan

Plan ID: 200005 Plan Year End: 12/31/2023 Form Year: 2023 Plan Year: 2023
EIN: 35-9999999 Plan #: 001

Forms

<input type="checkbox"/> Print	Forms	Name	Actions
<input type="checkbox"/>	5500		View
<input type="checkbox"/>	5500 Sch. H		View
<input type="checkbox"/>	8955-SSA		View

Attachments

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

Select	Type	Form/Schedule	Name	Item #	Description	Size
No records to display.						

Instructions

This screen is used to view, print, and, if available, edit all of the forms and attachments in the plan. You can view and, if available, edit your filing using the links in the Actions column. You can also print the forms by selecting them in the first column and clicking on the Print button.

To view and print the attachments select the attachment and click on the View button in the Attachments section. The attachment will open in the appropriate application on your computer. You can view it, save it to your computer, and print it. You may see buttons to update and delete attachments if the Preparer has given you those options. To replace one of the EFAST or Other attachments, click on the attachment to select it, click the Update button, and click OK in the dialog box to confirm you want to replace the attachment. In the next screen go to the bottom section and click on the Choose File button to browse to the document you want to use. Select the document and click on the Open button. Finally click on the Upload button to replace the original file with the selected file and return to the Plan Details screen. You can delete EFAST and Other attachments by selecting the attachment and then clicking on the Delete button.

If the Preparer has enabled the option, you will see an Add New Attachment button on the right. Click this button if you need to add attachments to the plan and a new screen will open. Select the EFAST radio button if the attachment is one of the predefined EFAST attachments. Click on the Select E-Fast Attachment dropdown box to see a list of available EFAST attachments for this plan and select the appropriate attachment. Go to the bottom section to choose the file to attach and upload it. If the attachment is not a defined EFAST attachment click the Other radio button on the right of the screen. Optionally you can select the form and item that the attachment refers to if you wish. You must type a brief description of the attachment in the next box, just a couple of words that will explain what the attachment is for. This text will display in the list of attachments. If this Other attachment will be transmitted to EFAST along with the rest of the forms and attachments check the Include in EFAST E-Filing box. If the file is only attached for the Preparer to review leave the box unchecked. Finally move to the bottom section to select and upload the document.

Once you have finished working with the forms and attachments click on the Close button in the bottom right corner of this page to return to the Plan Summary page.

Managing Your Attachments

To attach the necessary documents to your filing, check the box to the left of the item you want to attach.

Once you have selected the document to attach, click the **“Choose File”** button. You can now access the file(s) you will want to attach within your network directory. Next, click **Upload**.

Add EFAST Attachment Test Plan

Plan ID: 200005 Plan Year End: 12/31/2023 Form Year: 2023 Plan Year: 2023
EIN: 35-9999999 Plan #: 001

Attachment

Select attachment by clicking anywhere in the row

Form	Item	Description	Name
<input type="checkbox"/>	5500	Signature and Date	Copy of signed Form 5500/5500-SF e-signature option for service providers
<input type="checkbox"/>	5500	Administrative Penalties	Explanation of Reasonable Cause for Late Filing
<input type="checkbox"/>	5500	Administrative Penalties	Reasonable Cause for Late or Missing IQPA Report
<input type="checkbox"/>	5500	Part 1 Line A - Multiple-Employer Plan	Multiple Employer Plan Participating Employer Information
<input type="checkbox"/>	5500 Sch. H	Part III	Accountants Opinion
<input type="checkbox"/>	5500 Sch. H	Line 3	Financial statements used in formulating the IQPA's opinion
<input type="checkbox"/>	5500 Sch. H	Line 3d(2)	Schedule of IQPA Deferral Explanation
<input type="checkbox"/>	5500 Sch. H	Line 4a	Schedule of Delinquent Participant Contributions
<input type="checkbox"/>	5500 Sch. H	Line 4g	Plans in a DCG Holding Line 4g Assets
<input type="checkbox"/>	5500 Sch. H	Line 4h	Plans in a DCG Holding Line 4h Noncash Contributions
<input type="checkbox"/>	5500 Sch. H	Line 4i	Schedule of Assets (Held at End of Year)
<input type="checkbox"/>	5500 Sch. H	Line 4i	Schedule of Assets (Acquired and Disposed of Within Year)
<input type="checkbox"/>	5500 Sch. H	Line 4j	5% Transaction Schedule - Schedule of Reportable Transactions
<input type="checkbox"/>	5500 Sch. H	Line 4m	Plans in a DCG that had Blackout Period
<input type="checkbox"/>	5500 Sch. H	Line 4n	Plans in a DCG that Failed to Provide Required Blackout Notice

Select File to Upload

File selected to upload: No file chosen

Managing Your Attachments

Each of the documents you have successfully attached will be listed under the Attachments heading. To view, update or Delete these, select the box to the left of document and click the corresponding button.

Attachments						Add New EFAST Attachment	Add Other Attachment
Select	Type	Form/Schedule	Name	Item #	Description	Size	
<input type="checkbox"/>	EFAST	5500 Sch. H		Part III	Accountants Opinion		
View	Update	Delete					

Instructions

This screen is used to view, print, and, if available, edit all of the forms and attachments in the plan. You can view and, if available, edit your filing using the links in the Actions column. You can also print the forms by selecting them in the first column and clicking on the Print button.

To view and print the attachments select the attachment and click on the View button in the Attachments section. The attachment will open in the appropriate application on your computer. You can view it, save it to your computer, and print it. You may see buttons to update and delete attachments if the Preparer has given you those options. To replace one of the EFAST or Other attachments, click on the attachment to select it, click the Update button, and click OK in the dialog box to confirm you want to replace the attachment. In the next screen go to the bottom section and click on the Choose File button to browse to the document you want to use. Select the document and click on the Open button. Finally click on the Upload button to replace the original file with the selected file and return to the Plan Details screen. You can delete EFAST and Other attachments by selecting the attachment and then clicking on the Delete button.

If the Preparer has enabled the option, you will see an Add New Attachment button on the right. Click this button if you need to add attachments to the plan and a new screen will open. Select the EFAST radio button if the attachment is one of the predefined EFAST attachments. Click on the Select E-Fast Attachment dropdown box to see a list of available EFAST attachments for this plan and select the appropriate attachment. Go to the bottom section to choose the file to attach and upload it. If the attachment is not a defined EFAST attachment click the Other radio button on the right of the screen. Optionally you can select the form and item that the attachment refers to if you wish. You must type a brief description of the attachment in the next box, just a couple of words that will explain what the attachment is for. This text will display in the list of attachments. If this Other attachment will be transmitted to EFAST along with the rest of the forms and attachments check the Include in EFAST E-Filing box. If the file is only attached for the Preparer to review leave the box unchecked. Finally move to the bottom section to select and upload the document.

Once you have finished working with the forms and attachments click on the Close button in the bottom right corner of this page to return to the Plan Summary page.

Review Before Filing



You are almost ready to file.

Before you proceed, please ensure that the following steps have been taken in order to avoid DOL rejection:

If applicable, all changes must be communicated directly to your 5500 Preparer. Voya® will then make the necessary corrections and republish the 5500 for your review. Voya® will notify you when your revised forms are available via the e-mail address on record at Voya®.

Have you attached all appropriate information to your 5500?

- If your plan has an audit requirement, you must attach an accountant's opinion and audited Financial Statements this may be one document.
- The accountant's opinion must be on the accountant's company letterhead (showing address), signed and scanned into PDF format
- Each attachment must be a single PDF document with no encryption or protection.
- All other additional attachments must be in PDF format

Once you have reviewed your Form 5500 and are ready to submit, you must print, sign and retain a hardcopy of the final version of your Form 5500 for your records

Please be sure that no attachment contains confidential information like social security number

Please be aware that color graphics may also prevent you from successfully filing your 5500 with the DOL

Electronic Filing (E-File)

Once you have reviewed your filing and attached all appropriate documents, you are able to e-file your Form 5500 with the DOL. To begin, Log in, find the plan you want to e-file on the Plan Selection screen and left click on the plan name. You will be brought to the Plan Summary Page. Click on “**File EFAST Forms**” link under “**E-File**” on the right side of the screen.



Plan Summary Test Plan

Plan ID: 200005 Plan Year End: 12/31/2023 Form Year: 2023 Plan Year: 2023
EIN: 35-9999999

Plan #: 001

Status Information

Form	Form Status	Filing Status
5500 Package	Viewed	Not Filed
8955-SSA filing	Viewed	Not Filed

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 – 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.

Links Section

View Plan – Click on this link to view all of the forms in the plan and its attachments.

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.

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

Electronic Filing (E-File)

Step 1: Forms and Documents

This is the first step to electronically filing your 5500 forms. You are able to quickly view a listing of the forms and attachments prepared for your plan. To proceed with E-Filing, click **Next** on the bottom of the screen.

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File 5500 Test Plan

Plan ID: 200005 Plan Year End: 12/31/2023 Form Year: 2023 Plan Year: 2023
EIN: 35-9999999 Plan #: 001

1 2 3 4
Forms & Attachments Validation Signature(s) E-File

Forms

<input type="checkbox"/> Print	Forms	Name	Actions
<input type="checkbox"/>	5500		View
<input type="checkbox"/>	5500 Sch. H		View

Previous Cancel Next

Electronic Filing (E-File)

Step 2: Validation

During the second step of the filing process the plan is validated against the EFAST filing requirements. In rare instances, this screen will display errors or warnings that are a result of information that is missing or needs to be corrected. For example, if you have not attached the accountant's opinion, you will receive an error message that may cause a delay or rejection of your filing with the DOL. You may need to work with your 5500 Preparer or Plan Manager to correct the errors or warnings. To proceed with your filing, click "**Next**". After clicking Next, a pop up message will display as a reminder that any errors or warnings may result in an incomplete filing. Click "ok" if you would like to proceed with your electronic filing.

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Welcome (edit) Log Out (Print Queue)

Validations TEST PLAN

EIN: 11-1111111 Plan #: 001 Plan ID: 111111 Plan Year End: 12/31/2013 Form Year: 2013 Plan Year: 2013

Forms & Attachments Validation Signature(s) E-File

Page size: 10 2 items in 1 pages

Edit Test ID	Severity	Message
I-101	WARNING	Fail when ((the Submitted Date is greater than the original due date + 1 day, unless Form 5500, Part I, Line D Form 5558, automatic extension, DFVC, or special extension is checked) or (when the Submitted Date is greater than the original due date + 79 days and Form 5500, Part I, Line D Form 5558 is checked unless Form 5500, Part I Line D DFVC or special extension is checked)); and the filing is not an amended filing and reasonable cause is not attached.
J-502	WARNING	Fail when Form 5500, Line 2d (The Business Code) is blank or is not valid.

Print

Instructions

During the second step of the filing process the plan is validated against the EFAST filing requirements. There were errors or warnings that were found in this plan. The errors and warnings are displayed in the list above. Contact the Preparer and give them the exact wording of the errors and they will give instructions on how to proceed. Filing a plan containing errors or warnings may not be accepted by EFAST and may not count as fulfilling the filing requirement.

Previous Cancel **Next**

Electronic Filing (E-File)

Step 3: Signatures

Once you have initiated the electronic filing and resolved any applicable errors, you will be brought to the Signature screen where you will enter your **Filing Signer** credentials.

To avoid delays with your filing, please check to make sure:

- The User ID entered is correct and begins with a capital “A”.
- The 4 digit PIN entered is correct.
- The Plan Administrator line must contain a signature.
- Do not enter a signature on the DFE Signature line (it does not apply).

Signatures Test Plan

Plan ID: 200005 Plan Year End: 12/31/2023 Form Year: 2023 Plan Year: 2023
EIN: 35-9999999

Plan #: 001



Forms & Attachments



Validation



Signature(s)



E-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

Employer / Plan Sponsor Signature

Name of Signer User ID PIN Date

DFE Signature

Name of Signer User ID PIN Date

Electronic Filing (E-File)

If you have not already saved your IREG Credentials, check the box to save your PIN for future use. After you have read and accepted the Signing Agreement, check the box “I have read and accept 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.

The screenshot displays a web form for electronic filing. At the top, there is a checkbox labeled "Save PIN for future use?". Below this is the section header "Signing Agreement". Underneath the header is a declaration statement: "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." Below the declaration is another checkbox labeled "I have read this agreement.". At the bottom of the form, there are four buttons: "Previous", "Disagree and Cancel", "Agree and Save", and "Agree and Transmit". The "Agree and Transmit" button is highlighted with a red box.

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**

E-Filing Confirmation and Status

You should receive a “Filing Status Update” email from your 5500 preparer indicating that the status of your Form 5500 is "Filing Received". This communication should serve as confirmation that the submission of your plan's Filing to the Department of Labor was successful. If no subsequent communication is initiated by the Department of Labor (DOL), the Internal Revenue Service (IRS) or Voya Financial® regarding your filing, no further action is required from you.

IMPORTANT: If you do not receive an email within 20 minutes, this may be due to a capacity issue with the DOL. In some cases, the confirmation may take as long as 24 hours. Filing on the actual due date should be avoided because acceptance by the DOL may not be confirmed and could result in a late filing.

To check the status of your Form 5500:

- Log on to the DOL Website: www.efast.dol.gov/5500Search
- Call the EFAST2 Help Line at 1-866-GO-EFAST (1-866-463-3278)

Printing Instructions

Please remember that you are required to print and sign a hardcopy of your Form 5500 for your records. To print a copy for your records:

- Log in to the web application and find the plan you want to work with on the “**Plan Selection**” Screen and left click on the plan name.
- This will bring the user to the “**Plan Summary**” page.
- Click on “**Print Plan**” under the “**Links**” section on the right of screen

The screenshot shows the VOYA Financial web application interface. At the top, there is a navigation bar with a home icon, the text 'Welcome', and links for '(edit)', 'Log Out', a help icon, and '(Print Queue)'. Below this is the VOYA Financial logo. The main content area is titled 'Plan Summary TEST PLAN'. A summary bar displays key information: EIN: 11-1111111, Plan #: 001, Plan ID: 111111, Plan Year End: 12/31/2013, Form Year: 2013, and Plan Year: 2013. The page is divided into several sections:

- Status Information:** A table with columns for Form, Form Status, and Filing Status.

Form	Form Status	Filing Status
5500 Package	Republished	Not Filed
- Instructions:** A text block providing guidance on the page layout and available features. It includes sections for E-File, Links, and a highlighted 'Print Plan' instruction: '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.'
- E-File:** A section with a link to 'File EFAST Forms' and a description: 'Electronically file your 5500 return (EFAST)'. The link is highlighted with a blue box.
- Links:** A section with three links: 'View Plan' (with description 'View forms and attachments in the filing'), 'Print Plan' (with description 'Print forms and attachments in the filing'), and 'View Status History' (with description 'View history of the plan'). The 'Print Plan' link and its description are highlighted with an orange rounded rectangle.

Printing Instructions (cont.)

- Sponsor will be brought to a page confirming the plan selected for printing. This option automatically queue the printing of all of the forms and schedules prepared for a plan.
- Sponsor can select to either (a) “**Exclude External Attachments**” or (b) “**Include External Attachments**” by clicking the corresponding radio button.
- Sponsor will then click the “**Print**” button at the bottom of the page. This will either create a pdf document for printing and saving or the sponsor will see a message that the forms have been queued for printing.

VOYA FINANCIAL™

Welcome (edit) Log Out ? (Print Queue)

Plan selected for printing

You have selected 1 planbook(s) for printing.

- Plan Name: TEST PLAN

Attachments

Do you want to print external attachments?

Exclude External Attachments Include External Attachments

Print Close

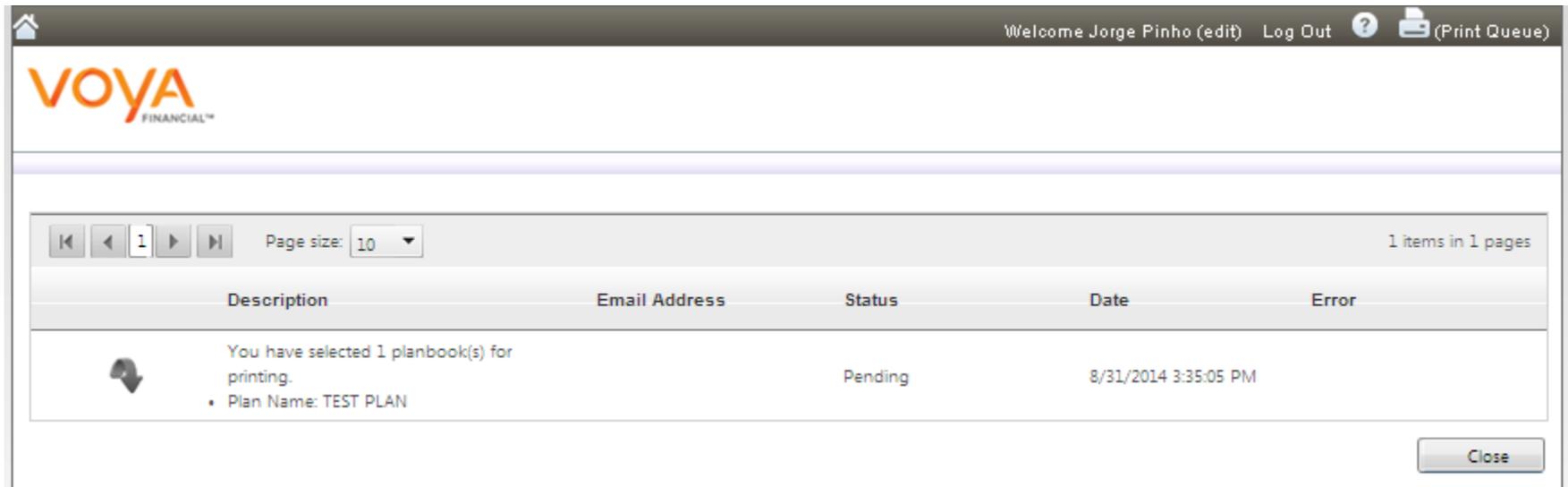
Download and install Adobe Reader
To print a copy of Form 5500, you must have Adobe Reader (or comparable PDF reader) installed on your computer.

Download Adobe Reader for free
After Adobe Reader has been downloaded to your computer, further instructions will appear, telling you how to install the program.
If Adobe Reader (or comparable PDF reader) is already installed on your computer, skip this step.

Printing Instructions (cont.)

If you initiated the printing of your 5500 and you received a message indicating your filing has been queued for printing.

- You can expect to receive an email when the job is ready for printing (approx. 5-20 minutes) if volume on the site is high.
- Upon receipt of the email the sponsor must log in to the site and click on the (Print Queue) icon located within the grey tool bar at the top right of the “**Plan Selection**” screen.
- The print queue will reflect the information that you have requested to print in a status of “Processed”.
 - Click on the green arrow on the far left of the screen to download your print job. You will be prompted to Open (and print) or Save the pdf document to your network drive.



The screenshot shows the VOYA Financial interface. At the top right, there is a navigation bar with "Welcome Jorge Pinho (edit)", "Log Out", a help icon, and a printer icon labeled "(Print Queue)". The VOYA Financial logo is on the left. Below the logo is a toolbar with navigation arrows, a page number "1", and a "Page size: 10" dropdown. To the right of the toolbar, it says "1 items in 1 pages". Below the toolbar is a table with the following columns: Description, Email Address, Status, Date, and Error. The table contains one row with a green arrow icon in the Description column, the text "You have selected 1 planbook(s) for printing." and "• Plan Name: TEST PLAN" in the Description column, "Pending" in the Status column, and "8/31/2014 3:35:05 PM" in the Date column. The Error column is empty. A "Close" button is located at the bottom right of the table area.

Description	Email Address	Status	Date	Error
 You have selected 1 planbook(s) for printing. • Plan Name: TEST PLAN		Pending	8/31/2014 3:35:05 PM	

Summary Annual Report (SAR)

What is a summary annual report?

A summary annual report is a summary of the financial information that you included on your Form 5500. DOL regulations provide the specific wording that you must use on your summary annual report.

When must you furnish your summary annual report?

You must furnish your summary annual report to all of your eligible participants and any beneficiaries entitled to receive benefits within nine (9) months of the end of the plan year or within two (2) months of the filing extension period. If you complete the information Voya® asks of you, Voya® will furnish you a summary annual report that you may copy and furnish.

Instructions on how to access your Summary Annual Report are included on the next on the following slide.

How to access your Summary Annual Report (SAR)

For your convenience, we have included a copy of your Summary Annual Report on our web application. To access the document:

- Log in to the application and find the plan you want to work with on the Plan Selection Screen and left click on the plan name. This will bring you to the **“Plan Summary”** page.
- Click on **“View Plan”** from the **“Links”** section on the left side of the screen.
- Scroll down on **“Attachments”** section of the **“Plan Details”** screen where you will see the SAR attachment labeled (sar(pension).rtf).
- Check the box to the left of the attachment and click **“View”**.
- You will be prompted to open (and print) or save a copy of the SAR to your network drive.

The screenshot shows the VOYA Financial web application interface. At the top, there is a navigation bar with a home icon, a user name 'Welcome [redacted]' with an edit link, a 'Log Out' link, and a '(Print Queue)' icon. Below the navigation bar is the VOYA Financial logo. The main content area is divided into two sections: 'Forms' and 'Attachments'. The 'Forms' section contains a table with columns for 'Print', 'Forms', 'Name', and 'Actions'. The 'Attachments' section contains a table with columns for 'Select', 'Type', 'Form/Schedule', 'Item #', 'Description', and 'Size'. The attachment 'sar (pension).rtf' is highlighted in yellow. Below the attachment table, there are buttons for 'View', 'Update', and 'Delete'. The 'View' button is circled in yellow.

Print	Forms	Name	Actions
<input type="checkbox"/>	Plan Info		View
<input type="checkbox"/>	5500		View
<input type="checkbox"/>	5500 Sch. H		View

[Print](#)

Select	Type	Form/Schedule	Item #	Description	Size
<input type="checkbox"/>	EFAST	5500 Sch. H	Line 4i	Schedule of Assets (Held at End of Year)	
<input checked="" type="checkbox"/>	Reference	sar (pension).rtf			0.1
<input type="checkbox"/>	Reference	Plan Administrators Guide to the 2011 Form 5500.pdf			6.1

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

Filing Status

If the filing status states “Filing Received,” “Filing Error,” or “Filing Stopped,” then the Form 5500 is considered received. However, filings with a status of “Filing Error” or “Filing Stopped” must be corrected through an amended filing. Below is a chart summarizing the submission and filing status. You can see specific error messages applicable to the transmitted filing.

Status	What It Means	Return/Report Considered A Filing?
Unprocessable Submission	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.
Processable Submission	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.
Processing	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.
Filing Unprocessable	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.
Filing Stopped	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
Filing Error	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
Filing Received	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

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:

- **Need Link**

Access the EFAST2 Website to obtain credentials, you will also find a link in your 5500 notification e-mail with more detailed instructions:

- <http://www.efast.dol.gov>

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.

Thank you for your Participation!