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Chapter 1. Introduction

1.1 Overview

The Employee Retirement Income Security Act of 1974 (ERISA) and provisions of the Internal Revenue Code require certain employee benefit plans to submit information on their size, funding, operations, and other characteristics to the Government every year on the Form 5500/5500-SF form series. All ERISA filings are created and submitted electronically via either EFAST2’s free internet based filing application (IFILE) or third-party software.

For detailed information on Form 5500 series filing requirements, instructions, and deadlines, see Instructions for Form 5500, Annual Return/Report of Employee Benefit Plan and Instructions for Form 5500-SF, Short Form Annual Return/Report of Small Employee Benefit Plan, which can be found at https://www.efast.dol.gov/.

The EFAST2 system provides the basic functionality required to fulfill annual reporting requirements from the website www.efast.dol.gov, including the following:

- Creating filings
- Signing filings
- Submitting filings
- Checking the status of filings
- Viewing publicly disclosable filings

EFAST2 architecture also allows for the integration of EFAST2-approved third-party software, which may provide additional functionality and features.

The Form 5500-EZ cannot be submitted electronically through the EFAST2 system. A “one-participant plan” or a certain foreign plan that is eligible to file Form 5500-SF may elect to file Form 5500-SF electronically with EFAST2 rather than filing a Form 5500-EZ on paper with the IRS. See Instructions for Form 5500-SF, Short Form Annual Return/Report of Small Employee Benefit Plan. A “one-participant plan” or a certain foreign plan that is not eligible to file Form 5500-SF must file Form 5500-EZ on paper with the IRS. For more information on filing the Form 5500-EZ, see the instructions for Form 5500-EZ, go to https://www.irs.gov, or call 1-877-829-5500.

**WARNING**: Most filings submitted to EFAST2 are available to the general public through our website. Do not enter social security numbers in your filing or attachments!

Do not attach a copy of Form 8955-SSA, Annual Registration Statement Identifying Separated Participants With Deferred Vested Benefits, or a previous years’ Schedule SSA to your Form 5500 annual return/report. Form 8955-SSA must be filed directly with the IRS and cannot be attached to a Form 5500 submission.

Do not include any Personally Identifiable Information (PII) in your filing or attachments except as instructed. PII includes Social Security Number, home address, financial information, etc.

For the purposes of this guide, those who use either EFAST2-approved third-party software or built-in EFAST2 functionality will be collectively referred to as EFAST2 system users. This guide describes the process of registering as a user, defining user types, obtaining relevant credentials, and using the EFAST2 system to fulfill ERISA annual reporting requirements.

1.2 EFAST2 Functionality

From a functionality standpoint, EFAST2 has seven major components:

a. **Website** – a collection of web pages containing EFAST2 information and system interfaces
b. **Internet Registration** – a registration process for EFAST2 users
c. **Internet Filing (IFILE)** – a free internet-based filing tool designed for individual filers and service providers who choose to not use value-added EFAST2-approved third-party software to complete their Form 5500 filings. (See the IFILE User’s Guide for more information)
d. **Internet Filing Acceptance System** – an internal application that applies business rules to filing submissions

e. **Form 5500/5500-SF Filing Search** – an application that supplies filing information to government agencies, other end users, and the general public (See the [Form 5500/5500-SF Filing Search Guide – Public User Guide](https://www.efast.dol.gov/filing/search/form5500sf/ for more information)

f. **Participant Acceptance Testing System** – an application that allows third-party developers to test and certify their products for use in EFAST2

g. **Contact Center** – a support center for EFAST2 users (via phone or email)

For the purposes of preparing and transmitting Form 5500 series filings, EFAST2 users have direct contact only with the website, registration process, IFILE, and the Contact Center. The other components of EFAST2 work “behind the scenes” in the ERISA filing processing system.

### 1.3 Third-Party Software

EFAST2-approved third-party software is the principal method for completing the ERISA filing process. Those who choose to use third-party software are considered EFAST2 system users and are required to register via EFAST2 Internet Registration in order to sign or submit filings. Approved preparation software integrates fully with the EFAST2 system and may provide additional features and functionality beyond those provided by IFILE.

EFAST2-approved third-party software, whether developed for internal use or for commercial purposes, can be divided into two categories: filing preparation software and filing transmission software. Both types may be included in a single software product.

#### 1.3.1 Filing Preparation Software

Filing preparation software is used to prepare forms and schedules, and to assemble them into filings. The DOL requires filing preparation software to reduce the incidence of non-accepted filings by implementing business rules, checking attachments, protecting the integrity of electronic signatures, and performing pre-validation of filings.

#### 1.3.2 Filing Transmission Software

Filing transmission software is used to transmit completed filings, submission and filing status requests, and signature and filing validation requests to EFAST2 via web services protocol. The DOL requires filing transmission software to protect the integrity and security of the filing data.

#### 1.3.3 Software Validation and Authorization

All software used with EFAST2 must be certified and approved by the DOL in strict accordance with government protocols. For this to occur, developers must submit their software for testing every year. Third-party software testing is stringent due to the requirements for pre-validation of data and the security constraints of electronic filing.

To pass this testing, preparation software must allow users to enter form and schedule data, create or import unstructured attachments, resolve errors, and sign the filing by entering the electronic credentials assigned by the DOL. Transmission software must allow the sending of individual or batches of filings in a prescribed format and using the required encryption method. In addition, transmission software also has the ability to query for status of processed filings, and format/display the results to the end user.

The specific instructions for using the software must be included in the instruction manual provided with the software by the developer.

Once software is certified, it is authorized for use in EFAST2. Approval of third-party software does **NOT** mean that the DOL endorses the computer software or quality of services provided. A current list of approved software companies and their software can be viewed at the EFAST2 website: [https://www.efast.dol.gov/software/software.html](https://www.efast.dol.gov/software/software.html)
1.4 Encryption

To protect user data when using the public Internet and utilizing EFAST2, all data between the user’s computer and the EFAST2 web server is encrypted through the use of Secure Socket Layer (SSL) on the EFAST2 web server. (To use EFAST2, users must have an active internet connection that supports SSL encryption.)

When accessing the EFAST2 website, a secure encrypted channel is established between the user’s browser and the EFAST2 web server. At this point, all data sent to and from the web server is encrypted until the user terminates the session with the EFAST2 server. While a user is retrieving, editing, or submitting filings or components of filings, encryption ensures that no unauthorized user is able to see filing data or interject malicious data into the session.

There are distinct advantages to using SSL encryption:

- **Security**: Limits access to secure information to the filer and authorized government personnel.
- **Integrity**: Maintains the integrity of the data sent to the DOL.
- **Comfort**: Should provide a level of comfort to filers who may otherwise be concerned that the data could be compromised or altered if sent on paper or if a less robust encryption method was used.

EFAST2 will work with a variety of browsers, including Microsoft Edge and Internet Explorer, Mozilla Firefox, Google Chrome, and Apple Safari. The most current release and at least one older supported version of those browsers can be used to access the EFAST2 website.

1.5 References

The following references were used to create this document:

- EFAST2 website: https://www.efast.dol.gov
- Department of Labor (DOL) Website: https://www.dol.gov/
- 29 CFR Part 2520
- 29 CFR 2520.107-1
- Sections 103, 104, and 107 of ERISA, 29 USC 1023, 1044, 1027
- IFILE User’s Guide
- Form 5500/5500-SF Filing Search Guide – Public User Guide
- Instructions for Form 5500, Annual Return/Report of Employee Benefit Plan
- Instructions for Form 5500-SF, Short Form Annual Return/Report of Small Employee Benefit Plan
- Software Developer Specification

Chapter 2. EFAST2 Registration

The EFAST2 website provides basic public disclosure and access to user guides and other reference information without registering. Registration is required for all other functions, including the ability to sign or submit annual filings. By registering, the user is issued the credentials necessary to perform specific tasks.

Registration is performed on the EFAST2 website https://www.efast.dol.gov.

2.1 EFAST2 User Types

Each defined user type has specific filing tasks associated with it. Users performing multiple filing tasks should select multiple user types during the registration process. Updates to the selected user types may occur at any time after initial registration by updating the user profile.

- **Filing Author**: Filing Authors can use IFILE to complete Form 5500/5500-SF and the accompanying schedules, and submit the filing. Filing Authors can also use the web site to check filing status. Filing Authors cannot sign filings unless they also have the Filing Signer role. If you are using EFAST2-approved third-party software to author your filing rather than IFILE, you do not need to check this box.
• **Filing Signer:** Filing signers are Plan Administrators, Employers/Plan Sponsors, or Direct Filing Entities who electronically sign the Form 5500/5500-SF. This role should also be selected by plan service providers that have written authorization to file on behalf of the plan administrator under the EFAST2 e-signature option. No other filing-related functions may be performed by selecting this user type alone.

• **Schedule Author:** Schedule Authors can use IFILE to complete one or more of the schedules that accompany Form 5500/5500-SF. Schedules created by a Schedule Author are not associated with a filing. For a schedule created by a Schedule Author to be used in a filing, the schedule must be exported. This exported file can be imported by the Filing Author to the correct filing. Schedule Authors cannot initiate, sign, or submit a filing [unless they are also a Filing Author and/or Filing Signer]. If the Filing Author is using EFAST2-approved third-party software to author your filing rather than IFILE, then you do not need to check this box.

• **Transmitter:** Transmitters can transmit Form 5500/5500-SF filings to the EFAST2 system for processing on behalf of others. Transmitters are responsible for the security of all filing information prior to and during its transmission. A Transmitter can be a company, trade, business, or individual.

**Note:** Anyone wishing to transmit completed filings through third-party software may need to register for credentials and check the Transmitter user type.

• **Third Party Software Developer:** Third Party Software Developers make Form 5500 filing preparation or transmission software for use in the EFAST2 system. They submit test cases using their software to the Participant Acceptance Testing System (PATS) Team. The PATS Certification Team reviews their submissions and provides feedback or approval to certify the software. A Third Party Software Developer can be a company, trade, business, or individual.

### 2.2 Determining User Types

You may select as many user types as necessary to complete relevant tasks. The following table illustrates the possibilities:

<table>
<thead>
<tr>
<th>I want to:</th>
<th>User type necessary if using IFILE on the EFAST web site</th>
<th>User type necessary if using Third-Party Software*</th>
</tr>
</thead>
<tbody>
<tr>
<td>Create, Import, or Amend a filing</td>
<td>Filing Author</td>
<td>Filing Signer</td>
</tr>
<tr>
<td>Submit/transmit a filing</td>
<td>Filing Author</td>
<td>Transmitter</td>
</tr>
<tr>
<td>Sign a filing</td>
<td>Filing Signer</td>
<td>Filing Signer</td>
</tr>
<tr>
<td>Create a schedule but not a Form 5500/5500-SF</td>
<td>Schedule Author</td>
<td>Filing Signer</td>
</tr>
<tr>
<td>Develop and certify third-party software</td>
<td>Third Party Software Developer</td>
<td>n/a</td>
</tr>
</tbody>
</table>

*unless your EFAST2-approved vendor advises you differently

### Table 1. Preparation and Transmission Options and User Types Needed

A plan administrator using EFAST2-approved third-party software to prepare and transmit its own Form 5500/5500-SF and schedules directly to the DOL does not need Filing Author or Schedule Author credentials because the preparation is done separately from the web-based system.

A plan administrator using EFAST2-approved third-party software to prepare filings and then import them to IFILE for transmission needs Filing Author credentials to be able to edit the filing once it is imported into IFILE.

Anyone wishing to transmit completed filings through third-party software may need to register for credentials and check the Transmitter user type.

Someone who only prepares schedules using IFILE and not 5500 / 5500-SF Forms needs Schedule Author credentials.

All company official(s) responsible for signing the filing need to obtain Filing Signer credentials.
2.3 How do I Register for EFAST2 Credentials?

To register with EFAST2, users must go to the EFAST2 website, located at [https://www.efast.dol.gov](https://www.efast.dol.gov). On the navigation panel on the left side of the Welcome page, the user should click the Register link.

![Figure 1. EFAST2 Welcome Page](image1)

After clicking the Register link in the navigation panel on the left side of the page, an informational [EFAST2 Registration](https://www.efast.dol.gov) page describes the registration process, and provides links to user guides, other publications, and frequently asked questions about EFAST2 credentials.

On the [EFAST2 Registration](https://www.efast.dol.gov) page, click the Continue button and then follow the prompts to complete the seven-step registration process. The process of submitting a registration and receiving an EFAST2-generated User ID and PIN should take just a few minutes.

![Figure 2. EFAST2 Registration Page](image2)
Step 1. Read and Accept the Privacy Statement

The first step of EFAST2 registration is to read and accept the privacy agreement. The complete text of the privacy statement can be found in Appendix C.

![Register - Privacy Statement (Step 1 of 7)](image)

After reading the privacy statement, the user must

1. Check the box labeled “I have read this agreement”
2. Click the Accept Agreement or Decline Agreement button
   a. Click Accept Agreement to continue to the Profile Information page to provide registration information and select a user type.
   b. If the Decline Agreement button is selected, a message will confirm “Do you really wish to decline this agreement and stop your registration?” Click Yes to end the registration process and return to the Welcome page. Click No to return to the Privacy Agreement page.

Step 2. Enter Profile Information

The second step of EFAST2 registration is to enter profile information and select the user type(s).

Basic user profile information must be provided (name, address, phone, company name, etc.) and one or more of the five user types must be selected. For example, someone who prepares, signs, and submits a filing using IFILE on the EFAST website must select the Filing Author and Filing Signer user types.

On the Profile Information page, required fields are marked with an asterisk (*) next to the field label.

**Required:** First Name, Last Name, Address Line 1, City/Town, Country, Statue/Province, Zip/Postal Code, Daytime Phone, Email Address, Company Name, User Type

**Optional:** Address Line 2, Fax
Choose User Type(s)
One or more user type(s) must be selected: Filing Author, Filing Signer, Schedule Author, Transmitter, or Third Party Software Developer. The Filing Author and Filing Signer types are selected by default but can be changed if necessary.

Refer to Chapter 4 for more information on electronic filing credentials. If necessary, the selected user type(s) can be changed after registration by logging in and going to the User Profile page.

Note: If the user type Third Party Software Developer is selected, EFAST2 enables the components of the website that are specifically intended for third-party developers. If a person is developing software for internal use by a company, that person should select Third Party Software Developer as well as any other applicable user types for that person.
Validation of Profile Information
After entering the profile information and selecting the user type(s), the Next button validates the entries made on the page. A registration form cannot be submitted if:

- Email address entered is already on file for an active user
- Required fields are incomplete
- Invalid field values have been entered (e.g., phone number must be a numeric value).
- Failure to select a user type

Errors on the Profile Information page will prevent users from continuing to Step 3. In order to continue, the user must correct the information on the screen. For more information on error messages on the Profile Information page, see Appendix B.

Upon clicking the Next button, if no errors are found, the EFAST2 Registration system attempts to verify whether the provided first and last name are a personal or corporate name. If a suspected corporate name is identified, a warning will be displayed to provide a personal name instead of the name of a company or organization. The user may click the Edit button to edit the provided name, or may click the Ignore button to continue with the registration process using the suspected corporate name. For more information on this warning message, see Appendix B.

Step 3. Select Challenge Question and Answer
The third step of EFAST2 registration is to select a challenge question and enter an answer on the Challenge Information page.

The challenge question provides a level of security that helps prevent unauthorized third parties from accessing an account.

On the Challenge Information page, one of two challenge (or security) questions must be selected, and a challenge answer must be entered. The “date of birth” answer must be a valid date and future dates are not allowed. The “place of birth” answer may be letters, numbers, or special characters. However, validation of the challenge answer field disregards case sensitivity, spacing, and special characters. A “place of birth” challenge answer must be entered twice and the entries must match.

It is recommended to make note of the challenge answer for your records. The correct challenge answer is necessary to complete the registration process and activate an account, as well as to retrieve a forgotten User ID or reset or unlock a password.

Click Next to continue to the Summary page.
Step 4. Verify Registration Information

The fourth step of EFAST2 registration is to review a summary of the information that has been entered and submit the registration.

It is important to verify that all information is correct, especially the email address, which is crucial to the next step of the EFAST2 registration process.

If any User Profile information is incorrect, the Edit button allows the information to be corrected.

The Submit button is used to submit the registration.

![Figure 7. Register – Summary](image)

Note: It is recommended to print a copy of the Summary page and put it in a safe place until the registration is complete and credentials have been activated.
Check Email

Upon completion of the first part of registration, the user will receive the Register – Check Email page.

The next part of the process is to receive the Credentials Notification email, which contains a link to a secure website to retrieve the user credentials and activate the account. Click the OK button to continue. EFAST2 generates and sends the Credentials Notification email within five minutes.

```
Register - Check Email

Please check the e-mail address you provided for a link to acknowledge your registration.
You will also need the answer to your challenge question in order to complete the next step.

OK
```

Figure 8. Register – Check Email

Note: Users should check their junk mail email box if the Credentials Notification is not received within 5 minutes.

Receive Email Link

Once the credentials are generated, EFAST2 sends an email notification to the email address provided during the registration process. The email notification contains a link to a secure website to retrieve the user credentials and activate the account. If the link is not clicked within three months of registration, the link in the email will be deactivated.

```
From: efast2@efastsys.dol.gov <efast2@efastsys.dol.gov>
Sent: Monday, November 19, 2012 3:34 PM
Subject: Important: Your EFAST2 PIN and User ID

Dear Alan Taylor,

You may now retrieve your PIN and User ID. For your security, you must go to the link below to retrieve these credentials from our secure server. Either select the link or copy the entire link and paste it into the address or location line of your Web browser. Make sure you copy and paste the entire link below; it may appear on multiple lines.

Please Note: Your PIN is available at the link below until 2/19/2013. If this date has already passed, please contact the EFAST2 Contact Center at 1-866-463-3278.

As part of the PIN application, you agreed not to disclose or share your PIN with anyone, including commercial service providers. You also agreed to keep your PIN in a safe location.

If your PIN is misplaced or stolen, either go to the EFAST2 Web site and change your PIN or contact the EFAST2 Contact Center at 1-866-463-3278.

https://www.efast.dol.gov/portal/app/userAcknowledge?accountid=A1002640

If you are an AOL user, click here:
https://www.efast.dol.gov/portal/app/userAcknowledge?accountid=A1002640

If you encounter any problems retrieving your PIN, you can contact the EFAST2 Contact Center for assistance.

Thank you,

U.S. Department of Labor

This is a system-generated email. No reply is necessary.
```

Figure 9. Credentials Notification Email

If the email is not received, the registration process can be completed without the email and secure link by completing the final registration steps using Forgot User ID on the Login page. After selecting Forgot User ID, enter the email address that was entered during registration. If the registration process has not been completed, an option is provided to complete the registration.
Activate and Retrieve Credentials

The email notification contains a link to a secure website to retrieve the credentials and activate the account. The link provided in the email will expire after three (3) months.

To complete the registration and activation process (steps 5 through 7) and receive the credentials, the challenge answer must be entered correctly.

![Figure 10. Register – Challenge Question Verification](image1)

**Note:** The challenge answer must be entered correctly. If entered incorrectly three times during the registration process (prior to account activation), the account will be revoked and you must begin the registration process again.

Step 5. Accept Applicable Agreement(s)

The fifth step of EFAST2 registration is to accept the PIN Agreement (for all users) and Signature Agreement (if the user type of Filing Signer was selected during registration).

**PIN Agreement**

The PIN Agreement must be accepted to proceed to the next step. After reading the PIN agreement, check the box and click the Accept Agreement button to proceed.

The complete text of the PIN Agreement is located in Appendix E.

The PIN is provided in Step 7.

![Figure 21. Register – PIN Agreement](image2)
**Signature Agreement**

If the user type Filing Signer was selected during registration, the *Signature Agreement* must be accepted to proceed to the next step. After reading the Signature Agreement, check the box and click the *Accept Agreement* button in order to proceed.

The complete text of the Signature Agreement can be found in Appendix D.

![Register - Signature Agreement (Step 5a of 7)](image)

**Step 6. Create a Password**

The sixth step of EFAST2 registration is to create a password.

The password must be a combination of upper and lower case letters, numbers, and special characters. The password must be entered twice; once to set it and a second time to confirm it. The length, complexity, and longevity must adhere to Government standards that include restrictions on certain dictionary words, portions of associated account names, consecutive character strings, simple keyboard patterns, and generic passwords.

The password field is case-sensitive.


![Register - Password (Step 6 of 7)](image)
Step 7. Confirmation

The final step of EFAST2 registration is to retrieve the User ID and PIN on the Confirmation page.

Upon creating a password and retrieving the User ID and PIN, the EFAST2 registration and account activation is complete. The User ID and password are used to log in to the EFAST2 website. The User ID and PIN are used to provide an authorized Form 5500/5500-SF electronic signature in IFILE on the EFAST2 website, on third party preparer’s site, or using EFAST2-approved third-party software.

Please print this page for your records. Failure to recall your PIN and correctly answer your challenge question may require you to register for a new account with EFAST2.

Click the Login button to continue.

---

**Figure 5. Register – Confirmation/Successful Account Activation**

*Important: Please print this page for your records. Failure to recall your PIN or correctly answer your challenge question may require you to register for a new account with EFAST2.*
Chapter 3. Logging in

From the Welcome page, click the Login link on the navigation panel on the left. You will be prompted to enter your User ID and Password to access the system. Enter your User ID and Password into the appropriate fields to log in.

![Login figure](image)

**Note:** Your EFAST2 user account will be locked after three unsuccessful attempts to enter the correct User ID and Password. You may retrieve these pieces of information by using the “Forgot User ID” and “Forgot Password” buttons. A system-generated email will be sent to the email address on the account.

3.1 Lost or Forgotten Credentials

Lost PINs, User IDs and passwords can be recovered through the EFAST2 website (https://www.efast.dol.gov/).

Click the Forgot User ID button on the Login page and enter the email address associated with the account to recover the EFAST2 User ID.

Click the Forgot Password button on the Login page to unlock or reset the EFAST2 password. The Forgot User ID and Forgot Password functions require the challenge answer entered during registration. Refer to the printed Register - Confirmation page or Profile Summary page to view the challenge answer associated with the account.
3.1.1  Forgot User ID
To recover a forgotten User ID, click the Forgot User ID button on the Login page. On the following page, enter the email address that you provided during your initial registration. You will need to provide the answer to your challenge question to view your User ID.

![Figure 7. Forgot User ID](image)

3.1.2  Forgot Password
To unlock an account or reset the password, click the Forgot Password button on the Login page. On the following page, you must enter a valid User ID or registered email address. You will also be prompted to enter the answer to your challenge question. If done successfully, you will be allowed to create a new password.

![Figure 8. Forgot Password](image)
3.1.3 Recovering a PIN

To recover a PIN, log in and then click on the View Your PIN button. Alternately, click the User Profile link in the navigation menu on the left side of the page to view the PIN, user types, and other profile information.

Figure 18. View Your PIN button

Figure 19. View Your PIN dialog box

3.2 Changes to Account Information

Users can change registration information (with the exception of the challenge question and answer) through the EFAST2 website. Note: Accounts are unique to each user and are not to be shared or transferred.

Users can change their password and PIN by accessing their account through the EFAST2 website. If users wish to obtain a new User ID they must do so by revoking the existing user ID and repeating the registration process.

Note: On the EFAST2 website www.efast.dol.gov, the list of filings on the Submissions page is linked to the User ID of the Filing Author (Transmitter) and Filing Signer. If you register for a new User ID and need access to filings that were signed or submitted under a different User ID, call the EFAST2 Contact Center for assistance.

Users who wish to use the same email address to register again will need to contact the EFAST2 Contact Center at 1-866-463-3278 (1-866-GOEFAST) to revoke their account and release the email address to be used to register again.

If users change their name, PIN, password, or email address in EFAST2, a record of that change is maintained in the EFAST2 database. Challenge questions and answers cannot be modified.
If a user modifies his/her user type selection(s), the **User Profile** page will display a message specifying the change(s) to the user type and request confirmation of the change. The account will be updated after the user has confirmed the change.

When any change is made to a user’s account, a notification of that change is sent to the email address currently in the system for that user. If the user changes his or her email address in the EFAST2 database, a change notification is sent to both the old and new email addresses associated with the account.

If a user’s User ID was used for filings belonging to a single organization and the user is no longer responsible for filings for that organization, see Section 4.2, *Non-transferability of Credentials*.

### 3.2.1 Change Profile

Users can change profile information with the exception of the challenge question and answer by logging into the EFAST2 website and clicking the **User Profile** link.

Click the **Change Profile** button to change profile information.

**Note:** The EFAST2 system does not allow users to change their Challenge Question or Challenge Answer. The EFAST2 Contact Center does not have access to view or change a user’s Challenge Question or Challenge Answer.
Update the profile information as needed and click Submit.

Note: Accounts are uniquely yours and not to be shared or transferred.

![User Profile - Change Profile](image)

Figure 21. Submitting Profile Change

**Note:** If you add or remove one or more user types, a “Confirm User Type Changes” dialog box will be displayed. Click Yes to apply the change to your user profile, or No to cancel the change.
After submitting the change(s), the system displays a success message that the profile has been updated.

3.2.2 Change Password

Users can change their password after logging into the EFAST2 website and clicking the User Profile link. Click the Change Password button at the bottom of the User Profile – View Profile page to change the password. After entering the current password, the new password must be entered twice; once to set it and a second time to confirm it.

The new password must be a combination of upper and lower case letters, numbers, and special characters. The length and complexity must adhere to Government standards that include restrictions on certain dictionary words, portions of associated account names, consecutive character strings, simple keyboard patterns, and generic passwords. The password field is case-sensitive.
3.2.3 Change PIN

Users can change their PIN after logging into the EFAST2 website and clicking the User Profile link.

Click the Change PIN button at the bottom of the User Profile – View Profile page to change the PIN.

(See Section 4.1.4 in this document for more information regarding PIN requirements.)

![User Profile - Change PIN](image1)

Figure 25. User Profile – Change PIN

After submitting the PIN change, the system displays a success message that the PIN has been successfully changed.

![User Profile - View Profile](image2)

Figure 26. User Profile – Change PIN Confirmation Message
Chapter 4. Electronic Filing Credentials

4.1 Credential Types

EFAST2 electronic filing credentials include the following:

- User ID
- ETIN (electronic transmitter identification number)
- Password
- PIN (personal identification number)

The following table correlates credential types to the requested user types:

<table>
<thead>
<tr>
<th>User Type</th>
<th>User ID</th>
<th>ETIN</th>
<th>Password</th>
<th>PIN</th>
</tr>
</thead>
<tbody>
<tr>
<td>Filing Author</td>
<td>X</td>
<td></td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>Filing Signer</td>
<td>X</td>
<td></td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>Schedule Author</td>
<td>X</td>
<td>X</td>
<td></td>
<td>X</td>
</tr>
<tr>
<td>Transmitter</td>
<td>X</td>
<td></td>
<td></td>
<td>X</td>
</tr>
</tbody>
</table>

Table 2. User Types and Credentials

4.1.1 User ID

The User ID is composed of an alphabetic character (A through W) followed by seven random numeric characters. The User ID is unique and will not be duplicated for any other registration.

Example: A1002187

User IDs are provided for all registered EFAST2 users. When used in combination with the password, the User ID permits users to access their EFAST2 account and any filing information started, submitted, or signed by the ID they use to log in. If the User ID has been revoked and the user has obtained a new User ID, they would not have access to filings created with the revoked ID.

All filing signers, whether using third-party software or IFILE, are required to have both a User ID and a PIN. The User ID is used in conjunction with the PIN to sign filings, to submit one’s organization’s filing, and to retrieve status on submitted filings.

4.1.2 ETIN

The ETIN is a unique identifier composed of the letter Y followed by seven random numeric characters. The ETIN is unique and will not be duplicated for any other registration.

Example: Y1002188

An ETIN, along with a PIN, is required for preparers to submit filings or batches of filings on behalf of others using EFAST2-approved third-party software. Filing Authors and Filing Signers normally do not need to know the transmitter’s ETIN. Anyone wishing to transmit completed filings through third-party software may need to register for credentials and check the Transmitter user type. Check with your third-party software provider to determine if this is necessary.
4.1.3 Password

When used in combination with the User ID, a password permits users to login to the EFAST2 website to access their EFAST2 account and any filing information associated with that User ID.

The length, complexity, and longevity must adhere to Government standards that include restrictions on certain dictionary words, portions of associated account names, consecutive character strings, simple keyboard patterns, and generic passwords.

The password must:

- Be between 8 and 16 characters long
- Contain at least one upper case letter (alphabetic character)
- Contain at least one lower case letter (alphabetic character)
- Contain at least one number (numeric character)
- Contain at least one of the following special characters: !, @, #, $, %, ^, &, *, (, )
- It may not contain spaces

Example: JkL2&HRt77bB%

4.1.4 PIN

The PIN is a unique identifier (when combined with the User ID) composed of four (4) numeric characters. A PIN is used when signing a filing, transmitting one or more filings via EFAST2-approved third-party software, or retrieving filing status information. In every case it is used to authenticate a user for the action being performed.

Example: 2354

Filing authors and signers with a User ID may change their PIN as described in section 3.2.3.

PIN Exceptions

A PIN cannot be any of the values listed below:

<table>
<thead>
<tr>
<th>PIN</th>
<th>PIN</th>
<th>PIN</th>
<th>PIN</th>
<th>PIN</th>
<th>PIN</th>
</tr>
</thead>
<tbody>
<tr>
<td>1111</td>
<td>6666</td>
<td>0123</td>
<td>5678</td>
<td>8765</td>
<td>5432</td>
</tr>
<tr>
<td>2222</td>
<td>7777</td>
<td>1234</td>
<td>6789</td>
<td>7654</td>
<td>4321</td>
</tr>
<tr>
<td>3333</td>
<td>8888</td>
<td>2345</td>
<td>7890</td>
<td>6543</td>
<td>3210</td>
</tr>
<tr>
<td>4444</td>
<td>9999</td>
<td>3456</td>
<td>0987</td>
<td>1234</td>
<td>5678</td>
</tr>
</tbody>
</table>

4.2 Non-transferability of Credentials

EFAST2 user credentials belong to the individual who obtains them. Credentials are not transferrable; that is, they cannot be shared by multiple users. Therefore, if different company officers sign the filing, each officer must register and obtain his or her own credentials.

If an EFAST2 user has submitted or signed filings, but responsibility for those filings has moved to another EFAST2 user, the user credentials may not be shared. Each individual user must register for their own User ID.

On the EFAST2 website www.efast.dol.gov, the list of filings on the Submissions page is linked to the User ID of the Filing Author/Transmitter and Filing Signer. If you need access to filings that were signed or submitted by a different user, please call the EFAST2 Contact Center for assistance.

In IFILE, if user responsibilities change while filings and/or schedules are in progress, the filings or schedules may be exported and saved by the original Filing Author (or Schedule Author). The filings or schedules may then be imported by the registered EFAST2 user taking over the responsibilities of Filing Author (or Schedule Author). If in-progress filings and/or schedules are not exported by the original author and imported by the new author, new filings or schedules may be created, or a transfer of access to the in-progress filings may be an option. Call the EFAST2 Contact Center for assistance.
4.3 Multiple Credentials

EFAST2 registration allows one active User ID per valid email address. The registration process does not provide a way to add multiple companies to a profile, nor is it necessary. The EFAST2 credentials can be used to identify the registrant for multiple years and on multiple filings.

If the Employer/Plan Sponsor and the Plan Administrator are the same person, that person needs to register only once for both purposes.

4.4 Protecting Your Credentials

The safety and integrity of your filings depend on the security of your electronic credentials. EFAST2 takes measures to protect user credentials:

- The PIN is displayed on the User Profile page only after the user has logged in to the EFAST2 website.
- The password is masked with asterisks when used to log into the system—it is not available anywhere else.

Users must also take responsibility for keeping their credentials secure. Following the guidelines listed below helps to ensure that credentials are not compromised:

- Do not share your credentials with anyone.
- Do not leave any papers containing your credentials where anyone may see them.
- Do not save your credentials in an unsecured computer file.
- Do not file with compromised credentials.
- Do not allow your browser to remember your credentials.

4.5 Compromised Credentials

The user’s PIN and User ID are considered “compromised” if anyone but the user obtains unauthorized access to them. If a PIN or User ID is lost, or stolen, or compromised in any way, users may request the immediate deactivation of the PIN and User ID by calling the EFAST2 Contact Center at 1-866-463-3278 (1-866-GO EFAST). Callers must give the reason for the deactivation request and provide their full name and User ID.

In some cases, an account may be deactivated if it is determined that the account may have been compromised due to keystroke logging software or other software on a user’s computer.

Users must complete the registration process again to receive new credentials.

Note: On the EFAST2 website www.efast.dol.gov, the list of filings on the Submissions page is linked to the User ID of the Filing Author (Transmitter) and Filing Signer. If you register for a new User ID and need access to filings that were signed or submitted under a different User ID, call the EFAST2 Contact Center for assistance.

4.6 Expired Credentials

The User ID, ETIN, and PIN credentials do not expire in the EFAST2 system.

Passwords in the EFAST2 system that have not been changed for three (3) consecutive months (90 days) will expire. You will be prompted to change your password the next time you log in.

On the Password Expired – Edit Password page, you must type your current password and enter a new password twice. The new password must meet the password requirements and must be different than your twelve (12) previous passwords.
4.7 Revocation of Credentials

Users must maintain a high degree of integrity and accuracy to take part in the EFAST2 program. The DOL reserves the right to revoke the electronic filing credentials of any user who does not maintain an acceptable level of quality in his or her filings or who deviates from the requirements, procedures, and specifications set forth in this publication and in other EFAST2 publications.

The following conditions can lead to suspension of electronic filing credentials:

- Misrepresentation on the user’s registration form.
- Deterioration in the format of filing submissions.
- Unacceptable cumulative error rate.
- Violation of advertising standards.
- Unethical practices in filing preparation.
- Other actions that would adversely affect the EFAST2 program.

When a user has reached the limit on the number of consecutive invalid attempts to answer the security challenge question, the system displays a message alerting the user that he/she has failed to enter the correct answer to the challenge question. The alert message states that the user account will be temporarily revoked for up to twenty (20) minutes, after which the user will be able to attempt to answer the challenge question again.

An email notification is sent to the email address associated with the user account, indicating that it has been temporarily revoked due to invalid attempts to answer the security challenge question. Once the user successfully answers the challenge question, access to the account will be restored.

If the user repeats the process of reaching the limit of invalid security challenge question answers followed by a temporary revocation five (5) consecutive times, the system will permanently revoke the user account and display a message instructing the user to contact the EFAST2 Contact Center for assistance.
Chapter 5. Electronic Filing with EFAST2

5.1 Filing Options

There are two filing methods in EFAST2:

- EFAST2-approved third-party software
- IFILE (DOL’s free internet-based filing tool)

Options for combining these methods of preparing and transmitting filings include:

- Prepare and transmit filings using EFAST2-approved third-party software.
- Prepare filings using EFAST2-approved third-party software, export from the third-party software, and import and submit the filings through IFILE if the third-party software supports exporting.
- Prepare filings using IFILE, export from IFILE, and import and submit the filings through EFAST2-approved third-party software if the third-party software supports importing.
- Prepare and submit filings through IFILE.

5.1.1 Delinquent or Amended Filings

For plan years prior to 2015, delinquent and/or amended returns/reports use the current year Form 5500 or Form 5500-SF, schedules, and instructions. However, use the correct plan year schedules and instructions found on the Form 5500 Series page for the following schedules:

- Schedule B, SB, or MB (Actuarial Information),
- Schedule E (ESOP Annual Information),
- Schedule P (Annual Return of Fiduciary of Employee Benefit Trust),
- Schedule R (Retirement Plan Information) and
- Schedule T (Qualified Pension Plan Coverage Information).

After printing and completing the schedules, attach them to your Form 5500 submission as PDFs and tag them in your electronic filing as “Other Attachments”.

You must indicate in the appropriate space at the beginning of the Form 5500 and/or schedules the plan year for which you are filing the annual return/report.


IMPORTANT: Do not attach a Schedule SSA to any filing submitted to EFAST2. Rather, submit the most current year Form 8955-SSA to the IRS.

IMPORTANT: Do not send any penalty payments associated with a delinquent filing to EFAST2. Penalty payments to the IRS or made under the Department's Delinquent Filer Voluntary Compliance Program (DFVCP) must be submitted separately in accordance with the applicable requirement. For answers to DFVC Frequently Asked Questions, access the following URL: https://www.dol.gov/sites/default/files/ebsa/about-ebsa/our-activities/resource-center/faqs/dfvcp.pdf

5.1.2 Submissions

A submission may consist of a single filing or batches of multiple filings. The maximum allowable size of a batch filing submission is 100 filings up to a total of 300 megabytes (MB). Note that each transmission cannot exceed the 300 MB limit. When preparing a large submission, separate the batch filing into individual filings. Reduce the size of attachments by lowering the resolution or optimizing the attachment files to the smallest size. If those steps have been taken and the file is still larger than 300 MB, call the EFAST2 Contact Center at 1-866-463-3278 (1-866-GO EFAST) for assistance with the filing.
5.1.3 Unique Numbers Assigned by the Electronic Filing System

**AckId**
The Acknowledgement ID (AckId) is an EFAST2 system-generated identifier that uniquely identifies a filing that is eligible for EFAST2 processing. An AckId is used to link an amended filing to an original filing submitted through EFAST2.

**FilingId**
The FilingId is created by the filing preparation software and uniquely identifies the filing.

**RequestId**
RequestId is created by the transmission software and uniquely identifies the submission.

**ResponseId**
The EFAST2 system generates and provides a ResponseId for each processable submission.

5.1.4 Filing Deadlines and Extension Requests

The deadline for plans to file a Form 5500 is the last day of the seventh month after the close of the plan year.

A plan may obtain a one-time extension of time to file a Form 5500 annual return/report (up to 2½ months) by filing IRS Form 5558, Application for Extension of Time to File Certain Employee Plan Returns, on or before the normal due date (not including any extensions) of the return/report. You must file Form 5558 with the IRS. A copy of the completed extension request must be retained with the filer’s records. Filers are not required to attach a copy of the submitted IRS Form 5558 with their completed Form 5500.

An automatic extension of time to file Form 5500-SF until the due date of the federal income tax return of the employer will be granted if certain conditions are met. Refer to the Form 5500 or 5500-SF Instructions under the heading “Using Extension of Time to File Federal Income Tax Return.”

The IRS, DOL, and PBGC may announce special extensions of time under certain circumstances, such as extensions for Presidentially-declared disasters or for service in, or in support of, the Armed Forces of the United States in a combat zone. If you are relying on one of these announced special extensions, check the appropriate box on Form 5500, Part I, line D, and enter a description of the announced authority for the extension.

If a filing is late, a filer may choose to attach an explanation for filing late in the “Reasonable Cause” attachment. If Government review finds that the filer had a reasonable explanation for filing late, filing penalties may be waived.
5.2 Composition of the Filing

The composition of an EFAST2 filing consists of one Form 5500 or Form 5500-SF, Schedules (if required) and unstructured PDF or TXT attachments (if required).

5.2.1 Forms and Schedules

With the exception of Schedule A, all forms and schedules can have only one occurrence within the filing. A maximum of 999 Schedules A may be included in a single filing. Note that the size of the filing may also limit the number of schedules that a filing may contain (maximum size of a filing is 300MB).

Some forms and schedules have repeating blocks of information. There is no limit to the number of instances of each block within the form or schedule other than the filing size limit.

Form 5500 Filings may contain any form, schedule, or attachment type other than the Form 5500-SF. Some schedules (for example, SB and MB) are mutually exclusive.

Form 5500-SF filings may contain only Form 5500-SF, Schedule MB or SB, and attachments. All other forms and schedules are invalid for Form 5500-SF.

Beginning with the 2009 plan year, the Form 5500 series does not include the Schedule SSA. Do not find a prior year Schedule SSA, fill it out and attach that to your Form 5500 filing. Do not try to create your own Schedule SSA and attach that to your Form 5500 filing. If you include a social security number on your annual return/report (such as appears on the old Schedule SSA), your filing may be rejected. Because your filing (including any attachments) will be posted on the Internet, it should not contain sensitive information such as social security numbers. For more information on submitting to the IRS Form 8955-SSA, which is the form that replaces the Schedule SSA, please go to www.irs.gov. Do not attempt to attach IRS Form 8955-SSA to your Form 5500/5500-SF filing through EFAST2.

5.2.2 Attachments

Any information that cannot be contained on the 5500 series forms and schedules may be submitted as an unstructured attachment in EFAST2. Acceptable formats vary by attachment type:

- **Accountant’s Opinion, Signed MB or SB, and image of the signed Form 5500/5500-SF for those using the e-signature option.** The report of the Independent Qualified Public Accountant (IQPA), image of the signed Schedule MB or SB, and image of the signed Form 5500/5500-SF for those using the e-signature option must be attached as a PDF file. The EFAST2 system does not accept PDF files that have been encrypted or password protected to restrict editing, printing, or viewing.

- **Other Attachments.** Other attachments may be either a PDF file or an ASCII Text file. The EFAST2 system does not accept files that have been encrypted or password protected to restrict editing, printing, or viewing. No other file formats are accepted. Other attachments have an attachment type associated with them, such as “Statement of Actuarial Assumptions/Methods.” For a complete list of possible attachments that can be included in EFAST2 filings, see the IFILE User’s Guide.

Only one report of the Independent Qualified Public Accountant (IQPA Report) can be attached. Other than the number limit on the IQPA Report, there are no restrictions beyond the filing size limit or the number of times each attachment type can be used within a filing.

5.3 Filing Validation

EFAST2 preparers may obtain immediate feedback on the validity of their filing. Preparers are encouraged to validate each filing before it is signed. Prior to signing and submission in IFILE, validation is performed automatically. Whether the filer uses third-party software or IFILE, messages alert the preparer to inconsistent data, omissions, or other barriers with their submission. By validating each filing and making necessary corrections before signing and submission, the preparer can avoid amendment, and potential for correspondence, rejection, and penalties.
5.4 Signing Filings

All Form 5500 and Form 5500-SF filings must be signed electronically in EFAST2.

Each signer is assigned two identifiers by EFAST2: a PIN and a User ID. Together, the PIN and the User ID represent the user’s signature on the electronic filing.

There are two principal advantages to using a PIN and a User ID to sign filings:

- **Greater security:** Only the user has access to the PIN and User ID.
- **Less paperwork:** The transmitter’s responsibility to send paper forms, schedules, and attachments to the DOL is eliminated, thus making the filing completely electronic.

There may be as few as one or as many as three signatures for one filing. The signing roles available are: Plan Administrator, Employer/Plan Sponsor, Direct Filing Entity (DFE), and Service Provider using E-signature alternative option. Form 5500-SF filings must have a signature from either the Plan Administrator and/or the Employer/Plan Sponsor unless the plan elects to use the E-signature alternative option. If the same person serves as both the Employer/Plan Sponsor and Plan Administrator, that person only needs to sign on the Plan Administrator line.

The signature role for a service provider using the E-Signature alternative option includes additional required fields to enter the Plan Administrator’s Name (i.e., the person who manually signed the filing) and the Signed Date (i.e., the date the filing was manually signed). Beginning with Form Year 2017, the E-Signature alternative option includes fields to enter the Plan Administrator’s, Plan Sponsor’s, or DFE’s manually signed name and date, as applicable.

By using the PIN and User ID as an electronic signature, the Filing Signer certifies that the required signatures are on all the applicable filing components, including Form 5500 or 5500-SF (plan administrator, employer/plan sponsor, DFE, or Service Provider using E-signature alternative option, as appropriate), the Accountant’s Opinion (signed document attached as a PDF) and signed Schedule MB/SB (completed electronically and attached as a signed PDF).

Upon signing the filing, filing preparation software (either IFILE or EFAST2-approved third-party software) applies the signer’s electronic filing credentials (User ID and PIN), name, and date to the annual return/report file. A filing must contain at least one valid electronic signature for it to be processed by the EFAST2 system.

Upon submission to the Government, the signatures are authenticated by comparing the submitted credentials to the registration credentials in EFAST2. Errors result if a required signature is missing or invalid.

Once a filing has been signed electronically, the signature(s) must be removed to allow for editing of the filing. Submitted and accepted filings require the submission of an amendment to make modifications.

5.5 Filing Submission / Transmission

After filings have been verified and signed, they may be transmitted to the EFAST2 system for acceptance processing. Filings may be submitted individually or in a batch. EFAST2-approved third-party software and IFILE ensure that the XML format of filings and batches matches what is expected by the EFAST2 system.

Submission through EFAST2-approved third-party software requires either a User ID/PIN or ETIN/PIN combination for verification. Those preparing their own filing would use their User ID, whereas preparers transmitting on behalf of others would use their ETIN. Some third-party software acts as the Transmitter. In these cases, the user does not need to enter EFAST2-issued transmission credentials. For questions regarding the use of Transmitter User ID and PIN with third-party software, contact the third-party software provider.

Within 20 minutes after transmission, EFAST2 sends a system-generated email to the email account on file for the User ID that was listed as the Transmitter of the filing. Some filers using EFAST2-approved third-party software may receive notification from the software instead of from EFAST2. The submitter is sent an email indicating that processing has been completed and to access the EFAST2 website to determine the status of the filing. A receipt acknowledgement does not indicate that submitted filings have been processed with no errors.
Chapter 6. View Information about Submitted Filings

After filings are successfully submitted to the EFAST2 system using IFILE on the EFAST2 website or using EFAST2-approved third-party software, filings undergo processing to check for errors and/or omissions. Within minutes, the status of each filing is available, along with a list of errors or warnings found during processing.

Generally, filers check the status of a filing using the same software used to submit the filing data to EFAST2. Therefore, users of EFAST2-approved third-party software may use their software to check the status of a filing, while users of IFILE on the EFAST2 website may go to the Submissions page to check the status of a filing.

It is important to check the filing status and to check for errors or warnings. Filings that contain errors are subject to rejection and penalties. Filings containing errors and/or warnings can be corrected through an amended filing.

As indicated in the Instructions for Form 5500 and Instructions for Form 5500-SF:
Even after being received by the EFAST2 system, your return/report filing may be subject to further detailed review by DOL, IRS, and/or PBGC, and your filing may be deemed deficient based upon this further review.

6.1 EFAST2 Website Submissions Page

The EFAST2 Submissions page is used to access and check the status of filings for which a user was the Filing Author (when using IFILE), Filing Signer (when using either IFILE or third-party software) or Transmitter (when using third-party software). The Submissions page provides the filing status, a list of filing errors and warnings, and possibly the option to amend or replicate the filing through IFILE (depending on user type).

Users of EFAST2-approved third-party software can check the filing status using their software. However, some Transmitters using third-party software may also be able to check the filing status using the EFAST2 website's Submissions page, even if the filing was not submitted on the EFAST2 website using IFILE.

Note: The ability for third-party software users to check the status on the EFAST2 website depends on whether the software allowed the preparer of the filing to enter their own EFAST2 credentials as the Transmitter of the filing. Some third-party software may not require users to have registered for EFAST2 credentials, and those users may not be able to check the filing status on the EFAST2 website Submissions page.

The remaining information in this chapter explains the functionality of using the EFAST2 website's Submissions page to check the filing status, view a list of filing errors (if any), open or save a PDF of the filing, and replicate or amend the filing in IFILE, if necessary.

Anyone wishing to only view the filing PDF (without performing functions unique to the Submissions page) may use the Form 5500/5500-SF Search function on the EFAST2 website. This public search option does not require registration or logon to the EFAST2 site, and nearly all current filings submitted electronically through EFAST2 are posted here. For more information regarding this function, see the EFAST2 Form 5500/5500-SF Filing Search Guide.

6.2 Access the List of Submitted Filings

EFAST2 registered users must be logged in to the EFAST2 website https://www.efast.dol.gov to access a list of filings on the Submissions page.

The filings displayed on the Submissions page are unique to the user who is logged in to the EFAST2 website. The Submissions list is comprised of filings for which the User ID was used as the transmitter or signer. In IFILE, the transmitter is typically the Filing Author – the person who created the filing in IFILE. If using EFAST2-approved third-party software, the transmitter could be the software or the preparer who is using the software, in which case the provided credential on the filing may have been the User ID or the ETIN.

Users who have registered multiple times in EFAST2 and have submitted or signed filings under different User IDs will only see the list of filings associated to the User ID used to log in.
1. To access the list of submitted filings, click the Submissions link from the navigation menu on the left side of the page.
2. The number of filings linked to the logged in User ID is displayed in the Records Found count.
3. Use the horizontal scroll bar at the bottom of the list to view additional columns to the right.

4. The filings are listed in descending order by Acknowledgement ID (AckID). Click any column name to sort. Click the column again to sort in reverse order.

   **Name**: Corresponds to the name of the plan as it appears on line 1a of the Form 5500/5500-SF.
   **Plan Year**: Corresponds to the plan year begin date found on the filing.
   **Status**: If errors or warnings exist, the filing status can be clicked to see a list.
   **Submit Date**: This reflects the date and time that the filing was submitted.
   **Acknowledgement ID**: The Acknowledgement ID (AckID) is an EFAST2 system-generated identifier that uniquely identifies a filing that is eligible for EFAST2 processing. An AckId is used to link an amended filing to an original filing submitted through EFAST2.
   **EIN**: The Employee Identification Number (EIN) provided on the Form 5500/5500-SF.
   **Filing Role**: Indicates whether this is a filing you signed, submitted, or signed and submitted.
5. Use the Page Count (1 of #) buttons to go to additional pages of Submissions. Thirty (30) submissions are listed on a single page. Use the arrow buttons to go to first, last, previous, and next pages.

6. A description of each filing status is provided at the bottom of the **Submissions** page.

![Figure 29. Submissions Page – Right Side](image)

### 6.3 Check Filing Status

A filing status is displayed for each filing that was submitted to EFAST2 successfully. Submissions that were unsuccessful are not listed.

To view the list of filing errors, click the **Status** link. A pop-up window will display a list of errors. The number of errors is indicated as "Records Found."

If the FILING_RECEIVED status is not a link that can be clicked, it means that EFAST2 found no errors or warnings from the submitted filing data.

As indicated in the *Instructions for Form 5500* – Even after being received by the EFAST2 system, your return/report filing may be subject to further detailed review by DOL, IRS, and/or PBGC, and your filing may be deemed deficient based upon this further review.
Table 3. Filing Status Explanations

| Status               | What it means                                                                                                                                                                                                 | Considered A Filing? |
|----------------------|--------------------------------------------------------------------------------------------------------------------------------******************************************************************************|----------------------|
| 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                  |
| 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                  |
| Processing 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 Unprocessable | EFAST2 could not read this annual return/report. This annual return/report is not considered filed with the Government.                                                                                 | No                   |

6.4 View Filing Errors and Warnings

After filings are successfully submitted to the EFAST2 system using IFILE on the EFAST2 website or using EFAST2-approved third-party software, filings undergo processing to check for errors and/or omissions. EFAST2 filing errors are categorized by severity. The overall filing status correlates to the highest severity in the filing errors list. For each error found, an error code is given, along with a brief description of the error.

EFAST2 filing errors are categorized by severity. The overall filing status correlates to the highest severity in the filing errors list. For each error found, an error code is given, along with a brief description of the error.
6.4.1 Processing Stopped

When an error is found with the severity of "STOP" (such as a signature error), the EFAST2 system stops checking for other possible errors. Resolving the error causing the PROCESSING_STOPPED status may not fully resolve all errors.

Click the PROCESSING_STOPPED link to view the error.

Filings with a status of PROCESSING_STOPPED must be corrected through an amended filing.

Figure 31. Click PROCESSING_STOPPED link to view errors found by EFAST2

Figure 32. Submitted Filing Errors – Processing Stopped
6.4.2 Filing Error

Click the "FILING_ERROR" link to view a list of errors or warnings, the highest severity being "ERROR."

Filings with a status of FILING_ERROR must be corrected through an amended filing.

![Figure 33. Click FILING_ERROR link to view list of errors found by EFAST2](image)

Note that multiple errors and/or warnings may have been found when the filing status is FILING_ERROR.

![Figure 34. Submitted Filing Errors – Filing Error](image)
6.4.3 Filing Received

Click the FILING_RECEIVED link to view the possible error(s) in the filing, the highest severity being "WARNING." If corrections are warranted, they should be made, and the corrected filing should be resubmitted in its entirety as an amended filing.

If the FILING_RECEIVED status is not a link that can be clicked, it means that EFAST2 found no errors or warnings from the submitted filing data.

![Home - Submissions](image)

**Figure 35.** Click FILING_RECEIVED link to view list of warnings found by EFAST2

![Submitted Filing Errors](image)

**Figure 36.** Submitted Filing Errors – Filing Received
### 6.4.4 Filing Unprocessable

Filings that are unprocessable for any reason receive the filing status of FILING_UNPROCESSABLE. Click the FILING_UNPROCESSABLE link to view the error.

A filing that has received this error could not be read by the EFAST2 system and is not considered accepted by the Government. The filing must be corrected and resubmitted.

For unprocessable filings, the plan name field is blank and the *Amend* and *Replicate* functions are not available.

![Figure 37. Click FILING_UNPROCESSABLE link to view list of errors found by EFAST2](image1)

![Figure 38. Submitted Filing Errors – Filing Unprocessable](image2)
6.5 Open or Save a Filing in Portable Document Format (PDF)

Click the Name link of the filing to open or save it in PDF.

A File Download dialog box or other type of notification in the browser window may provide options such as Open, Save, or Cancel, depending on the browser.
6.5.1 Open a Filing in PDF

This is an example based on Internet Explorer 11.

1. In the File Download dialog box, click Open.

2. A PDF of the filing opens using software that displays PDF files, such as Adobe Reader.
6.5.2 Save a Filing in PDF

1. Click the Save button, or click the Save drop-down menu for other options, depending on the browser.

2. Select a location on the computer, such as the Desktop, to save the file. Make note of the location so that it can be opened later.

3. Enter a file name. It is recommended to use a descriptive file name if saving more than one filing. By default, most downloads from the EFAST2 website have a generic name such as "filing.pdf"

4. Click Save.
5. Depending on the web browser being used, a notification that the download is complete may be displayed, as well as options to Open (which opens the downloaded file), Open Folder (which opens the folder in which the file was saved), or Close (to exit).

6. If prompted, click Open. Or, go to the location of the file to open it.

7. The PDF opens using software that displays PDF files, such as Adobe Reader.
6.6 Replicate or Amend Buttons

Users with user type *Filing Author* will see buttons for *Replicate* and *Amend* on the Submissions page.

Filing Signers who do not also have the Filing Author user type in their profile will not see the options to replicate and amend. However, all users may add user types to their profile by clicking the *User Profile* link and making the necessary changes.

A signer or transmitter who also has the user type of Filing Author has immediate access to the Replicate and Amend buttons on the Submissions page.

Filings may exist on an active form year (the current form year and three previous form years) or an inactive form year (form years that were available prior to the current active form years).

6.6.1 Replicate

The replicate function can be used as a starting point to copy basic filing data (such as plan demographics) into a form for the next filing year. The replicate functionality is discussed in greater detail in the *IFILE User’s Guide*. The Replicate function is not available for filings that exist on an inactive form year.

6.6.2 Amend

The amend function is used to amend a filing using IFILE on the EFAST2 website. It is recommended that filers use the same software to amend the filing as was used to submit the original filing. However, it is possible to use IFILE to amend any filing found on the Submissions page as long as the user type of Filing Author has been selected in the user’s User Profile.

For filings on an active form year, the Amend function creates an exact copy of the entire filing – including the form and all schedules and attachments (if any). The information on this copy can be corrected as necessary. For filings on an inactive form year, the Amend function populates demographic information on the Form 5500/5500-SF only. In both cases, the filing is automatically marked amended and is automatically linked to the original filing. Once corrections are made, if necessary, the amended filing must be electronically signed and submitted.

After submitting an amended filing, both the original and amended filings are displayed on the Submissions page. The status for each filing does not change; the original filing retains the original status, and the amended filing is displayed with a new status (depending on any errors found).

The amendment functionality is discussed in greater detail in the *IFILE User’s Guide*.
6.7 Filter or Group Submission Results

The EFAST2 system allows users to group the filings list or display only the filings matching user-specified criteria.

6.7.1 Grouping Options

The EFAST2 system allows users to group filings in the Submissions list by EIN, Plan Year, Filing Status, and Filing Role (e.g., Signer, Transmitter, or both).

To group the filings list on the Submissions page:

1. Click Edit in the Filter/Grouping Options section.

2. A Filter/Grouping Options box will appear on the page.

3. Select one option from the Group By drop-down menu.

4. Click the Submit Filter/Group button to filter the list of filings.
   a. To close instead of submitting the filter/grouping selections, click the Close button.
   b. To reset the selected grouping/filtering selections, click the Reset button.

5. All filings will be grouped based on the user-specified criteria. Within each group, the filings are listed in descending order by AckID.
   a. The Filter/Grouping Options section displays the user-selected filter/grouping criteria.
   b. Records Found displays the total number of filings that met the criteria.
   c. Records Filtered displays the number of filings that did not meet the filter criteria (if any).
6.7.2 Filter Options

The EFAST2 system allows users to filter filings in the Submissions list by the following criteria:

- Filings that the user signed and/or transmitted
- Filings matching a user-specified plan year
- Filings matching a user-specified EIN
- Filings matching one or multiple user-specified Filing Status(es)
- Filings received by EFAST2 within a user-specified date range

To filter the filings list on the Submissions page:

1. Click Edit in the Filter/Grouping Options section.

2. A Filter/Grouping Options box will appear on the page.

3. Select one of five filtering options. Filter options include:
   a. **Filing Role**. Select an option from the drop-down menu.
b. **Plan Year.** Enter a full or partial plan year.

![Figure 53. Filter Options – Plan Year](image)

c. **EIN.** Enter a full or partial EIN.

![Figure 54. Filter Options – EIN](image)

d. **Filing Status.** Select one or more statuses from the drop-down list.

![Figure 55. Filter Options – Filing Status](image)

e. **Filing Receipt Date Range.** Click the calendar icons to select a *Start Date* and *End Date*.

![Figure 56. Filter Options – Filing Receipt Date Range](image)
4. Click the *Submit Filter/Group* button to filter the list of filings.
   
a. To close instead of submitting the filter/grouping selections, click the *Close* button.

b. To reset the selected grouping/filtering selections, click the *Reset* button.

![Submit Filter/Group, Close, or Reset](image)

**Figure 57. Submit Filter/Group, Close, or Reset**

5. The filings will be filtered based on the user-specified criteria and listed in descending order by AckID.
   
a. The *Filter/Grouping Options* section displays the user-selected filter/grouping criteria.

b. *Records Found* displays the number of filings that met the filter criteria.

c. *Records Filtered* displays the number of filings that did not meet the filter criteria (if any).

![Submissions Page – Filtered by Filing Receipt Date Range](image)

**Figure 58. Submissions Page – Filtered by Filing Receipt Date Range**

### 6.7.3 Reset Filter/Grouping Results

To view the default list of all filings on the Submissions page, the filter or group selection must be removed.

1. Click *Edit* in the *Filter/Grouping Options* section.

![Edit Filter/Grouping Options](image)

**Figure 59. Edit Filter/Grouping Options**
2. Click the Reset button to remove the selected grouping/filtering options.

![Figure 60. Reset Filter/Grouping Options](image)

3. Without making additional grouping or filtering selections, click the Submit Filter/Group button.

![Figure 61. Submit with no Filter/Grouping Options](image)

4. With no grouping or filtering selections, all filings will be listed in descending order by AckID.
   a. The Filter/Grouping Options section indicates no selections made by the user.
   b. Records Found displays the total number of filings.
   c. Records Filtered displays “0” to indicate that no filings have been filtered from the list.

![Figure 62. Submissions Page with no Filter/Grouping Options](image)
6.8 Sort Submission Results

The EFAST2 system allows users to sort on any column header in the Submissions listing. Click a column header to sort the list in ascending order, and click again to sort in descending order. Click another column header to sort the list in a different order.

A filing list that has been filtered with user-specified criteria can also be sorted by clicking on column headers.

![Figure 63. Submissions Page – Sort by Column Header](image)

6.9 View/Print Records

Users can open or save a PDF file of the list of filings on the Submissions page. The list of filings in the PDF file will contain information for all columns and will be listed in the same order as sorted on the Submissions page.

If a filing list has been filtered with user-specified criteria, the printed list will display only filings in the filtered list.

1. Click the View/Print Records link.

![Figure 64. Submissions Page – View/Print Records](image)

2. Click Open to open the PDF in software that displays PDF files, such as Adobe Reader, or click Save to save the PDF file to your computer.
3. Use the *Print* option in Adobe Reader or similar software to print the PDF file.

![Figure 66. Print PDF of Filing List](image)

**6.10 Number of Submissions Exceeds Maximum to Display**

Users who have more than 10,000 submission records will receive the *Filter Submissions List* page after clicking the *Submissions* link. The page will display the following message:

The number of submissions associated with your User Id exceeds the maximum (10,000) that can be displayed. Please enter additional search criteria to limit the number of records returned.

The user may filter results by Plan Year, EIN, or Filing Status, in addition to Filing Receipt Date Range (optional). If the filtered search results exceed 10,000 records, the user will receive the following message:

More than the maximum number of submission records (10,000) was selected. Please enter more restrictive criteria.

Additional filter criteria must be entered to view the list of submissions.
Chapter 7. User Responsibilities

7.1 Document Retention

Document retention periods are specified in the Internal Revenue Code and ERISA, and implementing regulations. The Plan Administrators and Direct Filing Entities must retain a copy of the filing signed by the Filing Signer(s) and any acknowledgements received from the DOL, along with all other documents required by the Internal Revenue Code and ERISA.

Filers may use electronic media for record maintenance and retention, as long as they meet the applicable requirements. For more information, see the instructions to the Form 5500.

7.2 Submitter Responsibilities

Communications on filing errors and statuses are directed to the submitter. In the case that the submitter is not also the plan sponsor or administrator, the submitter is responsible for ensuring that accurate communication is directed to those responsible for filing the Form 5500/Form 5500-SF annual return/report.

7.3 EFAST2-Approved Third-Party Software Vendor Responsibilities

As the Government does not endorse any specific software product, any advertising that goes beyond the accurate reflection of approved status is a misrepresentation.
Chapter 8. Support

8.1 Online Instructions

A variety of guides and resources are available to help EFAST2 system users. These include:

- EFAST2 Tutorial
- Form 5500/5500-SF Filing Search Guide
- IFILE User’s Guide

These resources are available on the EFAST2 website under EFAST2 Publications. They are available to all users.

Other resources, including the Software Developer Specification, are available to registered Third Party Software Developer users.

8.2 Support Services

Live Customer Service: 1-866-463-3278 (1-866-GO EFAST)

Email: efast@dol.gov

Online: https://www.efast.dol.gov

Assistance is available for filers by telephone, email, and web-form with regard to filing submissions and errors. Hours of operation for live customer service are from 8:00 a.m. to 8:00 p.m., Eastern Time, Monday through Friday, except for Federal Holidays (excluding Columbus Day). Email and web-form requests can be submitted at any time and will be answered during regular business hours.

The following is the Federal Holiday Schedule:

1. New Year’s Day
2. Birthday of Martin Luther King, Jr.
3. President’s Day
4. Memorial Day
5. Independence Day
6. Labor Day
7. Veterans Day
8. Thanksgiving Day
9. Christmas Day

The Contact Center can help users with the following types of inquiries:

- General information about the EFAST2 website and electronic filing
- Registration process, electronic filing credentials, forgotten, lost, or compromised credentials
- Preparation of Form 5500/5500-SF and accompanying components (who must complete the form, how to complete the form, what must be included in the filing). Contact Center representatives can guide callers to the appropriate information within the form instructions and refer callers to the appropriate agency when necessary.
- Transmission of filing, receipt of acknowledgements, status of filing, acknowledgement messages received in response to edit test failures
- Questions or problems with the ERISA Filing Data Search (searching for filings)
- System performance, availability, or functionality (problems are immediately reported to EFAST2 processing and system maintenance staff for resolution)

If users have questions or problems related to the use of EFAST2-approved third-party software that the Contact Center cannot address, they should use the technical support offered by the software provider.
Appendix A. Acronyms and Abbreviations

CFR
Code of Federal Regulations

DFE
Direct Filing Entities

DOL
Department of Labor

EBSA
Employee Benefits Security Administration

EFAST2
ERISA Filing Acceptance System 2

EIN
Employer Identification Number

ERISA
Employee Retirement Income Security Act

ETIN
Electronic Transmitter Identification Number

HTML
Hyper Text Markup Language

HTTP
Hypertext Transfer Protocol

HTTPS
Hypertext Transfer Protocol over Secure Sockets Layer

IFILE
Internet Based Filing Application

IRS
Internal Revenue Service

PATS
Participant Acceptance Testing System

PBGC
Pension Benefit Guaranty Corporation

PDF
Portable Document Format

PIN
Personal Identification Number

SSL
Secure Sockets Layer

URL
Uniform Resource Locator (aka web address)

USC
United States Code

XML
Extensible Markup Language
Appendix B.  Troubleshooting and Error Messages

B.1  Use of Pop-ups and Pop-up Blockers

It is recommended to turn off pop-up blockers in a web browser when using the EFAST2 website. The use of pop-up blockers can prevent the display of information on the Submissions page, including the ability to view filing error information or to view a PDF of a filing.

If the pop-up blocker is enabled in the browser being used, a message may be displayed in the upper portion of the browser window that indicates a pop-up has been blocked. Click the browser error message to see options that are available. Depending on the browser, an option to temporarily allow pop-ups or to always allow pop-ups for this site may be provided.

Figure 67.  Pop-up blocked by the browser
B.2 Registration Email is not Received

If the registration email was not received, the remaining steps of the process and account activation can be completed without the email and secure link. The final registration steps can be completed using Forgot User ID on the Login page. After selecting Forgot User ID, enter the email address used during registration.

![Figure 68. Registration email not received – Use Forgot User ID](image)

After entering the email address and clicking the Submit button on the Forgot User ID – Verify Email page, an option to Complete Registration is provided if the account has not been activated. Follow the instructions for the remaining registration steps to complete the registration.

![Figure 69. Registration email not received – Use Forgot User ID](image)

If the Credentials Notification email is not received in the inbox within five minutes, the email may have been blocked as “spam” or “junk mail.” Check the “spam” or “junk” email folders to determine if the email was received.

Some email providers may require the addition of an email address in the address book to determine whether an email can be received from the given email address. To help ensure that EFAST2 messages can be delivered to the inbox, it is recommended to enter the EFAST2 originating email address efast2@efastsys.dol.gov and the EFAST2 “reply to” email address efast2@efast.dol.gov in the email address book.
B.3 Error Messages during Registration and Login

Profile Information Page:
Required fields must contain valid information.

Figure 71. Registration Error: Email Address You Provided is Already In Use

Figure 72. Registration Error: Missing Required Fields

Figure 73. Registration Error: Invalid Data

Figure 74. Registration Error: User Type is Required

Figure 75. Registration Warning: Provide Personal Name
Challenge Question Answer Page:
A challenge answer must be provided during registration and when using the **Forgot User ID** and **Forgot Password** functions.

<table>
<thead>
<tr>
<th>The following error(s) have occurred</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Challenge Answer is required</td>
</tr>
</tbody>
</table>

**Figure 76. Error: Challenge Answer is Required**

<table>
<thead>
<tr>
<th>The following error(s) have occurred</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Challenge Answer and Confirm Your Challenge Answer do not match.</td>
</tr>
</tbody>
</table>

**Figure 77. Error: Place of Birth Challenge Answers Do Not Match**

Forgot User ID Page:
The email address and challenge answer must be entered correctly to retrieve the EFAST2 User ID.

<table>
<thead>
<tr>
<th>The following error(s) have occurred</th>
</tr>
</thead>
<tbody>
<tr>
<td>• This email doesn't match what we have on file. Please double-check your entry and try again.</td>
</tr>
</tbody>
</table>

**Figure 78. Forgot User ID – Email address does not match an active account**

<table>
<thead>
<tr>
<th>The following error(s) have occurred</th>
</tr>
</thead>
<tbody>
<tr>
<td>• This answer doesn't match what we have on file. Please double-check your entry and try again.</td>
</tr>
</tbody>
</table>

**Figure 79. Forgot User ID – Entry of incorrect challenge answer**

Forgot Password Page:
The User ID or email address – as well as the challenge answer (see above) – must be entered correctly to unlock or reset the EFAST2 password.

<table>
<thead>
<tr>
<th>The following error(s) have occurred</th>
</tr>
</thead>
<tbody>
<tr>
<td>• This User ID doesn't match what we have on file. Please double-check your entry and try again.</td>
</tr>
</tbody>
</table>

**Figure 80. Forgot Password – Entry of incorrect User ID**

<table>
<thead>
<tr>
<th>The following error(s) have occurred</th>
</tr>
</thead>
<tbody>
<tr>
<td>• This email doesn't match what we have on file. Please double-check your entry and try again.</td>
</tr>
</tbody>
</table>

**Figure 81. Forgot Password – Email address does not match an active account**

<table>
<thead>
<tr>
<th>The following error(s) have occurred</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Your Password must be different than your last 12 passwords.</td>
</tr>
</tbody>
</table>

**Figure 82. Forgot Password – New password must be different**
Login Page:
The User ID and password must be entered correctly to log in to EFAST2. After three attempts, the account is locked and the user may use Forgot User ID, or Forgot Password to unlock or reset the password.

![Login Error: Your User ID or Password is Invalid](image)

Incorrect Challenge Answer:
The challenge answer must be entered correctly when using the Forgot User ID and Forgot Password functions. After three attempts, the account is temporarily revoked.

![Forgot User ID or Password – Account temporarily revoked](image)

Password Expired – Edit Password Page:
After entering a correct User ID and Password during Login, the Password Expired – Edit Password page will be displayed if the password has not been changed in the last 90 days. The current password must match the password entered during Login, and the new password must be entered twice and meet the password conditions.

![Password Expired – Current password does not match password for the account](image)

![Password Expired – Password and Confirm Password must match](image)

![Password Expired – Password requirements have not been met](image)
Appendix C. Privacy and Security Statement

Below is the complete text of the privacy statement that users must read and accept to complete EFAST2 registration and obtain EFAST2 electronic filing credentials. The Privacy and Security Statement is located here: https://www.efast.dol.gov/privacystatement/privacystatement.html

Thank you for visiting the Department of Labor (DOL) Web site and reviewing our privacy and security statement. DOL is strongly committed to maintaining the privacy of your personal information and the security of DOL computer systems. With respect to the collection, use and disclosure of personal information, DOL makes every effort to ensure compliance with applicable federal law, including, but not limited to, The Privacy Act of 1974, The Paperwork Reduction Act of 1995, and The Freedom of Information Act.

As a general rule, DOL does not collect personally-identifying information about you when you visit our site, unless you choose to provide such information to us. The information we receive depends upon what you do when visiting our site.

If you respond to an online request for personal information:

Generally, DOL will use the information requested to respond to your inquiry or to provide you with the service associated with the request. However, when we request this information, we fully describe in a customized "Privacy Notice" the reasons for collecting it and DOL's intended use of the information. This Privacy Notice will either appear on the Web page collecting the information or be accessible through a link prominently displayed immediately preceding the information request.

Privacy Notice:

The Privacy Act of 1974 requires that when we ask you for information we tell you our legal right to ask for the information, why we are asking you for it, and how it will be used. We must also tell you what could happen if we do not receive it and whether your response is voluntary, required to obtain a benefit, or mandatory. Our legal right to ask for the information is section 104 of the Employee Retirement Income Security Act (ERISA), 29 U.S.C. § 1024, which imposes certain annual reporting and filing requirements on pension and welfare benefit plans. All pension and welfare plans and direct filing entities that are required to submit an annual return/report under Title I of ERISA (Form 5500 or Form 5500-SF) must file electronically. To do so, filers must register for electronic credentials through this website. If you do not register, you will not be able to meet your obligation to file the annual report.

Generally, the information you provide for EFAST2 registration will be used to facilitate your registration, communicate with you about your credentials, and deliver official correspondence regarding your Form 5500/5500-SF filing. DOL may also use it to inform you about any changes related to the Form 5500/5500-SF, general education and outreach on ERISA, or for other official communications (including enforcement) regarding ERISA compliance. DOL may also share it with other federal agencies, if it determines by careful review that the records or information are both relevant and necessary to any enforcement, regulatory, investigative or prosecutive responsibility of the receiving entity, and that the use of such records or information is for a purpose that is compatible with the purposes for which the agency collected the records.

We use contractors to perform various website and database functions. When we do, we make sure that the agreement language with the contractor ensures the security, confidentiality and integrity of any personal information.

We may disclose to you and others the information you give us if authorized or required by Federal law, such as the Privacy Act. Also, if you provide false or fraudulent information, you may be subject to criminal prosecution. See section 1027, Title 18, U.S. Code (False statements and concealment of facts in relation to documents required by ERISA) and section 1001, Title 18, U.S. Code (Fraud and False Statements-Statements or entries generally). Other penalties may also apply.

If you visit our site to read or download information:

We collect and store the following information:
The name of the domain from which you access the Internet (for example, dol.gov, if you are connecting from DOL's computer account).
- The date and time you access our site.
- The Internet address of the Web site from which you linked directly to our site.

The above information is used by software programs on our Web site to create summary statistics which allow us to assess the number of visitors to the different sections of our site, identify what information is of most and least interest, determine technical design specifications, monitor system performance, and help us make our site more useful to visitors.

**If you identify yourself by sending an e-mail containing personal information:**

Information collected in these instances is used solely for responding to requests for information or records. For example, you may decide to send us personally-identifying information, such as your mailing address in an electronic mail message requesting that information be mailed to you. We may forward your e-mail to other employees at other Government agencies (e.g., Treasury Department/IRS, Pension Benefit Guaranty Corporation) who are better able to respond to you.

Should you wish to file a request under FOIA, instructions are provided at: https://www.dol.gov/agencies/ebsa/about-ebsa/our-activities/public-disclosure/foia

**If you link to other sites outside DOL:**

Our Web site has many links to other sites. When you link to any of these sites, you are no longer on our site and are subject to the privacy policy of the new site.

**Cookie Use Notice**

DOL employs "cookies" to provide better service to its customers. DOL does not use cookies to collect any personally-identifying information from users or to track user activities beyond our Web site. DOL does not maintain copies of cookies on our Web site after you leave our Web site.

Cookies are small pieces of temporary data that are exchanged between a Web site and a user's computer which enable a "session," or "dialog," to be established between the two machines. With the session established, DOL is able to tailor its responses (i.e., identify and provide you with the information you want) and help you traverse our Web pages in the most efficient and effective manner possible. The session is often broken when DOL's server does not receive further requests from your computer or you simply exit your browser.

DOL limits its use of cookies to "session cookies" - types of cookies that are temporarily stored in your computer's memory. Session cookies are normally deleted from a user's computer when the user logs off the computer or the user exits the browser. Effective January, 2001, DOL stopped issuing "persistent cookies" - types of cookies that could be stored permanently on your workstation and reused each time you visit DOL's Web site.

Our Web site employs software programs for security purposes and to ensure that this service remains available to all users. This software monitors network traffic to identify unauthorized attempts to upload or change information, or to interdict traffic that might otherwise cause damage. Unauthorized attempts to upload information or change information on this service are strictly prohibited and may be punishable under the Computer Fraud and Abuse Act of 1986 and The National Information Infrastructure Protection Act of 1996.
Appendix D. Signature Agreement

Below is the complete text of the signature agreement that users must read and accept to complete EFAST2 registration with the Filing Signer user type:

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

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

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

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

Appendix E. PIN Agreement

Below is the complete text of the PIN Agreement that users must read and accept to complete EFAST2 registration and obtain EFAST2 electronic filing credentials:

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

- Electronically sign documents, and
- Access your personal records

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

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