How To Complete Batch Local Sign

09/11/2024 4:44 pm CDT

Once taken to the "Local Sign Batches - 20XX" screen. Click on "Create New Batch" in order to set up a batch.

- **Option Two**

  On the ftwilliam.com "Home" screen click on the Wolters Kluwer logo. In the drop-down box, click on "Batches"adn then click on "5500 Batch/Workflow".
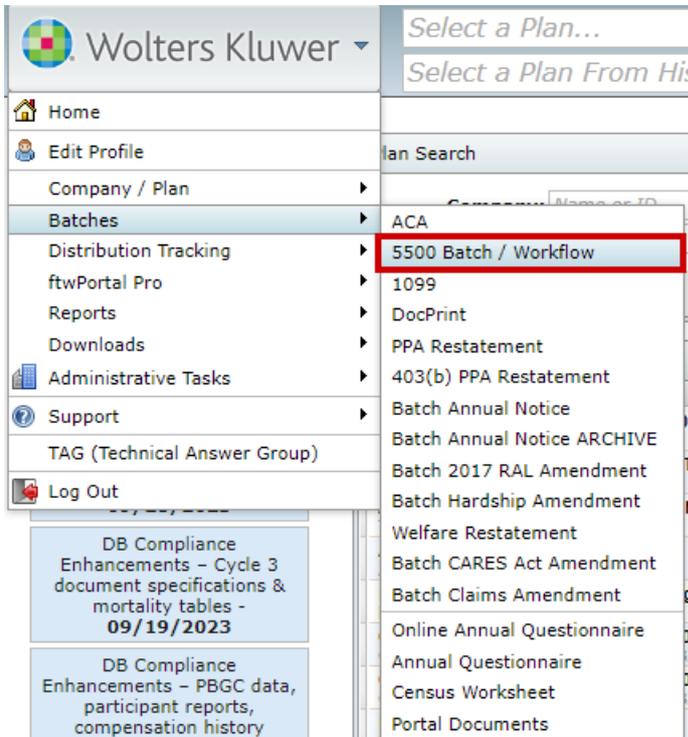
On the "5500 Batch/Workflow" screen, select the year the batch will be created in.

5500 Batch/Workflow

Select Year

Please select a year:

Select Year ▾

Select Year
2022
2021
2020
2019
2018
2017
2016
2015
2014
2013
2012
2011
2010
2009
2008
2007
2006
2005
2004

Once the year is selected, the user will be taken to the 20XX screen. Click on "Batch Local Sign" in the Options box.

5500 Batch/Workflow

Options

Review/Assign Detail Status/Extensions
5500 Workflow Grid
Admin Summary Status
Batch Local Sign
Edit Check All 8955's (Export CSV)
8955-SSA Batch/Fulfillment
Batch 5558
Batch Lock 5500

Once taken to the "Local Sign Batches - 20XX" screen, click on "Create New Batch" in order to set up a batch.

Help

Create New Batch

Batch Name	Batch ID	Plan Count	5500 Edit Check Status	5500 E-File Status	Modify
No Batches Found					

N/A = You must be a ftwPortal Pro customer to use this feature

- **Option Three**

   On the ftwilliam.com "Home" screen, click on a plan that will be used in a batch. Click on "5500". Next, the user will be able to select the plan year to work within.

Once on the "Form 5500 - 20XX" screen, click on "Batch/Workflow" under the 5500 Menu. Note, filing must be locked in order to use the batch feature.

Company:	Example Company		ID: CustID ✏
Plan:	Example Company		ID: PlanID ✏
Checklist:	Misc (1099, 5500 or Compliance)		
Details:	EIN: 86-7530932 • PN: 001 • PYE: 12-31		ⓘ

Edit Status:	Unlocked Lock

5500 Menu
- SAR/AFN Print Settings *i*
- Batch/WorkFlow
- Upload and Download Center
- View 5500 FAQs
- 55AutoFill
- Bring forward 2021 data to 2022 for **this plan only**
- Bring forward 2021 portal users to 2022 for **this plan only**
- Clone 2022 Return/Report within 2022 for **this plan only** *i*

On the "5500 Batch/Workflow" screen, click on "Batch Local Sign" in the Options box.

5500 Batch/Workflow

Options

Bring forward 2021 data to 2022 for **all plans**
Bring forward 2021 portal users to 2022 for **all plans**
Review/Assign Detail Status/Extensions
5500 Workflow Grid
Batch Invite 5500/SF
Admin Summary Status
Batch SAR
Batch Annual Funding Notice
Batch Local Sign
Edit Check All 8955's (Export CSV)
8955-SSA Batch/Fulfillment
Batch 5558
Batch Lock 5500

Once on the "Local Sign Batches - 20XX" screen, click on "Create New Batch" in order to set up a batch.

Help

Create New Batch

Batch Name	Batch ID	Plan Count	5500 Edit Check Status	5500 E-File Status	Modify
No Batches Found					

N/A = You must be a ftwPortal Pro customer to use this feature

After clicking on "Create New Batch", a screen will appear to enter the batch name. Click "OK" to add the batch.

Create New Batch

Batch Name	Batch ID	Plan Count	5500 Edit Check Status	5500 E-File Status	Modify
No Batches Found					

New Batch   x

Enter batch name: Example Batch Name

OK

After clicking OK, you will be taken to the batch menu screen. To add plans to the batch, click "Add Plans."

Batch Name: ExampleBatchName
Batch ID: 325583
Batch Year: 2022
Refresh Grid: ↻
[Add Plans]

Grid Key

	Status	Admin	Ack ID	Date Filed	Date Accepted	Signed Status	Type	Company Name
□		Admin	Ack ID	Date Filed	Date Accepted		Type	Company Name
				No records available				

A screen will appear where the user can select which plan(s) to add to the batch. Once the user has selected the plan(s) to include, click on "Add Plans".

Add Plans   ✕

Note: Only locked plans that are not in another Local Sign batch and have not been E-Filed will display.

Company Filter: *Company Name*   ▾

| *Sponsor Name contains...* | *Plan Name contains...* | *5500* | *PYE Date* |

	Sponsor Name	Plan Name	5500 Type	Year End	Edit Status
☑	Test Company	Test Plan 1	5500	12/31/2022	NOT-OK
☑	Test Company	Test Plan 2	SF	12/31/2022	NOT-OK

2 Results   [Add Plans] [Close]

The batch menu screen will automatically update to reflect the plan(s) the user has selected for the batch.

Batch Name: ExampleBatchName
Batch ID: 325583
Batch Year: 2022
Refresh Grid: ↻
[Add Plans]

Grid Key

	Status	Admin	Ack ID	Date Filed	Date Accepted	Signed Status	Type	Company Name
☑		Admin	Ack ID	Date Filed	Date Accepted		Type	Company Name
☑		Example					5500	Test Plan 1
☑		Example					Schedule eSF	Test Plan 2

Next, the user will check the plans they wish to sign and submit to the DOL. Once checked, click on "Sign and Submit" under the "Do with Selected" dropdown box at the bottom.

Batch Name: ExampleBatchName
Batch ID: 325583
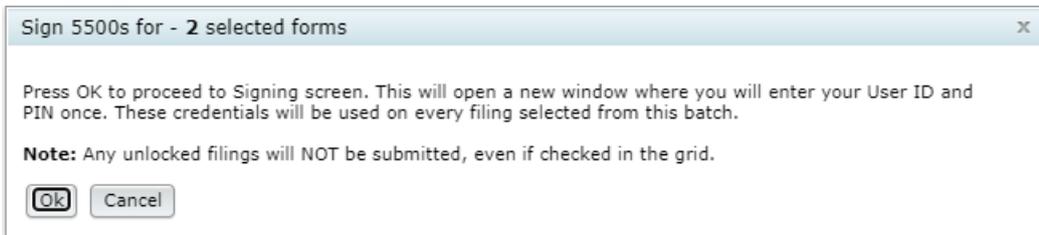Batch Year: 2022
Refresh Grid: ↻
Add Plans

Grid Key

		Status	Admin	Ack ID	Date Filed	Date Accepted	Signed Status	Type	Company Name
			Admin	*Ack ID*	*Date Filed*	*Date Accepted*		*Type*	*Company Name*
☑			Example					5500	Test Plan 1
☑			Example					Schedul eSF	Test Plan 2

Sign and Submit
Delete from batch
Do with selected: ▼

Current View Total: 2 / Number Selected: 2   Export current view to CSV

A screen will appear before proceeding forward with filing. The user must click "OK" in order to move forward to the Signing screen.

Sign 5500s for - **2 selected forms**   x

Press OK to proceed to Signing screen. This will open a new window where you will enter your User ID and PIN once. These credentials will be used on every filing selected from this batch.

Note: Any unlocked filings will NOT be submitted, even if checked in the grid.

[Ok]   [Cancel]

Once the user has clicked OK, the next screen will display with a drop-down box to select who will be signing the form.

Batch Local Sign 5500s

Select who will be signing:

Please Select ▼

Please Select
Preparer - On behalf of Administrator/Sponsor or Admin Only
Preparer - On behalf of DFE
Preparer - On behalf of Administrator and Sponsor
Single Signer - Administrator/Sponsor or Admin Only
Single Signer - DFE
Two Signers - Administrator and Sponsor

There are six options to choose from when selecting who the user will be signing as:

- **Preparer - On behalf of Administrator/ Sponsor or Admin Only.** The Administrator must have signed the 5500 form, the signed 5500 must be attached to the filing as a pdf "Manually Signed Form 5500", and an authorization for the preparer to electronically sign on behalf of the Administrator must be completed (but need not be attached to the filing sent to DOL). Sample authorization available here and on the "Form 5500 - Year" screen under the "Attachments" box on the right-hand side of the page.
- **Preparer - On Behalf of DFE** The DFE must have signed the 5500 form, the signed 5500 must be attached to the filing as a pdf "Manually Signed Form 5500", and an authorization for the preparer to electronically sign on behalf of the DFE must be completed (but need not be attached to the filing sent to DOL). Sample authorization available here and on the "Form 5500 - Year" screen under the "Attachments" box on the right-hand side of the page.
- **Preparer - On Behalf of Administrator and Sponsor** The Administrator and Sponsor must have signed the 5500 form, the signed 5500 must be attached to the filing as a pdf "Manually Signed Form 5500", and an

authorization for the preparer to electronically sign on behalf of the Administrator and Sponsor must be completed (but need not be attached to the filing sent to DOL). Sample authorization available here and on the "Form 5500 - Year" screen under the "Attachments" box on the right-hand side of the page.

- **Single Signer - Administrator/Sponsor or Admin Only.** The Administrator/Sponsor is also the filing's preparer.
- **Single Signer - DFE.** The Direct Filing Entity is also the filing's preparer.
- **Two Signers - Administrator and Sponsor.** The Administrator/Sponsor is also the filing's preparer. Both signers must be present to complete the signing process (PINs will be masked upon entering them).

Once the user selects the appropriate option, more information will appear below depending upon the option the user chooses. Each is explained in more detail below.

Preparer - On behalf of Administrator/ Sponsor or Admin Only Top The "Sign 5500" screen that will appear reads as follows:

You may complete the electronic signing information below. Once you click on "Sign 5500," the filing will be sent electronically to the Department of Labor.

I certify that I have been specifically authorized in writing by the plan administrator/employer, as applicable, to enter my EFAST2 PIN on this return/report in order to electronically submit this return/report. I further certify that:

1. I will retain a copy of the administrator's/employer's specific written authorization in my records;

2. I have attached to this electronic filing, in addition to any other required schedules or attachments, a true and correct pdf copy of the first two pages of the completed Form 5500 or Form 5500-SF return/report bearing the manual signature of the plan administrator/employer under penalty of perjury;

3. I advised the plan administrator/employer that by selecting this electronic signature option the pdf image of that manual signature will be included with the rest of the return/report posted by the Department of Labor (DOL) on the Internet for public disclosure;

4. I will communicate to the plan administrator/employer any inquiries and information that I receive from EFAST2, DOL, IRS or PBGC regarding this annual return/report.

If you do not have your signing credentials you will need to obtain them by going to http://www.efast.dol.gov and registering as a signer. Click here for detailed instructions on how to obtain signing credentials.

If you have lost your User ID or PIN contact DOL EFAST2 support at 866-463-3278 or visit the website https://www.efast.dol.gov/.

Batch Local Sign 5500s

Select who will be signing:

Preparer - On behalf of Administrator/Sponsor or Admin Only ⌄

Sign 5500

You may complete the electronic signing information below. Once you click on "Sign 5500", the filing will be sent electronically to the Department of Labor.

I certify that I have been specifically authorized in writing by the plan administrator/employer, as applicable, to enter my EFAST2 PIN on this return/report in order to electronically submit this return/report. I further certify that:

1. I will retain a copy of the administrator's/employer's specific written authorization in my records;
2. I have attached to this electronic filing, in addition to any other required schedules or attachments, a true and correct pdf copy of the first two pages of the completed Form 5500 or Form 5500-SF return/report bearing the manual signature of the plan administrator/employer under penalty of perjury;
3. I advised the plan administrator/employer that by selecting this electronic signature option the pdf image of that manual signature will be included with the rest of the return/report posted by the Department of Labor (DOL) on the Internet for public disclosure;
4. I will communicate to the plan administrator/employer any inquiries and information that I receive from EFAST2, DOL, IRS or PBGC regarding this annual return/report.

Preparer Name:

The Preparer name is the person's name associated with the DOL UserID that will be e-filing.

Preparer User ID:

Preparer PIN:

[Sign 5500]

If you do not have your signing credentials you will need to obtain them by going to http://www.efast.dol.gov/ and registering as a signer. Click here for detailed instructions on how to obtain signing credentials.

If you have lost your User ID or PIN contact DOL EFAST2 support at 866-463-3278 or visit the website http://www.efast.dol.gov/

Single Signer - Administrator/Sponsor or Admin Only. Top The "Sign 5500" screen that will appear reads as follows:

You may complete the electronic signing information below. Once you click on "Sign 5500", the filing will be sent electronically to the Department of Labor.

Verify that Name, User ID, and PIN exactly match (including punctuation and spacing) what you entered/received from the DOL registration process.

If 'Name' does not exactly match click the button 'Return to Previous Screen' and update the name on this 5500.

You must keep a signed copy of the 5500 for your records.

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

If you do not have your signing credentials you will need to obtain them by going to https://www.efast.dol.gov/ and registering as a signer. Click here for detailed instructions on how to obtain signing credentials. If you have lost your User ID or PIN contact DOL EFAST2 support at 866-463-3278 or visit the website https://www.efast.dol.gov/.

Batch Local Sign 5500s

Select who will be signing:

[Single Signer - Administrator/Sponsor or Admin Only ⌄]

Sign 5500

You may complete the electronic signing information below. Once you click on "Sign 5500", the filing will be sent electronically to the Department of Labor.

Verify that Name, User ID, and PIN exactly match (including punctuation and spacing) what you entered/received from the DOL registration process.

If 'Name' does not exactly match click the button 'Return to Previous Screen' and update the name on this 5500.

You must keep a signed copy of the 5500 for your records.

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

**Administrator
Name:**
Administrator User ID: [   ]
Administrator PIN: [   ]

[Sign 5500]

If you do not have your signing credentials you will need to obtain them by going to http://www.efast.dol.gov/ and registering as a signer. Click here for detailed instructions on how to obtain signing credentials.

If you have lost your User ID or PIN contact DOL EFAST2 support at 866-463-3278 or visit the website http://www.efast.dol.gov/

Single Signer - DFE. Top The "Sign 5500" screen that will appear reads as follows:

You may complete the electronic signing information below. Once you click on "Sign 5500", the filing will be sent electronically to the Department of Labor.

Verify that Name, User ID, and PIN exactly match (including punctuation and spacing) what you entered/received from the DOL registration process.

If 'Name' does not exactly match click the button 'Return to Previous Screen' and update the name on this 5500.

You must keep a signed copy of the 5500 for your records.

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

If you do not have your signing credentials you will need to obtain them by going to https://www.efast.dol.gov/ and registering as a signer. Click here for detailed instructions on how to obtain signing credentials.

If you have lost your User ID or PIN contact DOL EFAST2 support at 866-463-3278 or visit the website https://www.efast.dol.gov/.

Batch Local Sign 5500s

Select who will be signing:

[Single Signer - DFE ▾]

Sign 5500

You may complete the electronic signing information below. Once you click on "Sign 5500", the filing will be sent electronically to the Department of Labor.

Verify that Name, User ID, and PIN exactly match (including punctuation and spacing) what you entered/received from the DOL registration process.
If 'Name' does not exactly match click the button 'Return to Previous Screen' and update the name on this 5500.

You must keep a signed copy of the 5500 for your records.

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

DFE Name :
DFE User ID: [   ]
DFE PIN: [   ]

[Sign 5500]

If you do not have your signing credentials you will need to obtain them by going to http://www.efast.dol.gov/ and registering as a signer. Click here for detailed instructions on how to obtain signing credentials.

If you have lost your User ID or PIN contact DOL EFAST2 support at 866-463-3278 or visit the website http://www.efast.dol.gov/

Two Signers - Administrator and Sponsor Top The "Sign 5500" screen that will appear reads as follows:

You may complete the electronic signing information below. Once you click on "Sign 5500", the filing will be sent electronically to the Department of Labor.

Verify that Name, User ID, and PIN exactly match (including punctuation and spacing) what you entered/received from the DOL registration process.

If "Name" does not exactly match, click the button "Return to Previous Screen" and update the name on the Form 5500.

You must keep a signed copy of the 5500 for your records.

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

Both Signers must be present to submit this form 5500.

If you do not have your signing credentials, you will need to obtain them by going to https://www.efast.dol.gov/ and registering as a signer. Click here for detailed instructions on how to obtain signing credentials.

If you have lost your User ID or PIN contact DOL EFAST2 support at 866-463-3278 or visit the website https://www.efast.dol.gov/.

Batch Local Sign 5500s

Select who will be signing:

Two Signers - Administrator and Sponsor ▾

Sign 5500

You may complete the electronic signing information below. Once you click on "Sign 5500", the filing will be sent electronically to the Department of Labor.

Verify that Name, User ID, and PIN exactly match (including punctuation and spacing) what you entered/received from the DOL registration process.
If 'Name' does not exactly match click the button 'Return to Previous Screen' and update the name on this 5500.

You must keep a signed copy of the 5500 for your records.

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

Both Signers must be present to submit this form 5500.

**Administrator
Name:**
Administrator User ID:
Administrator PIN:
Sponsor Name :
Sponsor User ID:
Sponsor PIN:

[Sign 5500]

If you do not have your signing credentials you will need to obtain them by going to http://www.efast.dol.gov/ and registering as a signer. Click here for detailed instructions on how to obtain signing credentials.

If you have lost your User ID or PIN contact DOL EFAST2 support at 866-463-3278 or visit the website http://www.efast.dol.gov/

Once the user has selected who they are signing as and entered the correct DOL credentials, the user can click on "Sign 5500".

Batch Local Sign 5500s

Select who will be signing:

Preparer - On behalf of Administrator/Sponsor or Admin Only ▾

Sign 5500

You may complete the electronic signing information below. Once you click on "Sign 5500", the filing will be sent electronically to the Department of Labor.

I certify that I have been specifically authorized in writing by the plan administrator/employer, as applicable, to enter my EFAST2 PIN on this return/report in order to electronically submit this return/report. I further certify that:

1. I will retain a copy of the administrator's/employer's specific written authorization in my records;
2. I have attached to this electronic filing, in addition to any other required schedules or attachments, a true and correct pdf copy of the first two pages of the completed Form 5500 or Form 5500-SF return/report bearing the manual signature of the plan administrator/employer under penalty of perjury;
3. I advised the plan administrator/employer that by selecting this electronic signature option the pdf image of that manual signature will be included with the rest of the return/report posted by the Department of Labor (DOL) on the Internet for public disclosure;
4. I will communicate to the plan administrator/employer any inquiries and information that I receive from EFAST2, DOL, IRS or PBGC regarding this annual return/report.

Preparer Name: Jane Doe

The Preparer name is the person's name associated with the DOL UserID that will be e-filing.

Preparer User ID: A1234567
Preparer PIN: ••••

[Sign 5500]

If you do not have your signing credentials you will need to obtain them by going to http://www.efast.dol.gov/ and registering as a signer. Click here for detailed instructions on how to obtain signing credentials.

If you have lost your User ID or PIN contact DOL EFAST2 support at 866-463-3278 or visit the website http://www.efast.dol.gov/

After clicking on "Sign 5500", the user will be taken to a Status screen.

Status

Acceptance Status:	Submitted
Plan Name:	Test Plan 1
Plan Number:	002
Plan Year:	2022
Plan Year Begin/End Date:	01/01/2022 - 12/31/2022
Signer:	Sample Name
Date Signed:	10/03/2023
Date Submitted:	10/04/2023
Date Accepted:	N/A

Go to Plan

Status

Acceptance Status:	Submitted
Plan Name:	Test Plan 2
Plan Number:	001
Plan Year:	2022
Plan Year Begin/End Date:	01/01/2022 - 12/31/2022
Signer:	Sample Name
Date Signed:	10/04/2023
Date Submitted:	10/04/2023
Date Accepted:	N/A

Go to Plan

Once the user navigates back to the "Local Sign Batches - 20XX" screen, and clicked on the batch name, the user will see the updated status for each individual plan.

Batch Name: ExampleBatchName
Batch ID: 325583
Batch Year: 2022
Refresh Grid: ↻
Add Plans

Grid Key

	Status	Admin	Ack ID	Date Filed	Date Accepted	Signed Status	Type	Company Name
☐	**Accepted**	Example	20231004163004NAL0020556465001	10/04/2023	10/04/2023	Signed	5500	Test Plan 1
☐	**Accepted**	Example	20231004163005NAL0027566480001	10/04/2023	10/04/2023	Signed	Schedul eSF	Test Plan 2

To view a spreadsheet of the plans that are filed, the user can click on "Export current view to CSV" below the grid.

	Status	Admin	Ack ID	Date Filed	Date Accepted	Signed Status	Type	Company Name
☐	**Accepted**	Example	20231004163004NAL0020556465001	10/04/2023	10/04/2023	Signed	5500	Test Plan 1
☐	**Accepted**	Example	20231004163005NAL0027566480001	10/04/2023	10/04/2023	Signed	Schedul eSF	Test Plan 2

Do with selected: ▼   Current View Total: 2 / Number Selected: 0   Export current view to CSV