

# 5330 FAQs

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## Table of Contents

- [Q1: What are the differences between subscription access? \(5500 only vs 5330 add on\)](#)
- [Q2: Do I need the 5500 module to access 5330 e-filing?](#)
- [Q3: What is the purpose of the additional pages for the Schedule C P4/5?](#)
- [Q4: Why is the "E-File Status" link disabled?](#)
- [Q5: If we discontinue access to the 5330 Add-on, will the filing history be lost?](#)
- [Q6: What is Form 8453-TE?](#)
- [Q7: What years are available for e-file?](#)
- [Q8: Do my clients need to get an additional credentials to use this service?](#)
- [Q9: What happens if a filing is rejected?](#)
- [Q10: Do filers have to physically print and sign the Form 5330?](#)
- [Q11: Do filers have to physically print and sign the Form 8453-TE?](#)
- [Q12: Do clients have to provide banking information?](#)
- [Q13: Is banking information stored?](#)
- [Q14: Can I file on behalf of my client through the portal?](#)
- [Q15: Will Batch processing be available?](#)
- [Q16: Will we be able to file on behalf of clients in the future?](#)
- [Q17: Are additional credentials needed to file on behalf of clients?](#)
- [Q18: What time zone is used when the IRS reviews submissions for timeliness?](#)

## **Q1: What are the differences between subscription access? (5500 only vs 5330 add on)**[Top](#)

### **5500 module subscribers:**

- You can use multiple Form 5330s within the 5500 module.
- Draft forms are updated for e-filing, including:
  - Updated filer and sponsor addresses.
  - Extra pages for prohibited transactions and Schedule C entries.

### **5330 Add-On module subscribers, will get additional features, including:**

- The ability to attach documents to individual form filings.
- The option to lock individual Form 5330s and invite the filer to e-file via the portal.
- E-filing includes:
  - Submission of Form 5330.
  - Automatic creation and completion of Form 8453-TE (required attachment). *The form includes an option to authorize the IRS to withdraw taxes due. If selected, payment info is sent at the time of filing.*
- A status dashboard at the plan level will allow you to track filing details including the pertinent dates, filing status, confirmation number, and the ability to amend filings.

## **Q2: Do I need the 5500 module to access 5330 e-filing?**[Top](#)

Yes, a 5500 Module subscription is required to access the 5330 Add-On Module. Only forms created in the 5330 section of the 5500 Module will be available for e-filing.

### Q3: What is the purpose of the additional pages for the Schedule C P4/5? [Top](#)

Additional pages were included to capture any transactions on Schedule C that didn't fit in the available spaces. Since the Modernized e-Filing (MeF) system only permits certain attachments, these entries must be completely included within the form.

### Q4: Why is the "E-File Status" link disabled? [Top](#)

The E-file Status link is only applicable to subscribers of the 5330-Add-On module, as it contains details pertaining to the filing status of the 5330 forms filed through ftwilliam.com. *Please Note: the 5330 e-filing options are only available for filing years 2023 and later.*

### Q5: If we discontinue access to the 5330 Add-on, will the filing history be lost? [Top](#)

Users that cancel their subscription will be able to see the filing status of the completed 5330 forms.

- Any forms that were filed electronically will be locked down and users will be unable to make changes.
- E-filing will not be available once the module is discontinued. Users will be able to unlock forms that were not e-filed, but after doing so they will remain in an unlocked status and e-filing will be unavailable.

### Q6: What is Form 8453-TE? [Top](#)

The Form 8453-TE, found in the "Final" column of each Form 5330 filing, serves as a declaration of electronic filing with required signatures and details. This non-editable form auto-populates using information from the Form 5330 and user responses during submission. It is a mandatory attachment for all Form 5330 electronic filings.

Key Functions Include:

- **Signature Authorization:** It provides the electronic signature needed to validate the e-filing of Form 5330.
- **Acknowledgment of Filing:** It confirms that the taxpayer has reviewed the form and agrees to its contents.
- **Payment Authorization (if applicable):** It ensures that the IRS has permission from the filer to withdraw the excise taxes owed from the specified account on the agreed date.

### Q7: What years are available for e-file? [Top](#)

E-filing through ftwilliam.com will be available for 2023-year filings forward. \*Please note, any corrections must be submitted in the same format as their original filings.

### Q8: Do my clients need to get an additional credentials to use this service? [Top](#)

No, since your client is the filer and authorizes the transmission through the portal, they don't need extra credentials. **Please Note: Only the employer, individual, or other entity who is liable for the tax may file through the portal.**

### Q9: What happens if a filing is rejected? [Top](#)

When a return is rejected, there is a 10-calendar day “Transmission Perfection Period” to fix and resubmit the return electronically.

This period is solely for correcting errors and **does not** extend the filing deadline. The 10-calendar day Perfection Period applies regardless of when the return was filed, whether before, on, or after the due date, including any extended due date. The IRS annual system maintenance (cutover period) **does not** extend the 10-day Perfection Period. **This period is never extended.**

- The chart below shows examples of how the IRS determines received dates, assuming:
  - The first rejection occurred on the transmission date.
  - The second rejection occurred on the re-transmission date.
  - Acceptance occurred on the final transmission date.

The 10-day Perfection Period is separate from filing deadlines and applies independently of when the return was submitted.

Tax Year	Due Date	E-Postmark Extension	E-Postmark 1st reject	Original Trans. 1st Reject Date	E-Postmark 2nd Reject	Postmark 2nd Transmission/Reject Date	E-Postmark Accepted Return	Accepted Date/Final Transmission	IRS Received Date
12/31	3/15	No	3/9	3/10	3/10	3/12	3/29	3/30	3/29
12/31	3/15	No	3/9	3/10	3/10	3/12	3/19	3/20	3/9
12/31	3/15	No	3/14	3/15	3/23	3/24	3/24	3/25	3/14
12/31	3/15	No	3/9	3/10	3/15	3/15	4/3	4/4	4/3
12/31	3/15	No	3/9	3/10	3/14	3/15	3/23	3/25	3/14
		Yes							
12/31	3/15	9/15	8/8	8/10	8/10	8/11	9/17	9/18	9/17
		Yes							
3/31	6/15	12/15	8/10	8/10	12/22	12/23	1/9	1/10	1/9
		Yes							
3/31	6/15	12/15	N/A	8/10	N/A	12/23	N/A	12/28	12/23
		Yes							
12/31	3/15	9/15	N/A	N/A	N/A	N/A	9/30	10/1	9/30

\* The IRS reviews the **Electronic Postmark of the Accepted Return** in determining the **IRS Received Date**.

- If there is **not** a rejected return within 10-calendar days of the **Electronic Postmark of the Accepted Return**, then the **IRS Received Date** will be the same as the postmark.
- If there **is** a rejected return within 10-calendar days of the **Electronic Postmark of the Accepted Return**, the IRS Received Date will be the **earliest** reject date within that 10-day period.

**Explanation Example from chart:**

- **Row 1:** The Electronic Return Postmark Accepted Return date shows 3/29. As the last rejected electronic postmark was 3/10, this falls outside of the 10-calendar day period, thus the IRS Received Date is recorded as 3/29.
- **Row 2:** The Electronic Return Postmark Accepted Return date shows 3/19. The earliest rejected electronic postmark that falls within the 10-calendar day period is 3/9. As such, the IRS received date is 3/9.

**Q10: Do filers have to physically print and sign the Form 5330?**[Top](#)

Filers are required to retain copy of the Form 5330 for their records, but a copy of a manually signed 5330 does not need to accompany the filing. For subsequent steps to be completed in the Portal, the filer must first select the Print 5330 button.

### **Q11: Do filers have to physically print and sign the Form 8453-TE?**[Top](#)

Filers must include a signed Form 8453-TE with each filing. This can be done using a digital/electronic signature or by printing and wet signing the form and uploading it as a PDF within the signing process. For details on digital/electronic signatures, refer to IRS Electronic Signature Program (Section [10.10.1.6.2](#) and Exhibit [10.10.1-2](#)).

### **Q12: Do clients have to provide banking information?**[Top](#)

Filers have the option to not submit payment with their filing. If they choose this option, they must contact the IRS directly to make the payment. Currently, we do not have guidance on where payments should be sent if not submitted during e-filing.

### **Q13: Is banking information stored?**[Top](#)

Banking information is not stored. After a filing is submitted, payment details are deleted, leaving only a Yes or No indicator of whether payment information was sent. Filers are encouraged to carefully verify banking details before submitting.

### **Q14: Can I file on behalf of my client through the portal?**[Top](#)

Only the employer, individual, or other entity who is liable for the tax may file the 5330 through the portal. Please see Q16/17 pertaining to filing on behalf of clients.

### **Q15: Will Batch processing be available?**[Top](#)

In the second release phase (TBD) users will be able to batch edit check, lock, and invite portal users to e-file as well as review the status of filings within the batch. More details to come.

### **Q16: Will we be able to file on behalf of clients in the future?**[Top](#)

Yes, in our second release phase (TBD) there will be an option to file on behalf of a client. This functionality will be similar to the 5500 module sign on behalf of feature. More details to come.

### **Q17: Are additional credentials needed to file on behalf of clients?**[Top](#)

Yes, all electronic filers filing on behalf of clients, must register as an [Electronic Return Originator \(ERO\)](#). Once e-filing outside of the portal is available, registered EROs can use [ftwilliam.com](#) to file Form 5330 for their clients. To streamline your experience, we recommend registering for credentials at your earliest convenience.

**Please note that the application process may take up to 45 days for approval, so early action is encouraged.**

The IRS outlines this process in 3 steps:

**STEP  
1****Access IRS e-file Application to Become an Authorized IRS e-file Provider**

To access the e-file Application, you must sign in with an existing account or create a new account. Once you can sign in, you will be able to complete and submit an e-file Application.

**STEP  
2****Complete and Submit Your IRS e-file Application**

An individual representing the firm can begin the IRS e-file application after creating a Secure Access account. The application process is necessary to protect the integrity and security of the electronic filing system.

Plan accordingly, as the **IRS may take up to 45 days to approve an application**. The e-file application prompts for missing information to ensure that applicants submit only complete applications to the IRS.


**Note: Before submitting the application, all Principals and Responsible Officials must create an e-Services account and enter information on the application.**

**STEP  
3****Processing the e-file Application**

During the processing of the e-file application, the IRS conducts a suitability check on the firm and on other Principals and Responsible Officials listed on the application.

*Suitability checks may include the following:*

- A tax compliance check
- A check for prior non-compliance with IRS e-file requirements

We have also included a detailed tutorial on the application process: [Creating Your Application to Become an Authorized IRS e-file provider.pdf](#) 

**Q18: What time zone is used when the IRS reviews submissions for timeliness? [Top](#)**

The IRS Received Date is initially set by the electronic postmark in the Transmitter's time zone (Central Time for ftwilliam.com). If there's a question about timeliness and the Transmitter is in a different time zone, the taxpayer's time zone will determine the received date.

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