

Locking Form 5330 for E-filing

02/03/2025 8:02 pm CST

A filing must be locked before it can be e-filed. A green check under the **Status** column for all associated forms confirms that all edit checks have been passed, allowing the filing to be locked. Locking is not possible if any forms fail the edit checks.

Two Locking Options:

Option One: Within the 5330 Section:

- Select the padlock next to the Form 5330.
 - Padlocks are disabled until edit checks are passed, denoted by a green checkmark icon next to each form.

The screenshot shows a section titled "5330" with a sub-header "I - FAQs for 5330 - E-File Status - Upload". Below this is a table with columns: DRAFT-EDIT, STATUS, FINAL, and DEL. The table lists three forms: "Form 5330 ()" (with a padlock icon and a green checkmark), "Form 5330 (2nd)" (with a red X icon and a green checkmark), and "Form 5330 (3rd)" (with a yellow warning triangle icon). Each form has associated "p4/5 (New)" entries and "Attachments" for "Form 8453-TE". A red arrow points to the padlock icon on the first form.

Option Two: From the E-file Status Page:

- Click the **E-File Status** hyperlink in the 5330 section.
- This opens a plan-level dashboard showing all associated 5330 forms for the selected year.
- Select the padlock next to the filing.
 - Padlocks are disabled until edit checks are passed, denoted by a green checkmark icon next to each form.

This screenshot is similar to the previous one but highlights the "E-File Status" link in the sub-header "I - FAQs for 5330 - E-File Status - Upload" with a red box.

Wolters Kluwer A.Demo

Select a Plan From History...

Home > Edit Company > Edit Plan > 5500 > 2023 > 5330 E-File Status Help

Company: A.Demo ID:

Plan: A.Demo ID:

Checklist: **Non-Standardized 401(k) (Adoption Agreement Format) - POST**

Details: EIN: 25-1533859 • PN: ??? • PYE: 12-31

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Company Name	Company ID	Plan Name	Plan ID	EIN	Desc	Edit Check Status	Lock Status	Section ID	Date Locked	Date Last Invited
<input type="checkbox"/> A.Demo		A.Demo		25-1533859				C		
<input type="checkbox"/> A.Demo		A.Demo		25-1533859	2nd			D		
<input type="checkbox"/> A.Demo		A.Demo		25-1533859	3rd			E		

Important Notes:

- Locked filings cannot be edited unless unlocked.
- All users with portal access can view locked forms.
- Portal users with e-filing access can complete the e-filing process, even if an invitation to file has not been sent.