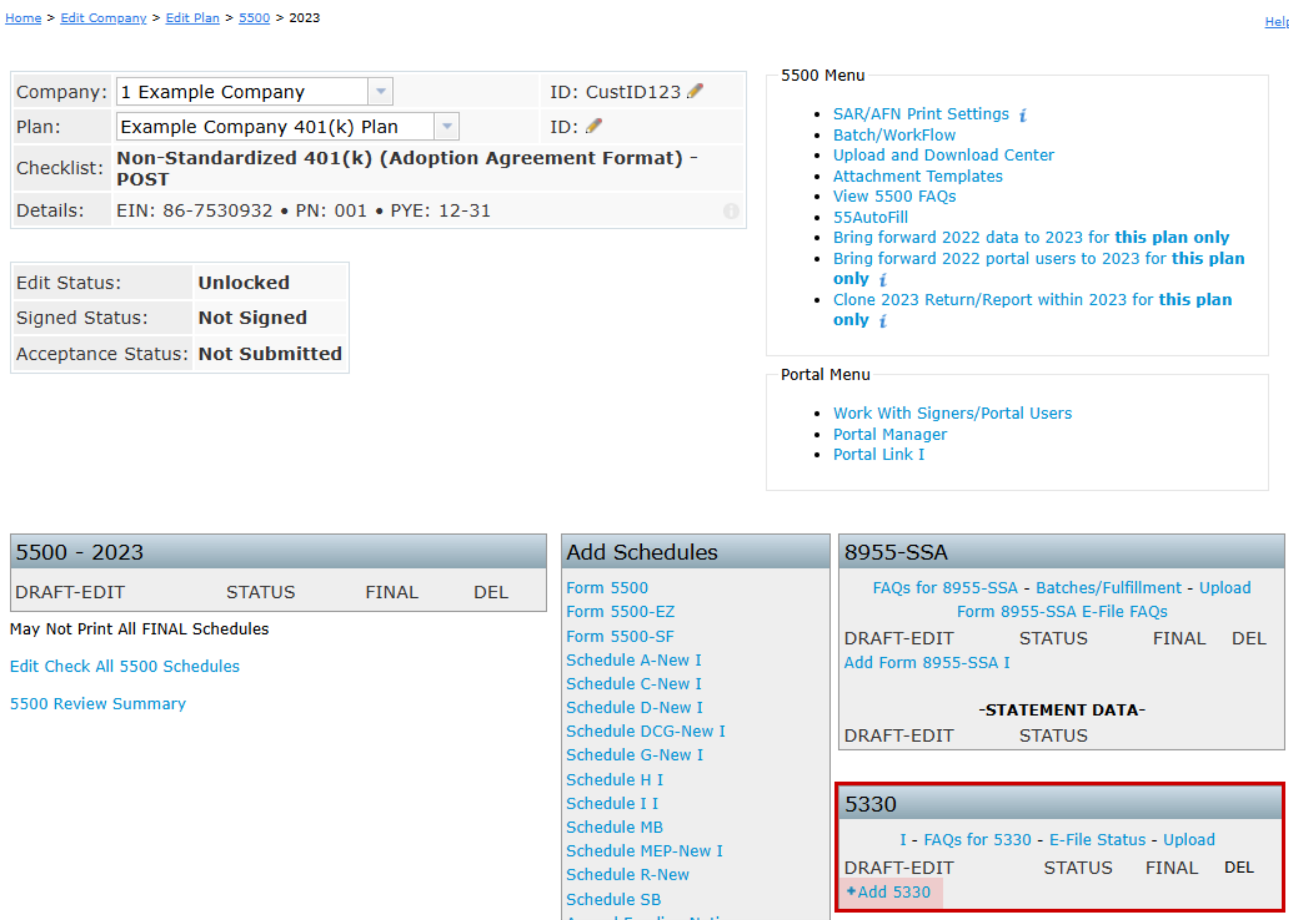
Completing Form 5330 and Schedules

03/26/2025 10:19 am CDT

Adding Multiple 5330 Forms

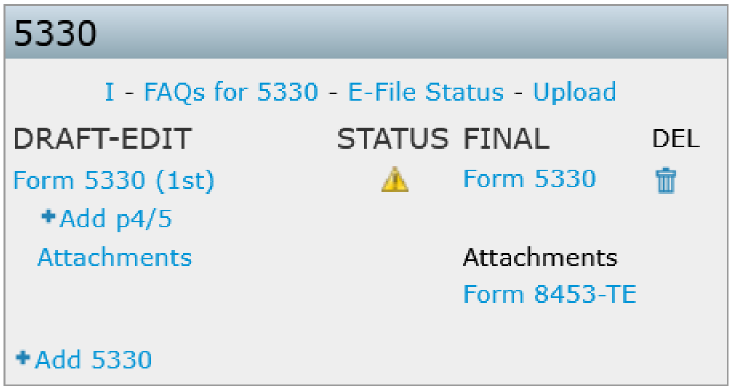
To add Form 5330, begin by navigating to the 5500 Module for the specific plan year being filed. The 5330 option is located on the right side of the screen, under the 8955-SSA section. Select the **+Add 5330** link in the Draft-Edit column.



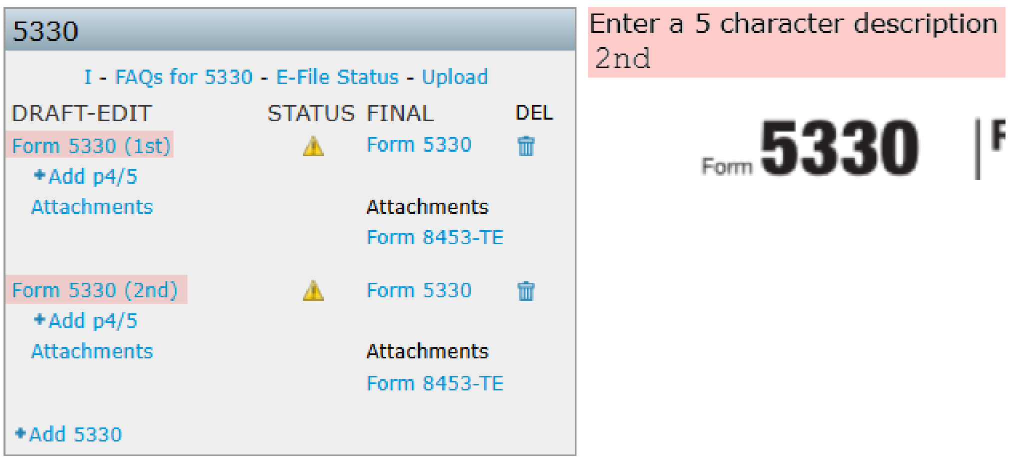
After clicking the **+Add 5330** link, the form will be added to the plan year, and the system will redirect you to the draft screen for Form 5330. Any available indicative data will automatically populate in the first section of the form.

Once a single 5330 has been added to the plan, the option to add supplemental pages or attachments to the filing will be enabled and a new **+Add 5330** link will appear.

> **NOTE:** The attachments link is only available for 5330 Add-On subscribers.



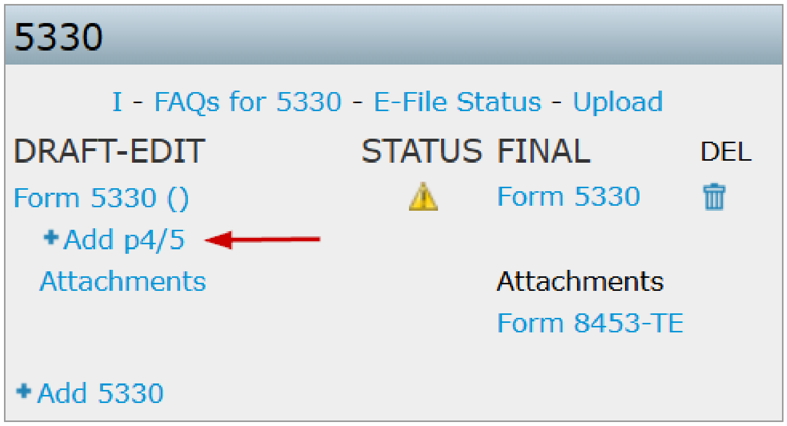
The software will automatically assign an identifier to each Form 5330 added (e.g., Form 5330 (1st), Form 5330 (2nd)). This identifier can be updated to any 5-characters by altering the description in the upper left-hand corner of the Form 5330 draft screen.



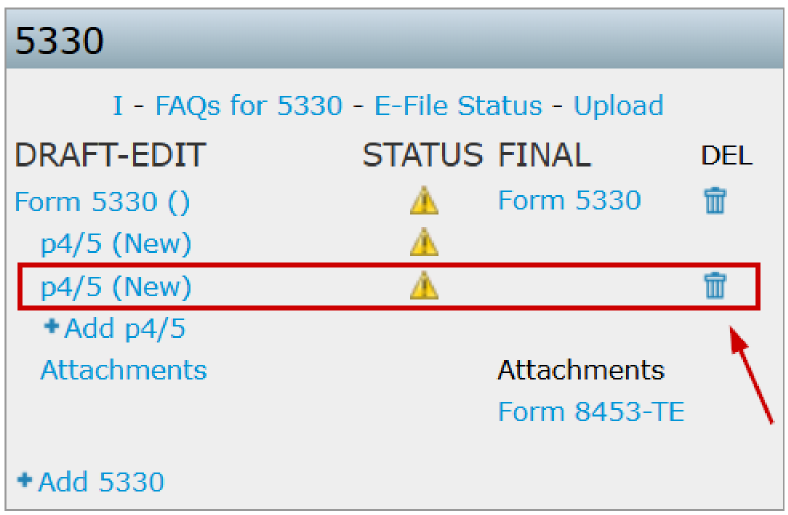
Adding Additional Schedule C P4/5

Additional pages 4 and 5 have been added to accommodate any Schedule C transactions that exceed the available space on Form 5330. Previously, these transactions were included as attachments, but they must now be entered directly on the form, as the IRS's Modernized E-Filing (MeF) system only allows specific attachment types.

Once a Form 5330 is added to a plan, the **+Add p4/5** link will appear below it. Click this link to add more pages as needed.



To remove a page added by mistake, click the trashcan icon next to that page; this icon will only appear beside the most recently added page 4/5.



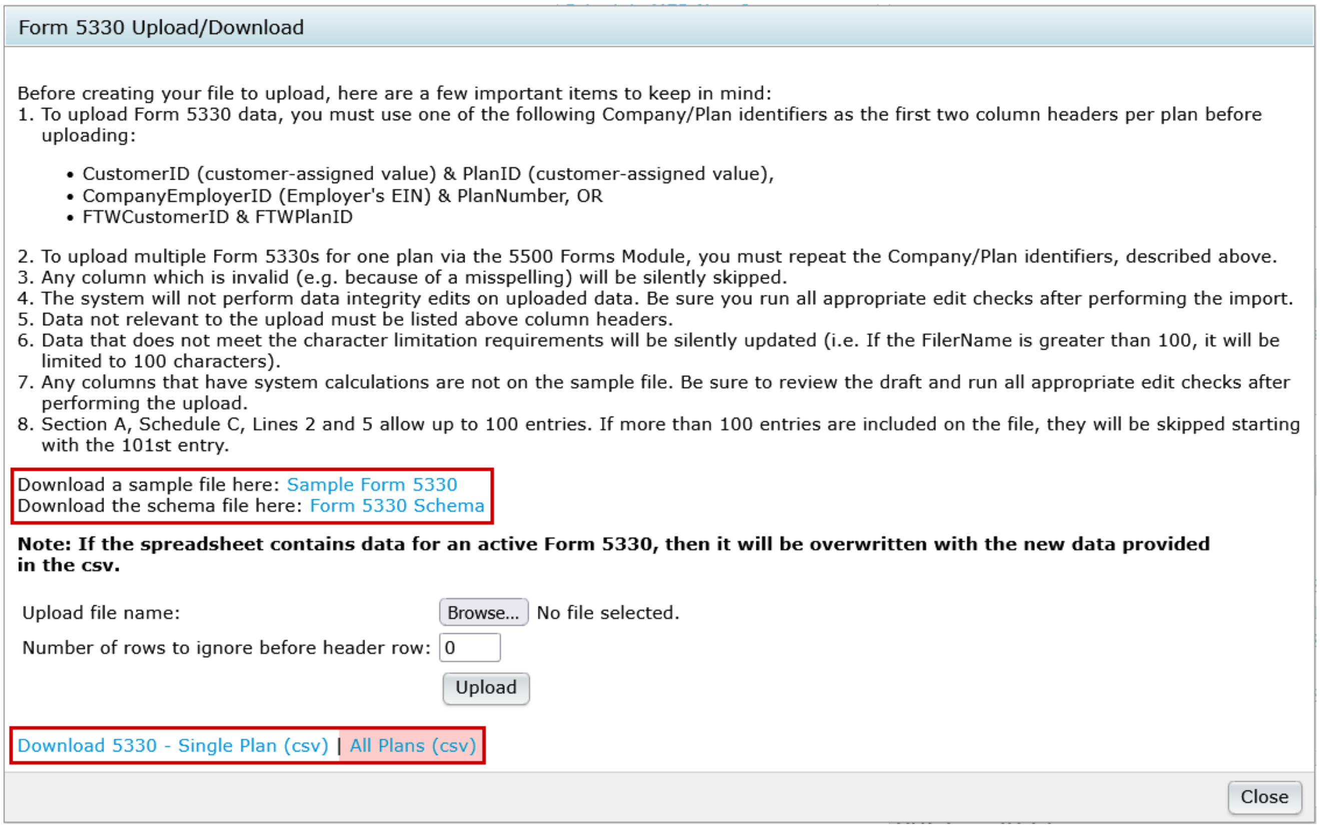
> **Note: Deleting Form 5330 will also delete all associated page 4/5 entries and attachments for that form.**

Upload and Download Features

To upload one or multiple Form 5330s, select the **Upload** link within the 5330 Box in the 5500 Module.

In the **Form 5330 Upload/Download** window, users can:

- Download a sample template and schema CSV files.
- Download existing Form 5330s for one or multiple plans.
- Upload a template file to import data for one or multiple plans simultaneously


Form 5330 Upload/Download

Before creating your file to upload, here are a few important items to keep in mind:
1. To upload Form 5330 data, you must use one of the following Company/Plan identifiers as the first two column headers per plan before uploading:
   - CustomerID (customer-assigned value) & PlanID (customer-assigned value),
   - CompanyEmployerID (Employer's EIN) & PlanNumber, OR
   - FTWCustomerID & FTWPlanID
2. To upload multiple Form 5330s for one plan via the 5500 Forms Module, you must repeat the Company/Plan identifiers, described above.
3. Any column which is invalid (e.g. because of a misspelling) will be silently skipped.
4. The system will not perform data integrity edits on uploaded data. Be sure you run all appropriate edit checks after performing the import.
5. Data not relevant to the upload must be listed above column headers.
6. Data that does not meet the character limitation requirements will be silently updated (i.e. If the FilerName is greater than 100, it will be limited to 100 characters).
7. Any columns that have system calculations are not on the sample file. Be sure to review the draft and run all appropriate edit checks after performing the upload.
8. Section A, Schedule C, Lines 2 and 5 allow up to 100 entries. If more than 100 entries are included on the file, they will be skipped starting with the 101st entry.

Download a sample file here: Sample Form 5330
Download the schema file here: Form 5330 Schema

Note: If the spreadsheet contains data for an active Form 5330, then it will be overwritten with the new data provided in the csv.

Upload file name: Browse... No file selected.

Number of rows to ignore before header row: 0

Upload

Download 5330 - Single Plan (csv) | All Plans (csv)

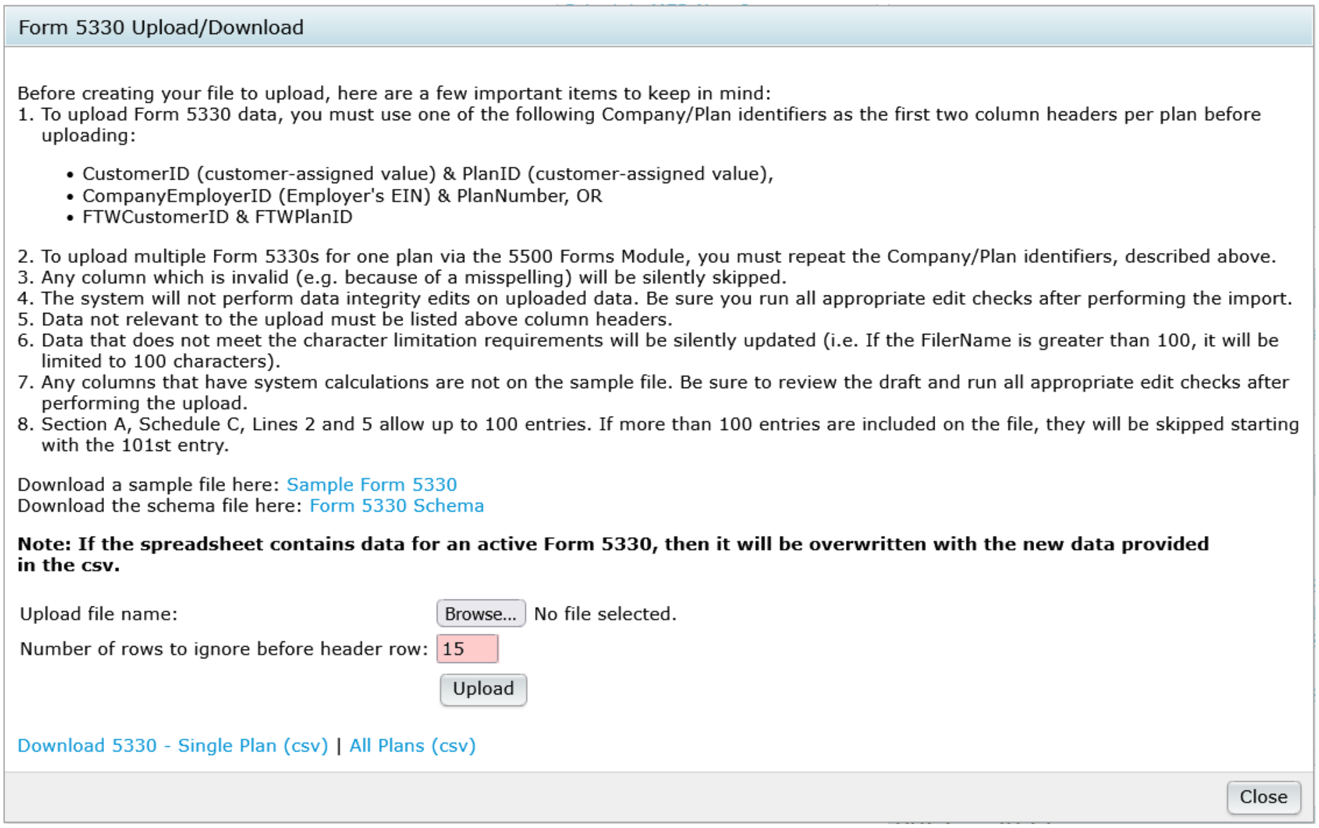
Close

> **NOTE:** The base form 5330 allows for 12 entries on Schedule C Page 4 (2a-2e) and 4 entries on Schedule C Page 5 (5a-5e). If additional entries are needed for the **Schedule C (P4/5)**, create a new row directly below the Form details. In this new row, only fill out the columns labeled **Supplemental Sch C** (columns IH-SH). An example of this is provided in the Sample File, specifically in Rows 19-27.

Once the template is completed return to the upload page, select the file, and specify the **Number of rows before header row**.

Using the sample file provided as an example:

- Choose the CSV file
- Enter 15 in the Number of rows to ignore, as the official headers start at row 16.



Form 5330 Upload/Download

Before creating your file to upload, here are a few important items to keep in mind:

1. To upload Form 5330 data, you must use one of the following Company/Plan identifiers as the first two column headers per plan before uploading:
   - CustomerID (customer-assigned value) & PlanID (customer-assigned value),
   - CompanyEmployerID (Employer's EIN) & PlanNumber, OR
   - FTWCustomerID & FTWPlanID
2. To upload multiple Form 5330s for one plan via the 5500 Forms Module, you must repeat the Company/Plan identifiers, described above.
3. Any column which is invalid (e.g. because of a misspelling) will be silently skipped.
4. The system will not perform data integrity edits on uploaded data. Be sure you run all appropriate edit checks after performing the import.
5. Data not relevant to the upload must be listed above column headers.
6. Data that does not meet the character limitation requirements will be silently updated (i.e. If the FilerName is greater than 100, it will be limited to 100 characters).
7. Any columns that have system calculations are not on the sample file. Be sure to review the draft and run all appropriate edit checks after performing the upload.
8. Section A, Schedule C, Lines 2 and 5 allow up to 100 entries. If more than 100 entries are included on the file, they will be skipped starting with the 101st entry.

Download a sample file here: Sample Form 5330
Download the schema file here: Form 5330 Schema

Note: If the spreadsheet contains data for an active Form 5330, then it will be overwritten with the new data provided in the csv.

Upload file name: Browse... No file selected.
Number of rows to ignore before header row: 15
Upload

Download 5330 - Single Plan (csv) | All Plans (csv)

Close

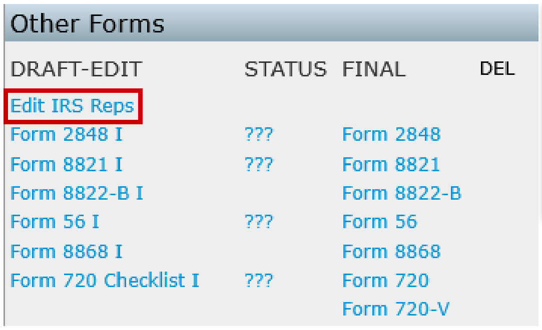
NOTE: The **Download 5330-Single Plan or All Plans** CSV template includes both system-calculated values and system-generated fields for your records. When using it for uploading, remove all columns titled "**RowNumber_ProhibitedTransactionGrp**". These specific fields will cause an error during import as the system generates row numbers automatically. Additionally, the **Number of rows to ignore before header row** value is “0” unless additional rows were added manually.

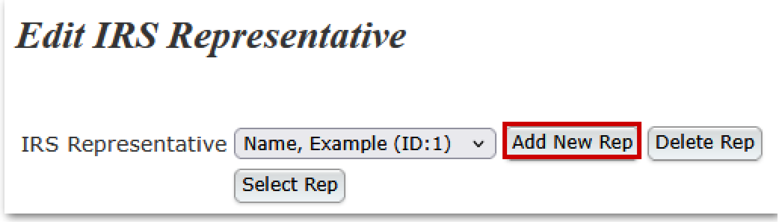
Adding Default Paid Preparers

The ftwilliam.com software will allow you to set up default Paid Preparers to select for use on the Forms 5330 and 720.

To add default reps, click on 'Edit IRS Reps' under the 'DRAFT-EDIT' column within the "Other Forms" box. Next, click on "Add New Rep" where you will enter the Rep's First and Last Name.

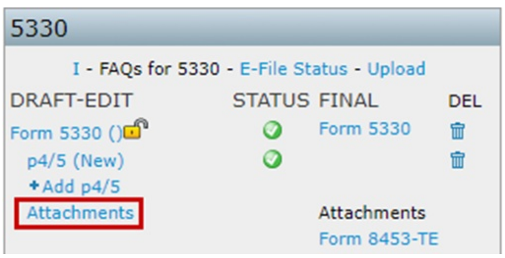
Then, select the new rep from the list and click on "Select Rep". Those Reps who have a PTIN listed will display in the Paid Preparer's drop-down list. You may also enter the Paid Preparer manually if you do not wish to create defaults.





Adding Attachments to the Form 5330

Each Form 5330 includes its own **Attachments** link. To add an attachment, simply select the link located directly below the specific Form 5330.



The MeF system permits only specific types of attachments, which are listed below:

Attachment Name	File Type
Amended Return Changes	CSV
Form 8822-B	PDF
Prohibited Transactions Correction Statement	PDF
Prohibited Transactions No Correction Statement	CSV
**Please note, attachments cannot be password protected.*	

Additionally, two unique attachments are either system-generated or must be entered manually in the **Attachments** screen:

- **Reasonable Cause Explanation**: Must be typed directly into the attachment window. The software will convert the data into the required XML format automatically.
- **Form 8453-TE**: Automatically generated and attached by the software when the form is filed.

Uploaded attachments can be viewed by clicking the magnifying glass icon in the**FINAL** column of the specific 5330.

> **NOTE:** For additional details on completing the attachments please see: Completing Form 5330 Attachments within the FAQ and Supplemental section of the 5330 User Guide.

Form 8453-TE

The Form 8453-TE, found in the **Final** column of each Form 5330 filing, serves as a declaration of authorization for electronic filing with required signatures and details.

This non-editable form auto-populates using information from the Form 5330 and user responses during submission.

> **NOTE:** This 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.