My PAA Users Manual

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General Information: How to Find Answers, Contact PBGC, Use My PAA

The My PAA Users Manual contains details about how to use PBGC's Web-based application, My Plan Administration Account (My PAA). It is a searchable PDF document that can be accessed from multiple places:

- When you are logged into the My PAA application, this manual is an option when you click on the "Help" link in the Menu Bar at the top of each screen.
- You can also reach this manual from the PBGC website (www.pbgc.gov) by going to the Practitioners section, selecting "Online Premium Filing (My PAA)", and then selecting "My PAA Detailed Users Manual (searchable PDF)" in the All Users section.

To effectively use this manual, we suggest that you review the list of topics at the front of the manual and select the appropriate one by clicking on it. If you prefer, you can search for a keyword/topic by using your application's Search/Find button. To navigate through this document, you can typically use the following (depending upon your application's features):

- The vertical scroll bar
- The page down/page up keys on your keyboard
- The arrows on the page (to move you forward or backward within the document)
- The page number window on the page. (Enter the page number you want to go to and then select the "Enter" key on your keyboard.)

The "Online Premium Filing with My PAA" Page on PBGC's Web site (click:http://www.pbgc.gov/prac/prem/online-premium-filing-with-my-paa.html) also contains a substantial amount of information to help you better understand how My PAA works: how to get started, a comparison of the e-filing options, demos, answers to frequently asked questions, and My PAA tips.

- Contact PBGC: If you still have questions after reviewing this manual and related information on our Web site: send an email to premiums@pbgc.gov or call the toll-free practitioner number 1-800-736-2444 (or 202-326-4242 for local calls) and select the "premium" option. **TTY/TDD** users should call the federal relay service toll-free at (800) 877-8339 and ask to be connected to (800) 736-2444.
- PBGC's business hours are 8:00 a.m. to 5:00 p.m. Eastern Time Monday through Friday, except Federal holidays.

There is a "Menu Bar" (on top) and Website Links (on the bottom) of every My PAA Page. Here are some examples of the information that can be easily accessed:

- A "Help" link is on top of every screen (e.g., to the detailed Users Manual).
- A link to the My PAA Page on our Web site titled "About Online Premium Filing" is on the bottom of every screen.
- A "Contact Us" link to PBGC's telephone numbers (e.g., 1-800-736-2444) and e-mail addresses (e.g., premiums@pbgc.gov) is on the bottom of every screen.
- A link to the first page of PBGC's Web site ("PBGC.gov") is on the bottom of every screen.

Launch Page: When you login to My PAA, the Launch Page is overlaid over your Home Page. It contains links that will take you to the appropriate section/page to initiate tasks in My PAA. For example, the "Get Started" link will take you to a general description of how to use my PAA (e.g.,

if you are a new or infrequent filer); while the "Review In-Process Filing(s)" link will take you to a page that shows all of the in-process filings for your plans. If you are an experienced My PAA user, you can select the checkbox to not show this page at login.

Introduction to My PAA and Summary of Premium E-Filing Options

My Plan Administration Account (My PAA) is a secure Web-based application available from PBGC's Web site. It enables pension plan practitioners to electronically submit premium filings and payments to PBGC in accordance with PBGC's electronic filing regulations which require that:

- Large plans (those with 500 or more participants for the prior year) e-file starting July 1, 2006, for plan years beginning on or after 1/1/2006.
- All plans e-file for plan years beginning on or after 1/1/2007.

My PAA offers filers three electronic filing options to meet the varying business requirements of premium filers:

Filing Option 1: Use My PAA's Data Entry and Editing Screens

Description

My PAA includes a series of screens that allows you to enter the filing information that is equivalent to the questions found on the paper premium forms used in the past. Once you enter and save this data, you will have a draft filing that can be electronically edited, routed to other team members, signed, paid (using My PAA or outside of My PAA), and submitted to PBGC – all in My PAA.

Details

For this filing option, an e-filing team must be established that includes individuals who have the authority to complete the following tasks for a plan:

- Complete the "first draft" of the premium filing;
- Review the draft and make necessary changes;
- Sign the filing as the plan administrator or plan administrator's representative;
- Sign the filing as the enrolled actuary (if necessary for the type of filing);
- Select the payment alternative to be used to pay any associated premium; and
- Submit the filing to PBGC.

Note that only one person may be needed to complete all the premium filing tasks for your pension plan. In that case, only that one person needs to establish an account and have the plan in his/her account. However, if your plan requires more than one person to complete all these tasks, each involved person must sign up for an account and have the plan added to his/her account (by the plan's filing coordinator). If you want to use this filing option for more than one plan, each plan must be added to your account.

This option is primarily targeted to filers who do not use private-sector software to prepare filings – where each person involved with premium filings is willing to set up his/her own account.

Filing Option 2: Import Software-Prepared Premium Filings

Description

This filing option is a mixture of filing option 1 (use My PAA's data entry and editing screens) and filing option 3 (upload software-prepared premium filings). It is intended to assist filers who create filings with their own software but prefer to use My PAA to electronically route and complete the filing – including obtaining the necessary signatures online.

This option allows you to "import" an electronic file (in XML format) that contains one or more premium filings created with your software (if that file meets PBGC's defined standards). The imported filing information is transferred into My PAA's data entry and editing screens. From there, you can electronically edit, route, sign, pay (within My PAA or outside of My PAA), and submit the filing(s) to PBGC. Note that each filing contributor, reviewer, and signer needs to set up his/her own My PAA account.

Details
As with Filing Option 1, an e-filing team must be established that includes individuals who have the authority to complete the following tasks for a plan:

- Create the first draft of a filing using private-sector software and import the filing data into My PAA's editing screens;
- Review the draft filing that was imported and make necessary changes (if any);
- Sign the filing as the plan administrator or plan administrator's representative;
- Sign the filing as the enrolled actuary (if necessary for the type of filing);
- Select the payment alternative to be used to pay any associated premium; and
- Submit the filing to PBGC.

Note that only one person may be needed to complete all the premium filing tasks for your pension plan. In that case, only that one person needs to establish an account and have the plan in his/her account. However, if your plan requires more than one person to complete all these tasks, each involved person must sign up for an account and have the plan added to his/her account (by the filing coordinator). If you want to use this filing option for more than one plan, each plan must be added to your account.

This option is primarily targeted to filers who use private-sector software to prepare their premium filings– where each person involved with premium filings is willing to set up his/her own account.

Filing Option 3: Upload Software-Prepared Premium Filings
Description
This filing option is intended to assist filers who create filings with their own software. This option allows you to "upload" an electronic file (in XML format) that contains one or more premium filings created with your software if that file meets PBGC's defined standards. The filings must be fully completed and certified by the appropriate parties before they are uploaded to My PAA. When the XML file is uploaded to My PAA, the filing(s) in it are immediately transferred to PBGC's internal premium system for processing and posting to the appropriate plan accounts. Therefore, changes to the filing information cannot be made once the file is uploaded.

Details

- To upload a filing, only one person -- the person who is authorized to upload filings -- needs to have a My PAA account (e.g., the plan administrator's representative, actuary, consultant, etc.).
- If you have an account, you must have at least one plan in your account even though you can upload a filing for any plan (including plans not in your account).
- Uploaded filings must be certified before they are uploaded. How the certification is done depends on who performs the upload. If the plan administrator or the enrolled actuary is uploading the filing(s), that person can certify on the My PAA screen. If the plan

administrator or enrolled actuary is not uploading the filing(s), he/she must certify the filing information on paper (and file it with the plan records for future reference). See Certification Requirements for Uploaded Filings for details about the certification process.

This option is primarily targeted to filers who use private-sector software to prepare their premium filings and who prefer that only one person set up a My PAA account.

Getting Started with My PAA

Getting Started/Step 1 – Each Person Registers for a My PAA Account
To get started with e-filing, you must register for a My PAA account (i.e., create a security key, user ID and password). This is true for whatever filing option you intend to use. Once you have an account, you will not go through the registration process again. Your account can be used for multiple pension plans and for all of the filing options.

To register for an account, follow these steps:

1. Once on PBGC's Web site (www.pbgc.gov), click on the Practitioners Page, then "Online Premium Filing (My PAA)", then "Sign Up for a My PAA Account" (under the New Users section). The "New User Sign Up – Open an Account" page will be displayed.
2. Enter the information requested in the "Personal Information" box.
3. Create a "security key" by selecting one of the four secret questions and entering an answer to it. You will need to remember both the question you selected and the answer you provided to complete certain tasks in My PAA (e.g., electronically sign a filing, obtain a forgotten password, etc.).

   After selecting your secret question, your secret answer:

   - Cannot be changed once it is set;
   - Must be between 1 and 25 characters;
   - May contain numbers and letters;
   - May include special characters; and
   - Is case sensitive.

4. Click the "Next" button. The next page gives you the opportunity to review the information you entered on the preceding screen. If you wish to make changes to it, click the "Edit" link located in the top left corner of the screen.

   If all of the information displayed on this screen is correct, click the "Submit" button, which will send your information to PBGC. My PAA will display a screen confirming that your information has been successfully transmitted to PBGC. This screen also directs you to check your e-mail for further directions from My PAA.

5. Open the e-mail sent from My PAA, and click the URL link or cut and paste the URL link that is provided into your browser's address window. My PAA's Login screen will be displayed.
6. Enter the temporary user ID and password that were provided in the registration e-mail into the appropriate fields and click the "Log In" button. My PAA will display the First- Time Login page.

7. Follow the directions/rules on the page to create your own user ID and password. Provide the answer to your secret question that you established during the registration process.

   The following rules apply to setting up your user ID:

   - Cannot be changed once it is set;
   - Must be between 8 and 25 characters long;
   - Must contain any combination of letters and/or numbers;
   - Is not case sensitive; and
   - Cannot contain special characters (such as ', @, &, etc.).

   The following rules apply to setting up your password:

   - Is case sensitive, so remember which letters you capitalized so you can type it in exactly as you set it up;
   - Must be between 10 and 24 characters;
   - Must contain at least 1 uppercase character;
   - Must contain at least 1 lowercase character;
   - Must contain at least 1 number;
   - Must contain at least 1 special character;
   - Do not include spaces or the following characters:
     - Single Quote (‘) or Double Quote (“)
     - Equal to (=) or Percent (%)
     - Asterisk (*) or Backslash (\)
     - Plus (+) or Ampersand (&)
     - Greater than (>) or Less than (<)
     - Semicolon (;) or Question mark (?)

   The following tips should be considered when creating your password:

   - Avoid using public details about yourself when creating your password;
   - Ensure it does not contain your user name, real name, or company name, either forward or reversed;
   - Do not simply use a word from the dictionary (English, French, Spanish, biographical, specialized, etc.);
   - Consider creating a pass phrase that is unique to you;
   - Make sure your new password is significantly different from previous passwords used here and on other websites; and;
   - Your password should not contain any string of characters associated with you (your license plate, your telephone number, etc.), either forward or reversed.

   Note: During the account registration process, we suggest that you closely verify the accuracy of your secret question/answer (steps 3 and 4) and user ID (step 7) because you will not be able to change them once they are set. Also, we encourage you to take steps to securely “remember” your user ID, password, and secret question/answer combination and not share them with anyone as they will be used for all the work you do in My PAA and represent your individual contributions and authorizations (e.g., e-signatures).

8. Click the “Next” button. My PAA will display a Launch Page overlaid on top of your personalized Home Page (see The Basic Components (Pages) of My PAA).

Getting Started/Step 2 – Plan's Filing Coordinator is Identified
The filing coordinator is the person who will perform/coordinate the e-filing administrative tasks for the plan within My PAA (e.g., invite others to be part of a plan's filing team). Therefore, before a plan is added to any practitioner's account, the responsible parties for the plan (e.g., the plan administrator, plan sponsor, enrolled actuary) should work together to determine who will be the plan's filing coordinator. Anyone can be the filing coordinator (e.g., the plan administrator's representative, actuary, consultant, etc.) as long as there is agreement among the plan or sponsor and the people involved.

Getting Started/Step 3 – Filing Coordinator Establishes Plan's E-Filing Team

Getting Started/Step 3.1 – Filing Coordinator Adds a Plan
If the person who will be the filing coordinator (identified in Step 2) is the first filing coordinator for the plan, he/she must add the plan to his/her account first. (If someone else is the plan's filing coordinator, contact that person and ask him/her to invite you to the plan.) Note: The process of adding a plan to your account is the way you become the filing coordinator for that plan. Therefore, only the person identified in Step 2 as a plan's filing coordinator should add the plan (by following the steps below) because of the administrative tasks and responsibilities that come along with this role.

(Once the filing coordinator has a plan in his/her account, he/she can add the other practitioners to that plan who are necessary to complete the e-filing process (e.g. plan administrator, enrolled actuary). This process is described in step 3.2.)

To add a plan to his/her account, the filing coordinator will follow these steps:

1. From your Home Page, click the "Add Plan" Quick Link. My PAA will display the "Add a Plan as Filing Coordinator" confirmation screen.

2. After confirming that you are the plan's filing coordinator, click the "Continue" button. My PAA will display the "Add a Plan" screen.

3. Enter the information requested on the screen. Note that all required fields are marked with an asterisk. (While the fields not marked with an asterisk are optional, you should try your best to complete them.)
   - If the plan you are adding has made a previous premium filing, click once in the "radio button" next to the line: "This plan's last premium filing included the following information" and enter the participant count and total premium due (before any credits are taken) from the last premium filing submitted by the plan (for the most current plan year).
   - If you are adding a plan that has never made a premium filing before, click once in the "radio button" next to the line: "A premium filing for this plan has never been made."
   - When you submit your request to add a plan, My PAA will check the information you enter against PBGC's official pension plan records. If the information entered does not match our records, you (or others) may be contacted by a PBGC representative to ensure that you should have access to this plan and/or you may see a warning message screen advising you of a discrepancy about the data you entered.

4. Once you have finished filling out the information, click the "Next" button. My PAA will display the "Select Appropriate Permissions" screen. This screen gives you the opportunity to

grant yourself additional filing permissions beyond those already granted to you as a filing coordinator for the plan. Permissions determine what actions you can perform during the e-filing process for the plan.

Note that by selecting additional permissions, you are claiming that you have been given approval to do so by the relevant plan authorities. If you have not been given such approval, either seek this approval before continuing or continue without selecting additional permissions. You will be able to modify your permissions for this plan at any time once it is added to your account.

5. The next screen gives you the opportunity to review all of the information that you entered on the preceding two screens. If you wish to make changes to it, click the "Edit" button that is located in the top left corner of the screen.

   If all of the information displayed on this screen is correct, click the "Submit" button. My PAA will display a screen confirming that your information has been successfully entered. My PAA will also send you an e-mail to confirm this transaction.

6. Please note the following exceptions:

   - If another person has already signed up to be the filing coordinator for this plan, My PAA will not allow you to add this plan to your account. My PAA will display an error message that includes the name of the previously established filing coordinator for that plan. If you need access to this plan, you must contact the filing coordinator and ask him/her to invite you to that plan.
   - If a person is still listed as the filing coordinator (on the Plan page) but is no longer available to invite you to the plan, contact a PBGC representative for assistance.
   - If a plan is left without a filing coordinator, a new person outside the current filing team can become the filing coordinator by clicking the "Add Plan" Quick Link on his/her Home Page. If someone from within the current filing team wants to become the filing coordinator, that person must contact a PBGC representative for assistance.
   - To contact a PBGC representative, call 1-800-736-2444 (and select the "premium" option) or send an e-mail to premiums@pbgc.gov. PBGC's business hours are 8:00 a.m. to 5:00 p.m. Eastern Time Monday through Friday, except federal holidays.

Getting Started/Step 3.2 – Filing Coordinator Invites Practitioners and Sets their E-Filing Permissions

Once the filing coordinator adds a plan to his/her account, the filing coordinator then adds this plan to the accounts of the other practitioners who will either contribute to an e-filing for that plan or view that plan's account history via My PAA. It is highly recommended that there be multiple people for each e-filing role (including the filing coordinator role) so the e-filing process will not be impacted if individuals are unavailable during the e-filing process.

The practitioners you need to add will primarily depend on the filing option you will be using for your plan:

- Using the My PAA data entry screens or the import software-prepared filing options: You will need to add each practitioner who takes part in the filing process for a plan, e.g., start a filing, review/edit a filing, sign a filing, pay the associated premium. When you add a plan to each person's account, you will set each person's permissions that determine what they can do using My PAA.

Note that as a filing team member, each person can automatically create and edit filings for a plan. In addition, the following permissions are optional and may be selected for each person (as appropriate): sign and submit filings as a plan administrator/pa representative, sign filings as an enrolled actuary, authorize premium payments, view account history, and serve as filing coordinator.

- Using the Upload software-prepared filing option:
  As the filing coordinator for this option, you are responsible for either uploading premium filings yourself or inviting someone with the proper authority to upload premium filings. In addition, if there are other practitioners who want to access a plan's account history via My PAA, you will need to add them to the plan. Keep in mind – as soon as a practitioner has at least one plan in his/her account, he/she can upload filings for any plan (including plans not in the account).

Here are the steps to follow to invite another person to a plan for which you are the filing coordinator:

1. If you have filing coordinator permission for a plan, an "Invite a Practitioner" link is displayed to the right of the plan's name (on your Home Page). This same link is also displayed in the "Premium Filing Practitioners" area of the Plan Page for the plan. You can click either one of these links to begin the process of inviting a practitioner to join the plan.

2. On the "Invite a Practitioner" screen, enter the name and contact information of the practitioner who you wish to invite to join the plan's e-filing team.

3. Then, select the e-filing "permissions" that you wish to grant this practitioner for the plan. If you select the pa representative permission, you will also need to enter the contact information for the plan administrator involved. In most cases, you will be able to give another filing team member the filing coordinator permission so that you can establish a backup for this role. However, note that the "filing coordinator" permission may be temporarily missing from the practitioner's permission list if you (as filing coordinator) recently added this plan and your submission included information that did not match PBGC's official records. After the data discrepancies are resolved, the filing coordinator permission will be available for selection.

   Also note that if you grant a practitioner permission to serve as filing coordinator, you will not be able to edit this practitioner's permissions (as you will the other practitioners' permissions).

4. Click the "Invite Practitioner" button in the lower right corner of the screen to continue. My PAA will display a confirmation screen and will send an e-mail to the practitioner you invited. My PAA sends one of two possible e-mail invitations – one for a practitioner who previously signed up for My PAA and one for a practitioner who has not yet signed up.

5. If a practitioner has signed up already, the e-mail will simply notify them that this plan has been added to his/her account and that the plan will now be displayed in the "Plans" area of their Home Page.

   If a practitioner has not yet signed up for an account, the e-mail invitation will provide him/her with a link to the "Open an Account" page, which must be completed before they become a member of the plan's e-filing team (see information which follows for details).

Getting Started/Step 3.3 – Invited Practitioners Register for a My Account (only if practitioner does not already have an account)

If you do not already have a My PAA account when invited by a filing coordinator to join a plan's filing team, you will receive an email with instructions on how to register for an account. You should then follow these steps:

1. Carefully read the instructions included in the invitation you received. When you click the URL provided in the e-mail (or copy and paste it into your browser's address window), My PAA will display the "Open an Account" page.

2. Enter the information requested into the online form. All required fields are marked with an asterisk. (While the fields not marked with an asterisk are optional, you should try your best to complete them.) Click the "Next" button to continue the registration process.

3. The second page asks you to create your security key, which is composed of a combination of a "secret question" and "secret answer." Later, when you use My PAA to conduct such tasks as signing a filing, you will be asked to enter your security key. Once you have created your security key, click the "Next" button.

4. The next page gives you the opportunity to review the information you entered on the preceding screen. If you wish to make changes to it, click the "Edit" link that is located in the top left corner of the screen.

   If all of the information displayed on this screen is correct, click the "Submit" button, which will send your information to PBGC. My PAA will display a screen confirming that your information has been successfully transmitted to PBGC. This screen also directs you to check your e-mail for further directions from My PAA.

5. Open the e-mail sent from My PAA, and click or cut and paste the URL link that is provided into your browser's address window. My PAA's Login screen will be displayed.

6. Enter the temporary user ID and password that were provided in the registration e-mail into the appropriate fields and click the "Log In" button. My PAA will display the First-Time Login page.

7. Follow the directions/rules on the page to create your own user ID and password. Provide the answer to your secret question that you established during the registration process.

   Note: During the account registration process, we suggest that you closely verify the accuracy of your secret question/answer (steps 3 and 4) and user ID (step 7) because you will not be able to change them once they are set. Also, we encourage you to take steps to securely "remember" your user ID, password, and secret question/answer combination and not share them with anyone as they will be used for all the work you do in My PAA and represent your individual contributions and authorizations (e.g., e-signatures).

8. Click the "Next" button. My PAA will display a Launch Page overlaid on top of your personalized Home Page (see The Basic Components (Pages) of My PAA).

Basic Components (Pages) of My PAA

When you log into My PAA, you will typically see the Launch Page to help you access the appropriate screens to perform the desired tasks. If you prefer not to see this page, check the bottom left box that says "Do not show this page at login". This will result in your seeing the Home Page when you login. When you have a plan in your account, you will be able to access the Plan Page for that plan. If you have a filing in process (that was created using My PAA's data entry screens or created via private-sector software and imported into My PAA's editing screens), you will be able to access the Filing Manager Page for that filing. Details about the three primary My PAA pages are provided here:

Home Page

The Home Page is your personalized base of operations within My PAA. It is separated into six sections:

- Add a Plan to Your Account
  If you need to add a plan to your account and are the filing coordinator for that plan, click the "Add Plan" Quick Link in this section.
- In-Process Filings (filings that have not yet been submitted)
  This section is the "to-do" list in My PAA for your filing team(s). It lists the filings that are currently assigned to you and other filing team members (that were created using the My PAA data entry screens or imported into My PAA's editing screens). If a filing is present, the "Held By" column shows who is holding the filing because only that person can take action on it (e.g., edit and sign) by clicking the "Filing" link. Note that other e-filing team members who are not holding the filing can "view only" an in-process filing by clicking on the "Filing" link.
- Create Filing in My PAA Data Entry Screens/Plans in Your Account
  This section lists up to 10 Active Plans that are in your account. To see all of your plans (whether Active or Archived), click on the View all Plans link. For each plan in your account, you can:
  - Click the "Plan Name" link to go to the Plan Page to view details about the plan (e.g., the plan administrator's address on record at PBGC, a list of the practitioners who have the plan in their account, etc.).
  - Click the "Invite a Practitioner" link (if you are the plan's filing coordinator) to add the plan to another practitioner's account.
  - Click the "Create Filing" link to use the My PAA screens to create a filing. Update the plan name when you submit your next filing to PBGC.
- Import Software-Prepared Filing(s)
  Click the "Import Filing(s)" button to import a file that contains one or more filings (for plans in your account) created using software that has been updated to be compatible with PBGC's file requirements.
- Upload Software-Prepared Filing(s)
  This section lists the files containing filings that were created using your own software and submitted electronically to PBGC via My PAA. Click the "Upload Filing(s)" button to upload a file that contains one or more filings created using software that has been updated to be compatible with PBGC's file requirements.
- Helpful Links
  This section lists additional resources that provide information that may assist you in completing your premium filing.

The following is an example of a filing coordinator's Home Page:

PBGC My PAA

v.15.1.1.01

LAUNCH PAGE | PLANS | FILINGS | HELP | My Account | Logout

HOME PAGE

Quick Links

Add Plan | Create Filing | Import Filing | Upload Filing

Right Now

3	2	1	5
Filings Count (In-Process)	You Hold	Others Hold	Plans Count

In-Process Filings View all In-Process Filings > Instructions

Clear Sort

Filing	Last Routed	Plan Name	EIN/PN	Held By
2015 Comprehensive		Employee Plan	11-1212121 / 121	Elizabeth Turner
2013 Comprehensive		Automotive Plan	21-2121211 / 113	Elizabeth Turner
2014 Comprehensive	2/4/2014	Insurance Plan	32-2121211 / 211	Susan Claire

Plans in Elizabeth Turner's Account View all Plans > Instructions

Plan Name / EIN | Search | Clear Search

Plan Name	EIN/PN	Actions	
Automotive Plan	21-2121211 / 113	Create a Filing	Invite a Practitioner
Employee Plan	11-1212121 / 121	Create a Filing	Invite a Practitioner
Insurance Plan	32-2121211 / 211	Create a Filing	Invite a Practitioner

Import Software-Prepared Filing(s) Instructions

Transfer filing data into My PAA editing screens for review and submission for any plan(s) in your account. Import Filing

Upload Software-Prepared Filing(s) View all Uploads > Instructions

Submit fully-completed filing(s) for any plan(s) once you have at least one plan in your account. After the file is uploaded, click the link (if shown) under "Conf. ID/ Receipt" to view the receipt(s) showing data submitted for each filing. View this section's Instructions for details. Upload Filing

File Name	Comments	Conf. ID/Receipt	Received	Filing Status	Payment Status
2013 XML ME.xml	Yes	3892106	10/15/2014 10:30:08 AM	Completed	EFT
2013_ME -New.xml	No	6859147	10/15/2014 08:42:08 AM	Completed	Paper Check
2013-New.xml	Yes	8951657	2/17/2014 10:42:08 AM	Completed	Pay.gov
Extra Plan_ME.xml	No	8965748	1/18/2014 08:42:08 AM	Completed	Paper Check
Microphone_New.xml	No	1523784	1/01/2014 12:42:08 PM	Completed	Paper Check

PBGC.gov | Privacy Act Notice | Paperwork Reduction Act Notice | Contact Us | About Online Premium Filing

Plan Page

Every plan listed on your Home Page (up to 10 Active Plans) or on the All Plans Page (Active Plans vs Archived Plans) has its own Plan Page (accessed by clicking on the Plan Name link). The Plan Page includes the following sections:

- **Basic Plan Information**

  This section contains the plan name and Employer Identification Number/Plan Number (EIN/PN) of the plan. In addition, it shows the information PBGC has on record for the plan sponsor, plan administrator, and plan contact. You can update this information when you submit your next filing to PBGC.

- **Premium Filings for the Plan**

  This section lists the filings that were either created with the My PAA data entry screens or imported into the My PAA editing screens. You can view filings "In-process", "Submitted" or "All Filings" (the default). All e-filing team members can view these filings by clicking the Filing link. Note that only the person "holding" an in-process filing can take action on it (e.g., edit or sign the filing).

  Click Step 2: Edit Draft, Sign Filing, and Select Payment Alternative for information on what you can do with a draft filing.

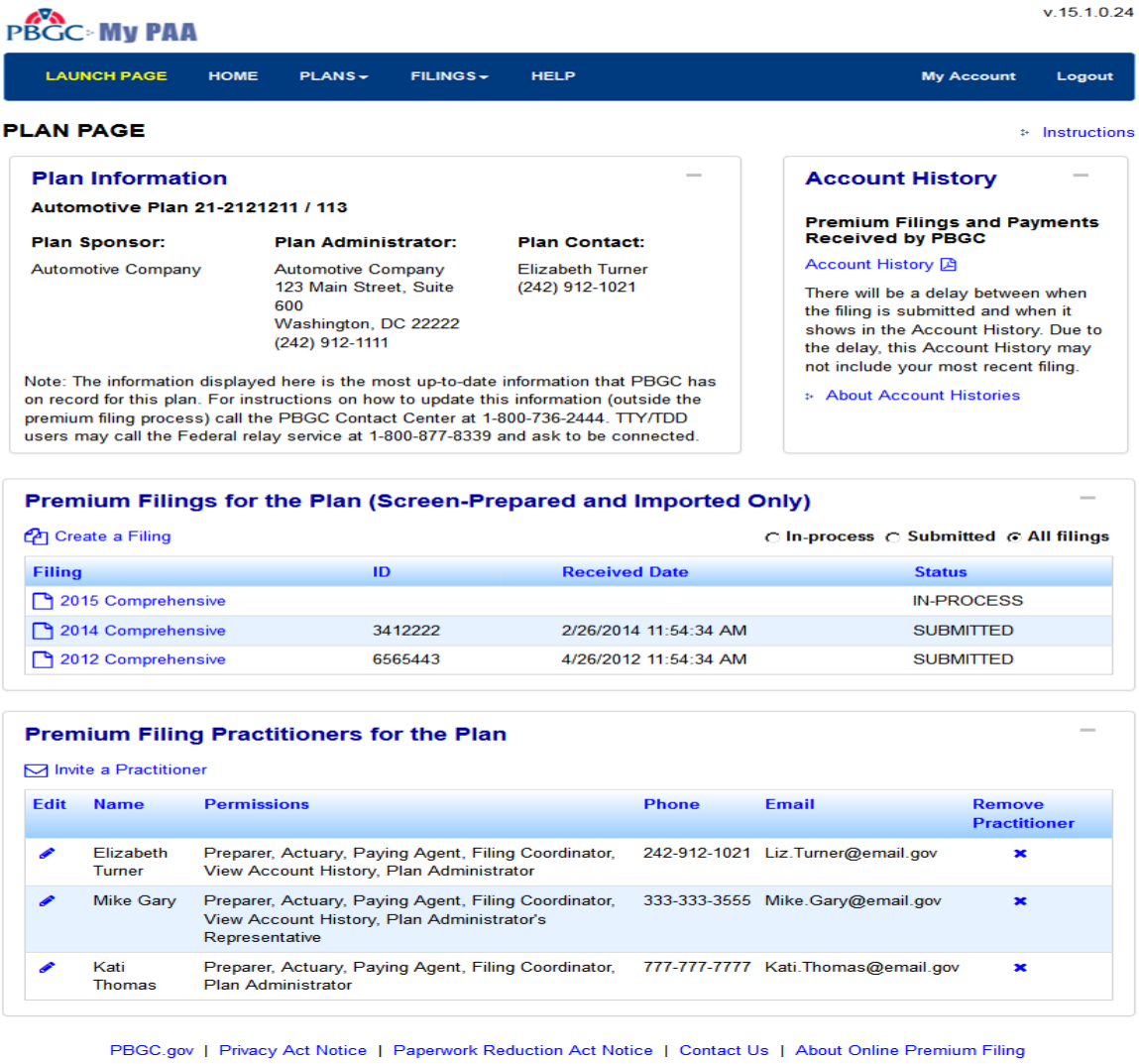
- **Premium Filing Practitioners**

  This section contains a list of the plan's e-filing team members and their contact information. From this section, the filing coordinator can invite practitioners, edit the permissions of practitioners and remove the plan from practitioners' accounts.

- **Account History**

  This section allows practitioners who have the "view account history" permission to access the plan's Account History. Click View Submitted Filing on Plan's Online Account History for details about seeing and interpreting the information on the Account History.

The following is an example of a Plan Page (that reflects fictitious information).



Filing Manager Page

If you have a filing in process (created using the My PAA data entry screens or imported into the My PAA editing screens), the filing will be completed and submitted via the Filing Manager Page. The Filing Manager Page reflects the status of in-process filings and describes what actions still need to be done to submit the filing to PBGC.

How to access the Filing Manager Page:

- When you create a draft filing using the My PAA data entry screens or import a filing that was created using compatible private-sector software, the Filing Manager Page is displayed.
- If you are holding a filing: Your name will be displayed in the "Held By" column of the "In-Process Filings" section of your Home Page. Click the "Filing" link to go to the Filing Manager Page. You will be able to view and take action on the filing.
- If you are not holding a filing: Another team member's name will be displayed in the "Held By" column of the "In-Process Filings" section on your Home Page. Click the "Filing" link to go to the Filing Manager Page. You will be able to view the filing data and see what remains to be done to it before it can be submitted.

The Filing Manager Page (example follows) allows you to keep track of a filing once it has been created. This page provides information about what needs to be done to the filing before it can be submitted to PBGC and allows the appropriate users to complete these tasks.

The Filing Manager Page has the following sections/features:

- **Filing Status**
  This section indicates if the filing is (or is not) ready for submission to PBGC and identifies who is holding the filing. If the filing is ready for submission, the Submit button(s) will be displayed only for the filing coordinator or plan administrator (dependent upon who is holding the filing).

- **Filing Task List**
  This section indicates if the filing contains all required information, which signatures are required for the filing, and which of those signatures have been completed.

  If the Filing Task list indicates that the filing does not have all the required information, you can edit the filing by clicking the "View/Edit Filing" button (when you are holding the filing). See the section titled: Change, Add, or Delete Information in an E-filing for more information on editing a filing.

  If you have been given the appropriate permission(s), you will see either a "Sign" button for the plan administrator/pa representative or enrolled actuary and/or an "Authorize" button for the person authorized to make premium payments. If you do not have the permission(s), you will need to route the filing to a team member who does have the permission to act on the filing (by selecting the appropriate 'Route To' button in the Filing Team section). See the following sections for more information:
    - Electronically Sign as the Plan Administrator or PA Representative
    - Electronically Sign as the Enrolled Actuary
    - Select Payment Alternative

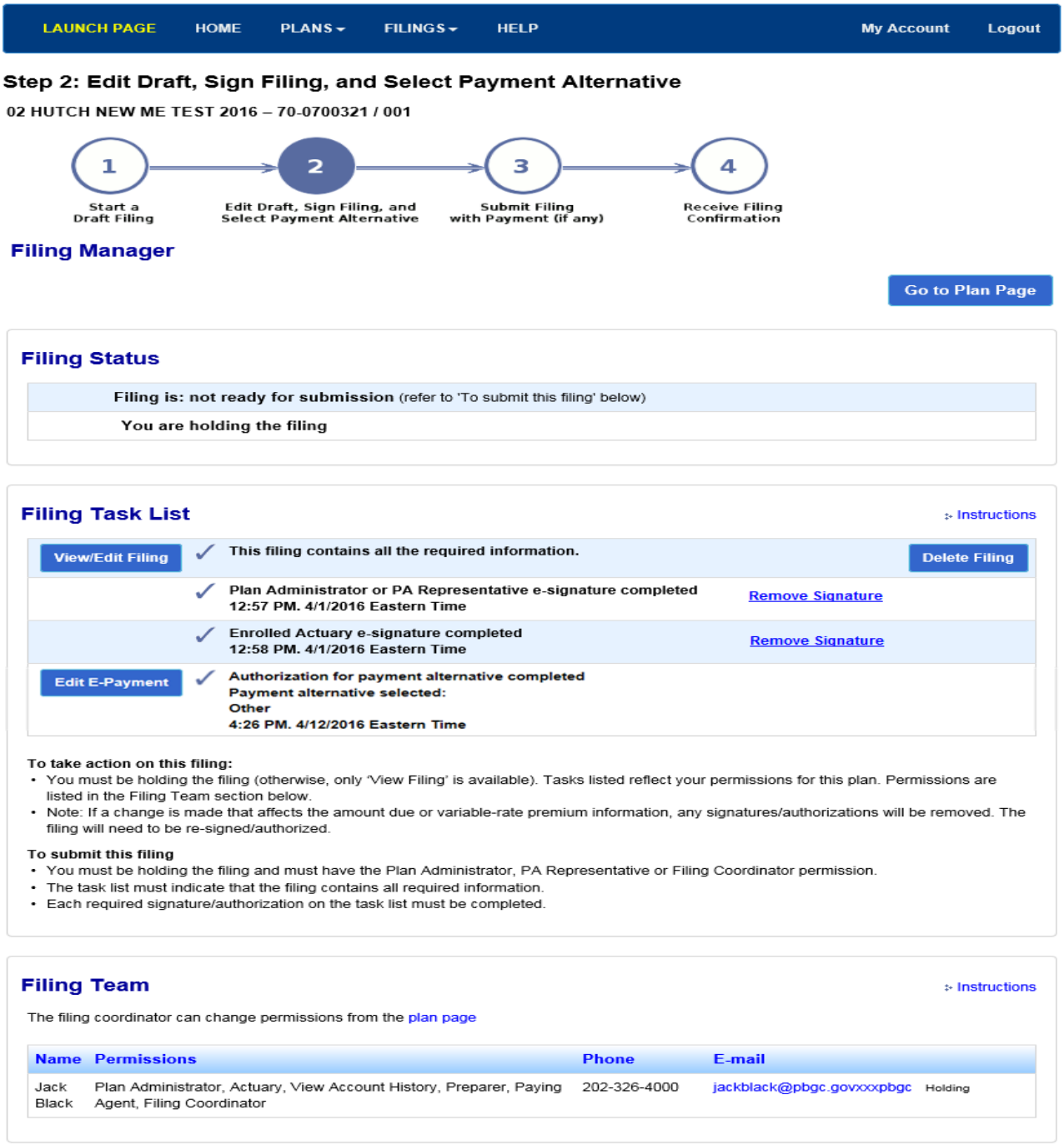
  Once the filing contains all required information, the necessary signature(s), and payment authorization (if needed), the Filing Status section will display the Submit buttons only for the filing coordinator or plan administrator (dependent upon who is holding the filing).

- **Filing Team**
  This section of the Filing Manager Page lists the practitioners for this plan and also indicates which one is holding the filing. This is important because only the person holding the filing can work on it. If you are finished with your work and want to electronically "send" the filing to another team member (to take action on the filing), you will click the "Route To" button next to that person's name.

- **Other Features**
  - Go To Plan Page button (in upper right part of screen) – Click button to go directly to the Plan Page that reflects details about the plan (e.g., filing receipts) and the plan's filing team (e.g., to change permissions).
  - Retrieve Filing button (in upper right part of Filing Status section) – If the filing is being held be a person who is unavailable to log into My PAA, you can retrieve the filing from the holder by clicking the Retrieve Filing button. You can then route the filing to someone else that is available at that time.

- Delete Filing button (in upper right part of Filing Task List section) -- If you are the plan's filing coordinator and you are holding the filing, you can delete this filing by clicking the "Delete Filing" button. The filing will be deleted from My PAA and you/your filing team members will be able to start or import a new draft filing for this plan and plan year.
- Remove Signature (on right side of any e-signatures that were completed) – If you have the PA/PA Rep or Actuary permission(s) and wish to remove a signature (e.g., so that someone else may sign), click the appropriate Remove Signature link.

The following is an example of the Filing Manager Page:



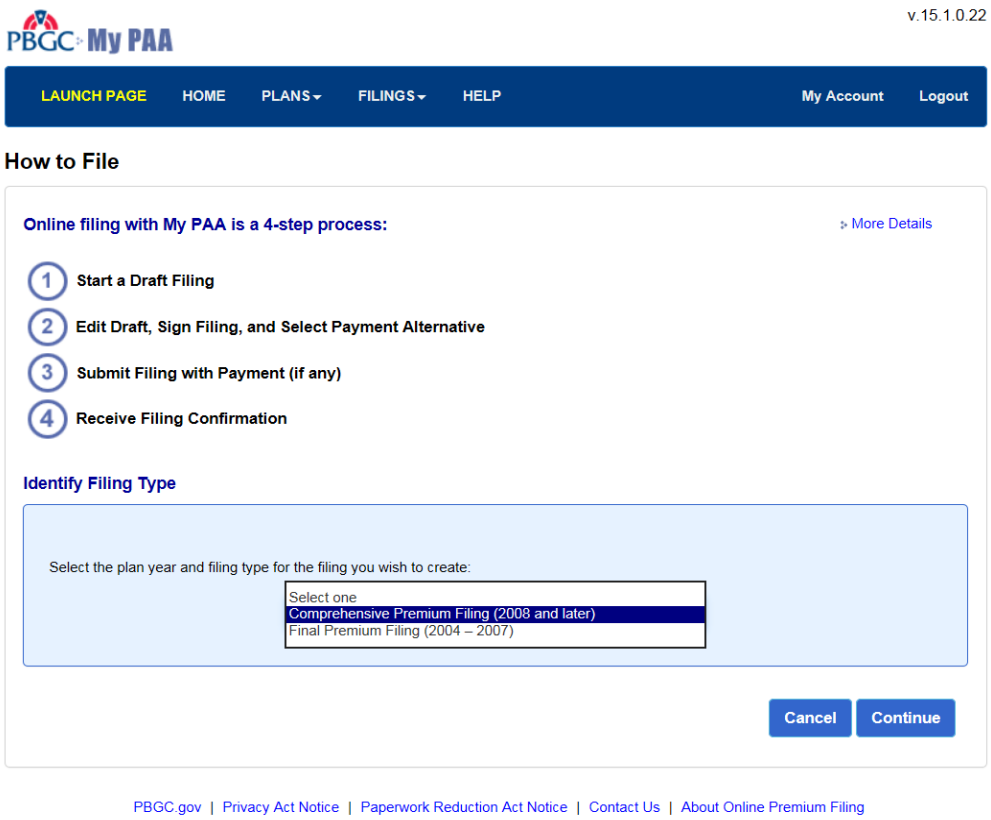
Premium E-Filing Options

Filing Option 1: Use My PAA Data Entry/Editing Screens to Create/Submit Filings

The My PAA data entry and editing screens allow you to create any type of premium filing for plan years 2004 and later. Once the filing has been created, it can be edited and signed by the appropriate practitioners, the associated payment can be made (if one is due), and it can be submitted to PBGC. Each person who contributes to the filing (e.g., e-signs the filing) must have a My PAA account and the plan in his/her account.

This process consists of four main steps:

- Filing Option 1/Step 1: Start a Draft Filing
- Filing Option 1/Step 2: Edit Draft, Sign Filing, and Select Payment Alternative
- Filing Option 1/Step 3: Submit Filing (with payment, if any)
- Filing Option 1/Step 4: Receive Filing Confirmation



Filing Option 1 (Use My PAA's Data Entry Screens) /Step 1: Start a Draft Filing

From your Home Page, start by selecting the "Create a Filing" link next to the plan for which you want to prepare a filing. Step 1 breaks down the process of filing creation into several pages, depending on the type of filing you are creating. You begin Step 1 by selecting, from the drop down list on the "How to File" page (shown above), the type of filing you want to create. The information entered on the next page(s) identifies the filing plan year (2004 or later), type of filing (comprehensive or final filing), plan (single-employer or multiemployer), and whether the plan is exempt from the variable-rate premium (for single-employer comprehensive/final filings). The successive data entry and editing pages displayed by My PAA are determined based on the choices you make on these initial pages. When you have finished filling out the data on these screens, you will be able to save the first draft of your filing and move to Step 2 of the process.

Important points about Step 1:

- The information that you select/enter on the initial screens will determine what information you have to enter on subsequent screens. (e.g., if you indicate you are creating a comprehensive filing on the first screen, the data entry fields displayed on the subsequent screens will be the same as those you see on the illustrative comprehensive filing within the plan year's instructions.)
- Anyone on the plan's e-filing team can create the first draft of the filing and does not have to know all the filing information to do so.
- A plan can only have one draft filing in progress per plan year. For example, your plan can have one draft filing for 2016 and one for 2015. You cannot, however, have two draft filings in progress for 2016.
- To begin the create filing process, click the "Create a Filing" link located on your Home Page next to the applicable plan.
- You control your progress through the screens by using the set of buttons in the upper and/or lower right corner of each screen:
    - The "Continue" button temporarily saves any data you have entered (in "session" storage) and takes you to the next page in the process. Note that your data will not be permanently saved until you reach the Filing Manager Page.
    - The "Back" button takes you to the preceding page and temporarily saves the data you have entered. Note that your data will not be permanently saved until you reach the Filing Manager Page.
    - The "Cancel" button discards any data you have entered, ends the step-by-step filing creation process, and returns you to the Home Page**.**
    - The "Save & Exit" button permanently saves any data you have entered to the database so that you can leave My PAA (via the Filing Manager Page) and access this draft later. (Note: This button is only displayed after you have gotten to the screen where you enter the participant count.)
- There are "Instruction" links on each screen. Clicking on these links opens text instructions for the applicable items in a new browser window.
- When you finish walking through the steps to create the filing, My PAA will present you with a summary screen of all the information you entered. This screen is divided into sections that correspond to the data entry screens. You can edit any of this information by clicking the applicable "Edit" link.
- When you have finished viewing the summary data and are satisfied with the first draft, click the "Continue" button and then the "Go to Filing Manager" button. My PAA will display the Filing Manager Page. It is important to note that at this point, only the first draft of the filing is created – it still must be completed and signed, the payment alternative must be selected (if an amount greater than $0.00 is due), and it must be submitted to PBGC. You will complete these tasks in Steps 2 and 3 of the e-filing process.

Filing Options 1 and 2 (Use My PAA's Data Entry Screens & Import a Filing) /Step 2: Edit Draft, Sign Filing, and Select Payment Alternative

Once a team member creates a draft of a filing or a software-prepared filing is imported into My PAA, it is saved in My PAA and accessed via the Filing Manager Page, which starts Step 2 of the process – Edit Draft, Sign Filing, and Select Payment Alternative. In this step, you ensure that the filing is complete, that all appropriate signatures have been collected, and that you have selected a premium payment alternative (if a payment is due).

Change, Add, or Delete Information in an E-filing

After the first draft of a filing has been completed, you can make changes to it as necessary by following these steps:

1. Make sure you are holding the filing. You "hold" an e-filing if your name is displayed in the "Held By" column of the "In-Process Filings" section on your Home Page. In addition, the Filing Status section of the Filing Manager Page says "You are holding this filing". (If you are not holding it, ask the person on your team who is holding it to route the filing to you. If necessary, you can retrieve the filing from another person.)

2. Click the "Filing" link in the "In-Process Filings" section on your Home Page. My PAA will display the Filing Manager Page for that filing.

3. To edit the e-filing, click the "View/Edit Filing" button at the top left of the Filing Task List on the Filing Manager Page. The Data Summary page will list at the top of the page any fields that have not been completed, any errors that must be corrected, and any warning messages related to common mistakes.

4. The information displayed on the Data Summary page is separated into different sections. Each section includes an "Edit" link. Select the "Edit" link for the section that has the information you need to change. My PAA will display the corresponding screen that has this information.

   Note: Once the filing has been saved, only users with the plan administrator permission can make a change to the Overpayment section to indicate how the overpayment (if one exists) will be utilized (e.g., as a future credit or as a refund). If you are not the plan administrator and this information needs to be changed, you will need to route the filing to the person who does have the plan administrator permission.

5. When you make the necessary changes, you can select one of the following buttons (depending on the screen you are on):
   a. "Continue" button: this will temporarily save the changes you just made and take you to the next data entry and editing screen (note that your changes will not be permanently saved until you reach the Filing Manager Page).
   b. "Back" button: this will temporarily save the changes you just made and take you to the preceding data entry and editing screen (note that your changes will not be permanently saved until you reach the Filing Manager Page).
   c. "Cancel" button: this will discard the changes you just made and take you back to the Filing Manager Page.
   d. "Save & Exit" button: this will permanently save the changes you just made and take you to the Filing Manager Page.

6. If you keep on selecting the "Continue" button, My PAA will display each successive data entry and editing screen where you can make any necessary edits until you permanently save the filing and return to the Filing Manager Page.

Route an E-filing to Another E-filing Team Member

If you have finished with entering the information for which you are responsible for the filing, you may need to send, or "route," it to another e-filing team member for their contribution (e.g., editing and signature). My PAA includes a routing feature that allows you to electronically send the filing to another member on your plan's e-filing team. If the filing is being held by a person who is unavailable to log into My PAA and route the filing to someone else, you can retrieve the filing from the holder in order to route the filing or take action on it.

1. Make sure you are holding the filing. You "hold" an e-filing if your name is displayed in the "Held By" column of the "In-Process Filings" section on your Home Page. In addition, the Filing Status section of the Filing Manager Page says "You are holding this filing".

2. Click the "Filing" link in the "In-Process Filings" section on your Home Page. My PAA will display the Filing Manager Page for that filing.

3. In the Filing Team section, click the "Route to" button located to the right of the applicable person's name. The screen displayed enables you to confirm that you are routing the e-filing to the correct person and allows you to write a brief customized e-mail message to the person (if desired). Note: this message is limited to approximately 250 characters.

4. The selected practitioner will receive an e-mail that contains both the standard My PAA text and any customized message text that you entered. My PAA will display a confirmation screen letting you know that the e-filing has been routed successfully. You will also receive a "cc" of the e-mail message. Note: If you receive an error message after clicking the "Route Filing" button, the message you typed is likely too long. Shorten the message and try again.

5. When you route an e-filing, you no longer "hold" it. If you don't hold an "e-filing" you are unable to take any action on it (e.g., edit it, sign it). However, you can always view a filing and can see any messages or warnings at the top of the Data Summary page, even if another team member is holding it.

Electronically Sign an E-filing as the Plan Administrator or Plan Administrator's Representative

All premium filings require the signature of the plan administrator/pa representative. In My PAA, this signature is collected electronically by following these steps:

1. To sign an e-filing as a plan administrator/pa representative, you must have the permission (within My PAA) to serve as plan administrator/pa representative for the plan and you must be "holding" the e-filing. You "hold" an e-filing if your name is displayed in the "Held By" column of the "In-Process Filings" section on your Home Page. In addition, the Filing Status section of the Filing Manager Page says "You are holding this filing". (If you are not holding it, ask the person on your team who is holding it to route the filing to you. If necessary, you can retrieve the filing from another person.)

2. Click the "Filing" link in the "In-Process Filings" section on your Home Page. My PAA will display the Filing Manager Page for that filing.

3. Click the "Sign" button in the Filing Task List section of the Filing Manager Page to the left of the line that reads "Sign as Plan Administrator/PA Representative".

4. There are a variety of screens that may be displayed after you click the "Sign" button. For example, if you are e-signing as the pa representative, you will certify that the plan

administrator has signed a paper copy of the form.

5. For filings for plan year 2008 and later, this page includes a section called “Your Personal Information.” The information shown here is taken from your account and will be included on the filing that’s sent to PBGC and on the filing receipt you receive when the filing is submitted. If it needs to be updated, select the “My Account” link at the top of the page **before** you sign the filing.

6. After all required data entries are made (if any), enter the "Secret Answer" part of your security key.

7. Click the "Approve Filing" button.

8. My PAA will display the Filing Manager Page with an updated Filing Task List that shows the date and time that the plan administrator/pa representative signed the filing and a checkmark to show the task has been completed.

Electronically Sign an E-filing as the Enrolled Actuary

Some premium filings require the signature of an enrolled actuary. In My PAA, this signature is collected electronically by following these steps:

1. To sign an e-filing as the enrolled actuary, you must have the permission (within My PAA) to serve as the enrolled actuary for the plan and you must be "holding" the e-filing. You "hold" an e-filing if your name is displayed in the “Held By” column of the “In-Process Filings” section on your Home Page. In addition, the Filing Status section of the Filing Manager Page says “You are holding this filing”. (If you are not holding it, ask the person on your team who is holding it to route the filing to you. If necessary, you can retrieve the filing from another person.)

2. Click the "Filing" link in the “In-Process Filings” section on your Home Page. My PAA will display the Filing Manager Page for that filing.

3. Click the "Sign" button in the Filing Task List section of the Filing Manager Page to the left of the line that reads "Sign as Actuary".

4. Review the information and enter the requested data (e.g., actuary enrollment number). The required fields are marked with an asterisk.

5. For filings for plan years 2008 and later, this page includes a section called “Your Personal Information.” The information is taken from your account and will be included on the filing that is sent to PBGC and on the filing receipt you receive when the filing is submitted. To edit the contact information, select the “My Account” link at the top of the page before you sign the filing.

6. Enter the secret answer to your secret question.

7. Click the "Approve Filing" button.

8. My PAA will display the Filing Manager Page with an updated Filing Task List that shows the date and time the enrolled actuary signed the filing and a checkmark to show the task has been completed.

Select Payment Alternative

For your filing to be considered timely, you must submit any associated premium payment by the due date. If your filing includes a payment due, you must identify the alternative you will use to make the payment. If your filing does not include an amount due, you do not have to make a payment alternative selection. Be sure to use the current payment addresses on the Premium Payment Instructions & Addresses page of our website for all filings, including prior year filings.

For filings created with the My PAA data entry screens or imported into My PAA, you have the following payment alternatives:

- Pay Online Using My PAA
- Pay via Pay.gov (outside of My PAA)
- Pay via Electronic Funds Transfer (outside of My PAA)
- Pay using a paper check
- Other (e.g., if unsure how the filing will be paid)

Note: Only users with the payment agent permission to authorize premium payments can select the payment alternative within My PAA.

Pay Online Using My PAA

This option allows you to submit your premium filing and associated payment to PBGC simultaneously using My PAA. When the filing is submitted, the payment information you entered for the ACH transaction will be submitted at the same time.

Note: Paying with an ACH transaction using My PAA is considered to be a "pull" transaction. Therefore, you will have to provide your account information (a valid US bank routing code, account number) so that PBGC's bank can "pull" the funds from the specified account. Some accounts (e.g., some trust accounts) will not allow another entity to "pull" funds from the account unless special provisions are made ahead of time. If you have this type of account, and wish to pay with an ACH transaction via My PAA, you will need to coordinate with your bank ahead of time to allow this – by providing your bank with PBGC's Company ID which is 1601000606. Otherwise, you will need to pay outside of My PAA, e.g., with an electronic funds transfer **or a** paper check.

Follow these steps to pay online using My PAA:

1. To select the payment alternative for an e-filing, you must have been granted permission to authorize e-payments for the plan's e-filings and you must be "holding" the e-filing for which you wish to authorize payment. You "hold" an e-filing if your name is displayed in the "Held By" column of the "In-Process Filings" section on your Home Page. In addition, the Filing Status section of the Filing Manager Page says "You are holding this filing". (If you are not holding it, ask the person on your team who is holding it to route the filing to you. If necessary, you can retrieve the filing from another person.)

2. Click the "Filing" link in the "In-Process Filings" section on your Home Page. My PAA will display the Filing Manager Page for that filing.

3. Click the "Authorize" button displayed in the Filing Task List section to the left of the line that reads "Authorize payment as Paying Agent".

4. Select the "Pay online using My PAA" button to open the "Authorize E-payment" screen.

5. Specify the amount you would like to pay in the "Payment Amount" field. This amount must be at least the Premium Amount Due but can be more if you are including any estimated interest and penalty amounts.

6. Complete the required information for the Automated Clearing House (ACH) payment including a valid US bank routing number, and select the "Next" button.

7. The second screen of the e-payment authorization process includes a summary of the payment information at the top. (You can click the "Edit" button to change any of this information.)

8. Enter your "secret answer" and select the "Approve Payment" button.

9. The Filing Manager Page indicates the date and time the payment was authorized by the payer. It is important to note that the payment information you entered/authorized is not sent to PBGC (or to your bank) at this point. Your filing with payment must be submitted to PBGC by the filing coordinator or plan administrator in order for your ACH payment information to be pulled from your bank.

10. Before the filing and payment are submitted to PBGC, you have the option to change your payment alternative by selecting the "Edit E-payment" button.

Pay Outside of My PAA

If you would like, you can submit your payment outside of My PAA: by entering your payment information via Pay.gov, by requesting your bank or financial institution to submit an ACH or Fedwire payment to PBGC, or by sending a paper check to PBGC. While you must initiate the payment and ensure that the payment is sent to PBGC, you inform PBGC of the type of payment that you will make.

To select the payment alternative for an e-filing, you must have been granted the “paying agent” permission for the plan’s e-filings and you must be "holding" the e-filing for which you wish to authorize payment. You "hold" an e-filing if your name is displayed in the “Held By” column of the “In-Process Filings” section on your Home Page. In addition, the Filing Status section of the Filing Manager Page says “You are holding this filing”. (If you are not holding it, ask the person on your team who is holding it to route the filing to you. If necessary, you can retrieve the filing from another person.)

Pay via Pay.gov:

1. Select the “Pay via Pay.gov (outside of My PAA)” button.
2. Click the “Next” button to confirm your selection and to see the Pay.gov instructions.
3. After you submit the filing to PBGC, go to www.pay.gov to enter your payment information (e.g., bank routing number and account number) so the payment can be “pulled from your account”.

   NOTE: If you wish to pay via Pay.gov and your account has an “ACH Debit Block”, provide the PBGC Company ID 1601000603 to your financial institution before you submit your payment.

Pay via Electronic Funds Transfer (ACH or Fedwire):

1. Click the "Filing" link in the “In-Process Filings” section on your Home Page. My PAA will display the Filing Manager Page for that filing.

2. Click the "Authorize" button displayed in the Filing Task List section to the left of the line that

reads "Authorize payment as Paying Agent".

3. Select the “Pay via Electronic Funds Transfer (EFT) outside of My PAA” button.

4. Click the “Next” button to confirm your selection.

5. Give the following information to your bank (or financial institution) so it can transfer the EFT payment to PBGC’s account:

   For ACH payments:
   Credit Gateway – ACH Receiver
   33 Livingston Avenue
   St. Paul, MN 55107
   Transaction Code: 22
   Standard Entry Class Code: CCD+
   ABA: 051036706
   Account: 816010006001
   Receiving Company Name: PBGC
   Addenda Reference: "EIN/PN: XX-XXXXXXX/XXX PYC: MM/DD/YYYY"

   For Fedwire payments:
   US Treasury – NYC
   33 Liberty Street
   New York, NY 10045
   ABA: 021030004
   Account: 816010006001
   Beneficiary: PBGC
   Reference: "EIN/PN: XX-XXXXXXX/XXX PYC: MM/DD/YYYY"

6. Click the “Approve” button.

7. The Filing Manager Page indicates the date and time the payment alternative was selected by the payer. Before the filing is submitted to PBGC, you have the option to change your payment alternative by selecting the "Edit E-payment" button.

   Note: Remember to always include the plan’s EIN/PN (Employer Identification Number and Plan Number) and PYC (Plan Year Commencing Date). The EFT must be received by PBGC by the filing due date (and clear) in order for your payment to be considered timely.

Pay using a Paper Check

1. Click the “Filing Link” in the “In-Process Filings” section on your Home Page. My PAA will display the Filing Manager Page for that filing.
2. Click the "Authorize" button displayed in the Filing Task List section to the left of the line that reads "Authorize payment as Paying Agent".
3. Select the “Pay using a Paper Check” button.
4. Click the “Next” button to confirm your selection.
5. Click the “Display Voucher” button. My PAA will display the paper check voucher in a new window.

6. Print out the voucher and write in any needed information. Make the check payable to Pension Benefit Guaranty Corporation; and include the plan's EIN/PN (Employer Identification Number and Plan Number) and PYC (Plan Year Commencing Date) in the memo section of the check to help ensure the timely and accurate posting of the payment.

   Note: While the voucher is helpful, it is not mandatory (since the EIN/PN and PYC must also be included on the check). If you forget to print the check voucher during this step, you can print a blank paper check voucher from your Home Page (in Helpful Links section) or from the Online Premium Filing (My PAA) Page on our Web site (in the All Users section).

7. Close the voucher window.

8. Click the "Approve" button on the paper check instructions screen.

9. Send the check and voucher only (do not include a printout of the e-filing):

   If you use United States Postal Service mail, send your check and voucher to:
   Pension Benefit Guaranty Corporation
   P.O. Box 105758
   Atlanta, GA 30348-5758

   If you use a delivery service (e.g., FedEx, UPS, DHL), send your check and voucher to:
   Pension Benefit Guaranty Corporation
   c/o Bank of America
   1075 Inner Loop Road (2nd Floor)
   Atlanta, GA 30337-6086
   ATTN: PBGC Box 105758
   Phone: 1-800-736-2444

10. The Filing Manager Page indicates the date and time the payment alternative was selected by the payer. Note that the paper check must be postmarked by the filing due date (and subsequently clear) for your payment to be considered timely.

11. Before the filing is submitted to PBGC, you have the option to change your payment alternative by selecting the "Edit E-payment" button.

Premium Payment Reminders and Payments That Fail
For a plan to meet PBGC's filing requirements, PBGC must receive both the filing information as well as the payment itself by the plan's filing due date.

If you submit your filing via My PAA but pay outside of My PAA (with a paper check, via www.pay.gov, ACH payment, or Fedwire), you must initiate the payment and ensure that your payment is sent timely to PBGC and that you have sufficient funds in your account. Otherwise, you will not receive credit for your payment and will be subject to penalty and interest if the subsequent payment is after the filing due date.

If you use My PAA to make a premium payment, your payment information will be submitted at the same time your filing is submitted. You should keep the following in mind:

- If you submit an ACH transaction through My PAA, you must ensure that you have sufficient funds in your account to cover the payment amount and that all your banking and account information is correct.
- If you provide erroneous payment information (e.g., incorrect checking account number) or do not have sufficient funds, your payment will not be successfully processed and you will not receive credit for having made a payment. PBGC will send you an invoice showing an amount due because the payment was unsuccessful (much like a bounced check). You will then have to make a payment outside of the My PAA application and will be subject to penalty and interest (if the subsequent payment is after the filing due date).

Note that some bank accounts (e.g., some trust accounts) will not allow another entity to "pull" funds from the account unless special provisions are made ahead of time. If you want to make an ACH payment via My PAA or pay via Pay.gov and have this type of "blocked" account (an "ACH Debit Block"), coordinate with your bank ahead of time to allow PBGC to "pull" your premium payment from your account. You will need to provide your bank with the appropriate PBGC Company ID which is 1601000606 if you want to pay via My PAA or 1601000603 if you want to pay via Pay.gov. If you cannot make these arrangements, you must pay with electronic funds transfer or a paper check.

If you do attempt to make an ACH payment using My PAA and your account is blocked, the payment will not be successfully processed. You will need to make another payment outside of the My PAA application and will be subject to penalty and interest (if the subsequent payment is after the filing due date).

Check the Status of a Filing In-Process
You can check on its progress from the Filing Manager Page. To do so:

1. From the Home Page or Plan Page, click the "Filing" link, which you wish to view. My PAA will display the Filing Manager Page for that filing.

2. On the Filing Manager Page, click the "View Filing" button to review the filing data and any warnings on the Data Summary Page. If you are "holding" the filing, you can also edit the data.

3. The “Filing Status” section of the Filing Manager Page will show whether the filing is ready for submission and who is holding the filing (since only one person at a time can hold the filing to take action on it).

    - If the filing is not ready for submission, view the Filing Task List section to determine what actions still need to be completed (e.g., the Plan Administrator may still need to e-sign the filing).

    - If the filing is ready for submission, view the Filing Task List to see who is holding the filing because the filing coordinator or plan administrator/pa representative must hold the filing in order to submit the filing to PBGC.

Note that it may be helpful to view the filing data even if the filing is ready for submission to see if there are any “soft warnings” to address. In addition, multiple users may have the filing open at the same time. Therefore, keep in mind that the information you are seeing is a snapshot in time. While you have the Filing Manager Page or the filing itself open, the team member holding the e-filing may edit or sign it. If this occurred and you were to close the "read-only" version and open it again, the e-filing’s data or status would be changed.

Retrieve a Filing in Process

To work on a filing (e.g., edit or sign the filing), you must be holding the filing. There may be times when a member of your e-filing team is holding a filing but is out of the office and the filing needs to be worked on (e.g., edited or signed) by another person. You have the ability to retrieve a filing from any other team member at any time by following these steps:

1. From the “In-Process Filings” section on your Home Page, click the “Filing” link for the applicable filing. My PAA will display the Filing Manager Page for the selected filing.

2. Another option is to click the appropriate “Plan Name” link shown in the “Plans in Your Account” section on your Home Page. In the “Premium Filings for the Plan” section, click the “Filing” link for the applicable filing. My PAA will display the Filing Manager Page for this filing.

3. In the “Filing Status” section on the Filing Manager Page (on right side), click the “Retrieve Filing” button.

4. The filing will now be assigned to you. You can now take any appropriate action at this point (e.g., route it to another team member, edit it, submit it if it’s ready).

Delete a Filing in Process (Filing Coordinators only)
To delete a filing, you must be the filing coordinator for that plan. If a draft filing will no longer be completed and submitted to PBGC, it will need to be deleted by the filing coordinator before a new filing can be created for the plan for the same plan year.

The filing coordinator can delete the filing by following these steps:

1. Make sure you are holding the filing. You "hold" an e-filing if your name is displayed in the "Held By" column of the "In-Process Filings" section on your Home Page. In addition, the Filing Status section of the Filing Manager Page says "You are holding this filing". (If you are not holding it, ask the person on your team who is holding it to route the filing to you. If you are the filing coordinator, you can retrieve the filing from another person.).

2. Click the "Filing" link in the "In-Process Filings" section on your Home Page. My PAA will display the Filing Manager Page for this filing.

3. Click the "Delete Filing" button displayed on the top right area of the Filing Task List on the Filing Manager Page. My PAA will ask you to confirm the deletion.

4. Click the "Delete Filing" button on the confirmation screen.

5. When you delete an e-filing, all the information that was entered and all record of the e-filing is removed from My PAA.

Filing Options 1 and 2 (Use My PAA's Data Entry Screens & Import Filing)/Step 3: Submit Filing with Payment (if any) (Filing Coordinator or Plan Administrator/PA Representative only) and Step 4: Receive Filing Confirmation
Once a filing contains all the required information, has the required signatures, and the premium payment alternative has been selected, the filing coordinator or plan administrator/pa representative *must* "hold" and electronically submit the filing (and payment if you elected to make the payment using My PAA). You will know the filing is ready to be submitted when the Filing Status section of the Filing Manager Page indicates that the filing is "ready for submission". In addition, if the filing coordinator or plan administrator/pa representative is holding the filing, the Submit button(s) will only be displayed in the Filing Status section of the Filing Manager Page for the person holding the filing.

To submit a filing and its associated payment (if any), the plan administrator/pa representative or filing coordinator should follow these steps:

1. You must be the plan's filing coordinator or plan administrator/pa representative and you must be "holding" the e-filing that you wish to submit. You "hold" an e-filing if your name is displayed in the "Held By" column of the "In-Process Filings" section on your Home Page. In addition, the Filing Status section of the Filing Manager Page says "You are holding this filing". (If you are not holding it, ask the person on your team who is holding it to route the filing to you. If necessary, you can retrieve the filing from another person.).

2. Click the "Filing" link in the "In-Process Filings" section on your Home Page. My PAA will display the Filing Manager Page for this filing. If the filing is ready to be submitted, the "Filing Status" section will show that the filing is "ready for submission" and there will be one or two Submit buttons:

- Submit Now: This allows you to submit your filing and associated payment (if paid via My PAA) immediately – Go to step 3.
- Submit Later: This allows you to enter an upcoming date on which you would like the filing and its associated payment (if paid via My PAA) to be submitted to PBGC. This option is only available for filings that have an amount owed (payment can be made within My PAA or outside of My PAA). This button will not show if the amount owed is zero. – Go to step 4.

3. If you select the "Submit Now" button My PAA will:
   - Send the filing and payment information (if paid via My PAA) to PBGC's processing systems immediately;
   - Display a filing receipt that confirms the date and time of receipt by PBGC and contains all of the submitted filing data;
   - Make this receipt available to all of the plan's practitioners (e-filing team) from the Plan Page; and
   - Send an e-mail confirming submission to the practitioners who signed the filing (plan administrator and enrolled actuary if applicable), the person who made the payment option selection, and the person who submitted the filing (the filing coordinator or plan administrator/pa representative).

4. If you select the "Submit Later" button, My PAA will display a screen that allows you to enter the date on which you want My PAA to automatically submit your filing and payment (if paid via My PAA). Enter the applicable date and click the "OK" button. My PAA will:
   - Hold your filing and payment and submit them to PBGC's processing systems on that date. (Note: You can recall a scheduled filing before it's submitted on your scheduled date if you realize you need to make changes to it.)
   - Display an interim receipt that will include the scheduled submission date and all the information entered for the filing.
   - Send an e-mail to the practitioners who signed the filing (plan administrator/pa representative and enrolled actuary if applicable) and the person who selected the payment option to let them know it has been scheduled for submission.
   - Make the interim receipt available to all the plan's practitioners (e-filing team) from the Plan Page.

   Once the scheduled date is reached, My PAA will:
   - Send the filing and payment (if it was made via the My PAA screens) to PBGC's processing systems.
   - Remove the interim receipt from the Plan Page and make the final filing receipt available to all the plan's practitioners from the Plan Page. The receipt will show the date and time of receipt by PBGC and the submitted filing data.
   - Send an e-mail confirming submission to the practitioners who signed the filing (plan administrator/pa representative and enrolled actuary if applicable), the person who made the payment option selection, and the person who submitted the filing (the filing coordinator or plan administrator/pa representative).

Premium Filing Receipt

My PAA generates a detailed filing receipt when a filing is submitted. For filings created with the My PAA data entry and editing screens or imported into My PAA, the filing receipt is stored in My PAA and can be accessed by any team member from the Plan Page by following these steps:

1. Click the "Plan Name" link for the applicable plan (in the Plans in Your Account section on your Home Page).

2. There is a list of the premium filings submitted electronically (those created using the My PAA data entry and editing screens or imported into My PAA) in the "Premium Filings for the Plan" section (with "Submitted" selected).

3. Click once on the filing name. My PAA will display the filing receipt.

4. You can print this receipt for your records by selecting the Print icon or File > Print from your browser menu.

Important points about the receipt and record keeping:

- The receipt is confirmation that PBGC has received the e-filing and e-payment data (if the payment was made via the My PAA screens) and will begin to process them. However, any e-filing, like any paper filing, is subject to further verification by PBGC and does not guarantee satisfaction of a plan's filing requirement or premium liability. If your payment is submitted late or your payment does not clear the bank, PBGC will subsequently send the plan administrator a statement of account (premium invoice) that shows the amount owed PBGC including premium, interest, and penalty. See Premium Payment Reminders and Payments That Fail for more information about missing payments.
- The "Date/Time Filing Received" displayed at the top of the receipt refers to the exact date and time that the e-filing "hit" PBGC's server, which is located in Washington, DC. To ensure that your filing is considered timely, be sure to submit your filing so PBGC receives it on or before the filing due date.
- The My PAA confirmation/reference number on the receipt (or Uploaded ID) uniquely identifies this filing and you can use it (along with EIN/PN and plan year beginning date) to facilitate any customer service support you seek in regards to the e-filing.
- The receipt contains a record of data that was entered into the e-filing.
- In order for the pa representative to e-sign within My PAA, the plan administrator must first sign a paper copy of the premium information. After a paper copy of premium information is certified, it may be converted to electronic form for preservation in the plan records subject to the requirements of subpart E of the PBGC's regulation on Filing, Issuance, Computation of Time, and Record Retention (29 CFR Part 4000).

Recall a Scheduled Filing and Payment (Filing Coordinator or Plan Administrator only)

If a filing has been scheduled to be submitted at a later date and you realize that there needs to be changes made to the filing after it has been scheduled but before it is submitted to PBGC, the filing coordinator or plan administrator can recall that filing so these changes can be made.

It is important to note that when a filing is recalled, the scheduled submission date is removed from the filing. You will need to re-enter the date you would like to submit the filing or you can submit it immediately.

1. To recall a filing, you must be the filing coordinator or plan administrator for a plan.

2. From the Home Page, click the "Plan Name" link for the applicable plan in the Plans in Your Account section. My PAA will display the Plan Page.

3. If you wish to view the filing without making any changes, click the appropriate "Filing" link in the Premium Filings section. This will open the filing in a read-only format and the scheduled date entered will be saved.

4. If you wish to recall the filing so you or other team members can make changes to it, click the "Recall and Edit" button on the Plan Page. My PAA will display a screen telling you that the scheduled date will be removed and ask you to confirm that you want to recall the filing. If you confirm the recall, My PAA will display the Filing Manager Page from which you can initiate a number of actions.

Note: If you edit a filing after you recall it so that the amount due changes or you edit the variable-rate premium information, My PAA will remove the signatures from the filing and the appropriate people will have to re-sign it. Additionally, the plan administrator/pa representative or filing coordinator will have to re-schedule the submission date or submit it immediately.

View Submitted Filing on Plan's Online Account History (if permitted)

One of the benefits of filing electronically is that team members who have the "view account history" permission for a plan will be able to view the plan's Account History in My PAA. The Account History reflects PBGC's record of your filings for each plan year, including the participant count, amount due, and amount paid. In addition, if applicable, it will also show any interest and/or penalty charges, any amount still owed to PBGC and any overpayment (that may be used as a future credit or may be refunded upon request). The on-line Account History is intended only for your review and verification since the data is based on the "as of date" shown on the Account History.

General requirements to view the Account History:

1. You must have the "account history" permission. If you are a filing coordinator, you can add this permission yourself. If you are not a filing coordinator for the plan, you need to contact the plan's filing coordinator and ask him/her to give you that permission. (See Set/Remove E-Filing Optional Permissions).

2. The plan for which you wish to view the Account History must be in your account. (See Add Plans for details.)

To view the Account History for a specific plan:

1. In the "Plans in Your Account" section of your Home Page or on the "All Plans" Page, click the "Plan Name" link for the applicable plan. My PAA will display the Plan Page for that plan.

2. If you have the "account history" permission, you will see the "Account History" link in the "Account History" section. Click the "Account History" link in that section. My PAA will display an instructional screen.

   Note: In the "Account History" section, there is also a link called "About Account Histories."

This displays a detailed guide that explains each field on your Account History.

3. Click the "Continue" button. My PAA will display the account history for this plan.

Please consider the following when reviewing the Account History:

- If the submitted e-filing is not immediately reflected on the Account History, it is likely due to the time delay between submission and posting. If the filing continues to not show on the Account History, there may be a data discrepancy that prevents the posting. Please contact the Practitioner Contact Center for more information about the filing.
- If you pay outside of My PAA (e.g., paper check), your payment and e-filing will be received separately, which will likely result in each being posted to the plan's Account History at different times.
- If an amount owed is present, please contact the Practitioner Contact Center to get an updated amount owed (given the time delays involved).
- If there is any questionable data, for example, any unexpected payments or overpayments reflected on the Account History, please contact the Practitioner Contact Center for further analysis.

To reach the Practitioner Contact Center, please call toll-free 1-800-736-2444 (and select the "premium" option). Note: TTY/TDD users may call the Federal relay service toll-free at 1-800-877-8339 and ask to be connected. You may also e-mail your questions to premiums@pbgc.gov. Note that PBGC's business hours are 8:00 a.m. to 5:00 p.m. Eastern Time Monday through Friday, except federal holidays.

Filing Options 2 and 3: Use My PAA to Submit Software-Prepared Filings

If you use a software program (that you purchased or developed) to create premium filings for one or more plans, you can use My PAA to submit these filings electronically – if your software has been appropriately updated to allow you to save the filing in the required format. Once you have saved your filing in an electronic format, you have two options for electronically submitting software-prepared filings**:**

- Import Software-Prepared Filings
- Upload Software-Prepared Filings

To compare the filing methods, go to the My PAA web page and click on the link called "Comparison Chart of Premium E-Filing Options" in the All Users Section.

For both the import and upload filing methods:

1. The person who imports or uploads the filing(s) must have a My PAA account. For details, see Getting Started/Step 1 – Each Person Registers for a My PAA Account.

2. The software program you are using to create the filing must be able to save your premium information in a PBGC-compatible electronic XML file format. Some private-sector software may have this capability for only one filing at a time. Other software may be able to place multiple filings in a single electronic file. If you are unsure of your software's capabilities, contact your software provider or developer.

A list of the software vendors/developers who have provided PBGC with valid sample electronic filings is maintained on the PBGC website at: https://www.pbgc.gov/prac/prem/online-premium-filing-with-my-paa/private-sector-software-compatible-with-pbgcs-premium-e-filing-requirements.html

PBGC has also provided technical guidance and instructions (intended for the software vendors/developers) on the required XML file format that can be found at https://www.pbgc.gov/prac/prem/filings/e-filing-resources.html

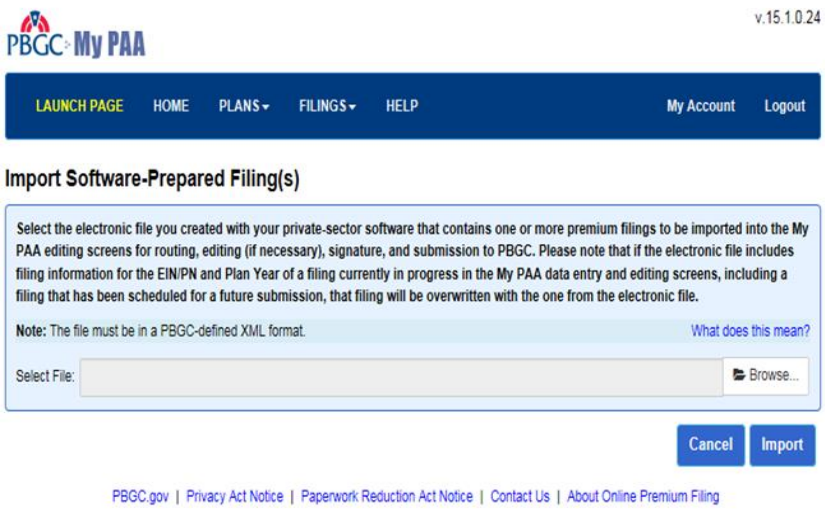
Filing Option 2: Import Software-Prepared Filings – Overall Summary of Import Option
The following is a summary of the primary requirements and important facts you need to know before you can use My PAA to import software-prepared filings:

- You must use software that is compatible with PBGC's XML file requirements (described in the previous paragraphs).
- Each person who contributes to the filing (e.g., imports or e-signs the filing) must have a My PAA account and must have the plan in his/her account (in the "Plans in Your Account" section of your Home Page). See For details, see Getting Started/Step 1 – Each Person Registers for a My PAA Account or Add plans for details.
- You can import an XML file that contains one premium filing or you can import an XML file that contains multiple premium filings (if your software includes this capability) as long as the size of that XML file does not exceed 1MB (approximately 100 filings).
- Filings may be imported beginning with plan year 2006.
- If you import a filing for a plan that already has a filing in progress for the same plan year, My PAA will overwrite the filing in progress with the one that you imported.
- There are certain fields (e.g., variable-rate premium, total premium due) that will be auto-calculated by My PAA to ensure accurate calculations, which *may* result in different numbers than the ones you imported. In addition, any errors or inconsistencies will be highlighted for review and correction if necessary. Be sure to review the Data Summary page after import to verify the data and view any messages at the top of the page. In order to edit the data, you must be holding the filing.
- Note that the import filing method and the My PAA screens filing method are similar except for how the filing is initially created. For import, compatible software is used to create the filing; while for the My PAA screens method, My PAA's data entry screens are used to create the filing.

How to Import Filing(s) Created with Private-Sector Software
To import a file that contains one or more premium filings that you created using your software, click the "Import Filing(s)" button in the "Import Software-Prepared Filing(s)" section of your Home Page. My PAA will walk you through the following four-step process:

- Step 1 - Import Filing(s)
- Step 2 – Edit Draft, Sign Filing, and Select Payment Alternative
- Step 3 – Submit Filing with Payment (if any)
- Step 4 – Receive Filing Confirmation

Filing Option 2/Step 1 – Import Filing(s)
Click the "Browse" button and select the XML file that contains the filing(s) (created in compatible private-sector software) that you wish to import into the My PAA screens. When the appropriate file is reflected in the field, click the "Import" button to import the file.



Once the filing is imported into My PAA, the filing is displayed in the "In-Process Filings" section of the Home Page of each filing team member for the plan. Each person can click on the "Filing" link, which will take him/her to the Filing Manager Page to view and complete the filing. The person must be "holding" the filing to take action on the filing (e.g., edit the data).

The tasks and related actions that can be performed for an imported filing are the same as those for e-filings created via My PAA's data entry/editing screens and are described in the following sections:

Filing Option 2 (Import Filing)/Step 2: Edit Draft, Sign Filing & Select Payment Alternative

- Use Filing Manager Page
- Change, Add or Delete Information in an E-filing
- Route an E-Filing to Another E-Filing Team Member
- Electronically Sign as the Plan Administrator or Plan Administrator's Representative
- Electronically Sign as the Enrolled Actuary
- Select Payment Alternative
    - Pay Online Using My PAA
    - Pay via Pay.gov (outside of My PAA)
    - Pay via Electronic Funds Transfer (outside of My PAA)
    - Pay using a paper check
    - Other (e.g., if unsure how the filing will be paid)

- Premium Payment Reminders and Payments That Fail
- Check the Status of a Filing In-Process
- Retrieve a Filing In-Process
- Delete a Filing In-Process (Filing Coordinators only)

Filing Option 2 (Import Filing)/Step 3 – Submit Filing with Payment (if any) (Filing Coordinator or Plan Administrator) and Step 4 - Receive Filing Confirmation

- Submit Filing with Payment (if any) (Filing Coordinator or Plan Administrator/PA Representative only)
- View Premium Filing Receipt
- Recall a Scheduled Filing and Payment (Filing Coordinator or Plan Administrator/PA Representative only)
- View Imported Filing on Plan's Online Account History (if permitted)

Filing Option 3: Upload Software-Prepared Filings – Overall Summary of Upload Option

The following is a summary of the primary requirements and important facts you need to know before you can use My PAA to upload premium filings created with private-sector software:

- You must use software that is compatible with PBGC's XML file requirements: https://www.pbgc.gov/prac/prem/online-premium-filing-with-my-paa/private-sector-software-compatible-with-pbgcs-premium-e-filing-requirements.html
- Only the person who will upload filings must have a My PAA account. See Getting Started/Step 1 – Each Person Registers for a My PAA Account for details.
- The uploader must have at least one plan in his/her account (not necessarily a plan for which a filing will be uploaded).
- You can upload a file that contains filings for one or more plans (including plans that are not in your account).
- Filings for plan year 2005 and later may be uploaded.
- You can upload an XML file that contains one premium filing or you can upload an XML file that contains multiple premium filings (if your software includes this capability) as long as the size of that XML file does not exceed 1MB (approximately 100 filings).
- Each premium filing that you upload must be complete (including the plan administrator and any actuary information) and finalized. You will not be able to make changes to the information after it is uploaded in My PAA.
- If you include just one premium filing in your XML file, you will be asked to select the payment alternative that will be used to make the associated premium payment (if any).
- Uploaded filings must be certified. How the certification is done depends on who performs the upload. If the plan administrator or the enrolled actuary is uploading the filing(s), that person can certify on the My PAA screen when the XML file containing one or more filings is uploaded. If the plan administrator or enrolled actuary is not uploading the file with filing(s), he/she must certify the filing information on paper before it is uploaded and file it with the plan records for future reference (the information is not submitted to PBGC). See Certification Requirements for Uploaded Filings for details about the certification process.
- The uploader can view the detailed filing receipt for each filing by selecting the Conf. ID/Receipt link (if displayed) in the Upload section of his/her Home Page; and then selecting the Filing link which is displayed for 2008 and later filings.

How to Upload Premium Filings Created with Private-Sector Software

A complete premium filing has two parts:

- The information you will upload in your XML file.
- The payment of any premium due.

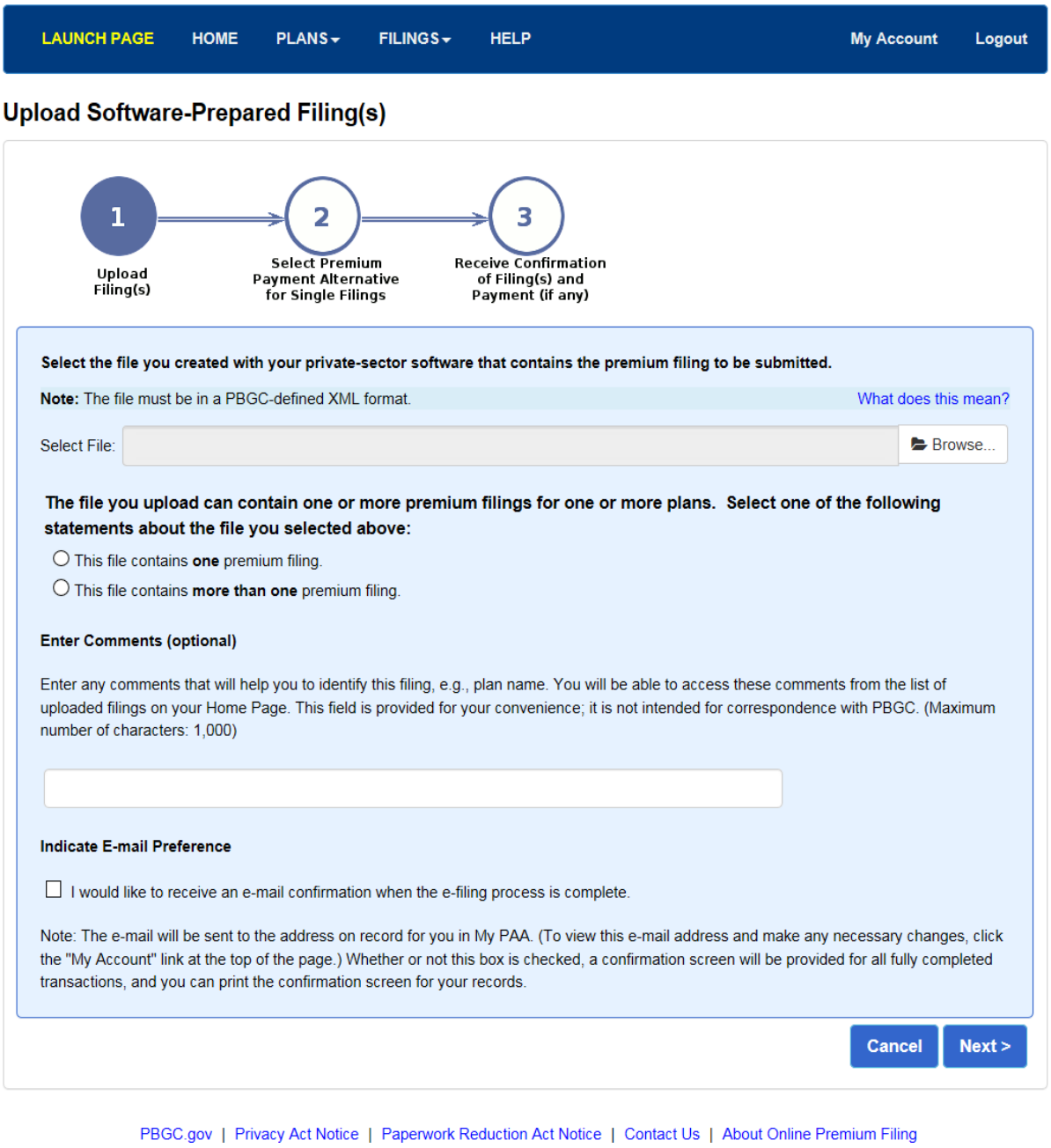
For your filing to be considered timely, you must submit both of these items by the filing due date.

My PAA will walk you through the following three-step process, resulting in the uploaded file being displayed in the "Upload Software-Prepared Filing(s)" section on your Home Page:

- Step 1 - Upload Filing(s)
- Step 2 - Select Premium Payment Alternative for a Single Filing
- Step 3 - Receive Confirmation of Filing(s) and Payment (if any)

Filing Option 3/Step 1 - Upload Filing(s)

Complete the information requested on the following "upload" screen:



Here are the items to complete in Step 1 of the upload process:

1. Click the "Browse" button to select the XML file that you saved using your software program.

2. Indicate if the file contains one or more than one premium filing.

3. Enter comments (which are optional) that will help you identify the filing(s) you uploaded, e.g., each filing's Employer Identification Number/Plan Number, plan year beginning date, and type of filing.

4. Indicate a confirmation e-mail preference.

5. Click the "Next" button. My PAA will display a page that contains a summary of the information you just entered and the certification of filing section.

6. Certify that you are authorized to upload the filing and/or that you certify the applicable parts of the uploaded filing(s) by clicking once in the checkbox. For details, see Certification Requirements for Uploaded Filings.

7. Enter your secret answer.

8. Click the "Certify Filing(s) and Submit" button to submit the filing to PBGC.

   Note: After this step, you will not be able to make any changes to the filing information that was contained in the file that you uploaded. If you realize your uploaded filing(s) contains a mistake after this step, you will have to submit an amended filing.

9. The filing(s) contained in the XML file you uploaded only include the premium information for your filing(s). Payment of any premium(s) due is also required. If the file you upload contains one premium filing, My PAA will require you to select a payment alternative in Step 2 (payment may be made via My PAA or outside of My PAA). If the file you upload contains more than one premium filing, My PAA goes directly to Step 3 where you will receive a confirmation of your uploaded file. Each plan's e-filing must be paid separately outside of My PAA (e.g., Pay.gov or paper check) by the filing due date.

Certification Requirements for Uploaded Filings

General Information about Certifying Uploaded Premium Filings

When you upload an electronic file containing information for one or more premium filings, you will be asked to certify that you are authorized to submit to the PBGC each premium filing in the file you are uploading. There is a single certification screen, but the certification you make applies to each filing in your uploaded file.

In addition, if you are the enrolled actuary, you certify the variable-rate premium information in each filing; and if you are the plan administrator, you certify all the information in each filing and you also certify that, if you received variable-rate premium information certified by an enrolled actuary for a filing, the variable-rate premium information in the filing is the same as the variable-rate premium information certified by the enrolled actuary. If the plan administrator or enrolled actuary does not perform the upload, the plan administrator and/or enrolled actuary must certify separately in accordance with PBGC certification requirements.

Detailed Information about Certifying Uploaded Premium Filings

Premium filings that are uploaded — like filings submitted by any other electronic method or on paper — must be certified. The plan administrator must certify all the information in the filing, and for many single-employer plan filings, an enrolled actuary must certify the variable-rate premium information in the filing. How the certification is done depends on who performs the upload. A plan administrator or enrolled actuary who uploads a filing will provide a certification directly on the My PAA upload screen; if a second certification is required, it will be done before the filing is uploaded on a paper copy of the filing information (*i.e.*, by the plan administrator if the enrolled actuary uploads, or by the enrolled actuary if the plan administrator uploads). If the person who uploads is not the plan administrator or enrolled actuary, the uploader will typically print out copies of the uploaded information and send one copy to the plan administrator and one copy to the enrolled actuary (if an enrolled actuary must certify) for certification before the filing is uploaded. Certified copies of filing information are subject to audit and must be retained with plan records for six years from the due date of the filing. The upload certification procedures are designed to ensure that the plan administrator and enrolled actuary know what information they are certifying and that the information uploaded has been certified, while making the process as simple as possible.

Quick Examples

There are many possible workflow patterns for preparing, uploading, and certifying premium filings. Here are a few examples to illustrate the process:

- An enrolled actuary uses private-sector software to prepare a filing, prints out the filing data (from the private-sector software), and sends the print-out to the plan administrator. The plan administrator then certifies the filing by signing and dating the print-out and files the certified document with plan records. The actuary then uploads the filing and certifies the information on the My PAA screen.

- The enrolled actuary's administrative assistant prepares a filing with private-sector software. The administrative assistant prints out the filing data (from the private-sector software), hands one copy of the print-out to the enrolled actuary, and sends another copy of the print-out to the plan administrator. The plan administrator and enrolled actuary then certify the filing by signing and dating the print-outs and file the certified documents with plan records. The administrative assistant then uploads the filing.

- An enrolled actuary prepares the variable-rate premium information for a plan's filing, certifies a paper copy of the information, and sends it to the plan administrator. The plan administrator's administrative assistant prepares the filing with private-sector software using the certified information from the enrolled actuary. The plan administrator uploads the filing and certifies it on the My PAA screen. (Alternatively, the plan administrator's administrative assistant could print out the filing data (from the private-sector software), and hand it to the plan administrator, who would certify the filing by signing and dating the print-out and file the certified document with plan records; the administrative assistant could then do the upload.

Upload Certification Details

Who must certify?

A premium filing that is uploaded for a plan must be certified as provided for in these instructions.

- **The uploader**
  The person who uploads a filing must certify that he or she is authorized to submit the filing to the PBGC. The plan administrator has the duty to file and is thus automatically authorized. Anyone else (such as the enrolled actuary) who performs the upload must be authorized by the plan administrator. The authorization need not be in writing.

- **The plan administrator**
  The plan administrator must certify all of the uploaded information. In addition, if the plan administrator receives certified information from an enrolled actuary that is put into the filing, the plan administrator must certify that the variable-rate premium information filed is the same as the actuary certified.

- **The enrolled actuary**
  An enrolled actuary must certify the variable-rate premium information that is uploaded for a single-employer plan based on each plan year's certification requirements. For example, for plan years starting 2008, the actuary must certify a filing unless the plan is a multiemployer plan, is exempt from the variable-rate premium, or is eligible for and paying the maximum variable-rate premium and not reporting the uncapped variable-rate premium.

Where do I make my certification?
Depending on the situation, you may make your certification on a screen that My PAA will present to you when you upload your filing, or on a paper copy of the information you are certifying.

- **On the My PAA screen**
  The person who uploads a filing certifies his or her authority to submit the filing to the PBGC directly on the screen during the upload process. The same screen has additional certification language that applies to a plan administrator or enrolled actuary who performs an upload.

- **On a paper copy of the filing**
  A plan administrator or enrolled actuary may make a certification on a paper copy of the filing information before it is uploaded. A copy of the filing information must be created by the private-sector software that is used to upload the filing; the copy must identify each item of information that was uploaded so that the meaning of each item is clear to a person reading the copy. For example, each item of information could be identified with the same language used on PBGC-published forms. The copy of the filing must be printed and the PBGC filing receipt number for the upload must be written on the paper printout.

- **On a paper statement of the variable-rate premium information**
  An enrolled actuary may certify a paper statement of the variable-rate premium information for a filing before the filing is uploaded. The statement must identify each item of information so that the meaning of each item is clear to a person reading the copy and must identify the filing by stating the EIN and PN of the plan and the starting date of the premium payment year. If this method is used by the enrolled actuary, the plan

administrator must certify that the variable-rate premium information that is uploaded is the same as the information certified by the enrolled actuary.

What certification language must be used?

- **Language on the My PAA screen**
  If you certify on the My PAA screen, the certification language is provided on the screen.

- **Language for certifying a paper copy of an uploaded filing**
  A certification on a paper copy of an uploaded filing must be manually signed and dated in ink. It must read as follows:
  - **For a plan administrator**
    I certify under penalty of perjury, to the best of my knowledge and belief, that all the information in this filing is true, correct and complete and has been determined in accordance with the PBGC's premium regulations and instructions, and that if I received variable-rate premium information certified by an enrolled actuary for this filing, the variable-rate premium information in the filing is the same as the variable-rate premium information certified by the enrolled actuary.

  - **For an enrolled actuary**
    I certify under penalty of perjury, to the best of my knowledge and belief, that the variable-rate premium information in the filing is true, correct and complete and has been determined in accordance with the PBGC's premium regulations and instructions.

- **Language for certifying a paper statement of the variable-rate premium information.**
  A certification on an enrolled actuary's statement of variable-rate premium information for a filing that is provided before the filing is uploaded must be manually signed and dated in ink.
  - You may use the certification language that the PBGC publishes for the "form" and certification you are making. For example, an enrolled actuary certifying variable- rate premium information for a plan could use the enrolled actuary certification language published by the PBGC for the Comprehensive Premium Filing for the premium payment year.

  - Otherwise, the certification language must be as follows: I certify under penalty of perjury, to the best of my knowledge and belief, that this variable-rate premium information is true, correct and complete and has been determined in accordance with the PBGC's premium regulations and instructions.

How do I get a copy of a filing that is to be uploaded to certify?

You may not need to certify a paper copy of an uploaded premium filing. For example, if an enrolled actuary certifies the variable-rate premium information in advance, and the plan administrator uploads the filing (and certifies it on the upload screen), a copy of the uploaded filing will not be needed for certification purposes. (You should make a copy for your records, but it would not have to be certified.)

In order for you to be able to certify a premium filing before it is uploaded, the private-sector software used to upload the filing must create a copy of the filing information that identifies each item of information that was uploaded so that the meaning of each item is clear to a person reading

the copy. (For example, each item of information could be identified with the same language used on PBGC-published “forms”.)

- A plan administrator or enrolled actuary who must certify an uploaded filing has a duty to obtain from the person who performs the upload (1) a copy of the filing for certification and (2) the PBGC filing receipt number for the upload.

- The uploader may print the copy of the filing that is created by the private-sector software used for the upload and provide the plan administrator and/or enrolled actuary with a printed copy or copies.

- The copy of the filing that is created by the private-sector software used for the upload may be transmitted from the uploader to the plan administrator or enrolled actuary in an electronic file, as long as the file is in a format that resists corruption of textual material (that is, (1) in Adobe Portable Document Format ("PDF"), (2) in a graphical image format such as "GIF" or "JPG," or (3) in some other format that is at least as resistant to corruption of textual material as any of these formats).

- If the copy of the uploaded filing is not transmitted in paper form, it must be printed on paper before it is certified.

- The PBGC filing receipt number for the uploaded filing must be written on the copy of the filing after it is uploaded.

What are the time requirements for certifying and retaining premium filing information?

- A plan administrator or enrolled actuary who certifies a copy of an uploaded filing must complete the certification before the upload. The certification must be dated.

- Each certified copy of an uploaded premium filing must be kept in the plan records for six years from the due date of the filing. If an enrolled actuary certifies variable-rate premium information for a filing that certified document must also be kept in the plan records for six years from the due date of the filing. If plan records are kept both in the plan administrator’s office and in the enrolled actuary’s office, a document certified by the plan administrator may be kept in the plan administrator’s office and a document certified by the enrolled actuary may be kept in the enrolled actuary’s office. However, if an enrolled actuary’s pre-upload certified statement of variable-rate premium information is kept in plan records in the actuary’s office, a copy of the certified statement must be sent to the plan administrator for use in preparing and certifying the upload, and the plan administrator must keep the copy with plan records.

- After a paper copy of premium information is certified, it may be converted to electronic form for preservation in the plan records subject to the requirements of subpart E of the PBGC’s regulation on Filing, Issuance, Computation of Time, and Record Retention (29 CFR Part 4000).

Filing Option 3 (Upload Filing)/Step 2 – Select Premium Payment Alternative for a Single Filing

For your filing(s) to be considered timely any associated premium payment(s) must be submitted by the due date (and the payment must clear the banking institution). See Premium Payment Reminders and Payments That Fail for more details.

If you indicate that you are uploading *more* than one premium filing, each uploaded filing must be *paid separately outside* of My PAA (via www.pay.gov, ACH, Fedwire, Paper Check) – which means you will not be presented with payment alternatives in My PAA (Step 2). Instead, you will go directly to the upload confirmation in Step 3 (see below).

If the file you uploaded contains just one premium filing, this payment step requires you to select one of the following payment alternatives:

- Pay Online Using My PAA
- Pay via Pay.gov (outside of My PAA)
- Pay via Electronic Funds Transfer (outside of My PAA)
- Pay using a paper check
- No payment due: Select this alternative if the file you uploaded contains a premium filing where there is no amount due.
- Other: Select this alternative if you don't know or are unsure how the premium will be paid.

After you select the payment alternative, you will be asked to confirm that the payment information is correct. For each alternative, My PAA provides you with specific directions to follow.

Once you have finished with Step 2, you have uploaded a file containing your premium filing and have indicated a payment alternative. In Step 3, My PAA will provide you with a confirmation of the uploaded file.

Filing Option 3 (Upload Filing)/Step 3 – Receive Confirmation of Filing(s) and Payment (if any) (Uploader Only)

In this step, My PAA will display a screen that includes the following information:

- Confirmation ID for this transaction (for the uploaded XML file)
- Date and time your uploaded file was received by PBGC
- Summary of any information you entered to identify your uploaded file (file name, comments)
- Premium payment alternative you selected
- Instructions on how to properly submit an electronic funds transfer outside of My PAA or a paper check, if you selected one of these payment alternatives

View Uploaded File on Home Page (Uploader Only)

When you complete the upload process, a summary of the uploaded XML file is only shown in the "Uploaded Software-Prepared Filing(s)" section on the Home Page of the person who uploaded the file. In addition, the uploader can view the detailed filing receipt for each filing that is within the XML file by selecting the Conf. ID/Receipt link in the Upload section; and then selecting each filing link that is displayed for 2008 and later filings. Also, note that the My PAA confirmation number (i.e., Uploaded ID) is displayed for each uploaded filing within the XML file.

The following information is shown in the Upload section of the uploader's Home Page:

- Name of the uploaded file
- Confirmation ID/Receipt for the XML file (which may link to the detailed filing receipts)
- Date and time your uploaded file was received by PBGC
- In the Filing Status column, the word "Completed"
- In the Payment Status column:
  - The name of the payment alternative selected (i.e., Online, Pay.gov, Paper Check, EFT, No Payment Due, or Other) if you uploaded a file that contained only one filing
  - "Not Applicable" if you indicated that you uploaded a file containing more than one filing
- Comments you entered about this filing (if any)

If you indicated that you were uploading an electronic file containing just one filing but did not select a payment alternative, the Payment Status column will show either "Incomplete" or "Not Identified":

- "Incomplete" (which is displayed as a hyperlink) means that you did not select a payment alternative by completing Step 2 of this process. You have three business days (from when you uploaded the file) to select the payment alternative by clicking the "Incomplete" link. (Please note that this does not extend the filing due date.) During this time period, My PAA will display a screen that allows you to indicate your payment alternative. If you do not select a payment alternative within three business days, My PAA will process the premium filing information you uploaded and change the "Incomplete" status to "Not Identified."

- "Not Identified" means that you did not identify a payment alternative for an "Incomplete" transaction within three business days. To complete the filing process, you must submit the necessary payment outside of My PAA.

View Uploaded Filing on Plan's Online Account History (if permitted)

To view a plan's online account history, the plan must be in the person's account and the person must be given the permission to view the account history by the plan's filing coordinator. For details, click View Submitted Filing on Plan's Account History (if permitted).

My PAA Administrative Tasks

Manage Your Account (Information that Can/Cannot be Changed)

When you registered for your account, you provided the following information that you may need or want to change: your name, e-mail address, phone number, and password. You also set-up other information that cannot later be changed: your user ID and your secret question and answer.

Change Name, E-mail Address or Phone Number

Follow these steps if you need to update your name, phone number, and/or e-mail address:

1. Click the "My Account" link at the top of any page in My PAA. (Be sure to save any data you entered before clicking the link.) My PAA will display your account information as you have entered it.

2. Click the "Edit" button in the "Your Personal Information" section. My PAA will display the "Enter Your Personal Information" screen.

3. Click in the field for which you need to make a change and enter the appropriate information. If you are changing your e-mail address, be sure to type the same new e- mail address in the "E-mail" and "Confirm E-mail" fields.

4. Click the "Save" button. My PAA will display a confirmation screen and will send you an e-mail to confirm this transaction.

5. Click the "Return to My Account" button. My PAA will display your account information with the changes you just made.

Change Your Password

When you registered for an account, you set up your own password. My PAA allows you to change your password at any time by following these steps:

1. Click the "My Account" link at the top of any page in My PAA. (Make sure you have saved anything you are working on before clicking this link.) My PAA will display your account information as you have entered it.

2. Click the "Change Your Password" button in the "Login Information" section. My PAA will display the "Change Your Password" screen.

3. Enter your old password, the new password you would like, and then re-type the same new password in the "Confirm New Password" field.

4. As an extra security precaution, you must enter the secret answer to the secret question you established when you registered for your account.

5. Click the "Save" button. My PAA will display a confirmation screen and will send you an e-mail to confirm this transaction.

6. Click the "Return to My Account" button. My PAA will display your account information.

Deactivate Your Account

When you no longer need to use My PAA, you should close out your account by following these steps:

1. Click the "My Account" link at the top of any page in My PAA.

2. Click the "Deactivate My Account" button in the Account Deactivation section.

3. Click "Continue" to confirm the account deactivation.

4. You will see a message that the plans in your account have been removed and your account has been deactivated. In addition, you will receive an email confirming that the deactivation was completed.

Retrieve/Reset Forgotten User ID and/or Password

If you forget the user ID and/or password that you previously set up, follow these steps:

1. Go to PBGC's My PAA Log In Screen

2. Click on one of the applicable links:
   - "Forgot Your User ID?" which is located to the right of the User ID box.
   - "Forgot Your Password?" which is located to the right of the Password box.

3. Enter your e-mail address, select the correct secret question, and enter the correct secret answer.

4. Select the "Submit" button.

5. You will receive the applicable e-mail from My PAA:
   - An e-mail with the user ID that you originally set up.
   - An e-mail with a temporary password which you will use to set up your permanent password.

Unlock Your Account

If you unsuccessfully attempt to log into My PAA three times in a row, your account will be automatically locked and you will not be able to access it. To unlock your account, click the "Forgot Your Password" link on the My PAA Login Page and follow the instructions. If unsure of your User ID, click the "Forgot Your User ID" link. If you need assistance, contact PBGC's practitioner service representatives at 1-800-736-2444 (and select the "premium" option).

Manage Your Plans and e-Filing Team (Filing Coordinators Only)

On an ongoing basis, the filing coordinator for a plan is responsible for updating My PAA as changes occur, e.g., people are hired and change jobs. The following are the typical tasks/actions performed to accommodate changes:

- Invite other practitioners to the plan. (Note: be sure to have backups for all roles.)
- Remove the plan from other practitioners' accounts.
- Edit other practitioners' permissions for each plan. (Note: you cannot edit the permissions of other filing coordinators.)

Add Plans and Invite Practitioners (Filing Coordinators Only)

Filing coordinators can add plans both to his/her own account and to the account of other users who need to contribute to a plan's e-filing or view a plan's account history via My PAA.

A plan can be added to an account for a variety of reasons. For example, the plan administrator may want to create filings using My PAA's data entry screens or a plan representative may want to view the account history for a plan whose filings are uploaded to PBGC. When the filing coordinator adds the plan, he/she determines the tasks each involved person will be allowed to perform in My PAA for that plan.

- Click Getting Started/Step 3.1 – Filing Coordinator Adds a Plan for details about how the filing coordinator adds a plan to his/her own account.
- Click Getting Started/Step 3.2 – Filing Coordinator Invites Practitioners and Sets their E-Filing Permissions for details about how the filing coordinator can add a plan to another person's account.

Note: You should make sure to add more than one practitioner who can perform the necessary tasks (e.g., sign as the plan administrator). That way, your plan will have "back-ups" if the primary responsibility holder is unavailable for any reason.

Remove Plans from Practitioner Accounts (Filing Coordinators Only)
The filing coordinator can remove a practitioner (including another filing coordinator) from a plan's e-filing team when that person no longer is needed to contribute to a plan's e-filing (e.g., when a practitioner no longer works with that plan and should no longer have that plan in his/her account).

If you want to remove a practitioner from a plan:

- You must have filing coordinator permission for the plan; and
- The practitioner you want to remove cannot be holding a filing (created using the data entry and editing screens or imported into My PAA) that is in process in My PAA but not yet submitted.

If these conditions are met, the filing coordinator can remove a practitioner from a plan by following these steps:

1. In the "Plans in Your Account" section of your Home Page, click the "Plan Name" link for the applicable plan. My PAA will display the Plan Page for that plan.

2. Scroll to the "Premium Filing Practitioners" section that lists all the practitioners on this plan. If you have the filing coordinator permission, you will see a "Remove Practitioner" link (x) for each person listed.

3. Click the "Remove" link for the applicable practitioner. My PAA will display a confirmation screen to make sure you want to continue with this transaction. Click the "Remove" button on the confirmation screen.

4. The practitioner you just removed will receive an e-mail and, for this particular plan, will no longer be able to perform any premium e-filing tasks. If the practitioner will no longer be using My PAA, the person should deactivate their account via the "My Account" link on the top of every page.

Notes:

- Typically, it is not a good idea to remove all the filing coordinators from a plan. If you are a filing coordinator and need to be removed from a plan, you should first invite another filing coordinator to the plan and then remove yourself from the plan. However, it may happen that a filing coordinator changes jobs or otherwise becomes unassociated with a plan before another filing coordinator is added to the plan. This means that the plan could be left without a filing coordinator. In this circumstance, the person who is to be the new filing coordinator will need to contact the Practitioner Contact Center (call 1-800-736-2444 and select the "premium" option or e-mail to premiums@pbgc.gov) and ask that the first filing coordinator be removed and that the new filing coordinator be added. With some validation of identity and authority, PBGC can respond to this request. Note that PBGC's business hours are 8:00 a.m. to 5:00 p.m. Eastern Time Monday through Friday, except federal holidays.

- There may be times when a plan should be removed from the accounts of all the practitioners who have it. For example, the plan may no longer be covered by PBGC and therefore will not be submitting filings to PBGC. To totally remove a plan, the filing coordinator should first remove each of the other practitioners who are part of the plan's filing team and then remove himself/herself. Since any previous e-filing receipts will no longer be available, we suggest that a filing team member retain copies of the receipts and confirm that previously-submitted filings are reflected on the plan's account history. If all plans are removed for a practitioner who will no longer be using My PAA, the person should deactivate their account via the "My Account" link on the top of every page.

- If you remove the uploader of your filings, the confirmations of any previously-uploaded files will be gone (since only the uploader receives the confirmations). To help ensure that all is in order, we suggest that a filing team member confirm that previously-submitted filings are reflected on the plan's account history.

Set, Modify, or Remove E-Filing Optional Permissions (Filing Coordinators Only)
There may be instances when a team member's e-filing responsibilities for a plan change and this may mean that their permissions in My PAA for that plan need to be modified. When this occurs, the filing coordinator can change the permissions originally set up for each practitioner on the plan. The only exception is that one filing coordinator cannot change the permissions of another filing coordinator.

As a filing team member, each person can automatically create and edit filings. In addition, the following permissions are optional and may be selected (or 'unselected') for each person (as appropriate):

- Act as the plan's filing coordinator in a primary or backup role. Filing coordinators can also submit completed filings to PBGC.
- Sign and submit filings as the plan administrator or plan administrator's representative.
- Sign filings as an enrolled actuary.
- Select payment alternative or authorize premium payment.
- View the plan's online account history (if plan is in the person's account).

To update the permissions for a practitioner, the filing coordinator for a plan can follow these steps:

1. In the "Plans in Your Account" section of your Home Page, click the "Plan Name" link for the applicable plan. My PAA will display the Plan Page for that plan.

2. Scroll to the "Premium Filing Practitioners" section that lists all the practitioners on this plan. (Note that one filing coordinator cannot edit the permissions of another filing coordinator.)

3. Click on the Edit link next to the name of the practitioner whose permissions you wish to edit. My PAA will display the "Practitioner Permissions" screen.

4. You can select or deselect the permissions that you wish to grant to or take away from the practitioner. Note that if you grant the practitioner the permission to serve as filing

coordinator, you will not be able to edit his/her permissions later. In addition, you give him/her the right to edit the permissions of all other practitioners who do not have the filing coordinator permission.

5. If you click the "Cancel" button, the practitioner's permissions will remain unchanged. If you click the "Submit" button, the system will add or delete permissions from the practitioner's account for the plan based on your selections.

6. My PAA will send that practitioner an e-mail to let him/her know that his/her permissions for that plan have changed.

Archive Plans

There are times when you may wish to archive (i.e., move) a plan for which you have limited involvement toward the end of the list rather than have the plan removed (by the Filing Coordinator). This may be helpful if you have many plans and prefer to view up front the plans with which you are most actively involved.

To archive a plan, go to the All Plans Page and check the box next to each plan you want to archive; and then click the "Move to Archived Plans" button. You will then see the plan in the Archived Plans section toward the bottom of the page. If you later decide to move any plans back to the Active Plans section, check the box next to each plan involved and click the "Move to Active Plans" button.

You can still perform the same types of actions for both the Active and the Archived Plans (e.g., create a filing, go to the Plan Page, etc.).