



Date: January 19, 2010

To: Clients

From: Jean M. Grace, ERPA, QPA, CEBS
President

Subject: New Form 5500 Filing Requirements

Beginning with 2009 plan year filing, the Department of Labor (DOL) is requiring Form 5500 for your retirement plan to be submitted electronically. Owner only plans that file Form 5500EZ are not subject to this new requirement.

Pentec is working to make the new filing method as seamless as possible for our clients. The DOL requires, however, that the electronic forms be authorized by the Plan Sponsor and does not allow service providers, such as Pentec, to have access to your identity codes to perform this function for you. The retirement service industry is petitioning the DOL to amend their process, but currently the authorized client representative(s) will need to access the internet and must have an email address to electronically sign the forms.

In order to sign the Form 5500 electronically, authorized signers will need to create an ID on the DOL EFAST website and receive a PIN. During the next few weeks, we will offer a webcast that will explain the process in more detail and will show you what to expect when applying for signing credentials.

During the Form 5500 production process we will streamline the filing process to the degree possible. Emails we send to you will contain internet links and specific instructions to assist you through the process.

We will keep you informed as further information is available. We look forward to working together through this process and, as always, thank you for your business!

PS. END OF YEAR DATA COLLECTION – With the end of the calendar year, many clients will be sending us census information. Remember you can send information in a file via our secure transmission facility. We have attached a copy of the transmission instructions for your convenience. If you need assistance, please call your Client Manager.

Cc: Advisors and CPAs

Instructions LeapFile Secure File Exchange

Receiving Files from a Pentec Staff Member

1. You will be notified, via email, from a staff member at Pentec.
2. The email will contain a direct link to receive the file. **Click on this link.**
3. You will be directed to a Pentec, Inc. Secure Download page.
 - a. Enter your email address, which should match the email which the transfer notification was sent.
 - b. Click on the Authenticate button.
4. You will be prompted to Download. Click on the Download button.
5. You will be directed as to how you want to save the document. **We recommend you save the document to your directory.** Files are permanently deleted from the site eight hours after they have been downloaded, or thirty days after they have been posted to the site if they are not retrieved. If you have not downloaded the files within the thirty-day timeframe, you will need to contact a Pentec staff member and have them repost the file.
6. Exit out of LeapFile.

Sending Files to a Pentec Staff Member

Clients and other authorized parties can use our service to transfer files to a Pentec staff member.

1. Using your Web browser go to URL: { HYPERLINK "http://pentec-inc.leapfile.com" }
2. Click Secure Upload on the Pentec Secure File Exchange Page
3. Enter the email address of the Pentec employee you want to send the email to and click Start.
4. Enter in your name and email, complete the subject line and any message/instructions, etc. (just like email) then use the 'select files to send' button to browse for the file(s) you wish to send. Use the advanced option if you wish to send a complete folder. **Note:** *The subject line and body of the message are not encrypted. Please make sure that confidential information is not included in either of these areas.*
5. Use the Browse buttons to upload your files. Once done attaching files, click 'Upload & Send'.
6. Your files will now be uploaded and sent securely to that Pentec employee. **Please do not close the browser until the page confirms that the upload was successful.**