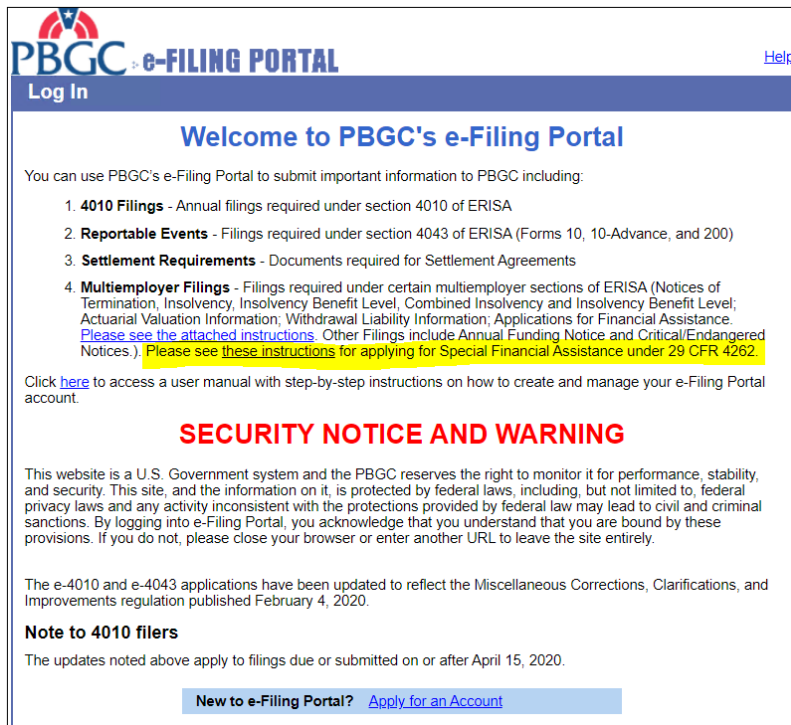


PBGC's E-filing Portal for Special Financial Assistance

Main Log in Screen:



The screenshot shows the PBGC e-Filing Portal's main log-in screen. At the top is the PBGC logo and the text "e-FILING PORTAL" with a "Help" link. Below this is a "Log In" button. The main heading is "Welcome to PBGC's e-Filing Portal". A paragraph explains that users can use the portal to submit important information to PBGC, followed by a numbered list of filing types: 1. 4010 Filings, 2. Reportable Events, 3. Settlement Requirements, and 4. Multiemployer Filings. The Multiemployer Filings section includes a link to "attached instructions" and a highlighted note about Special Financial Assistance. Below the list is a link to a user manual. A red "SECURITY NOTICE AND WARNING" section follows, stating the site is a U.S. Government system. At the bottom, there is a "Note to 4010 filers" and a button labeled "New to e-Filing Portal? Apply for an Account".

PBGC e-FILING PORTAL [Help](#)

Log In

Welcome to PBGC's e-Filing Portal

You can use PBGC's e-Filing Portal to submit important information to PBGC including:

1. **4010 Filings** - Annual filings required under section 4010 of ERISA
2. **Reportable Events** - Filings required under section 4043 of ERISA (Forms 10, 10-Advance, and 200)
3. **Settlement Requirements** - Documents required for Settlement Agreements
4. **Multiemployer Filings** - Filings required under certain multiemployer sections of ERISA (Notices of Termination, Insolvency, Insolvency Benefit Level, Combined Insolvency and Insolvency Benefit Level; Actuarial Valuation Information; Withdrawal Liability Information; Applications for Financial Assistance. [Please see the attached instructions.](#) Other Filings include Annual Funding Notice and Critical/Endangered Notices.) **Please see [these instructions](#) for applying for Special Financial Assistance under 29 CFR 4262.**

Click [here](#) to access a user manual with step-by-step instructions on how to create and manage your e-Filing Portal account.

SECURITY NOTICE AND WARNING

This website is a U.S. Government system and the PBGC reserves the right to monitor it for performance, stability, and security. This site, and the information on it, is protected by federal laws, including, but not limited to, federal privacy laws and any activity inconsistent with the protections provided by federal law may lead to civil and criminal sanctions. By logging into e-Filing Portal, you acknowledge that you understand that you are bound by these provisions. If you do not, please close your browser or enter another URL to leave the site entirely.

The e-4010 and e-4043 applications have been updated to reflect the Miscellaneous Corrections, Clarifications, and Improvements regulation published February 4, 2020.

Note to 4010 filers

The updates noted above apply to filings due or submitted on or after April 15, 2020.

New to e-Filing Portal? [Apply for an Account](#)

Screen to Select Filing Type after plan administrator selects "Create New Filing" after logging in:



The screenshot shows the "Multiemployer - Filing Type Selection" screen. It features the PBGC logo and "e-FILING PORTAL" at the top, with a "Help" link. The title "Multiemployer - Filing Type Selection" is prominently displayed. Below the title, users are prompted to "Select a filing type:" and are presented with several categories of filings, each with radio button options. The "Financial Assistance" category is highlighted, and the "Application for Financial Assistance - Special" option is selected. At the bottom right, there are "Cancel" and "Next >" buttons. The footer includes the website "PBGC.gov" and a link to the "Paperwork Reduction Act Notice".

PBGC e-FILING PORTAL [Help](#)

Multiemployer - Filing Type Selection

Select a filing type:

Funding Notices:

- ☐ Notice of Critical Status
- ☐ Notice of Endangered Status
- ☐ Notice of Seriously Endangered Status
- ☐ Annual Funding Notice

Financial Assistance:

- ☐ Application for Financial Assistance - Initial
- ☐ Application for Financial Assistance - Recurring
- ☒ Application for Financial Assistance - Special

Termination Notices:

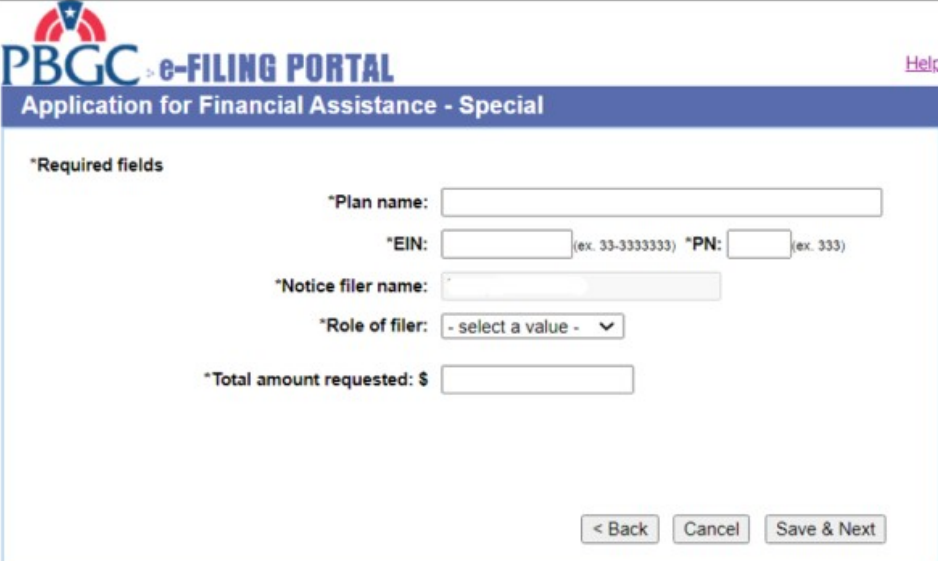
- ☐ Notice of Termination
- ☐ Withdrawal Liability Information
- ☐ Actuarial Valuation Information

Insolvency Notices:

- ☐ Notice of Insolvency
- ☐ Notice of Insolvency Benefit Level
- ☐ Combined Notice of Insolvency and Notice of Insolvency Benefit Level

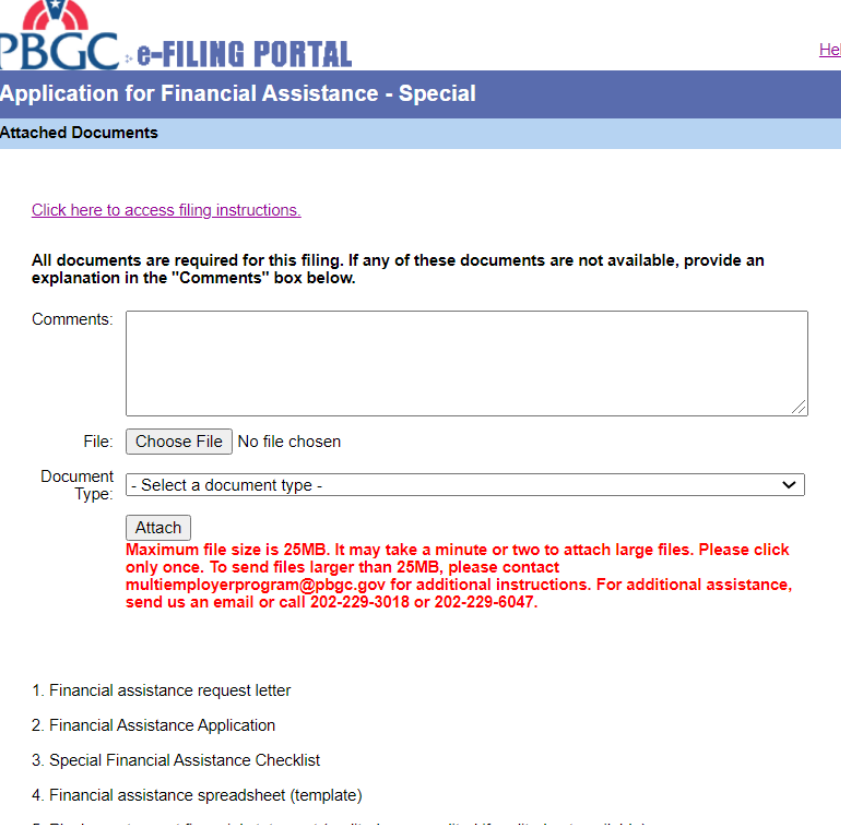
[PBGC.gov](#) | [Paperwork Reduction Act Notice](#)

Basic Information Screen:



The screenshot shows the 'Basic Information Screen' for the PBGC e-FILING PORTAL. The header includes the PBGC logo and the text 'e-FILING PORTAL' with a 'Help' link. Below the header is a blue bar with the title 'Application for Financial Assistance - Special'. The main section is titled '*Required fields' and contains several input fields: '*Plan name:' with a text box; '*EIN:' with a text box and '(ex. 33-3333333)' as a hint; '*PN:' with a text box and '(ex. 333)' as a hint; '*Notice filer name:' with a text box; '*Role of filer:' with a dropdown menu showing '- select a value -'; and '*Total amount requested: \$' with a text box. At the bottom right are three buttons: '< Back', 'Cancel', and 'Save & Next'.

Document Uploading Page (partial – the full list of document types is shown in following screen shot, next page):



The screenshot shows the 'Document Uploading Page' for the PBGC e-FILING PORTAL. The header is identical to the previous screen. Below the header is a blue bar with the title 'Application for Financial Assistance - Special'. The main section is titled 'Attached Documents'. It includes a link 'Click here to access filing instructions.' and a paragraph: 'All documents are required for this filing. If any of these documents are not available, provide an explanation in the "Comments" box below.' Below this is a 'Comments:' text box. Underneath is a 'File:' section with a 'Choose File' button and the text 'No file chosen'. Below that is a 'Document Type:' dropdown menu with the text '- Select a document type -'. An 'Attach' button is located below the dropdown. A red text block provides instructions: 'Maximum file size is 25MB. It may take a minute or two to attach large files. Please click only once. To send files larger than 25MB, please contact multiemployerprogram@pbgc.gov for additional instructions. For additional assistance, send us an email or call 202-229-3018 or 202-229-6047.' At the bottom is a list of five required documents: 1. Financial assistance request letter, 2. Financial Assistance Application, 3. Special Financial Assistance Checklist, 4. Financial assistance spreadsheet (template), and 5. Plan's most recent financial statement (audited, or unaudited if audited not available).

List of Document Types:

1. Financial assistance request letter
2. Financial Assistance Application
3. Special Financial Assistance Checklist
4. Financial assistance spreadsheet (template)
5. Plan's most recent financial statement (audited, or unaudited if audited not available)
6. List of all cash and investment accounts maintained for the plan
7. Bank/Asset statements for all cash and investment accounts
8. Rehabilitation plan (or funding improvement plan, if applicable)
9. Zone certification
10. Benefit calculations and supporting data (i.e. accrued benefit, years of service, and etc.)
11. Pension plan documents, all versions available, and all amendments signed and dated
12. Contributing Employers
13. Participant database
14. Latest annual return/report of employee benefit plan (Form 5500)
15. Most recent actuarial valuation for the plan
16. Projections for special financial assistance (estimated income, benefit payments and expenses)
17. Historical Plan Financial Information (CBUs, contribution rates, contribution amounts, withdrawal liability payments)
18. Other

< Back

Cancel

Save & Next

If you click on the "Help" button, you see this screen:

**PBGC e-FILING PORTAL**

Multiemployer e-Filing Help

Filing Assistance

For further assistance, contact PBGC by sending an e-mail to multiemployerprogram@pbgc.gov, or by calling our toll-free number at 1-800-736-2444 (ext. 3018 or 6047). Local callers may directly dial 202-326-4000 (ext. 3018 or 6047). TTY/ASCII users may call the federal relay service toll-free at 1-800-877-8339 and ask to be connected to the appropriate number.

[Close Instructions](#)

PBGC.gov | [Paperwork Reduction Act Notice](#)

When the PBGC is not accepting applications, the radio button for Special Financial Assistance will not be visible:

[Help](#)

Multiemployer - Filing Type Selection

Select a filing type:

Funding Notices:

- ☐ Notice of Critical Status
- ☐ Notice of Endangered Status
- ☐ Notice of Seriously Endangered Status
- ☐ Annual Funding Notice

Financial Assistance:

- ☐ Application for Financial Assistance - Initial
- ☐ Application for Financial Assistance - Recurring

Termination Notices:

- ☐ Notice of Termination
- ☐ Withdrawal Liability Information
- ☐ Actuarial Valuation Information

Insolvency Notices:

- ☐ Notice of Insolvency
- ☐ Notice of Insolvency Benefit Level
- ☐ Combined Notice of Insolvency and Notice of Insolvency Benefit Level

[PBGC.gov](#) | [Paperwork Reduction Act Notice](#)

Multiemployer Events: Filing Drafts				Create New ME Filing
EIN/PN	Plan Name	Type of Event	Date Created	
22-2222222/002	test	Application for Financial Assistance - Special	5/12/2021	Delete Filing Reassign
21-1212121/222	test	Application for Financial Assistance - Recurring	4/26/2021	Edit Filing Delete Filing Reassign
21-1212121/222	test	Application for Financial Assistance - Initial	3/26/2021	Edit Filing Delete Filing Reassign
21-1212121/222	test	Application for Financial Assistance - Recurring	3/26/2021	Edit Filing Delete Filing Reassign