

## DELINQUENT FILER VOLUNTARY COMPLIANCE (DFVC) PROGRAM FORM 5500 PROCESS

Here are step-by-step instructions for processing a Form 5500 under the Department of Labor's DFVC Program with ABV:

### Step 1: Provide select information to ABV for the Discovery Process

Information needed during the Discovery Process includes: number of ERISA welfare benefit plans, prior filing history, current plan/policy year dates, original plan/policy effective dates, carrier/TPA information, etc. The Discovery Process includes conference call with Client/Advisor to discuss details, issues and correction options.

### Step 2: Receive Engagement Letter and fee estimate from ABV

Sign and return.

### Step 3: ABV creates Form 5500 History worksheet

The Form 5500 History worksheet is documentation of the various welfare benefit plans, policy and funding information and enrollment information to confirm the prior years for which Form 5500 is required.

### Step 4: Client and/or Advisor reviews and completes Form 5500 History worksheet

Complete missing information and return to ABV.

### Step 5: ABV creates a Needs List and reports back to client

The "Needs List" is a formal request for any and all missing information, including beginning, end of year, active and COBRA employee enrollment.

### Step 6: Client/Advisor researches and supplies missing information

### Step 7: ABV prepares all delinquent forms and emails draft copies to Client/Advisor for review

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**Step 8:** ABV receives approval

**Step 9:** Electronic Signature Process

All Form 5500 filings are required to be submitted to the DOL electronically, including under the DFVC Program. Our Electronic Signature Process spells this out for you step-by-step. [Click here](#)

**Step 10:** ABV prepares Confirmation Email, DFVC penalty payment instructions and emails to Client/Advisor

**Step 11:** Client completes online penalty payment to DOL

**Step 12:** Client submits payment to ABV

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**Advice.** Strong employee benefits domain expertise.  
**Benefits.** Automated, comprehensive compliance tools.  
**Vision.** Anticipate and consult.

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### Contact ABV

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