How to Submit a Request to PBGC: Refund, Penalty RFR, and Other Request and Correspondence
&
How to View the Status of the Request My Plan Administration Account (My PAA)

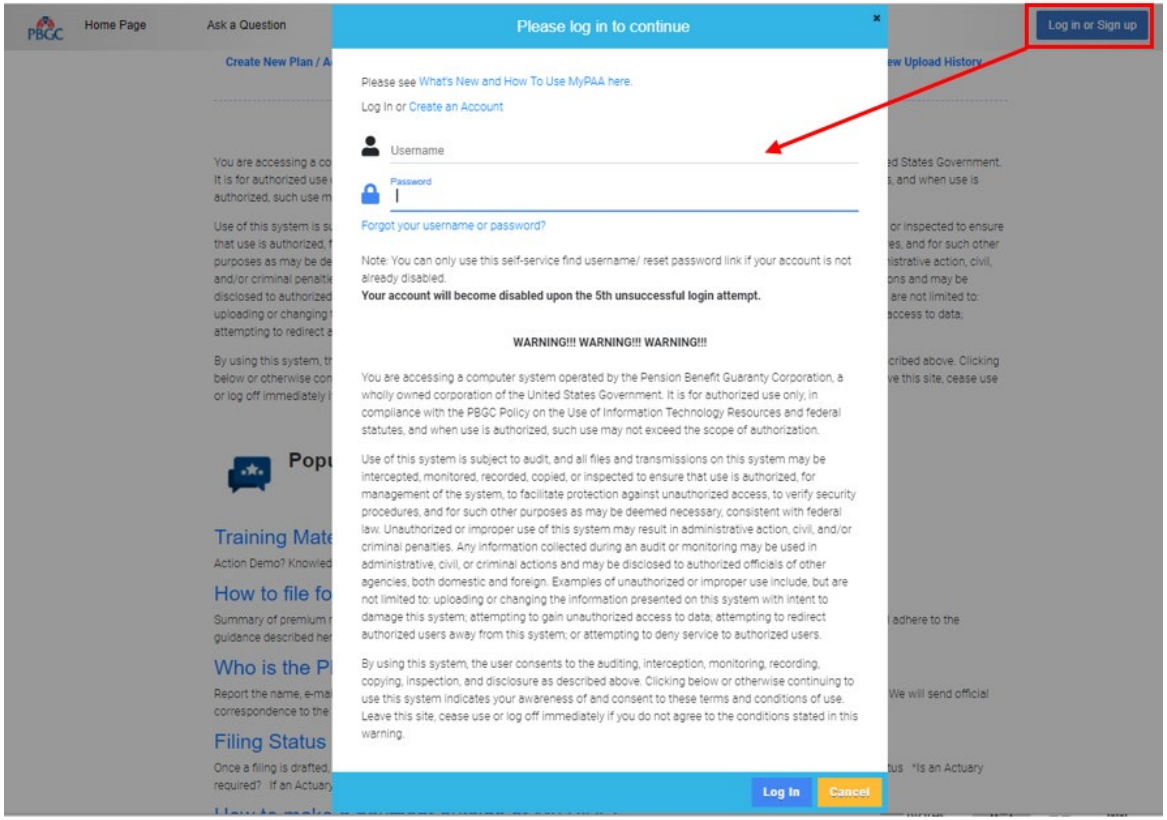
Last Updated:
April 20th, 2021

PBGC
Protecting America's Pensions

How to Submit a Request (e.g., Refund, RFR, etc.)

Login

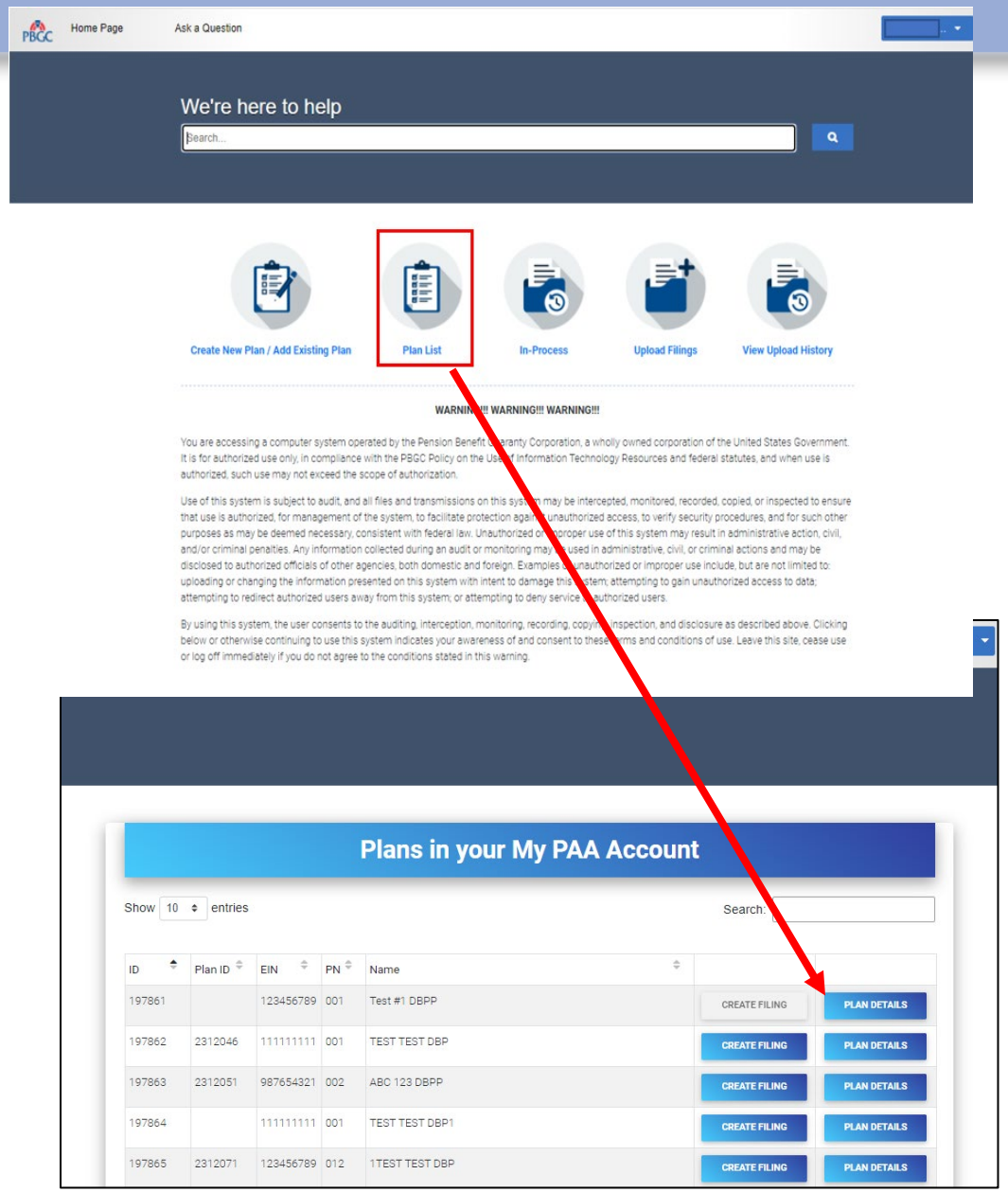
- From the Home Page, click on the "Log in or Sign up" button to log in.
- Enter your Username into the field labeled username on the My PAA log in pop-up
- Enter your Password into the field labeled "Password."
- Click on the "Log in" button.



How to Submit a Request (e.g., Refund, RFR, etc.)

Plan List Page

- Once you have logged in, click on the "Plan List" icon or link from the Home Page.
- From the Plan List Page, click on the "Plan Details" button for the plan you would like to submit a request for.
  - To successfully submit a request, the plan must be associated with your account.
  - Please keep in mind that you must be the Plan Admin or Plan Admin Rep to submit a Refund Request. This option will not be available if you do not have this role associated with the account.
  - You can search or sort the columns to find a particular plan



How to Submit a Request (e.g., Refund, RFR, etc.)

Plan Details Page

- Below the “PLAN ADMIN DETAILS” button, click on the “Submit Request” link.

PBGC Home Page Ask a Question johndoe@t...

Plan Details

Plan ID: 2352364
Plan Name: Test Plan
EIN: 111111111 ***PN:*** 111
Plan Status: Inactive

Plan Effective Date: 01/01/2018
Coverage Date: N/A
Adoption Date: N/A
Plan Sponsor: No Value

PLAN ADMIN DETAILS PLAN CONTACT DETAILS EDIT

Create Filing Manage Roles Account History Payment Voucher
Submit Request Check Status of Request View Correspondence

Premium Filings

Show 10 entries Search:

Filing ID	PYC	Submit Date	Status		
212110	01/01/2018		Pending Payment Info	FILING DETAILS	FILING RECEIPT
212109	01/01/2018	03/20/2021	Submitted/Pending Processing	FILING DETAILS	FILING RECEIPT
212106	01/01/2019		Draft	FILING DETAILS	FILING RECEIPT
212105	01/01/2020		Pending Actuary		

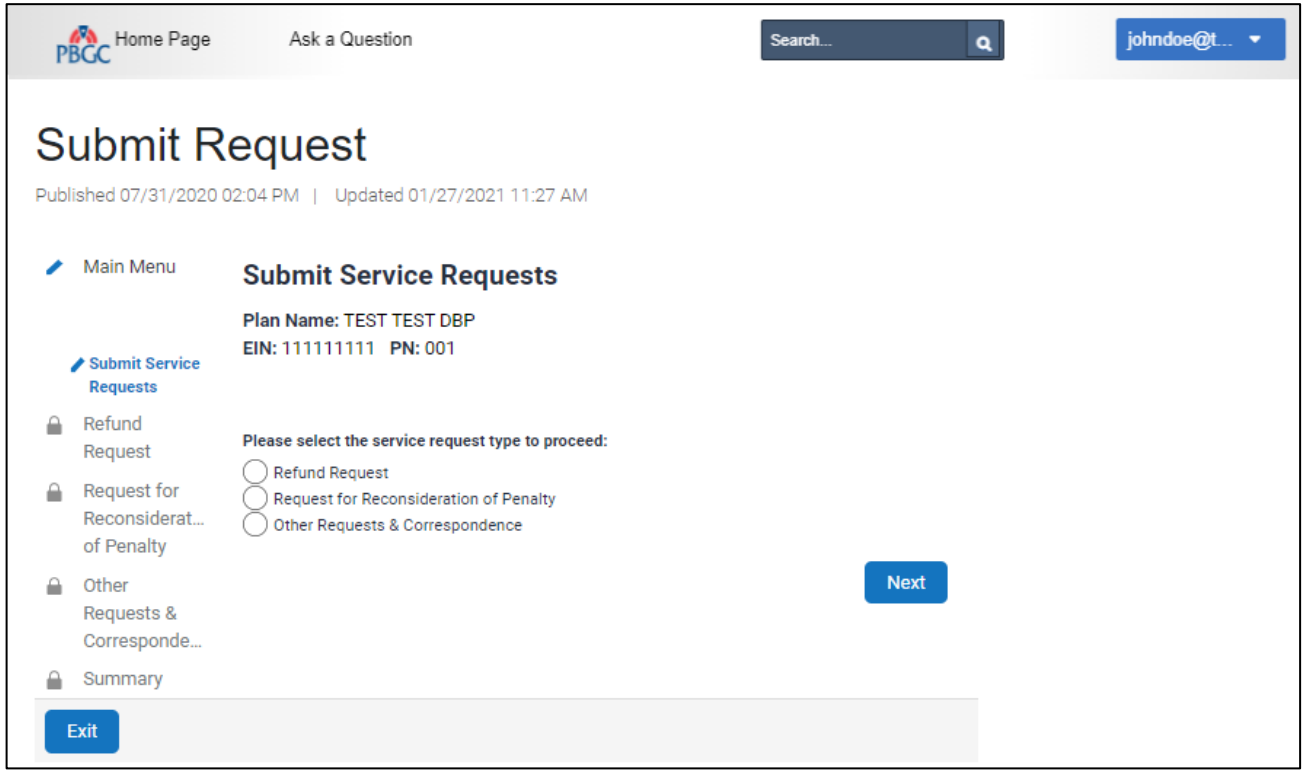
BACK TO PLAN LIST

How to Submit a Request (e.g., Refund, RFR, etc.)

Submit Request Page

Submit Service Request

- Select which type of service request you would like to submit:
  - Refund Request: If you have a credit/overpayment on a particular plan year and do not wish to use it as a credit towards premium amount due for the next plan year (continue to slide 6).
  - Request for Reconsideration of Penalty: If you have received a Statement of Account (SOA), and was charged penalty, you can contest the charges (continue to slide 14).
  - Other Requests & Correspondence: If you have received correspondence from the PBGC and would like further explanation or would simply like to respond (continue to slide 18).
- Once you have selected the appropriate request, click the "Next" button.

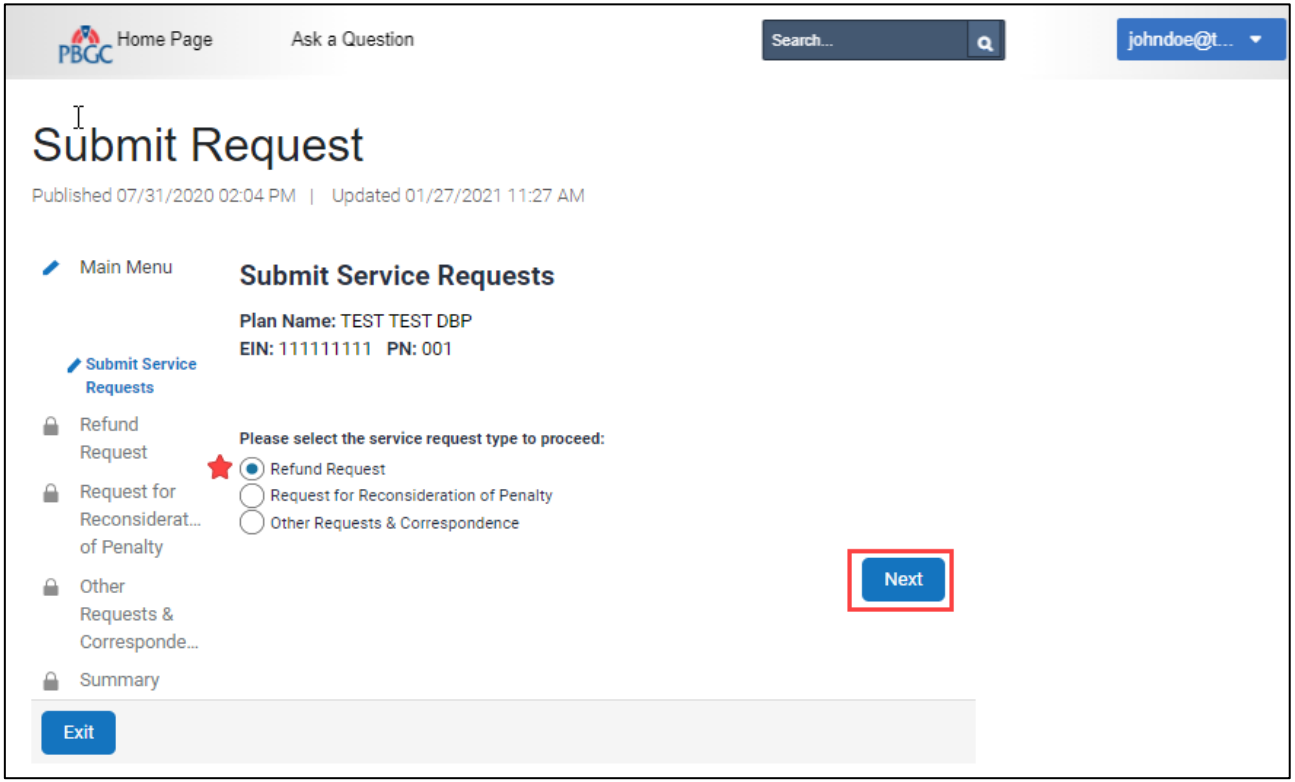


How to Submit a Refund Request

Submit Request Page

Premium Refund Request

- Select the “Refund Request” radio button and click on the “Next” button.
- Please note that you can only request a refund as the Plan Admin/Plan Admin Rep.
  - Please see the “How to Add/Remove and Update Roles of Filing Members” demo for step-by-step instructions on updating your role.
- You will only be able to request a refund if, according to PBGC’s records there is a valid overpayment/credit available.
  - Please see the “How to View an Account History for a Plan” demo for step-by-step instructions on how to retrieve an Account History.

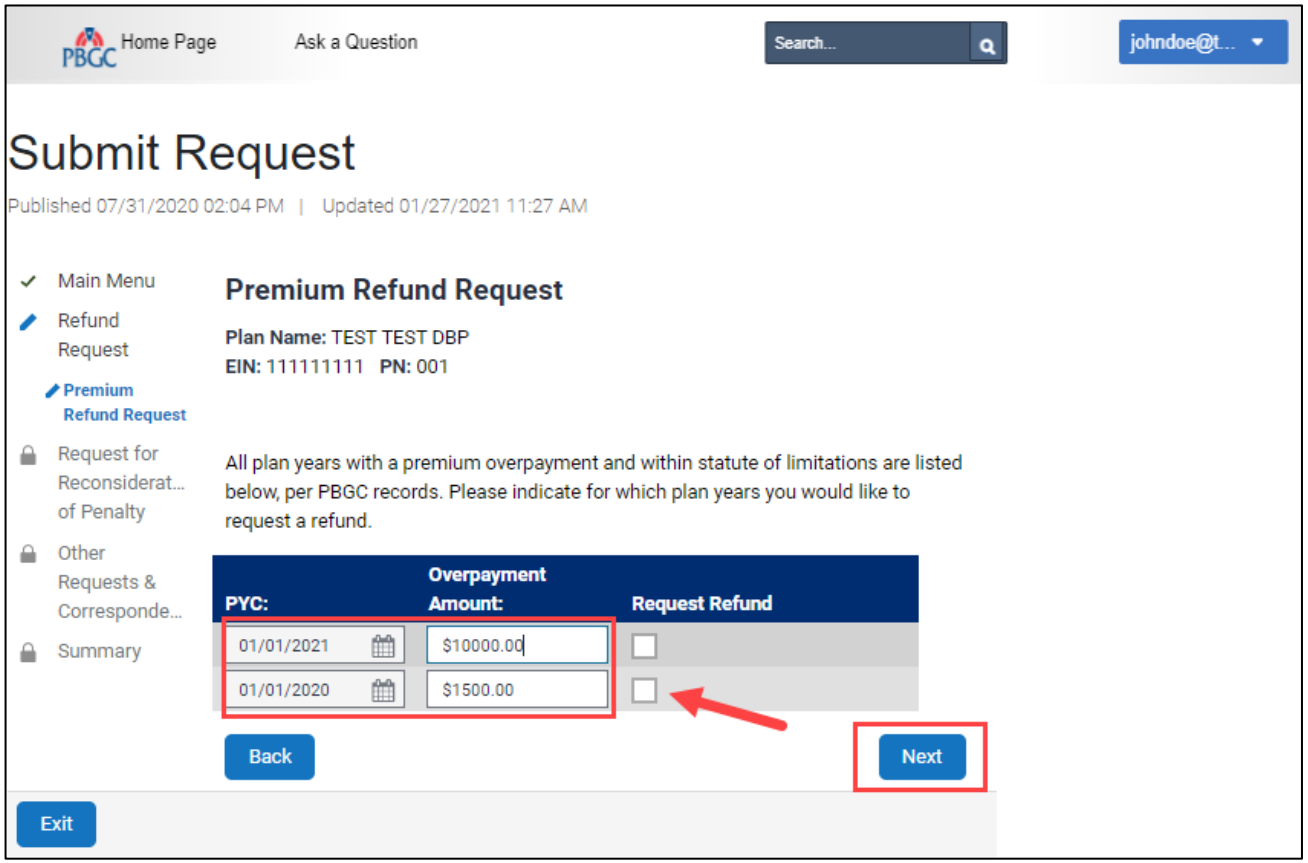


How to Submit a Refund Request

Submit Request Page

Premium Refund Request

- My PAA will automatically display one, or all plan years that have a valid overpayment/credit.
- To request a refund for that particular plan year, check the "Request Refund" checkbox for the corresponding plan year.
- Note: You may only submit a refund request for a premium overpayment if it is within statue of limitations (i.e., non-SOL plan years)

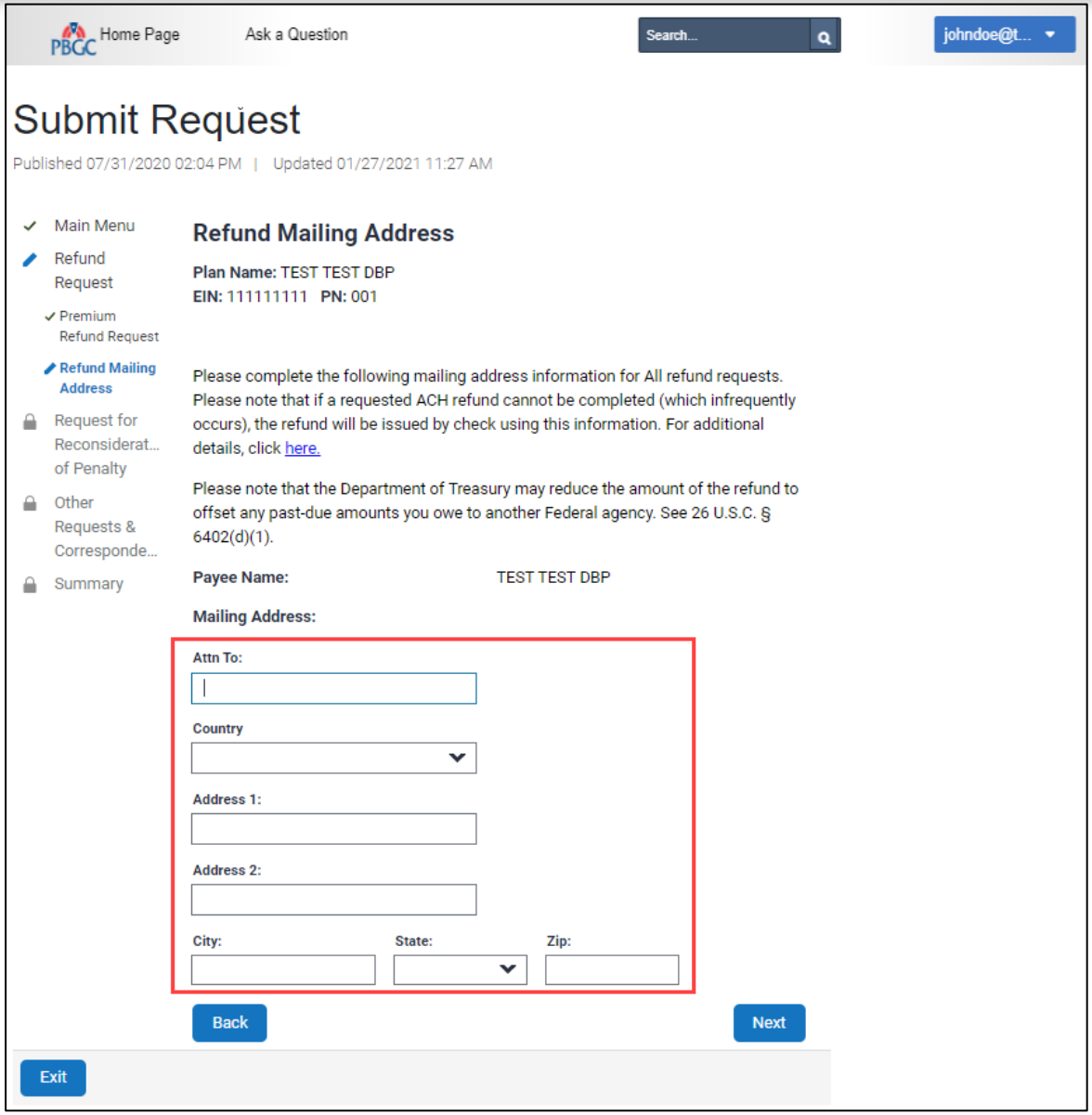


How to Submit a Refund Request

Submit Request Page

Refund Mailing Address

- Once you have selected the appropriate plan year(s) you are requesting a refund for, please provide a valid mailing address.
  - Even if you are requesting an ACH, if the refund cannot be completed through that channel, the refund will be issued via paper check mailed to the provided address.
- After the information has been provided and validated, click on the “Next” button.

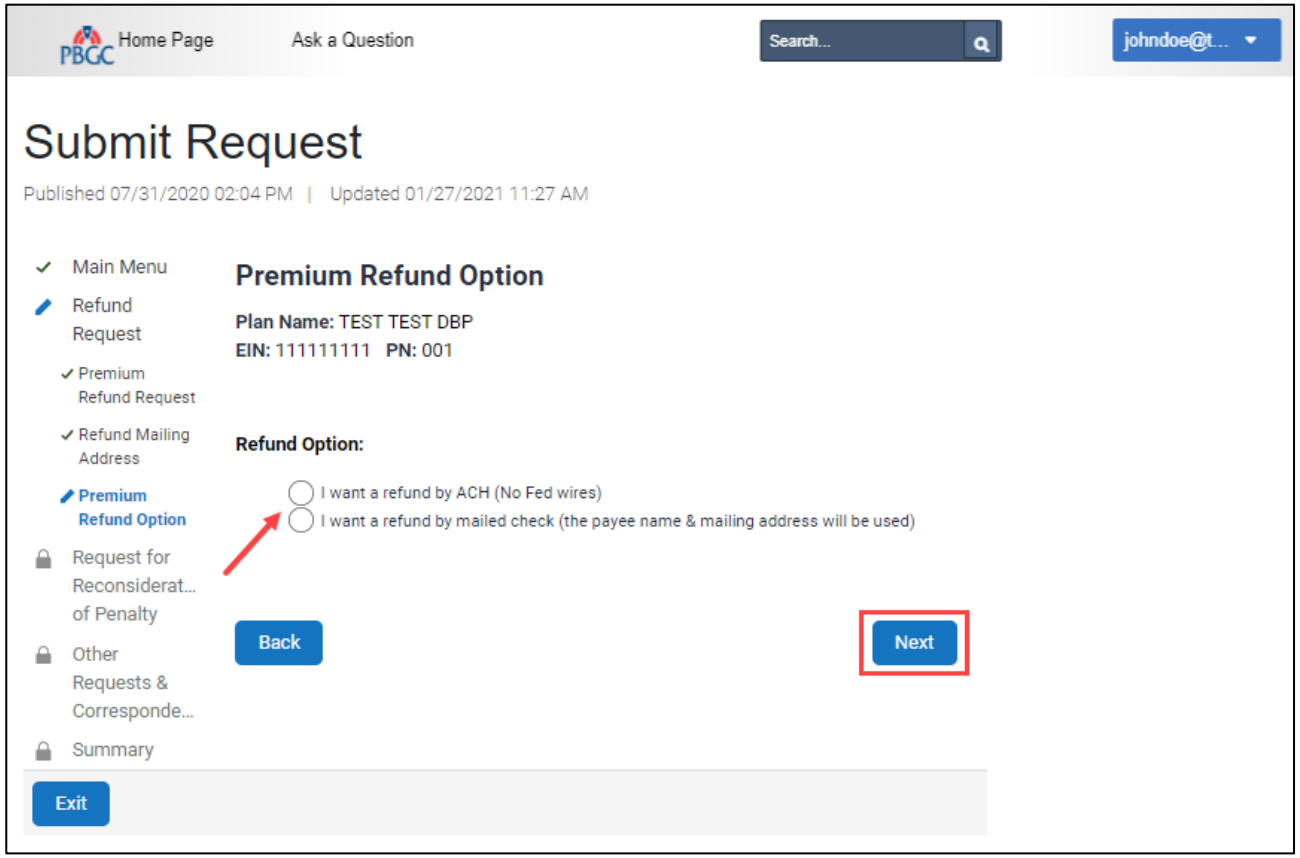


How to Submit a Refund Request

Submit Request Page

Premium Refund Option

- There are two available options on how you would like to receive the refund:
  - ACH (No Fed wire)
  - Paper check sent via USPS

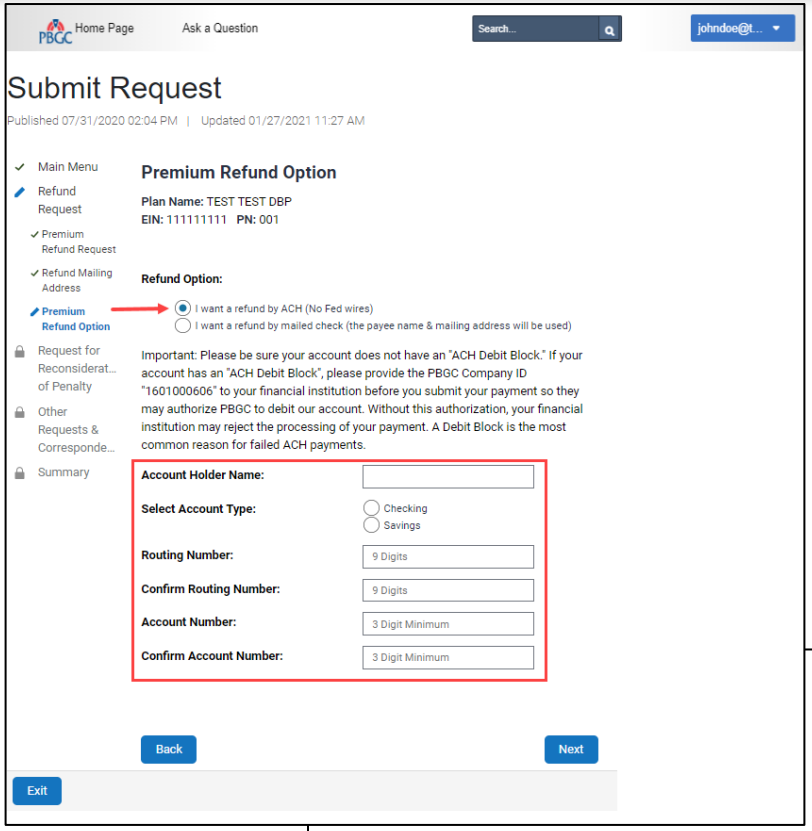


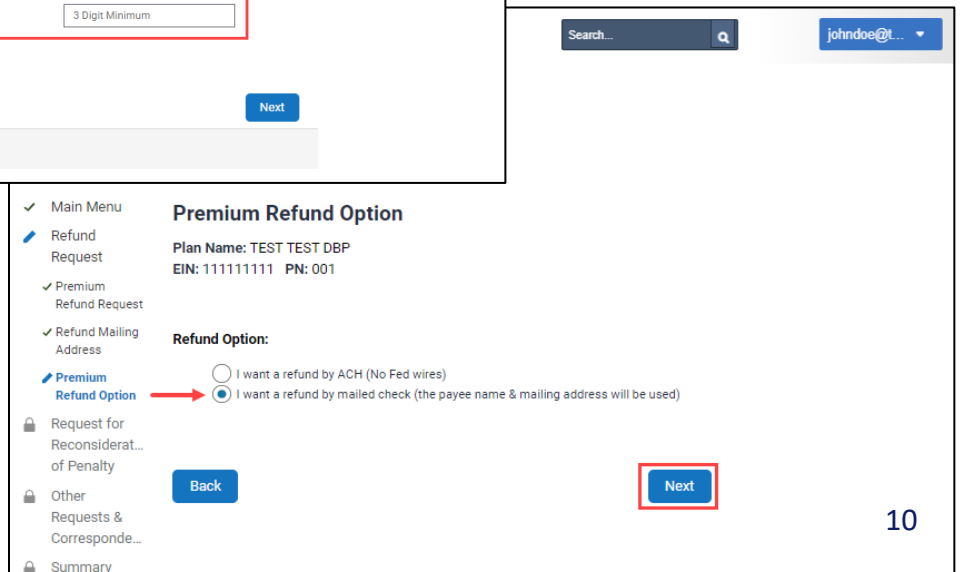
How to Submit a Refund Request

Submit Request Page

Premium Refund Option

- If you choose to be refunded via ACH, please provide valid banking information:
  - Account Holder's Name
  - Account Type (Checking/Savings)
  - Routing Number (9-digits)
  - Account Number (at least 3-digits)
  - Bank Name
- If you choose to be refunded via paper check, the information provided on the previous screen will be used.
- Once an option is selected, click the "Next" button.



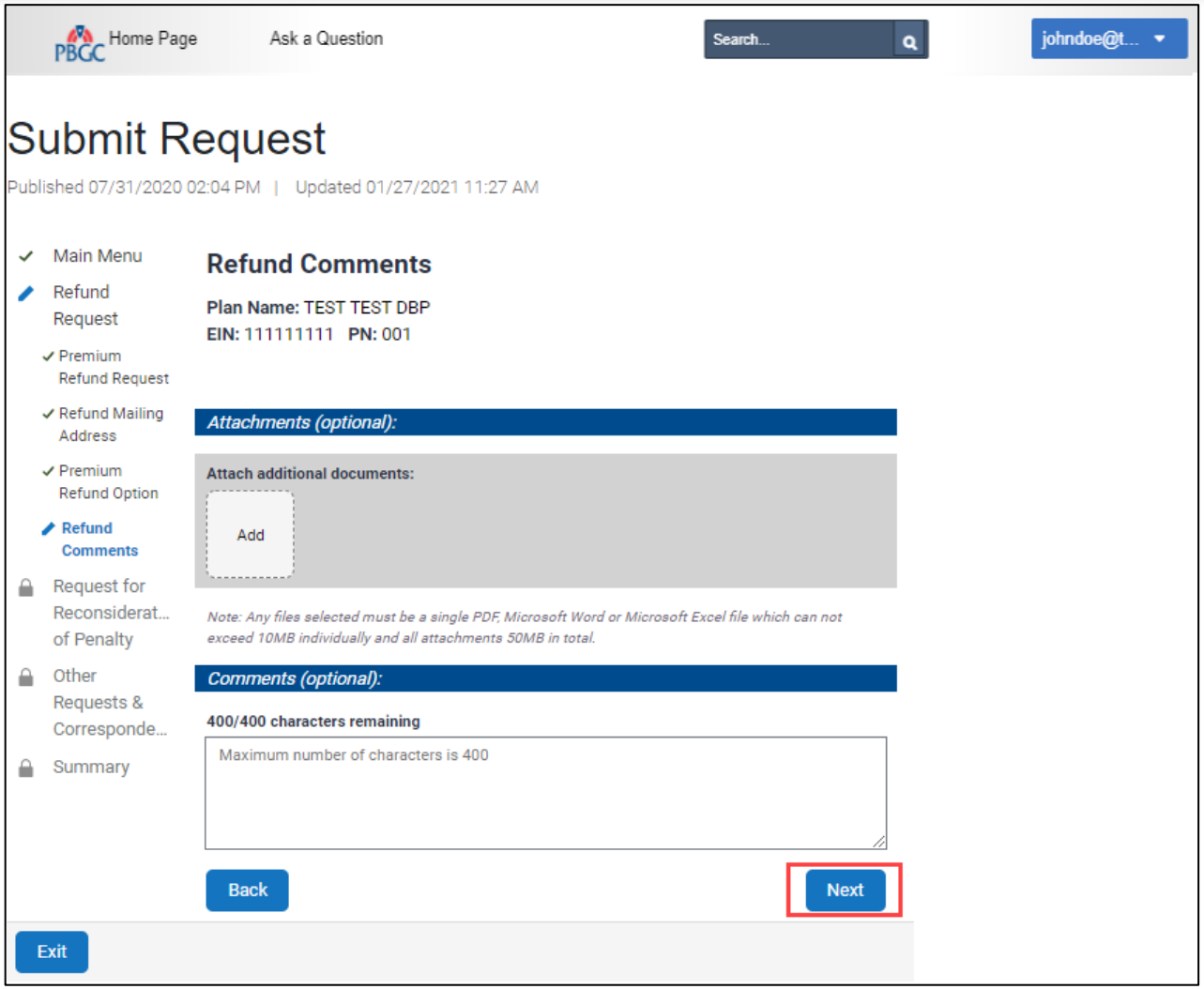


How to Submit a Refund Request

Submit Request Page

Refund Comments

- You may also include attachments, which are optional, with your Refund Request.
  - PDF, Microsoft Word and Excel files are accepted.
  - Each file may not exceed 10MB.
  - All files total may not exceed 50MB.
- You may also include comments, which are optional, with your Refund Request.
  - Characters for the comments may not exceed the 400 limit.
- If any information has been provided, please review and validate, and then click the “Next” button.



How to Submit a Refund Request

Submit Request Page

Summary - Refund Request

- Before submission, please review all the items on the Summary Page to confirm the information is valid.
- If any changes must be made, please click the “Back” button to return to the previous pages.
- If the information is correct, click the “Submit” button to send the request to PBGC.

PBGC Home Page | Ask a Question | Search... | johndoe@t...

Submit Request

Published 07/31/2020 02:04 PM | Updated 01/27/2021 11:27 AM

- ✓ Main Menu
- ✓ Refund Request
- ✓ Request for Reconsiderat... of Penalty
- ✓ Other Requests & Corresponde...
- Summary
  - Summary - Refund Request

Summary - Refund Request

Please review the information below. Navigate back and revise if necessary otherwise, please proceed with the submission of this request.
The pertinent details for this request are as follows:

EIN:	111111111
PN:	001

PYC & Refund Amount:

01/01/2020	$1500.00

Payee Name:	TEST TEST DBP
Attention To:	John Paul Doe
Mailing Address:	2384 Raindrop Way Springfield, VA 22341 United States (US)
Refund Method Selected:	Mailed Check

Attachment:

pdf

Test 123.pdf

Comments:	Testing comments section. Refund my $money please!

Back | Submit

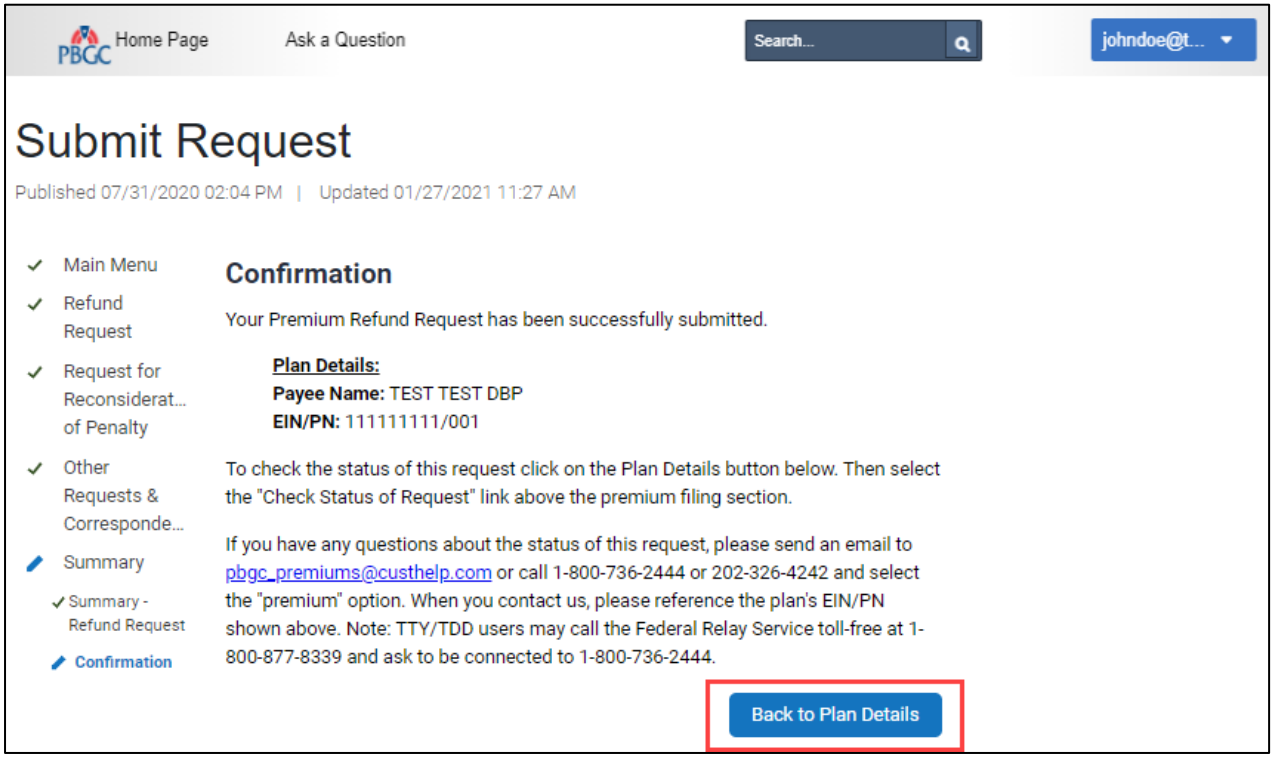
Exit

How to Submit a Refund Request

Submit Request Page

Confirmation

- Once the request has been successfully submitted, you will be able to track the request on the “Check Status of Request” Page from the Plan Details Page.
- If you have additional comments, you may also refer to your Account Activity History.
  - Please refer to How to View My PAA Account Activity History Demo for more information.
- You may now continue with any further premium-related task for this plan by clicking on the “Back to Plan Details” button.

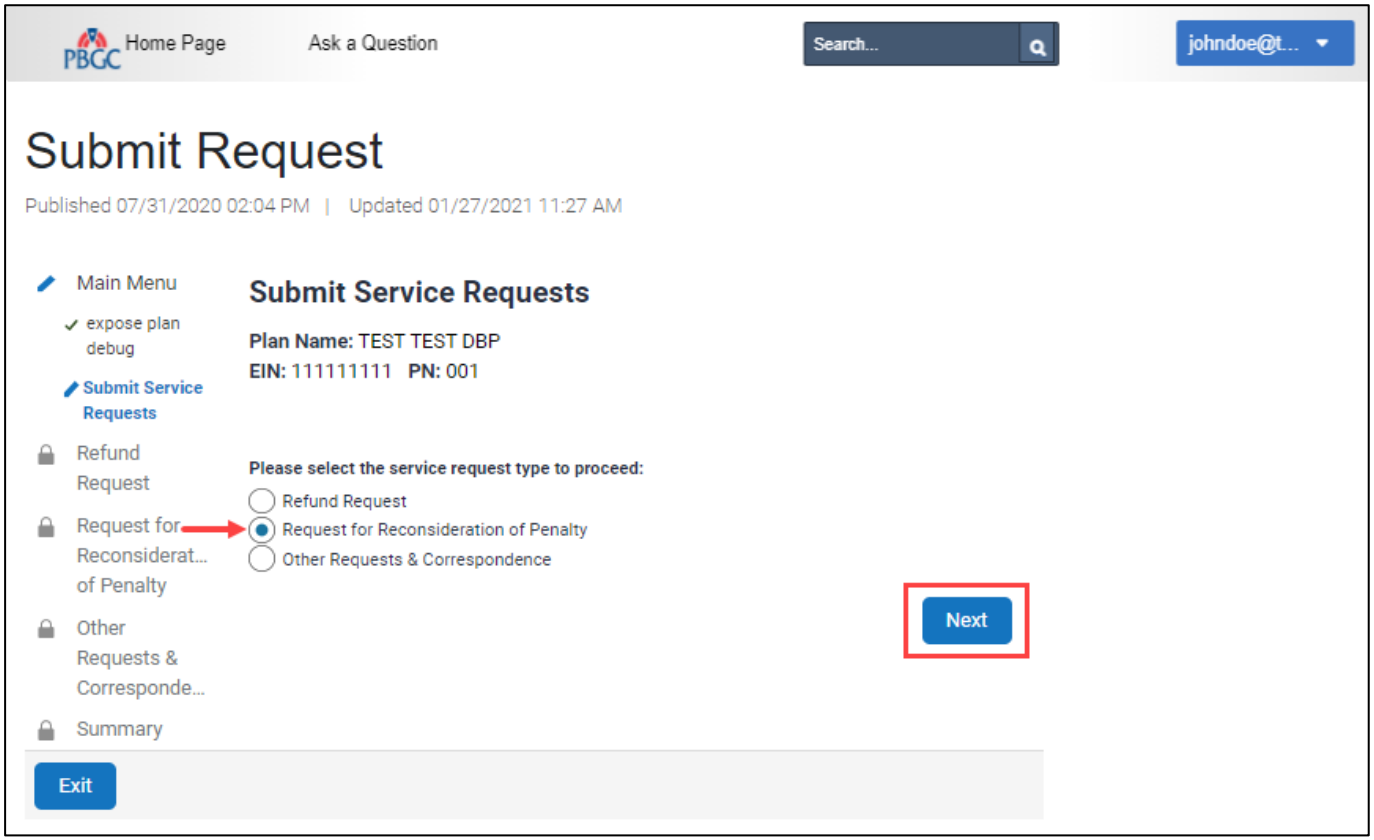


How to Submit a Request for Reconsideration (RFR)

Submit Request Page

Request for Reconsideration of Penalty (RFR)

- Select the “Request for Reconsideration of Penalty” radio button and click on the “Next” button.
- It is important to note that you will only be able to submit an RFR if there is valid penalty charged to a plan, and you should only submit an RFR once a Statement of Account (SOA) has been received by the plan.

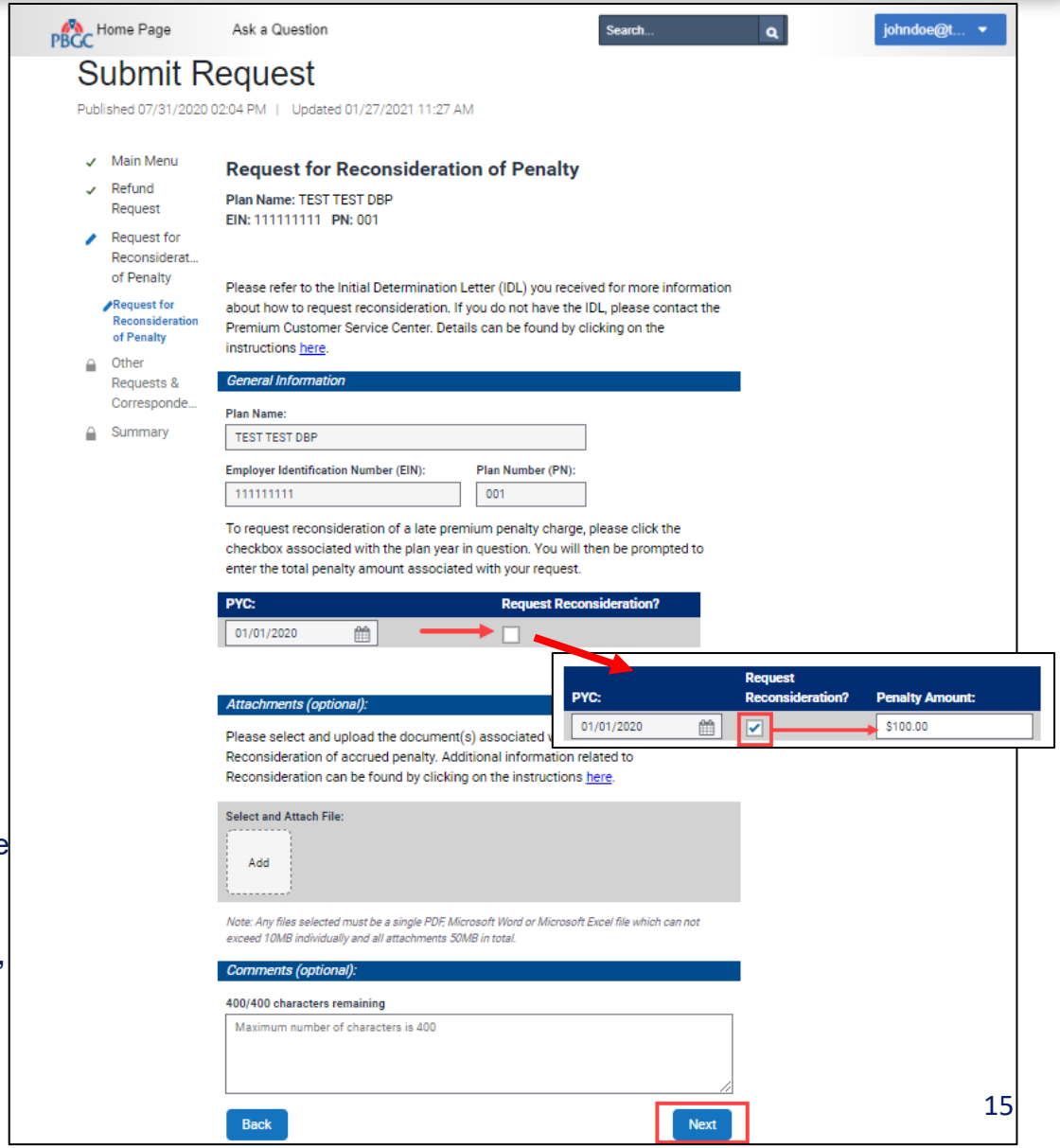


How to Submit a Request (e.g., Refund, RFR, etc.)

Submit Request Page

Request for Reconsideration of Penalty (RFR)

- My PAA will automatically display one, or all plan years that have been charged penalty, and are eligible for a RFR submission.
- Once you select the appropriate plan year, by clicking the “Request Reconsideration” checkbox, enter the amount of penalty you wish the PBGC to waive.
- You may also include attachments, which are optional, with your Refund Request.
  - PDF, Microsoft Word and Excel files are accepted.
  - Each file may not exceed 10MB.
  - All files total may not exceed 50MB.
- You may also include comments, which are optional, with your Refund Request.
  - Characters for the comments may not exceed the 400 limit.
- If any information has been provided, please review and validate, and then click the “Next” button.

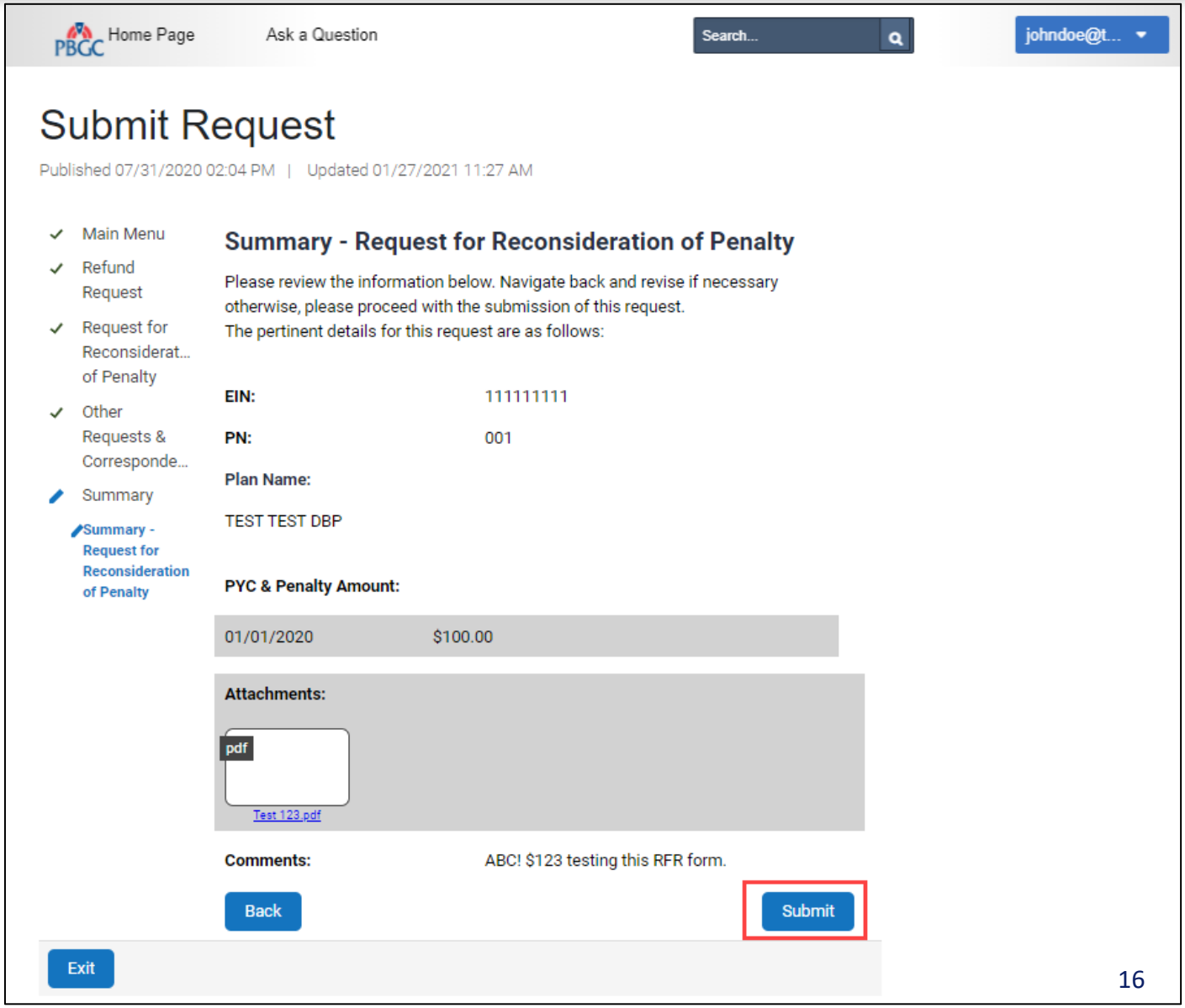


How to Submit a Request (e.g., Refund, RFR, etc.)

Submit Request Page

Summary - Request for Reconsideration of Penalty (RFR)

- Before submission, please review all the items on the Summary Page to confirm the information is valid.
- If any changes must be made, please click the "Back" button to return to the previous pages.
- If the information is correct, click the "Submit" button to send the request to PBGC.

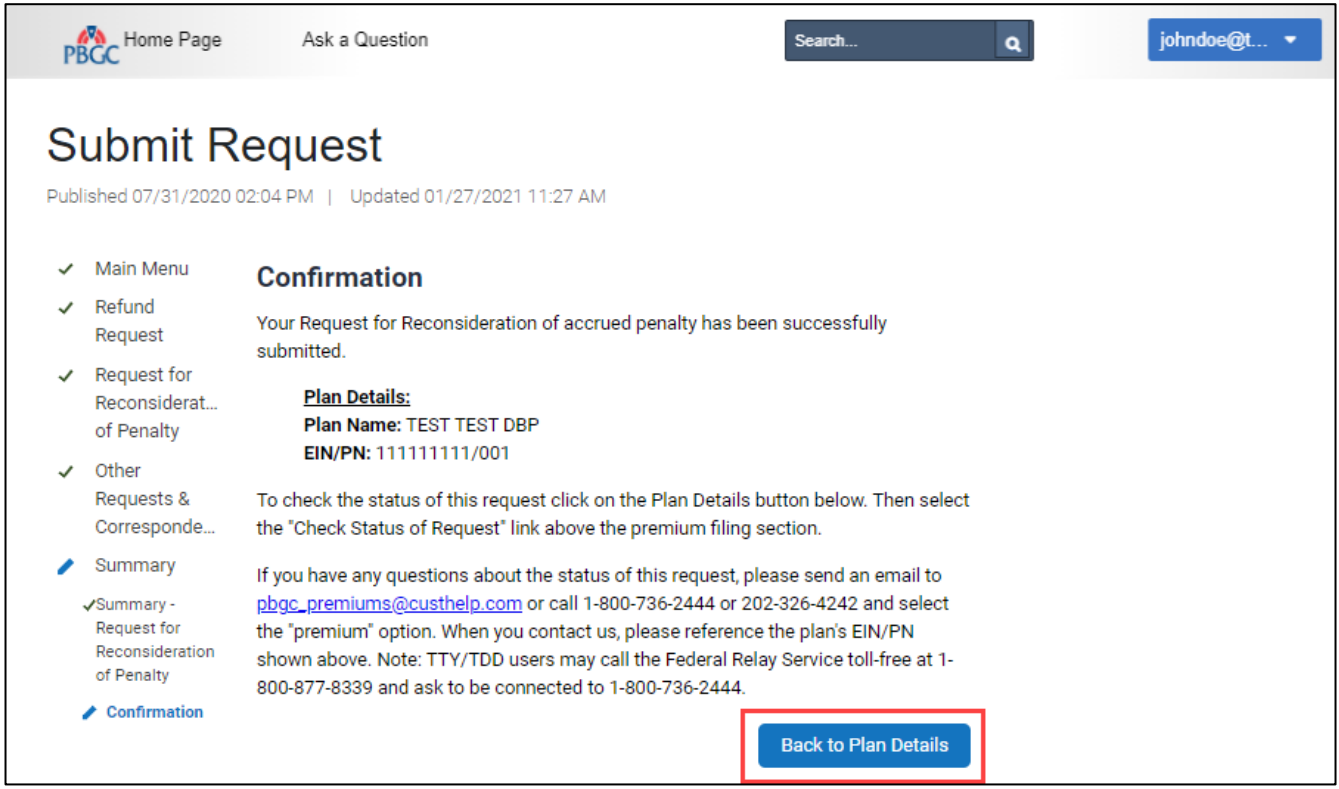


How to Submit a Request for Reconsideration (RFR)

Submit Request Page

Confirmation

- Once the request has been successfully submitted, you will be able to track the request on the “Check Status of Request” Page from the Plan Details Page.
- If you have additional comments, you may also refer to your Account Activity History.
  - Please refer to our How to View My PAA Account Activity History Demo for more information.
- You may now continue with any further premium-related task for this plan by clicking on the “Back to Plan Details” button.

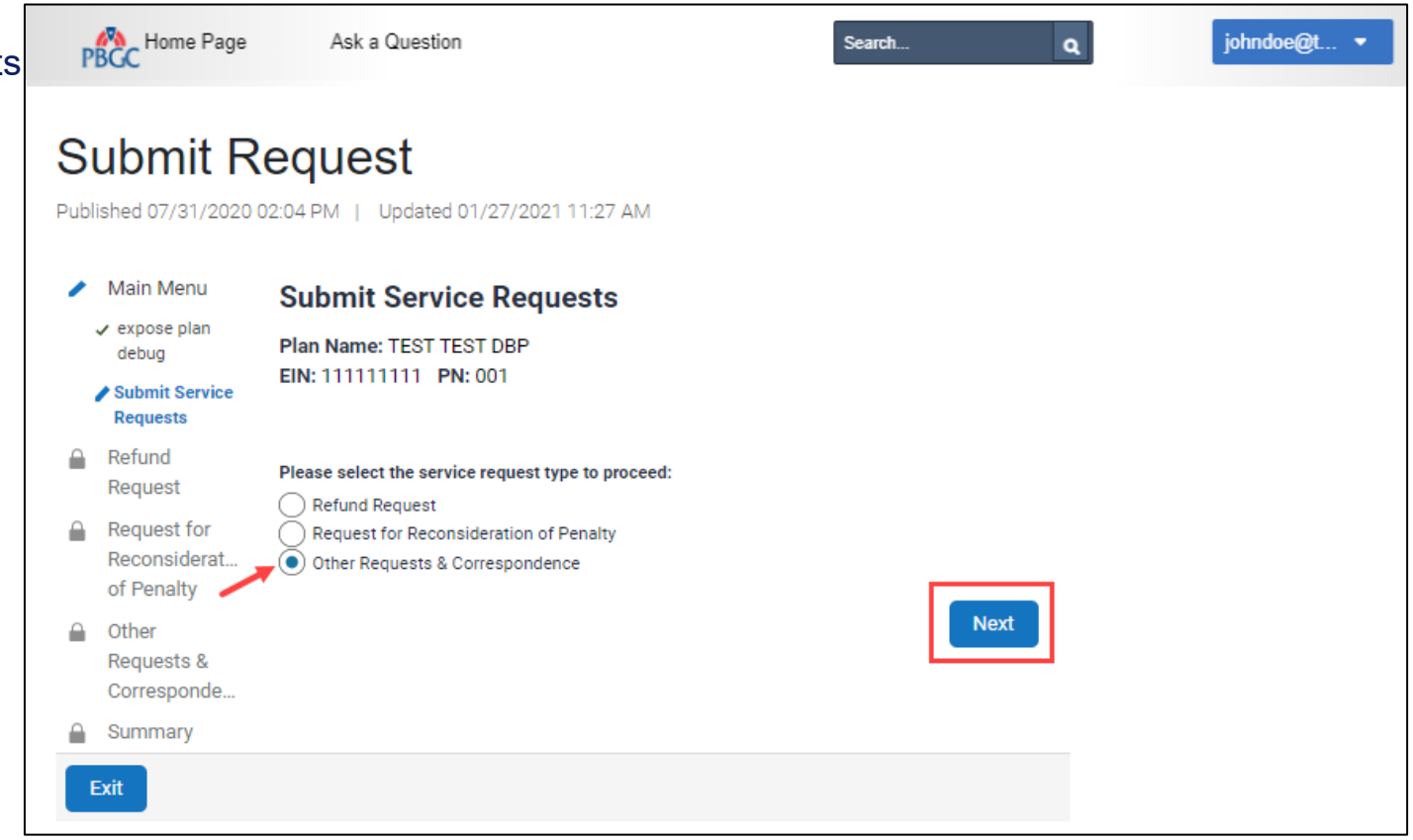


How to Submit Other Requests & Correspondence

Submit Request Page

Other Request & Correspondence

- Select the “Other Requests & Correspondence” radio button and click on the “Next” button.
- This option is available to respond to any correspondence that may have been received from the PBGC, request a premium-related action from the PBGC, or you may simply provide informational material to the PBGC pertaining to your plan.

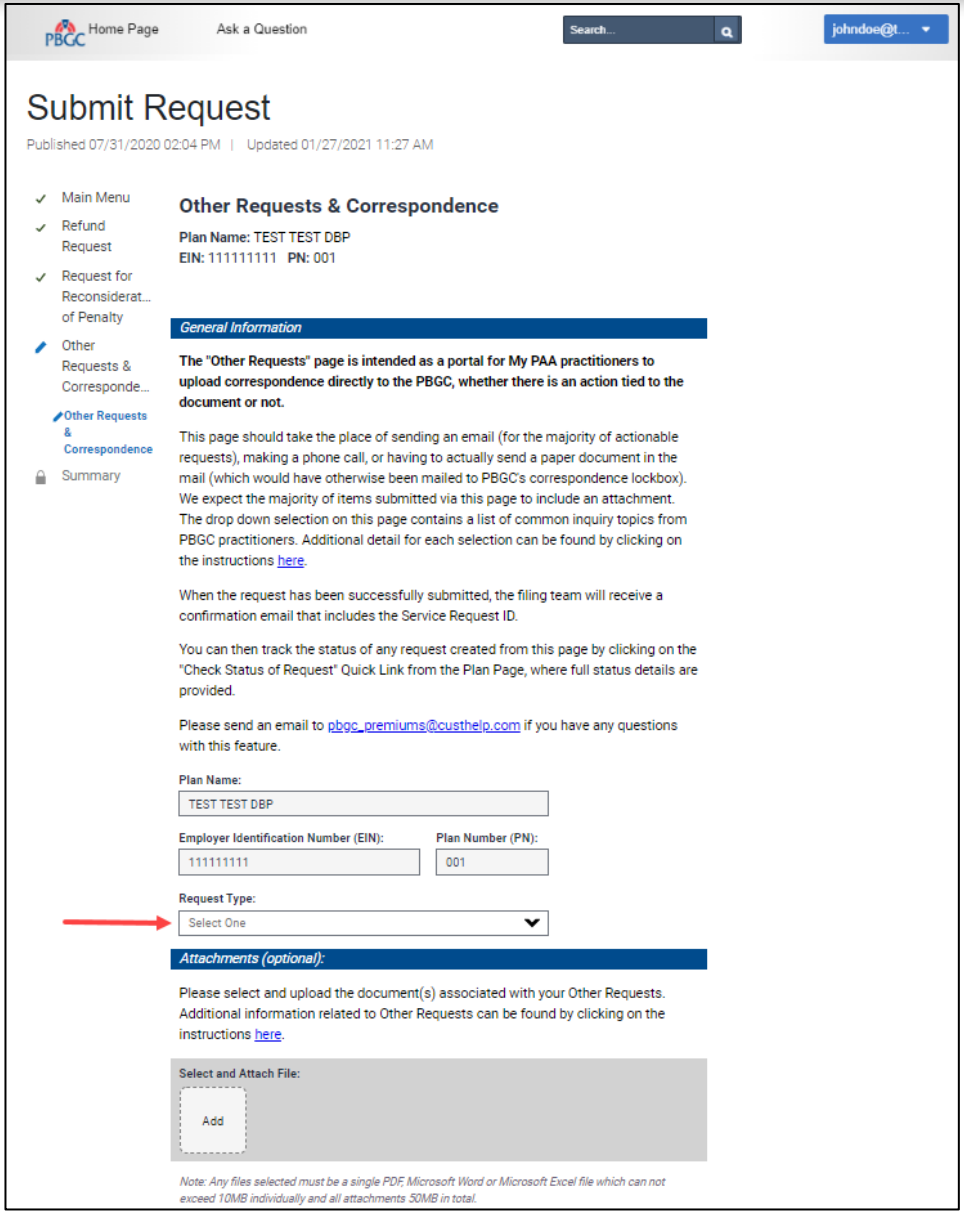


How to Submit Other Requests & Correspondence

Submit Request Page

Other Request & Correspondence

- Select the request type you are submitting to the PBGC.
  - Response to “Statement of Account”
  - Response to “Past Due Filing Notice”
  - Response to ERISA 4071 Penalty Assessment
  - Response to “Notice of Filing Error”
  - Other Correspondence – PBGC response required
  - Other correspondence – No PBGC response required
  - Request re: Lookback Rule
  - Submit Pre-2014 Paper Filings / 2020 CSEC
- After you have selected the request type you are submitting to the PBGC, scroll down to input more information, which is continued on the next slide.

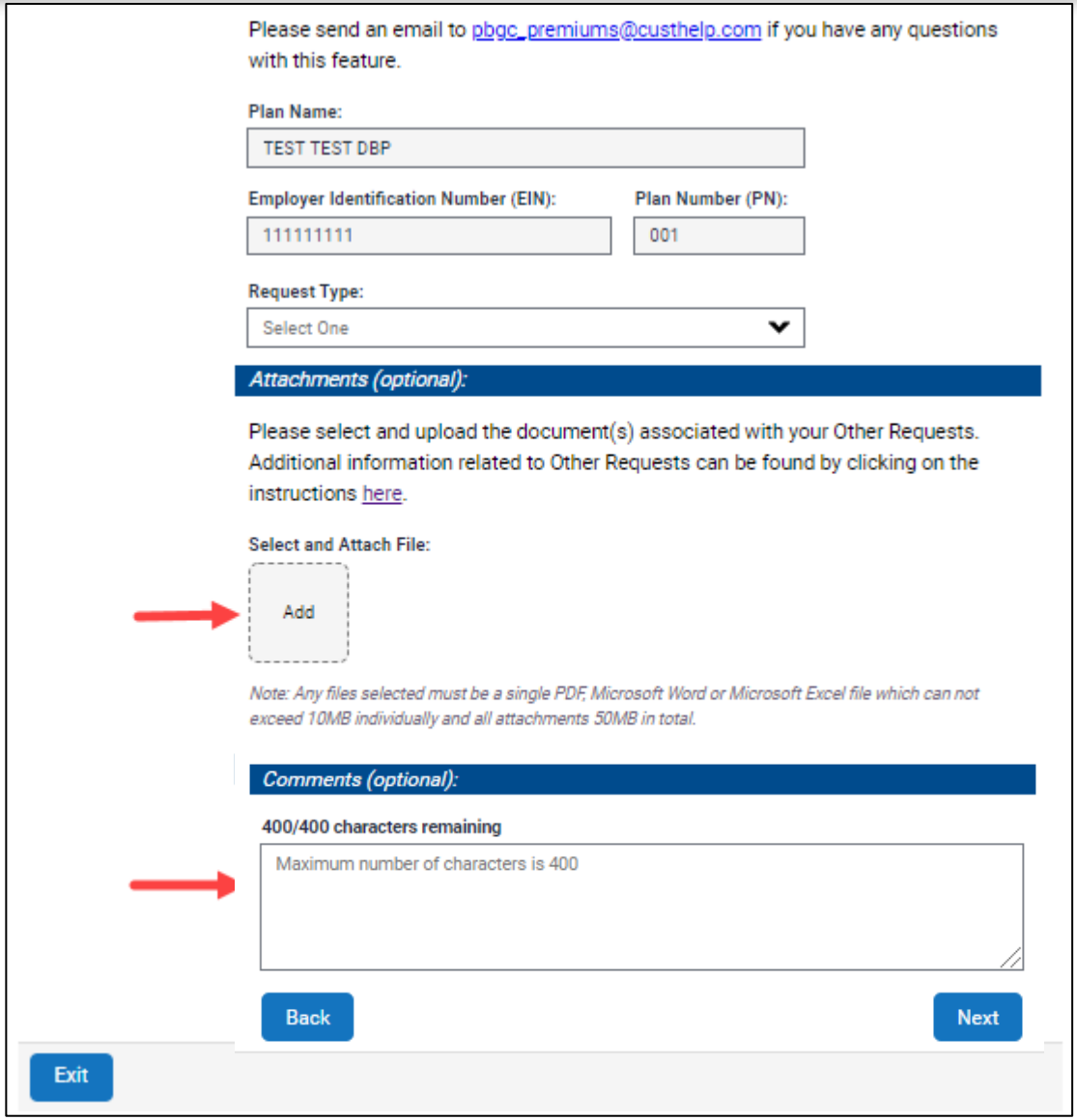


How to Submit Other Requests & Correspondence

Submit Request Page

Other Request & Correspondence

- You can add additional attachments to your request.
  - You may upload multiple files.
  - PDF, Microsoft Word and/or Excel files are accepted.
  - File may not exceed 10MB individually and 50MB in total.
- You may provide additional comments with your request. Comments may not exceed 400 characters.
- Although the attachment(s) and comments are optional, please provide one or the other, so the PBGC Premium Customer Support staff can better assist you with your needs.
- Once all the fields have been completed, click the “Next” button.

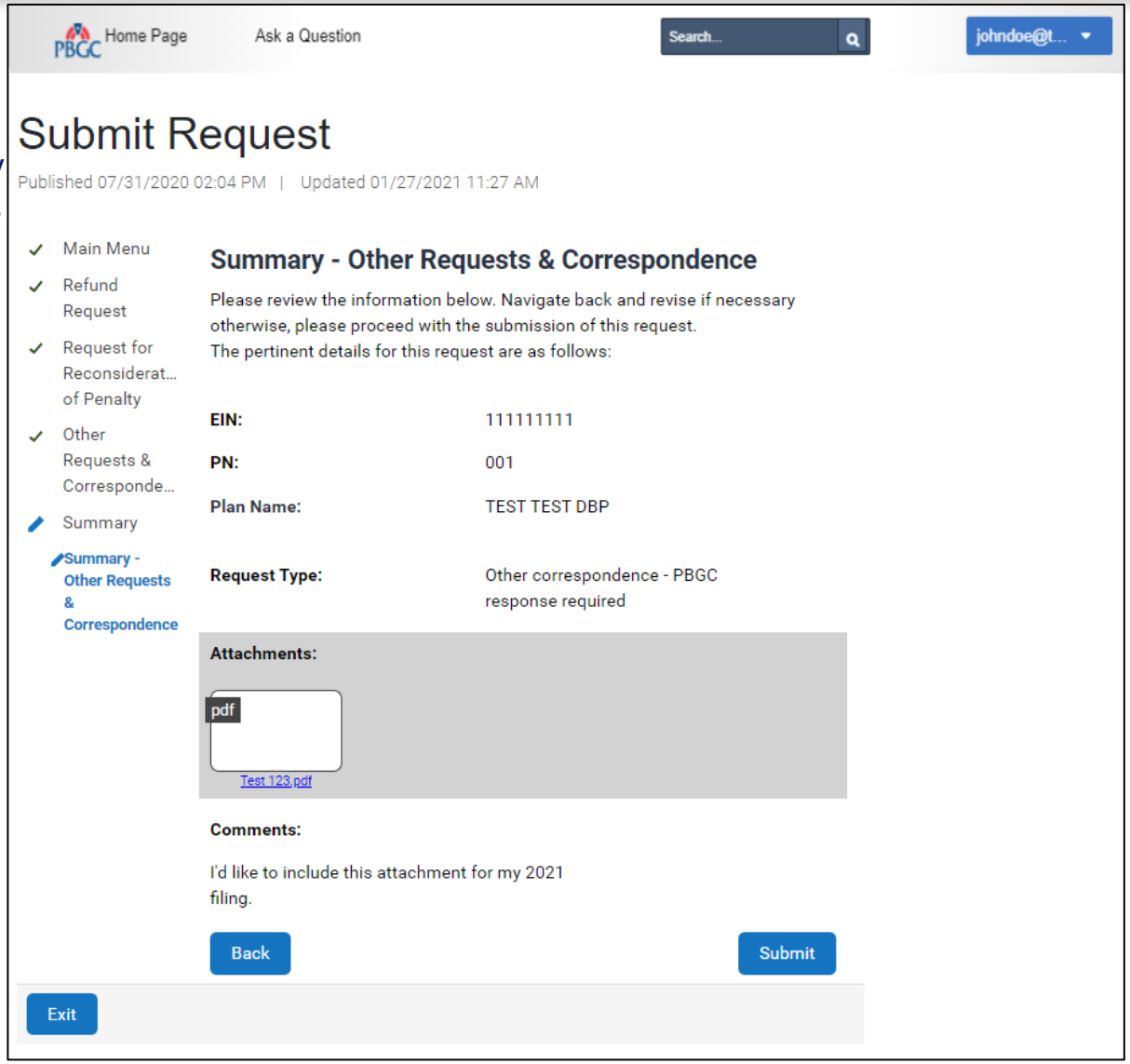


How to Submit Other Requests & Correspondence

Submit Request Page

Other Request & Correspondence

- Summary of your request will display based on the input from the previous screen.
- Please ensure the information is accurate, then click the “Submit” button.



How to Submit Other Requests & Correspondence

Submit Request Page

Confirmation

- Once the request has been successfully submitted, you will be able to track the request on the “Check Status of Request” Page from the Plan Details Page.
- If you have additional comments, you may also refer to your Account Activity History.
  - Please refer to How to View My PAA Account Activity History Demo for more information.
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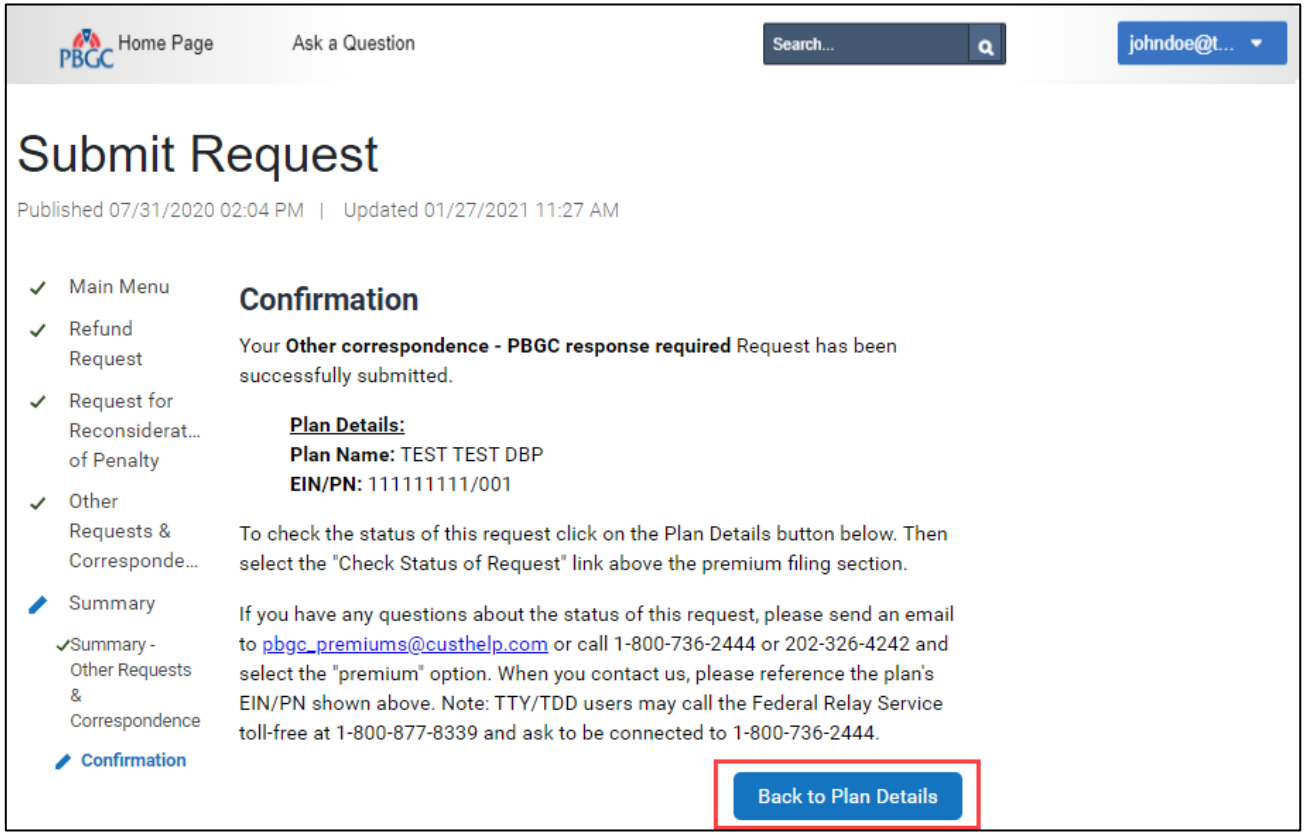
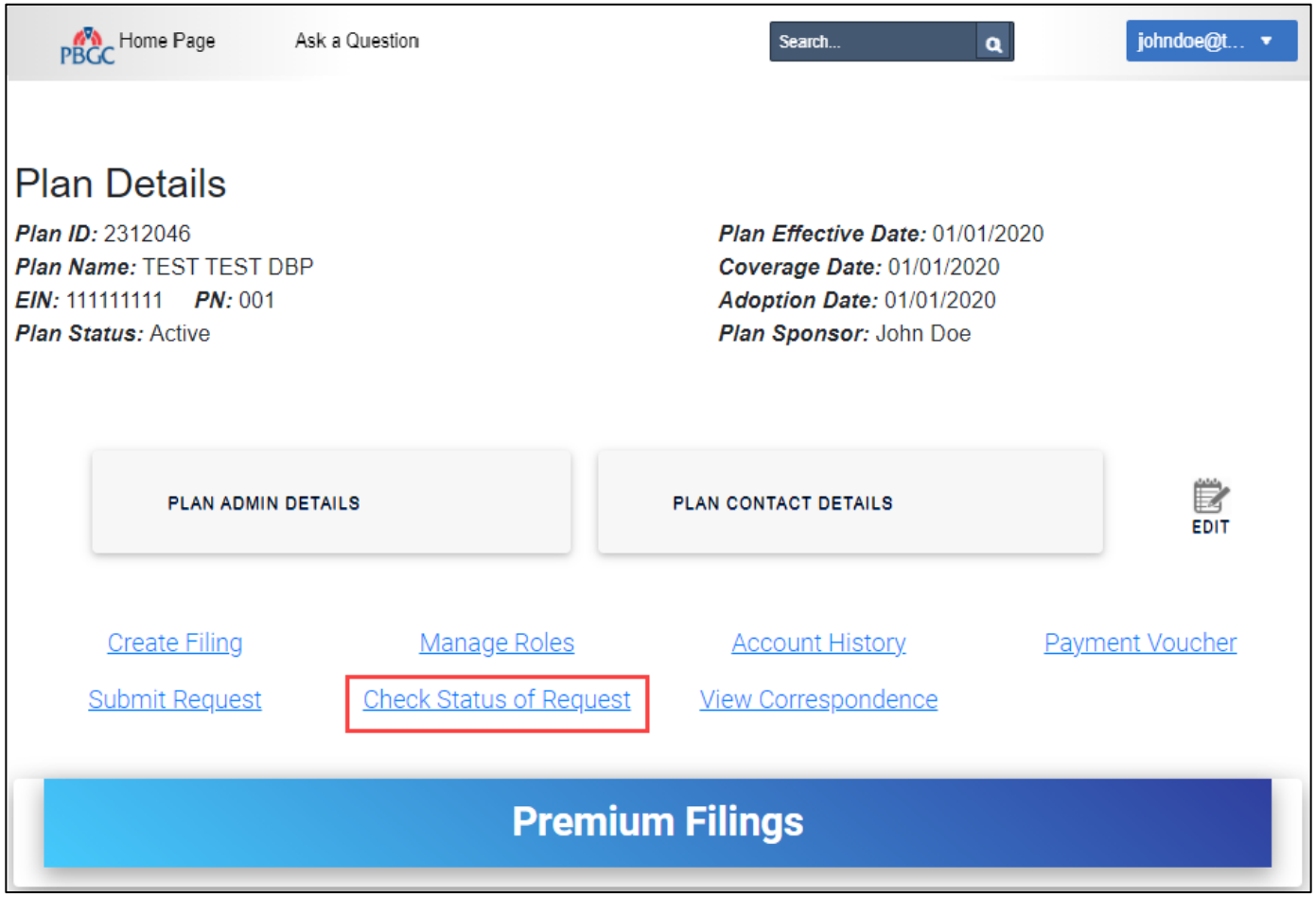


How to View the Status of the Request (e.g., Refund, RFR, etc.)

Plan Details Page

- Once you are the on the Plan Details Page for the appropriate plan, click on the “Check Status of Request” link.
- This will provide a list of all requests submitted to PBGC after 12/31/2017.



How to View the Status of the Request (e.g., Refund, RFR, etc.)

Check Status of Request Page

- If you have any questions pertaining to items listed in this chart, please click on “Ask a Question” in the top of the toolbar and include the request ID. You may also refer to your Account Activity History, and directly respond to the open action listed.
  - Please refer to How to View My PAA Account Activity History Demo for more information.
- Generally, items with a “Complete” status should have an associated letter, viewable from the View Correspondence link on the Plan Details Page.
- It is common for plans to not have any items listed on the page. The phrase, “No results found.” will appear in the table.