THOMSON REUTERS®

RS E-FILE GUIDE

FOR TAX YEAR 2020

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CHAPTER 1: USING RS E-FILE

In order to successfully e-file any tax return or form, the return's forms to be e-filed must first be computed and a qualified XML file generated in Organizer.

THE E-FILE VIEWER

Returns and extensions are transmitted to the IRS as XML files. These XML files can be reviewed in the RS Browser using the E-file Viewer function. The XML files can also be downloaded for your review and record keeping,

The E-file Viewer presents the contents of your XML files in Acrobat (*.PDF) format and organized according to the IRS and state provided schemas. Stylesheets are no longer used to superimpose the federal XML file over the tax form images. Instead, the XML file contents are now displayed with identifying information pulled directly from the schemas.

- The E-file Viewer does not depend on IRS-provided stylesheets to render the tax form image. In the past, stylesheets were not always available from the IRS on a timely basis, nor did they always agree with the latest schemas. Instead of using out-of-date stylesheets, the line numbers, descriptions, and element names are now pulled directly from the most current federal or state schemas.
- Historically, because the states have not provided stylesheets, review of a state e-file could only be accomplished by looking at the raw XML file. The PDF format, used by the new E-file Viewer, is available for all states.
- The descriptions in the PDF file rely on working links to provide supporting schema details. Blue underlined hyperlinks make navigation to supporting documents, such as other forms or schedules, trouble-free.
- Each page of the PDF file includes the taxpayer name, federal ID number (FEIN), page number, and the date the XML file was created.
- PDF bookmarks provide a way to quickly jump to specific forms or supporting details. Where multiple forms or schedules are included, the number of forms and schedules are indicated parenthetically, and the bookmark can be expanded to list each form and schedule.
- Shortcut keys are available as an aid to navigation. For example, type **Alt + Left Arrow** to return to the previous view.

- Unlike the stylesheets, the PDF file is searchable using the Find feature. For example, an element name that is found in a validation error can be entered in the field and searched for quickly. Knowing the context of the data can help resolve validation issues.
- You can access the E-file Viewer more quickly, especially when loading large XML files. You no longer need to exit the return to view either the XML or PDF file.
- You can use the E-file Viewer to save the PDF file on your local machine.

ACCESSING THE E-FILE VIEWER

You can access E-file Viewer on the menu ribbon on the **Returns** page. The E-file Viewer feature allows you to review the return's e-file schema in both PDF and XML formats. A PDF file was automatically created when you clicked the **Create E-file** button to create a federal or state e-file. We suggest that you review each return's forms and jurisdictions in E-file Viewer prior to submitting the returns for e-file.

1. To view the XML and PDF files, you do not need to exit the return. Access the **Returns** screen and enter your search criteria. Select a specific return type.

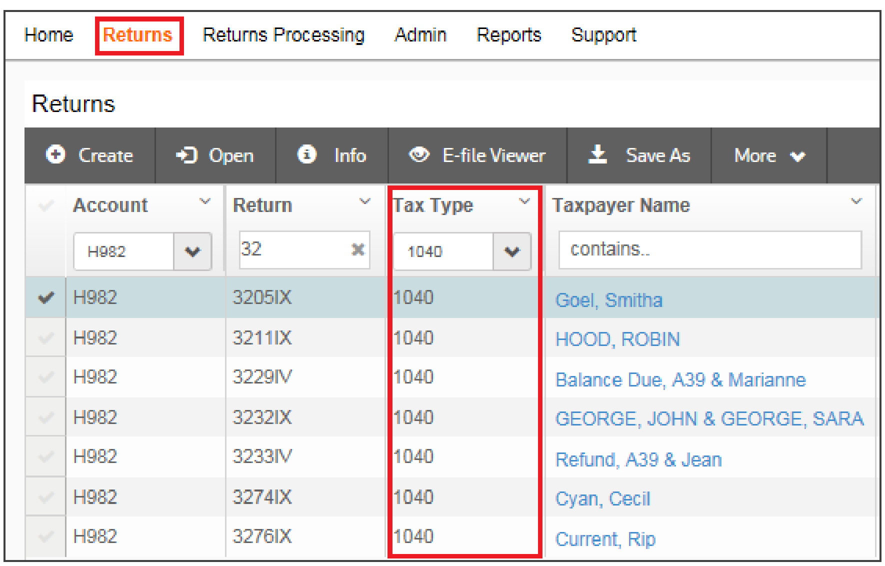


Figure 1:1

2. Place a check mark beside the return's name. Then, on the ribbon above the tax return listing, select **E-file Viewer**.

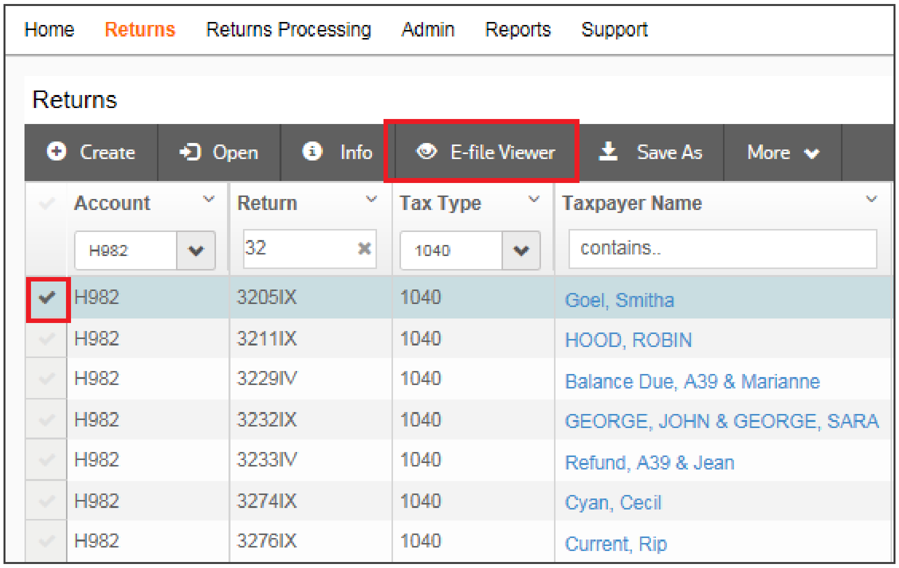


Figure 1:2

Be patient! The E-File Viewer may take time to load.

3. The E-file Viewer opens with two panes. The right pane contains additional information on using the E-file Viewer and does not appear when the PDF or XML file is displayed.

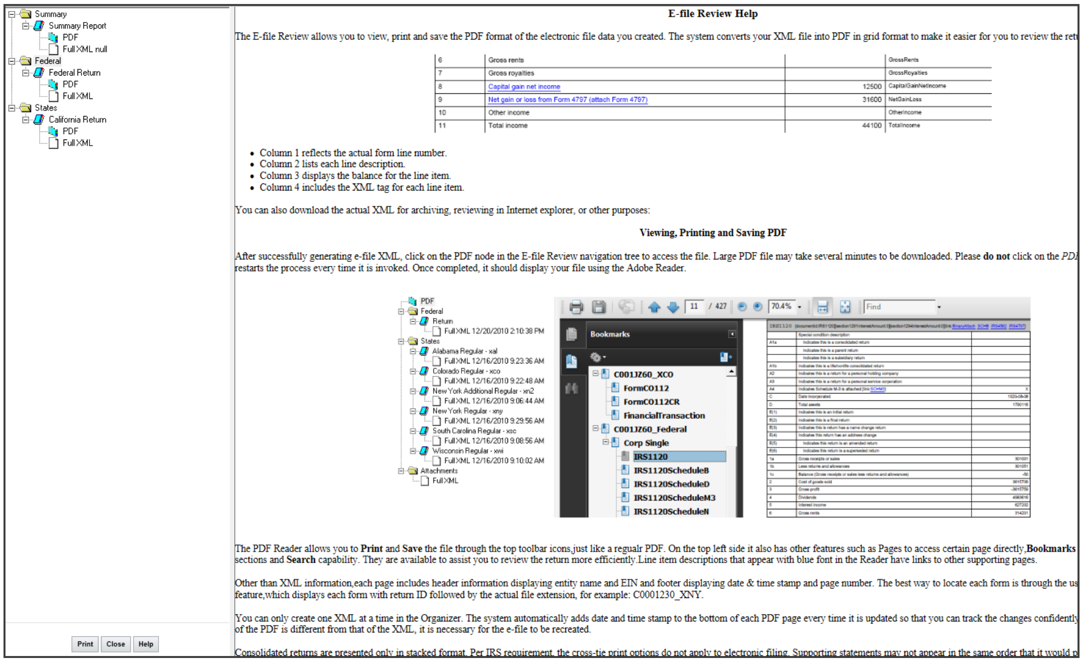


Figure 1:3

4. The left pane in the E-file Viewer contains the navigation tree for viewing the PDF file and the full XML file and allows you to open the full XML and view the PDF for each jurisdiction's e-file schema.

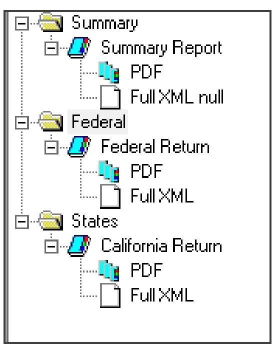


Figure 1:4

OPENING THE E-FILE VIEWER PDF FILE

Click the **PDF** folder to open the PDF file in a separate window. The PDF appears as a grid with columns for line number (if applicable). A description of the schema element, data from the XML file, and schema element name also appear.

The Acrobat toolbar for the PDF appears at the top of the pane:

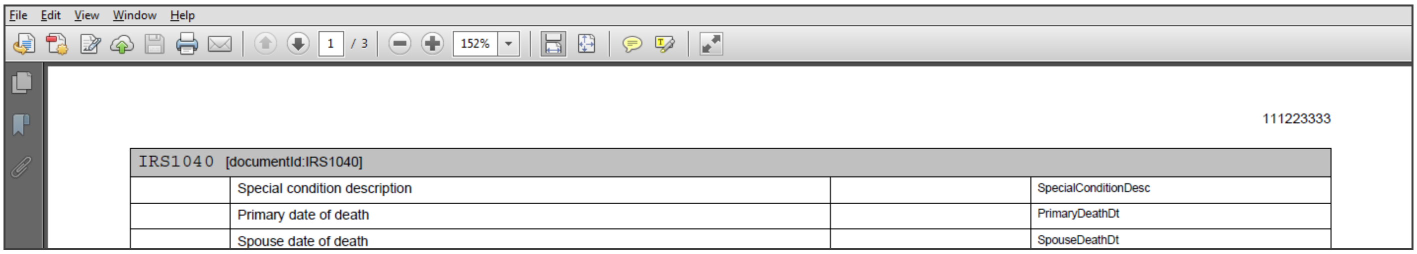


Figure 1:5

The XML header information, such as taxpayer and paid preparer information, is not displayed in the PDF. However, this information can be verified by reviewing the full XML file. Click the file under the **PDF** folder.

Using the Toolbar

You can save or print the PDF file once the E-file Viewer is opened. Save or print in one of two ways:

- from the PDF toolbar at the top of the pane:

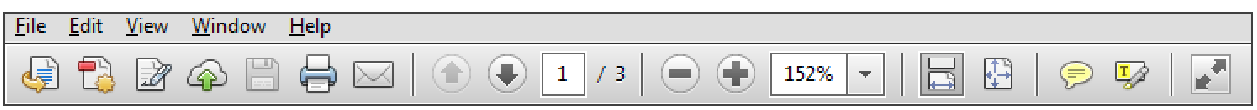


Figure 1:6

- when initializing the PDF file:

Figure 1:7

The toolbar also allows you to do the following:

- send the PDF file in an e-mail (letter icon)
- accessing a page directly by typing a number in the page field on the left (or using the up and down arrows)
- find content by typing a word or phrase in the field at the far right.

Using the E-file Viewer

The PDF grid appears in a separate window when using the E-file Viewer.

111223333

IRS1040 [documentId:IRS1040]			
	Special condition description		SpecialConditionDesc
	Primary date of death		PrimaryDeathDt
	Spouse date of death		SpouseDeathDt
	Special processing literal		SpecialProcessingLiteralCd
	Special processing literal		CombatZoneCd
	Special processing code text		SpecialProcessingCodeTxt
	PECF primary indicator		PECFPrimaryInd
	PECF spouse indicator		PECFSpouseInd
1 thru 5	Individual return filing status cd	1	IndividualReturnFilingStatusCd
3	Spouses name		SpouseNm
3	Non-Resident Alien literal code		NRALiteralCd
4	Head of household qualifying child name		QualifyingHOHNm
4	Head of household qualifying child SSN		QualifyingHOHSSN
6a	Exempt primary indicator	X	ExemptPrimaryInd
6b	Exempt spouse indicator		ExemptSpouseInd
6b	Exempt spouse name		ExemptSpouseNm
6b	Exempt spouse name control		ExemptSpouseNameControlTxt
6	Total exempt primary and spouse count	1	TotalExemptPrimaryAndSpouseCnt
DependentDetail			
6c(1)	Dependent first name		DependentFirstNm
6c(1)	Dependent last name		DependentLastNm
6c	Dependent name control		DependentNameControlTxt
6c(2)	Dependent SSN		DependentSSN

Figure 1:8

PDF GRID VIEW

As shown in the following two figures, each page of the PDF file includes:

1. **taxpayer name**
2. **EIN** or **SSN**
3. **timestamp** when the PDF was created
4. **page number**.

LISA<JAMES 100001001

IRS1040 [documentId:IRS1040]			
	Special condition description		SpecialConditionDescription
	Primary date of death		PrimaryDateOfDeath
	Spouse date of death		SpouseDateOfDeath
	Special processing literal		SpecialProcessingLiteralCd
	Special processing literal		SpecialProcessingLiteralCd2
	Special processing code text		SpecialProcessingCodeTxt
	PECF primary indicator		PECFPrimaryInd
	PECF spouse indicator		PECFSpouseInd
1 thru 5	Individual return filing status cd	1	IndividualReturnFilingStatusCd
3	Spouses name		SpousesName
3	Non-Resident Alien literal code		NRALiteralCd
4	Head of household qualifying child name		QualifyingNameForHOH
4	Head of household qualifying child SSN		QualifyingHOHSSN
6a	Exempt primary indicator	X	ExemptPrimaryInd
6b	Exempt spouse indicator		ExemptSpouseInd
6b	Exempt spouse name		ExemptSpouseName
6b	Exempt spouse name control		ExemptSpouseNameControl
6	Total exempt primary and spouse count	1	TotalExemptPrimaryAndSpouseCnt

DependentInformations

Figure 1:9

17	Rental real estate amount		RentalRealEstateIncomeLossAmt
18	Farm income or loss		NetFarmProfitLossAmt
19	Unemployment compensation amount		UnemploymentCompAmt
20a	Social security benefits amount		SocSecBnftAmt
20b	Taxable amount of social security		TaxableSocSecAmt

11/17/2017 10:40:19 AM Page 1 of 5

Figure 1:10

All schema elements are displayed whether or not they are populated.

6b	Exempt spouse name		ExemptSpouseName
6b	Exempt spouse name control		ExemptSpouseNameControl
6	Total exempt primary and spouse count	1	TotalExemptPrimaryAndSpouseCnt
DependentInformations			
6c(1)	Dependent first name		DependentFirstName
6c(1)	Dependent last name		DependentLastName
6c	Dependent name control		DependentNameControl
6c(2)	Dependent SSN		DependentSSN
6c(2)	Died Literal Code		DiedLiteralCd
6c(3)	Dependent relationship		DependentRelationship
6c(4)	Eligibile for child tax credit indicator		EligibleForChildTaxCreditInd
6c	More than four dependents		NumOfOtherDepdListedInd
6c	Number of children who lived with you count		NumOfChildWhoLivedWithYouCnt
6c	Number of children not living with you count		NumOfChildNotLivingWithYouCnt
6c	Number of other dependents listed count		NumOfOtherDepdListedCnt
6d	Total exemptions count	1	TotalExemptionsCnt
7	Wages salaries and tips amount	45000	WagesSalariesAndTipsAmt
8a	Taxable interest amount		TaxableInterestAmt
8b	Tax-exempt interest amount		TaxExemptInterestAmt
9a	Ordinary F8814 code		OrdinaryF8814Cd
9a	Ordinary F8814 amount		OrdinaryF8814Amt
9a	Ordinary dividends amount		OrdinaryDividendsAmt
9b	Qualified F8814 code		QualifiedF8814Cd
9b	Qualified F8814 amount		QualifiedF8814Amt
9b	Qualified dividends amount		QualifiedDividendsAmt
10	State local income tax refund amount		StateLocalIncomeTaxRefundAmt
11	Alimony received amount		AlimonyReceivedAmt
12	Business income loss amount		BusinessIncomeLossAmt
13	Capital distribution indicator		CapitalDistributionInd
13	Capital gain loss amount		CapitalGainLossAmt
13	Form 8814 code		Form8814Cd
13	Form 8814 amount		Form8814Amt
14	Other Gain Loss Amount		OtherGainLossAmt
15a	IRA distributions amount		IRADistributionsAmt

Figure 1:11

A bar is displayed at the beginning of each form schema. This bar includes the schema name, the document ID associated with the schema, any informational text that might be applicable (for example, the dormant indicator for Form 1040), and links (**blue** underlined text) to any supplemental schemas called by the form but not called by a specific line number.

100001001

IRS1040 [documentId:IRS1040]			
	Special condition description		SpecialConditionDescription
	Primary date of death		PrimaryDateOfDeath
	Spouse date of death		SpouseDateOfDeath
	Special processing literal		SpecialProcessingLiteralCd
	Special processing literal		SpecialProcessingLiteralCd2
	Special processing code text		SpecialProcessingCodeTxt
	PECF primary indicator		PECFPrimaryInd
	PECF spouse indicator		PECFSpouseInd
1 thru 5	Individual return filing status cd	1	IndividualReturnFilingStatusCd
3	Spouses name		SpousesName
3	Non-Resident Alien literal code		NRALiteralCd
4	Head of household qualifying child name		QualifyingNameForHOH
4	Head of household qualifying child SSN		QualifyingHOHSSN
6a	Exempt primary indicator	X	ExemptPrimaryInd
6b	Exempt spouse indicator		ExemptSpouseInd
6b	Exempt spouse name		ExemptSpouseName
6b	Exempt spouse name control		ExemptSpouseNameControl
6	Total exempt primary and spouse count	1	TotalExemptPrimaryAndSpouseCnt
DependentInformations			
6c(1)	Dependent first name		DependentFirstName
6c(1)	Dependent last name		DependentLastName
6c	Dependent name control		DependentNameControl
6c(2)	Dependent SSN		DependentSSN
6c(2)	Died Literal Code		DiedLiteralCd
6c(3)	Dependent relationship		DependentRelationship
6c(4)	Eligibile for child tax credit indicator		EligibleForChildTaxCreditInd
6c	More than four dependents		NumOfOtherDepdListedInd
6c	Number of children who lived with you count		NumOfChildWhoLivedWithYouCnt
6c	Number of children not living with you count		NumOfChildNotLivingWithYouCnt
6c	Number of other dependents listed count		NumOfOtherDepdListedCnt
6d	Total exemptions count	1	TotalExemptionsCnt

Figure 1:12

When the schemas have multiple choice elements, where only one element can be chosen, the descriptions of each choice element are indented. For example, for Method of Accounting, cash, accrual, and other may apply, but only one can be selected.

IRS1040ScheduleC [documentId:IRS1040SchC]			
	Name of proprietor	LISA JAMES	NameOfProprietor
	SSN of proprietor	100001001	SSN
A	Principal Business		PrincipalBusinessActivity
B	Business activity code		BusinessActivityCode
B	Unclassified Establishment Code		UnclassifiedEstablishmentCd
C	Business Name	business name	BusinessName
D	Employer ID Number		EIN
Business US address			
E	Address line 1	100 main street	AddressLine1
E	Address line 2		AddressLine2
E	City	austin	City
E	State	TX	State
E	ZIP code	71000	ZIPCode
Business foreign address			
E	Address line 1		AddressLine1
E	Address line 2		AddressLine2
E	City		City
E	Province or state		ProvinceOrState
E	Country		Country
E	Postal code		PostalCode
F(1)	Method of Accounting - Cash	X	MethodOfAccountingCashInd
F(2)	Method of Accounting - Accrual		MethodOfAccountingAccrualInd
F(3)	Method of Accounting - Other		MethodOfAccountingOtherInd

Figure 1:13

Items, which can occur multiple times, are displayed in consecutive order with a header indicating the beginning of each occurrence. This example displays two separate items that are included in **Dependent Information**.

6a	Exempt primary indicator	X	ExemptPrimaryInd
6b	Exempt spouse indicator		ExemptSpouseInd
6b	Exempt spouse name		ExemptSpouseName
6b	Exempt spouse name control		ExemptSpouseNameControl
6	Total exempt primary and spouse count	1	TotalExemptPrimaryAndSpouseCnt
DependentInformations			
6c(1)	Dependent first name	JOHN	DependentFirstName
6c(1)	Dependent last name	JAMES	DependentLastName
6c	Dependent name control	JAME	DependentNameControl
6c(2)	Dependent SSN	400000020	DependentSSN
6c(2)	Died Literal Code		DiedLiteralCd
6c(3)	Dependent relationship	SON	DependentRelationship
6c(4)	Eligible for child tax credit indicator	X	EligibleForChildTaxCreditInd
DependentInformations			
6c(1)	Dependent first name	SALLY	DependentFirstName
6c(1)	Dependent last name	JAMES	DependentLastName
6c	Dependent name control	JAME	DependentNameControl
6c(2)	Dependent SSN	400000021	DependentSSN
6c(2)	Died Literal Code		DiedLiteralCd
6c(3)	Dependent relationship	DAUGHTER	DependentRelationship

Figure 1:14

Hyperlinks (**blue** underlined text) are available to jump to supporting details. For example, if a detail exists for *Other Income* on line 21, the description will have a hyperlink (circled in **red** below).

			10000100
19	Unemployment compensation amount		UnemploymentCompAmt
20a	Social security benefits amount		SocSecBnftAmt
20b	Taxable amount of social security		TaxableSocSecAmt
21	Net operating loss literal code		NetOperatingLossCd
21	Net operating loss (NOL) deduction amount		NetOperatingLossDeductionAmt
21	Total other income amount [link:1040OITypeStmt]	300	TotalOtherIncomeAmt
21	Protective Sec108i ELCRecord Ind		ProtectiveSec108iELCRecordInd
22	Total income amount	245300	TotalIncomeAmt
23	Educator Expenses amount		EducatorExpensesAmt
24	Business expenses reservists others amount		BusExpnsReservistsAndOthersAmt
25	Health savings account deduction		HealthSavingsAccountDedAmt
26	Moving expenses amount		MovingExpensesAmt
27	Deductible part of self-employment tax [link:IRS1040SchSE]	9303	EmplrEquivalentPrtnSETaxAmt
28	Self-employed Sep Simple qualified plans amount		SelfEmpldSepSimpleQlfyPlansAmt
29	Self-employed health insurance deduction amount		SelfEmpldHealthInsDedAmt
30	Early withdrawal penalty		PnltyOnErlyWthdrwOfSavingsAmt
AlimonyAmountGrp			
31a	Alimony Amount		AlimonyPaidAmt
31b	Recipient socials security number		RecipientsSSN
31a	Total alimony paid		TotalAlimonyPaidAmt
32	IRA Deduction amount		IRADeductionAmt

Figure 1:15

Click the hyperlink to view the supporting detail. This example displays the first item included in *Other Income*.

OtherIncomeTypeStatement [documentId:1040OITypeStmt]			
OtherIncomeTypeStmt			
	Other income literal code		OtherIncomeLitCd
	Other income code text	other misc income	OtherIncomeCodeTxt
	Other income amount	100	OtherIncomeAmt
OtherIncomeTypeStmt			
	Other income literal code		OtherIncomeLitCd
	Other income code text	other misc income second	OtherIncomeCodeTxt
	Other income amount	200	OtherIncomeAmt
IRSPayment [documentId:IRSPayment]			
	Routing Transit Number	011900254	RoutingTransitNumber
	Bank Account Number	000123456789	BankAccountNumber
	Type of Account	1	AccountType
	Payment Amount in Whole Dollars	74576	PaymentAmount
	Requested Payment Date	2013-09-12	RequestedPaymentDate
	Taxpayer's Daytime Phone Number	8769890988	TaxpayerDaytimePhone
BinaryAttachment [documentId:BinaryAttach]			
	Document Type	PDF	DocumentType
	Description	Art Appraisal	Description
	Attachment Location - short filename without path	9110EE_KY Form740.pdf	AttachmentLocation

Figure 1:16

BOOKMARK VIEW

The Bookmark view lists the form and schedule schemas included in the PDF file. Click the second icon (circled in **red**) to open this view.

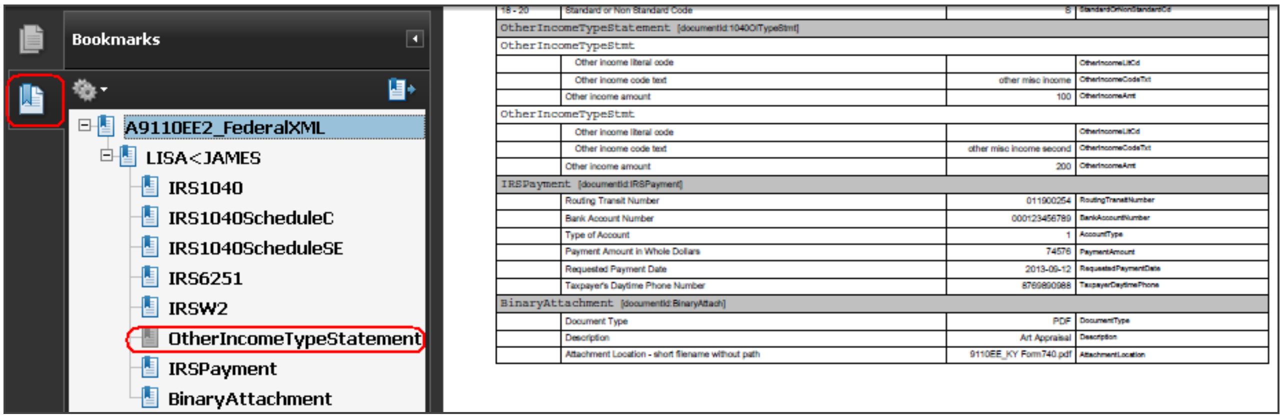


Figure 1:17

Click each form or schedule schema to take you to that specific section in the PDF file.

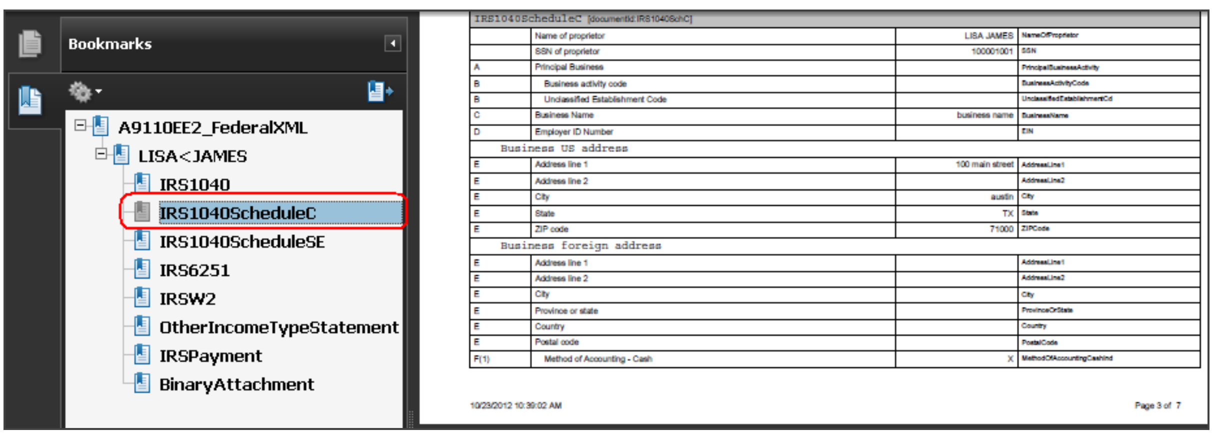


Figure 1:18

As shown below, a form, such as Schedule C, can have multiple instances. The total number of forms is shown inside a parenthesis (3). Also, a plus sign is displayed next to the file name when more than one instance of the form exists in the PDF file. Click the plus sign to expand the list and see that each file has a unique identify number (such as IRS1040SchCN1, IRS1040SchCN2, IRS1040SchCN3, and so forth). The first instance of the form is the item shown with the parenthesis, while the second instance has N1 at the end of the description. Click the bookmark to go to the instance of that form.

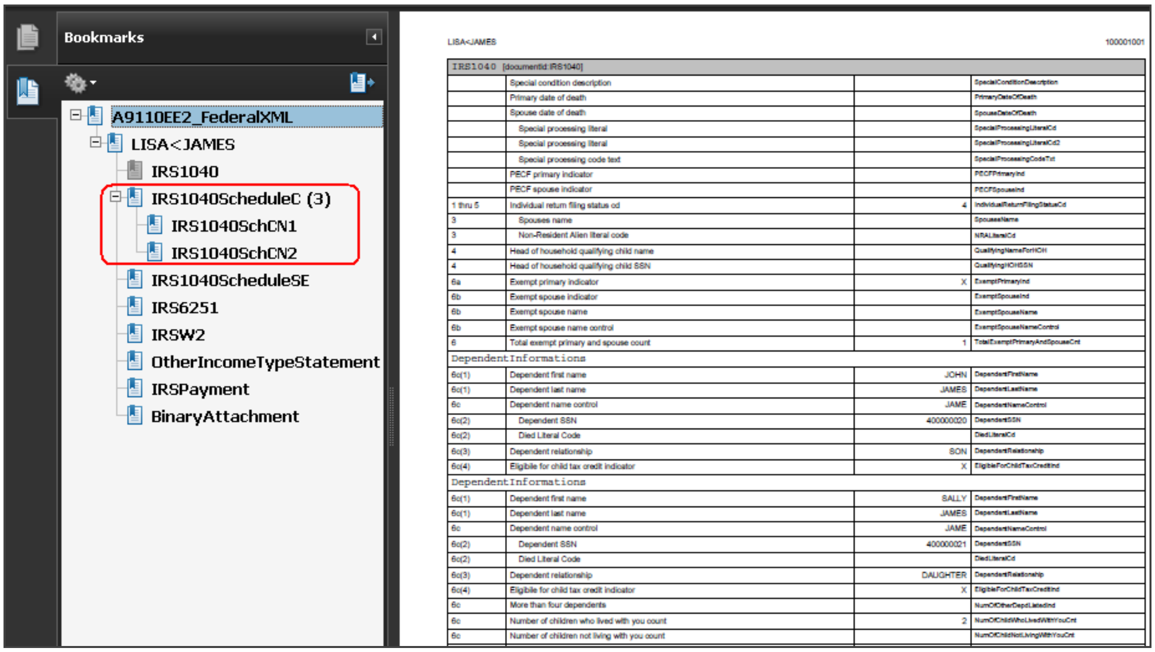


Figure 1:19

OPENING THE E-FILE VIEWER XML FILE

1. Click the full XML file found beneath the jurisdiction folder. The complete XML data appears.

Figure 1:20

2. You can print the full XML by clicking the **Print** button at the bottom of the XML page.

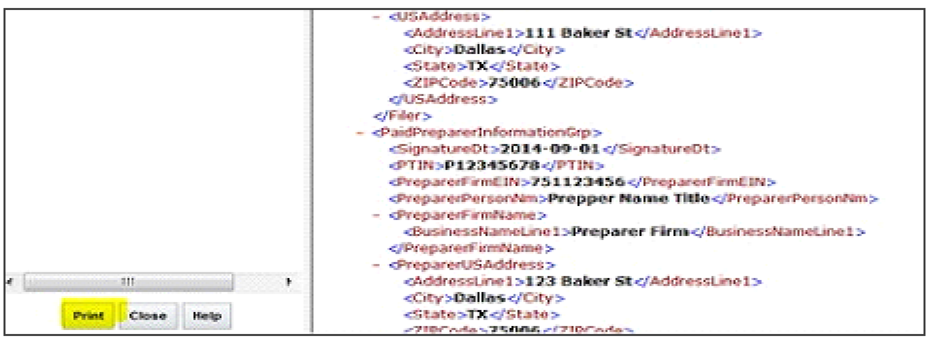


Figure 1:21

USING THE E-FILE SUMMARY REPORT

The **E-file Summary Report** displays key amounts from both the locator and XML e-file side by side for each jurisdiction that is qualified for e-file to enable review of any differences of the key amounts.

> Even if there are differences, the return can still be submitted for e-file. This is only an alert that the return has been computed subsequent to the last e-file XML creation with different results for key amounts.

There are two places where the E-file Summary Report can be viewed.

E-file Viewer

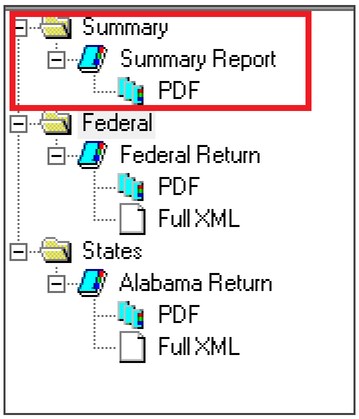


Figure 1:22

Click the **PDF** folder to open the PDF file in a separate window.

Tax Form	Form Field	E-file Value	Tax Return Value
Federal - 1040	AGI	50000	50000
Federal - 1040	Direct Deposit	364	364
Federal - 1040	Refund	364	364
Federal - 1040	Taxable Income	39600	39600
Federal - 1040	Total Payments	7000	7000
Federal - 1040	Total Tax	6636	6636

Figure 1:23

E-file Submission (Returns Processing > E-file > Return)

If the amounts match between the locator and the e-file, the **E-file Status** will be *Qualified*.

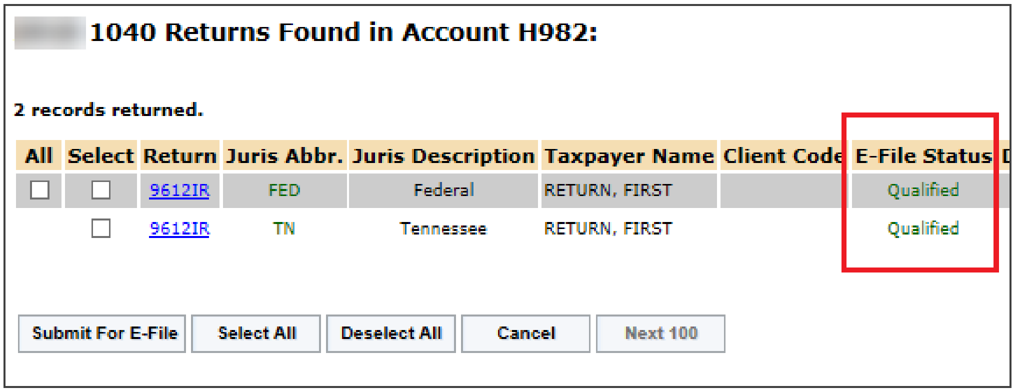


Figure 1:24

1. If any of the key amounts shown do not match between the locator and the e-file (for example, when the amounts in the locator have changed but a new e-file was not created), the e-file status on RS Browser shows as *Qualified – Mismatch* instead of *Qualified*.

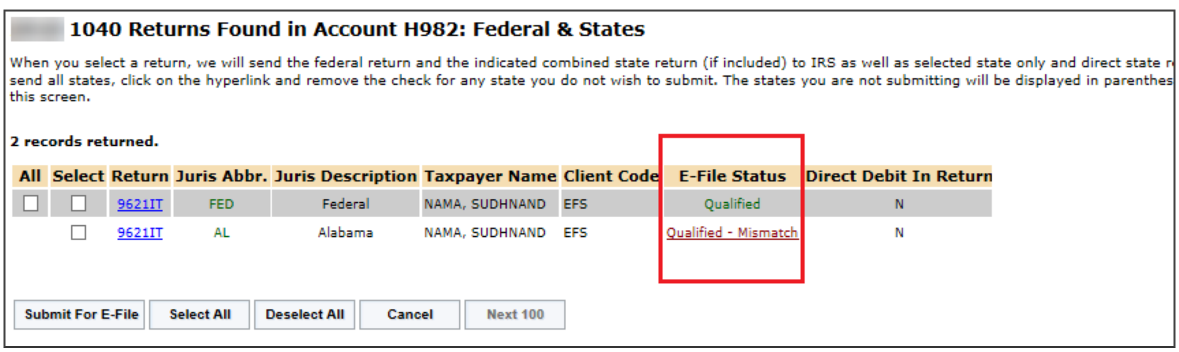


Figure 1:25

2. Click the *Qualified – Mismatch* status to show the **E-file Summary Report**, which highlights any differences in **red**.

Close

E-file Summary Report for Jurisdiction AL			
Tax Form	**Field**	**E-file XML Value**	**Tax Return Value**
ALABAMA-NR	AGI	85000	85000
ALABAMA-NR	Direct Deposit	0	21452
ALABAMA-NR	Refund	21452	21452
ALABAMA-NR	Taxable Income	71767	71767
ALABAMA-NR	Total Payments	25000	25000
ALABAMA-NR	Total Tax	3548	3548

Figure 1:26

The return can still be submitted for e-file if the e-file status is *Qualified Mismatch*. This is only an alert that the return has been computed subsequent to the last e-file XML creation with different results for key amounts.

3. To resolve any differences between the e-file and the tax return values, open the locator and re-create the e-file XML file.

SUBMITTING E-FILED RETURNS

After reviewing the return in E-file Viewer and Info, you are ready to e-file the return.

Selecting Returns

1. Go to **Returns Processing > E-file > Select Returns**.

2. Make your **Account**, **Year**, **Tax Type** and **Limit List** size options. If your return has a client code, enter that also in order to refine your results. By using the **Assigned To:** option, you can limit the size of the resulting return list even further.

3. You can see the full list of returns available for e-file by choosing *All E-File Types* (not limited to any particular Form) or *All E-File Extensions* (no particular Extension Form).

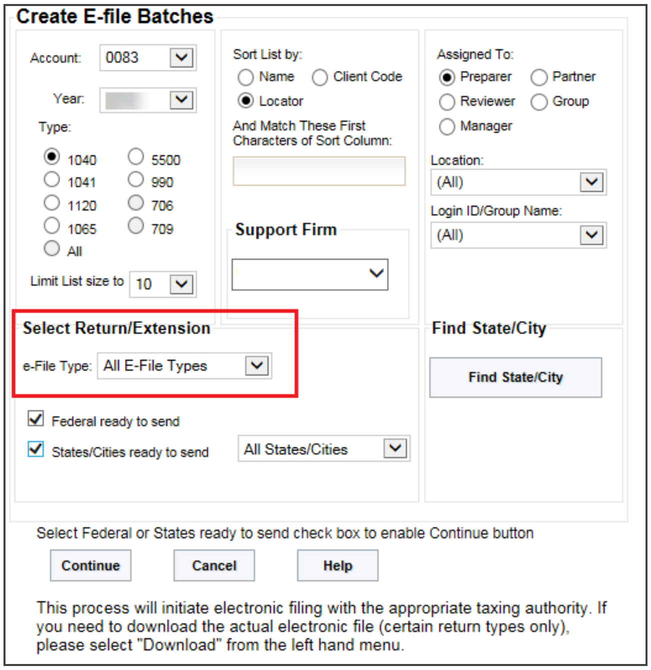


Figure 1:27

Selecting Federal and State Options

1. Specific federal and/or state options are listed in the drop-down lists for each jurisdiction type – by federal or by states or both. Use this option when you want to narrow the results shown.

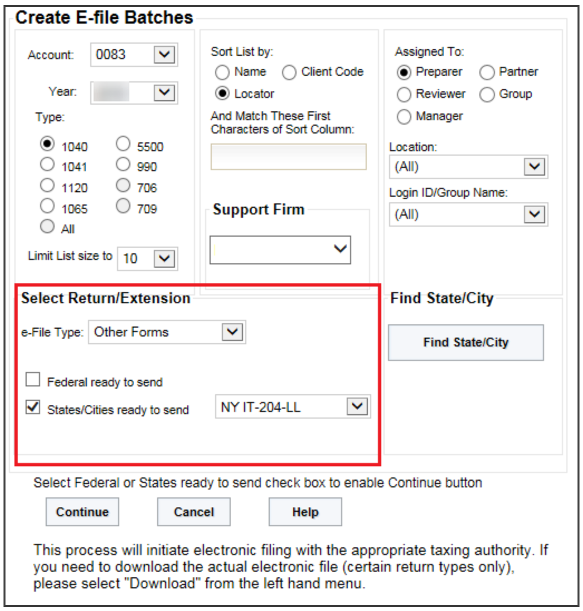


Figure 1:28

2. To help you quickly find a specific file to submit to any taxing authority, use the **Find State/City** option.

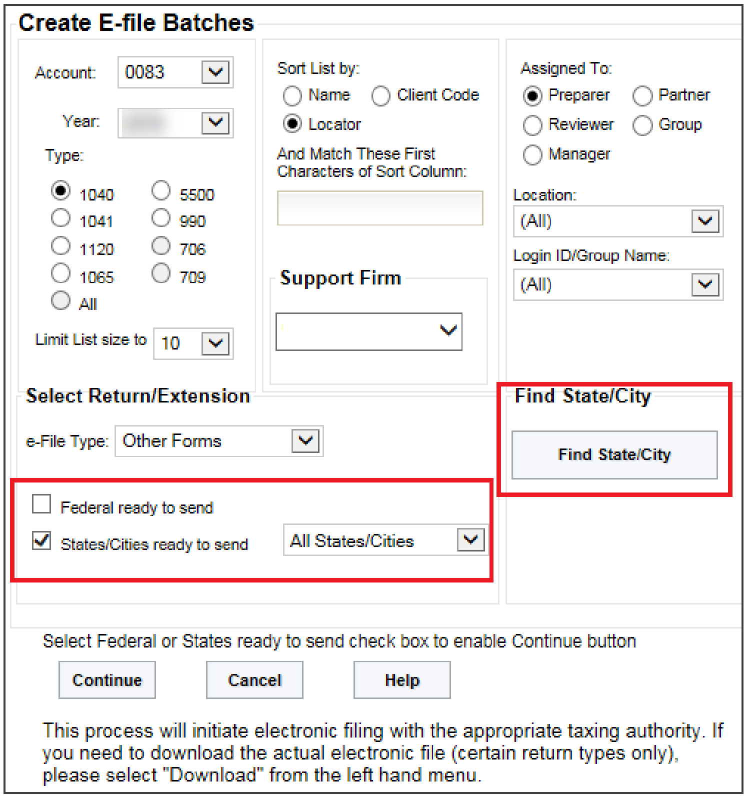


Figure 1:29

3. Choose the jurisdiction you want to e-file in the drop-down list (based on the tax type selected in the basic criteria section above). For our example, we will focus on the 1120 New York state forms list and the IT 204-LL Return.

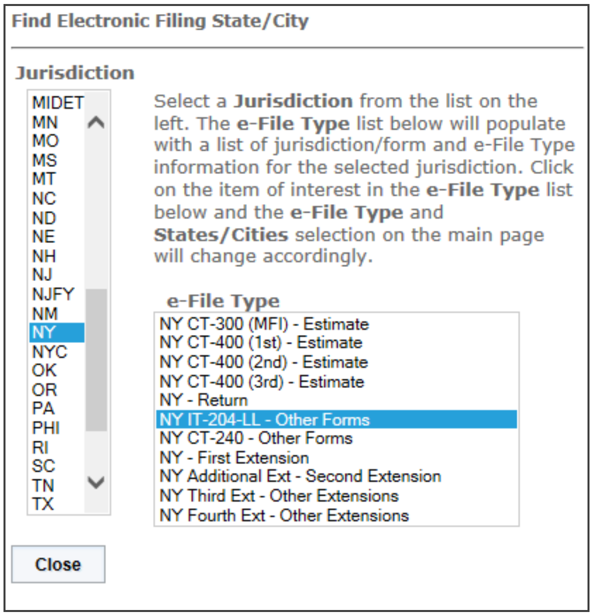


Figure 1:30

4. The **Select Returns/Extension** options will immediately change to the **Other Forms Display e-File Type** and the NY IT-204-LL tax return option.

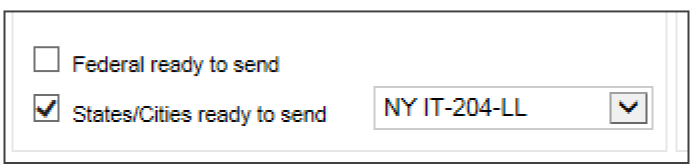


Figure 1:31

5. If this is the return type and jurisdiction you want to e-file, check the box for the **States/Cities ready to send**. Then click **Continue**, and the list of New York IT 204-LL returns that are qualified and ready to send will show on the next page. For *Qualified Mismatch* status, see **Using the E-file Summary Report (page 14)**.

6. You can submit the NY IT 204-LL by using one of three options:
   - Check the **All** check box.
   - Check the **Select** check box.
   - Right-click the **Return ID** number.
7. In this illustration we will check the **Select** box and click the **Submit For E-file** button below the return list. When multiple forms are to be selected, the *Select All* option may be convenient.

Figure 1:32

8. The qualified XML file(s) will be submitted to the proper taxing authorities, and a status will automatically be displayed showing the e-file processing stages as the return goes through the submission processes.

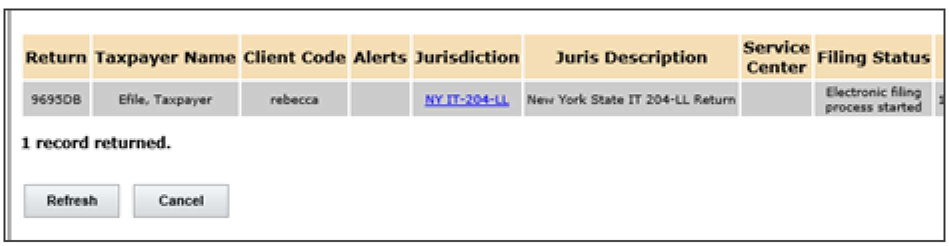


Figure 1:33

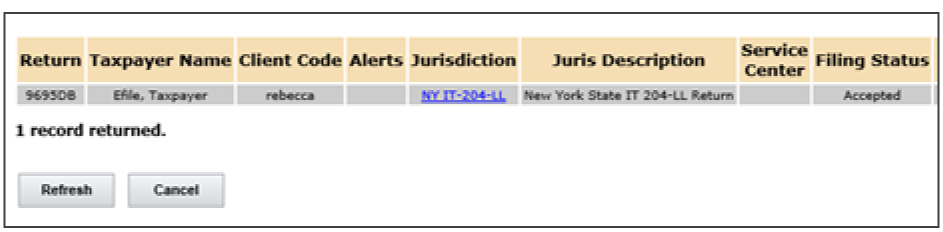


Figure 1:34

STATUSES, CUMULATIVE HISTORIES, AND ACKNOWLEDGMENTS

Batch Status

Once a return is e-filed, Thomson Reuters begins tracking the stages the return goes through before final acceptance.

One way to review the e-file processing stages is as follows:

1. Select **Returns Processing > E-file > Batch Status**.
2. The **Batch Status** options will default to your login ID, today's date, *All Years*, and *All Return types*. Use the drop-down lists to refine your choices:

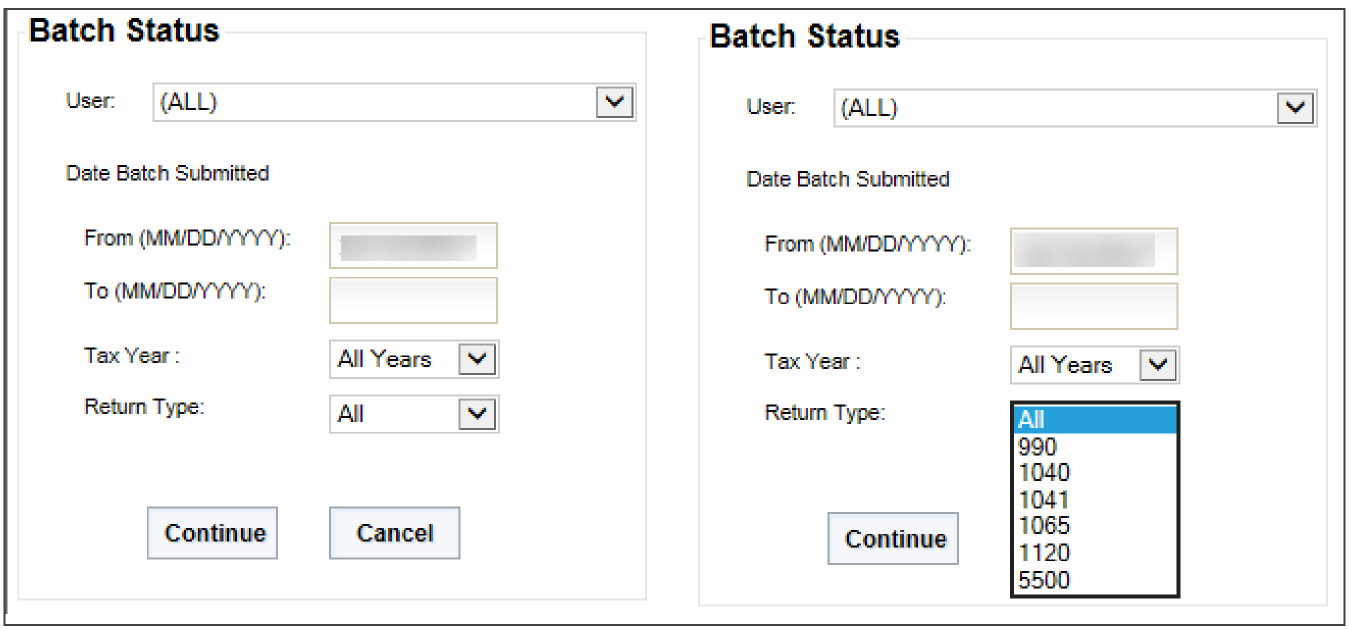


Figure 1:35

3. The batch ID and batch detail will appear based on your criteria. Double-click the batch ID hyperlink, and the e-file processing status will display.

E-file Batches Found:

Date/Time	Tax Year	Tax Type	Submitted By	Items	Batch ID
[illegible]	[illegible]	1120		1	74891

1 batch found.

Cancel

Figure 1:36

EFILE ELF Status for Batch ID 74891:

Return	Taxpayer Name	Client Code	Alerts	Jurisdiction	Juris Description	Service Center	Filing Status
8474IV	Galaxy Industries, Inc.			FED	Federal		Awaiting acknowledgement

1 record returned.

Figure 1:37

Cumulative E-File History

When you double-click any jurisdiction hyperlink on the **E-file Batch Status** list, a **Cumulative History** report will appear showing current and previous e-file histories for that particular jurisdiction.

The following shows the Batch Status Report and Cumulative History for the recently submitted return:

Cumulative e-File History

Federal	
Locator:	8474IV
Taxpayer Name:	Galaxy Industries, Inc.
Return Type:	1120, C
Submitted Date:	
Acknowledgement Date:	
Status:	Awaiting acknowledgement
Submission ID:	75771420163425000175

Print Close

Figure 1:38

After the state has processed the NY IT 204-LL, it will send the *Accepted* notification to Thomson Reuters. We will update the Batch Status and Cumulative History Reports to show the acceptance.

EFILE ELF Status for Batch ID 305207:

Return	Taxpayer Name	Client Code	Alerts	Jurisdiction	Juris Description	Service Center	Filing Status
9695DB	Efile, Taxpayer	rebecca		NY IT-204-LL	New York State IT 204-LL Return		Accepted

1 record returned.

Electronic Filing -- Webpage Dialog

Cumulative e-File History

New York State IT 204-LL Return	
Locator:	9695DB
Taxpayer Name:	Efile, Taxpayer
Return Type:	1040
Submitted Date:	
Acknowledgement Date:	
Status:	Accepted
Submission ID:	12345620152745000000

Print Close

Figure 1:39

RETURN INFORMATION E-FILE TAB

Another way to review the Cumulative History for a jurisdiction is on the returns list where the specific returns are shown.

1. Select **Returns** on the top menu. Enter the criteria and options for finding your e-filed return.
2. Place a check mark next to the return to activate it.
3. Select **Info**.
4. Select the **E-filing** tab and review the results.

5. Select the jurisdiction hyperlink to show the Cumulative History again.

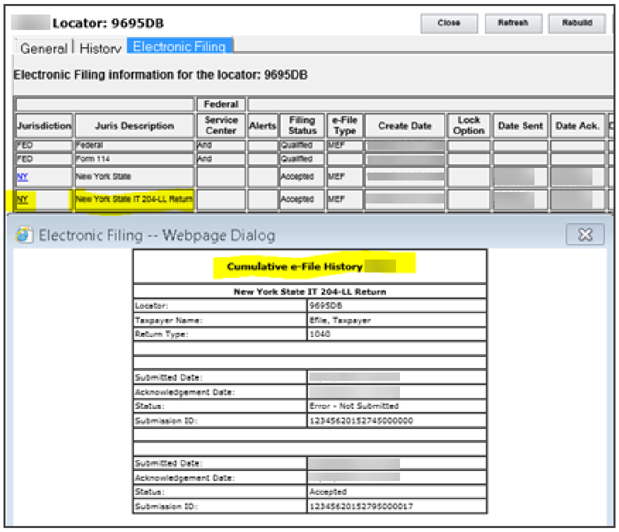


Figure 1:40

The **e-Filing** tab contains the following information:

- jurisdiction code
- jurisdiction name
- service center for federal
- alerts
- filing status (see note below)
- e-file type
- creation date
- lock option
- date sent
- date acknowledged
- DCN

- debts
- PIN (federal)
- EIC (federal)
- direct debit acknowledgment received
- direct debit in locator.

Click the **filing status** to display a printable summary of the e-file, including the following information:

- report date
- account number
- tax type
- taxpayer name
- locator number
- tax year
- federal
- severity of error
- form number
- form occurrence number
- field sequence number
- page number
- message
- rule number
- XML path
- error message, including links to the e-file reject help system for more information.

E-file Status Report

The **E-file Status Report** is found in under the **Returns Processing > E-file** menu or the **Reports** menu. This report displays the status on a return-by-return basis of the various stages of e-filed returns and returns that are not yet ready to be e-filed.

Search for returns and jurisdictions on the E-file Status Report as follows:

1. Go to **Reports > E-file Status Report** to enter your search criteria and options.

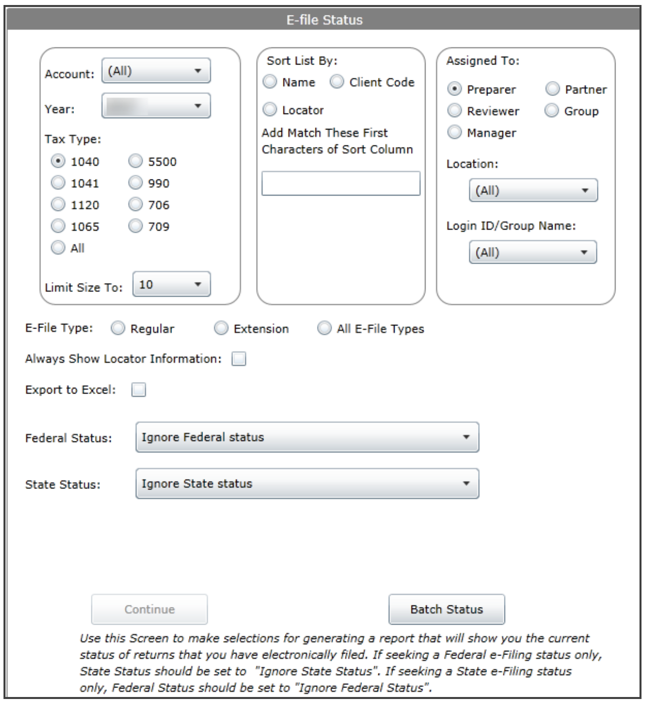


Figure 1:41

2. Choose the search criteria, sorting and filtering choices that will give you the information you want.

3. Make choices for either or both federal and states jurisdictions at the bottom of the **E-file Status Report** options page.

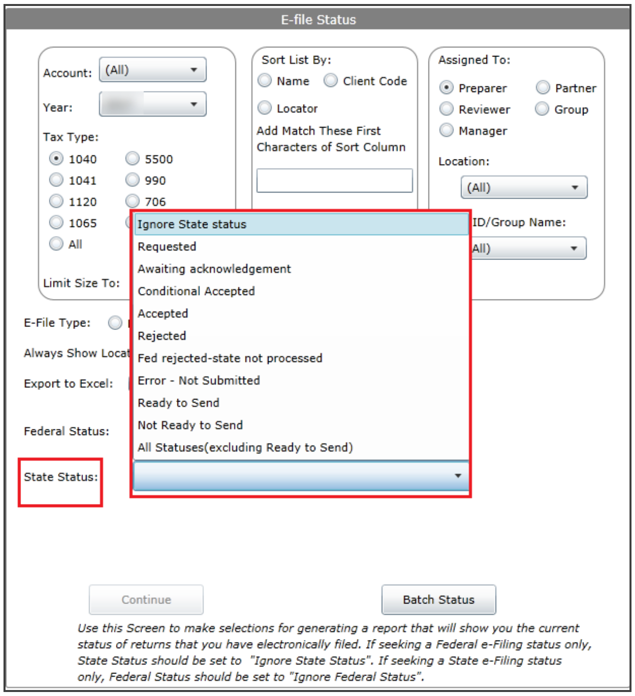


Figure 1:42

4. Listed below are the federal and/or state search options and what they do:

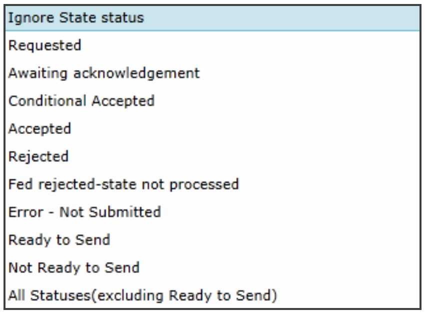


Figure 1:43

- **Ignore Federal** or **Ignore State**: This option lets you further refine your search criteria and limits the time and volume of data produced in the Status Report.
- **Requested**: This option shows the jurisdictions that have been acknowledged but have not yet been reviewed by the taxing authority.
- **Awaiting Acknowledgment**: This option will show you which returns and jurisdiction have been successfully transmitted but have not yet been through the receiving process of the taxing authority.
- **Conditional Accepted**: The return is accepted with conditions.
- **Accepted**: Choose this option to list the returns and jurisdictions that have been successfully transmitted and accepted by the taxing authorities.
- **Rejected**: Choose this option to see which jurisdictions have been submitted to the correct taxing authority and have been rejected by them. When returns show with this status, you must correct the reason for the rejection and resubmit the tax form.
- **Fed rejected - state not processed**: If the federal return and state return are submitted together, and the federal return is rejected, the state return will not be processed. The following 1040 states require that the federal return be filed with the state return: Alabama (residents only), Arizona, Arkansas, Kansas, Michigan (only if federal 8879 is used), Mississippi, Oklahoma.
- **Error - Not Submitted**: This status will list returns that encountered errors during the transmission of submitted jurisdictions. Returns with this status will need to be resubmitted to the taxing authorities.
- **Ready to Send**: Qualified jurisdictions not yet submitted will be shown on the report when this option is chosen.

- **Not Ready to Send**: This option will show you which returns and jurisdictions still have e-file diagnostics in the return's Organizer or other disqualifications that prevent them from being successfully e-filed.
- **All Statuses (excluding Ready to Send)**: This option will show you all of the returns that have been submitted for e-file and all the current statuses for each jurisdiction within each submitted return.

E-FILE STATUS REPORT RESULTS

- Option chosen: **Error Not Submitted**

  This option is for both federal and state jurisdictions for both returns and extensions (All E-file Types). This option will list the submitted returns that, for any reason, cannot finish the submission process.

Figure 1:44

- Option chosen: **Accepted** status for both federal and states looks like this:

Export Report To PDF

1120 Returns Found in Account

Total Record Count : 7

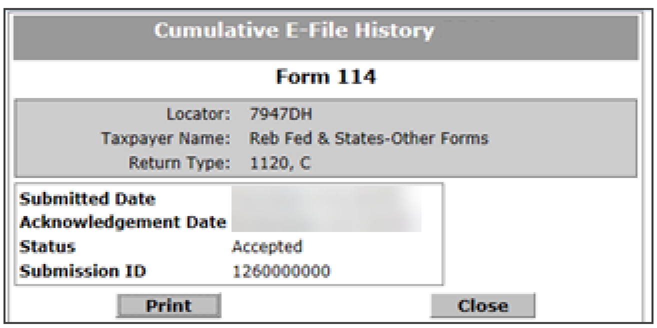
** - This indicator is an acknowledgement that the jurisdiction has received direct debit information. Please note that not all jurisdictio

*** - Federal Only

Locator	Tax Type	Taxpayer Name	Client Code	Alerts	Juris Abbr.	Juris Description	E-File Status
7947DH	1120	Reb Fed & States-Other Forms	rebecca		FED	Federal FBAR	Accepted
9801AW	1120	Rebecca 1120 Single for 10-4.1	reb		FED	Federal Extension	Accepted
4791IQ	1120	Rebecca 3rd 1120 Single	Rebecca		FED	Federal	Accepted
0841BV	1120	Rebecca Efile States One at a Time	Rebecca		FED	Federal	Accepted
6292GM	1120	Rebecca's 1120S	Rebecca		FED	Federal	Accepted
7570HY	1120	Rebecca's 1120S	Rebecca		FED	Federal	Accepted
6362GM	1120	Rebecca's Second 1120S	Rebecca		AL	Alabama PTEC	Accepted

Figure 1:45

Clicking the hyperlink on a listed jurisdiction abbreviation will display the Cumulative History Report for the selected jurisdiction.



Cumulative E-File History

Form 114

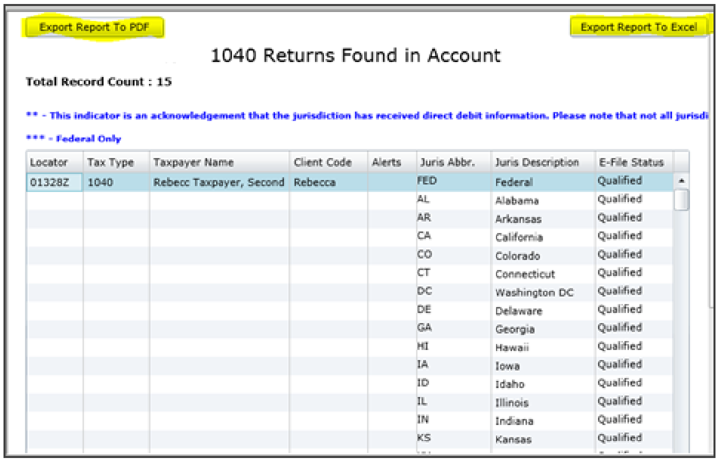
Locator: 7947DH
Taxpayer Name: Reb Fed & States-Other Forms
Return Type: 1120, C

Submitted Date	
Acknowledgement Date	
Status	Accepted
Submission ID	1260000000

Print Close

Figure 1:46

- Option chosen: **Ready to Send** for both federal and states produces a Status Report like this:



Locator	Tax Type	Taxpayer Name	Client Code	Alerts	Juris Abbr.	Juris Description	E-File Status
01328Z	1040	Rebecc Taxpayer, Second	Rebecca		FED	Federal	Qualified
					AL	Alabama	Qualified
					AR	Arkansas	Qualified
					CA	California	Qualified
					CO	Colorado	Qualified
					CT	Connecticut	Qualified
					DC	Washington DC	Qualified
					DE	Delaware	Qualified
					GA	Georgia	Qualified
					HI	Hawaii	Qualified
					IA	Iowa	Qualified
					ID	Idaho	Qualified
					IL	Illinois	Qualified
					IN	Indiana	Qualified
					KS	Kansas	Qualified

Figure 1:47

You can export this report to a PDF format or an Excel spreadsheet.

- Option chosen: **Not Ready to Send** – states only for All Tax Types

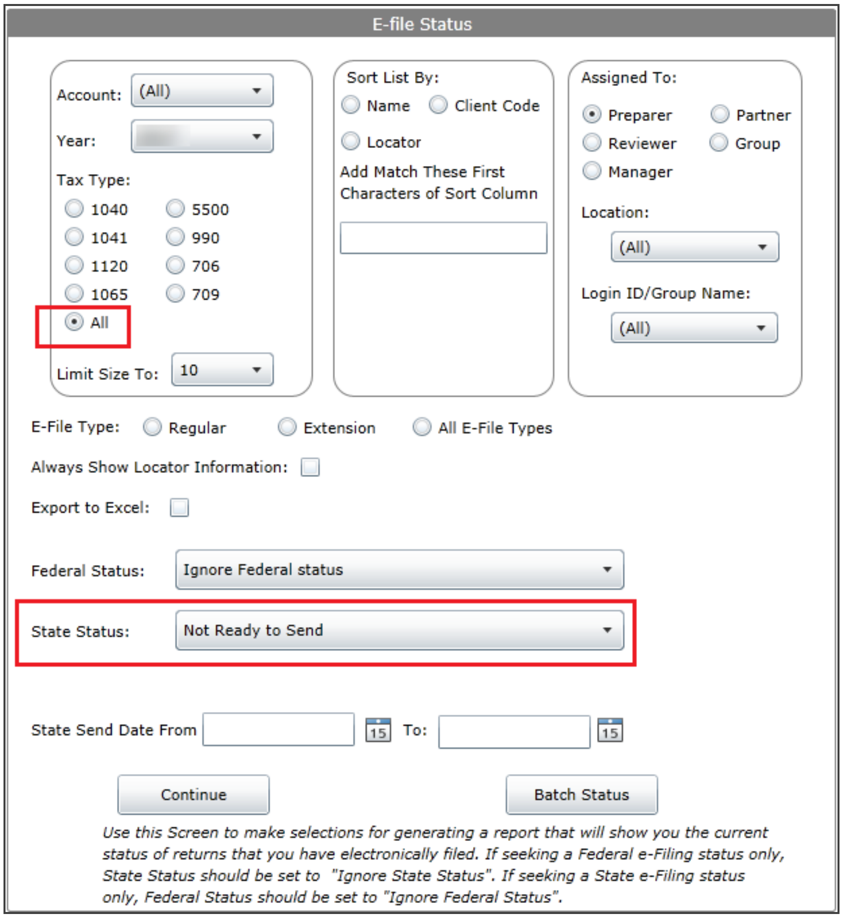
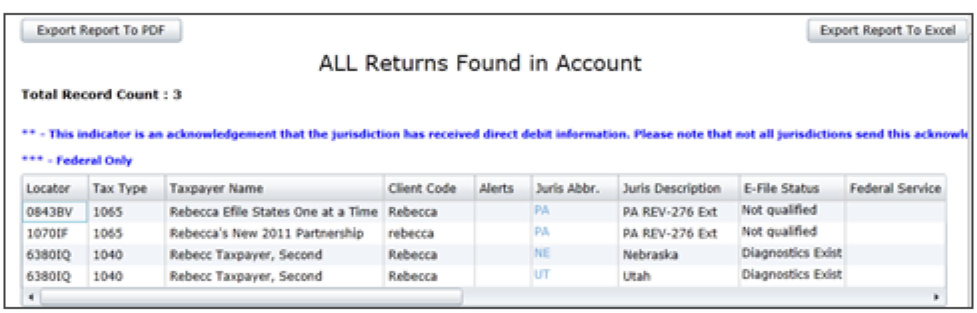


Figure 1:48



Export Report To PDF | Export Report To Excel

ALL Returns Found in Account

Total Record Count : 3

** - This indicator is an acknowledgement that the jurisdiction has received direct debit information. Please note that not all jurisdictions send this acknowl

*** - Federal Only

Locator	Tax Type	Taxpayer Name	Client Code	Alerts	Juris Abbr.	Juris Description	E-File Status	Federal Service
0843BV	1065	Rebecca Efile States One at a Time	Rebecca		PA	PA REV-276 Ext	Not qualified	
1070IF	1065	Rebecca's New 2011 Partnership	rebecca		PA	PA REV-276 Ext	Not qualified	
6380IQ	1040	Rebecc Taxpayer, Second	Rebecca		NE	Nebraska	Diagnostics Exist	
6380IQ	1040	Rebecc Taxpayer, Second	Rebecca		UT	Utah	Diagnostics Exist	

Figure 1:49

CHAPTER 2: 1065/1120 MANDATORY STATE MEMBERS E-FILE REQUIREMENT

Currently the states of Alabama and New York Business Returns (tax types 1065 and 1120) require that all members of a consolidated group (parent, subsidiary, etc.) must be submitted separately for e-file. When a lower member return containing either of these two states are brought into an upper level consolidated return and qualified for e-file, not only does the top level return have to be submitted for e-file, but each of the lower members of the group must be qualified and submitted as well.

To do this, we have included a search feature unique for those two states. To e-file either Alabama or New York, go to the **Returns Processing > E-file > Select Returns** menu.

CONSOL DISPLAY OPTION

1. On the **Select Returns/Extension** options, choose the **Consol Display Type** and the **Return E-file Type** as shown below:

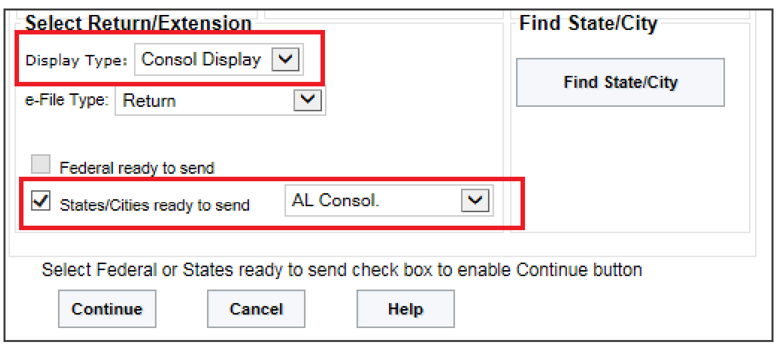
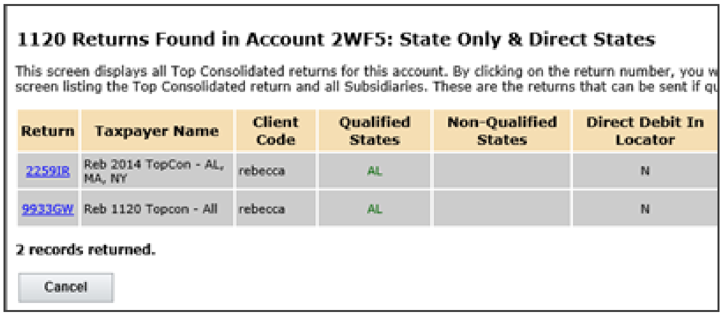


Figure 2:1

2. The results will display the top and member returns for either Alabama or New York. In this case, only the Alabama consolidated returns will show since Alabama was selected on the previous page.



1120 Returns Found in Account 2WF5: State Only & Direct States

This screen displays all Top Consolidated returns for this account. By clicking on the return number, you w
screen listing the Top Consolidated return and all Subsidiaries. These are the returns that can be sent if qu

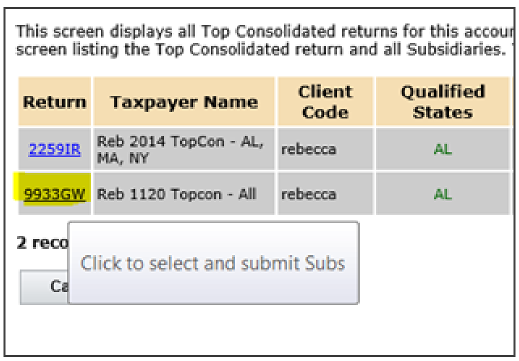
Return	Taxpayer Name	Client Code	Qualified States	Non-Qualified States	Direct Debit In Locator
2259IR	Reb 2014 TopCon - AL, MA, NY	rebecca	AL		N
9933GW	Reb 1120 Topcon - All	rebecca	AL		N

2 records returned.

Cancel

Figure 2:2

3. In order to submit the Alabama consolidation return along with the lower members, you MUST click the hyperlink of the **top consolidated** return.



This screen displays all Top Consolidated returns for this accour
screen listing the Top Consolidated return and all Subsidiaries.

Return	Taxpayer Name	Client Code	Qualified States
2259IR	Reb 2014 TopCon - AL, MA, NY	rebecca	AL
9933GW	Reb 1120 Topcon - All	rebecca	AL

2 reco

Ca

Click to select and submit Subs

Figure 2:3

4. On the next page, the Alabama return will be shown along with the **Select** check mark or hyperlink option.

5. When the return is selected, click the **Submit For E-File** button to complete the Alabama consolidated e-file submission process.

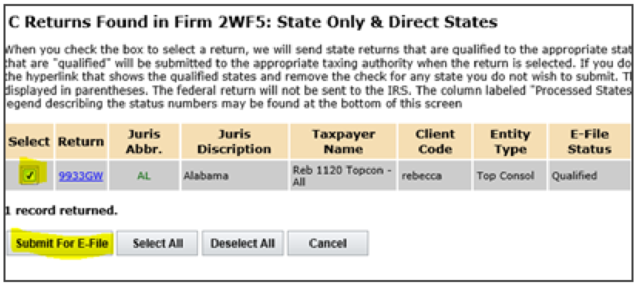


Figure 2:4

6. When you click the **Submit for E-File** button, the Alabama (or New York) topcon and all members of the selected consolidated return will be submitted to the Alabama (or New York) taxing authority.

REGULAR DISPLAY OPTION

1. When the **Display Type** is *Regular*, the **E-file Type** is *Return*, and the **States/Cities** option is *Alabama*, you will see a list of all Alabama returns whether they are Single or Consolidated returns.

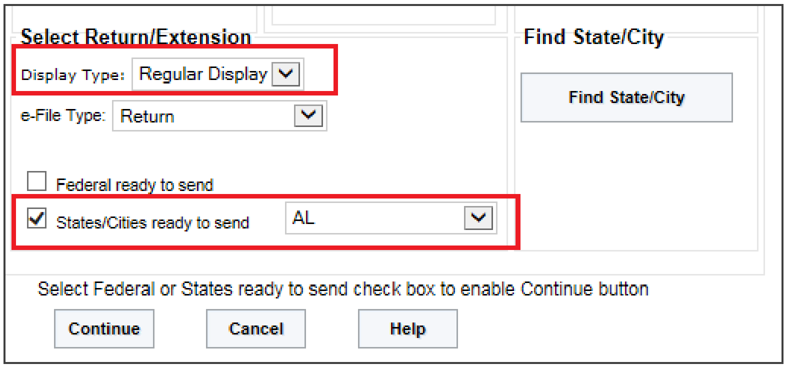


Figure 2:5

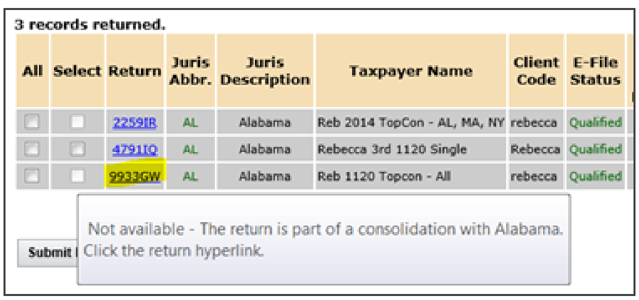


Figure 2:6

2. All check boxes displayed beside Alabama (or New York) consolidated returns are grayed out and are not available to **Submit For E-File**. A message will pop up reminding you to submit this return with the entire consolidated group. Click the hyperlink on the subsidiary return ID.

3. Since this top consolidation return includes a qualified Alabama XML, you must click the hyperlink as shown above.

4. From the second **Return Found** screen, you must check the Alabama return to submit for e-file.

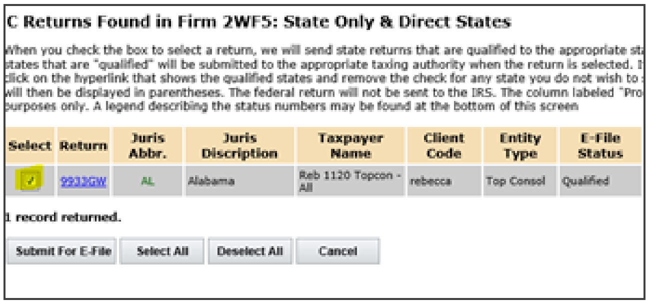


Figure 2:7

Note that now a check box is active and the return's hyperlink is available. Either option will allow you to submit the Alabama topcon and all its members to the Alabama taxing authority.

SINGLE ALABAMA OR NEW YORK FORMS

You can submit single returns on the *Regular Display* option from the first **Returns** screen by clicking the hyperlink or putting a check mark in the **Selected** column. In this case, this return has a Single Alabama return ready for e-file.

Figure 2:8

REGULAR DISPLAY WITH ALL STATES OPTION

When the *All States/Cities E-file* option is chosen, the results on the **Returns** screen will show all qualified states and cities for all entity types.

Figure 2:9

Single company returns with Single Alabama and/or New York will allow you to submit these two states in the same way as all other Single company jurisdictions. Simply check the **All** check box or the **Select** box or hyperlink for any or all of the Single company states.

CONSIDERATIONS FOR OTHER STATES

Consolidated New York and Alabama must be accessed from the Alabama or New York hyperlinks in order to e-file the parent, subsidiary and consolidated returns. If you click the *Select All* option on the initial **Returns** screen, the Alabama and/or New York consolidations will NOT be submitted.

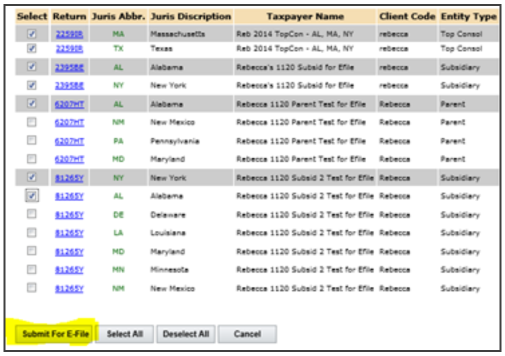
For consolidation companies with states other than Alabama and/or New York, you have two options for submitting these other states for e-file.

1. **From the Returns screen**: All the qualified states will display and be available to submit for e-file except for Alabama and New York. Check the **Select** option next to the states and click the **Submit For E-File** button at the bottom of the screen. All states ***other than the two mandatory states*** can be submitted to their respective jurisdictions from the first **Returns** screen.

All	Select	Return	Juris Abbr.	Juris Description	Taxpayer Name
☑	☑	2259IR	FED	Federal	Reb 2014 TopCon - AL, MA, NY
	☐	2259IR	AL	Alabama	Reb 2014 TopCon - AL, MA, NY
	☑	2259IR	AR	Arkansas	Reb 2014 TopCon - AL, MA, NY
	☑	2259IR	FL	Florida	Reb 2014 TopCon - AL, MA, NY
	☑	2259IR	LA	Louisiana	Reb 2014 TopCon - AL, MA, NY
	☑	2259IR	MA	Massachusetts	Reb 2014 TopCon - AL, MA, NY
	☑	2259IR	MN	Minnesota	Reb 2014 TopCon - AL, MA, NY
	☑	2259IR	NM	New Mexico	Reb 2014 TopCon - AL, MA, NY
	☐	2259IR	NY	New York	Reb 2014 TopCon - AL, MA, NY
	☑	2259IR	PA	Pennsylvania	Reb 2014 TopCon - AL, MA, NY
	☑	2259IR	PHI	Philadelphia BIRT	Reb 2014 TopCon - AL, MA, NY
	☑	2259IR	TX	Texas	Reb 2014 TopCon - AL, MA, NY
	☑	2259IR	VA	Virginia	Reb 2014 TopCon - AL, MA, NY
	☑	2259IR	WI	Wisconsin	Reb 2014 TopCon - AL, MA, NY

Figure 2:10

2. **From the Alabama or New York hyperlink**: If an Alabama or New York consolidated return is grayed out on the initial **Returns** page, then you must click the Alabama or New York hyperlink. The results will give you the same list of qualified states as above, but now you can submit the Alabama and/or New York parent, subsidiary, and consolidated returns as well.



Select	Return	Juris Abbr.	Juris Discription	Taxpayer Name	Client Code	Entity Type
☑	22591R	MA	Massachusetts	Reb 2014 TopCon - AL, MA, NY	rebecca	Top Consol
☑	22591R	TX	Texas	Reb 2014 TopCon - AL, MA, NY	rebecca	Top Consol
☑	23958E	AL	Alabama	Rebecca's 1120 Subsid for Efile	rebecca	Subsidiary
☑	23958E	NY	New York	Rebecca's 1120 Subsid for Efile	rebecca	Subsidiary
☑	6207HT	AL	Alabama	Rebecca 1120 Parent Test for Efile	Rebecca	Parent
☐	6207HT	NM	New Mexico	Rebecca 1120 Parent Test for Efile	Rebecca	Parent
☐	6207HT	PA	Pennsylvania	Rebecca 1120 Parent Test for Efile	Rebecca	Parent
☐	6207HT	MD	Maryland	Rebecca 1120 Parent Test for Efile	Rebecca	Parent
☑	81265Y	NY	New York	Rebecca 1120 Subsid 2 Test for Efile	Rebecca	Subsidiary
☑	81265Y	AL	Alabama	Rebecca 1120 Subsid 2 Test for Efile	Rebecca	Subsidiary
☐	81265Y	DE	Delaware	Rebecca 1120 Subsid 2 Test for Efile	Rebecca	Subsidiary
☐	81265Y	LA	Louisiana	Rebecca 1120 Subsid 2 Test for Efile	Rebecca	Subsidiary
☐	81265Y	MD	Maryland	Rebecca 1120 Subsid 2 Test for Efile	Rebecca	Subsidiary
☐	81265Y	MN	Minnesota	Rebecca 1120 Subsid 2 Test for Efile	Rebecca	Subsidiary
☐	81265Y	NM	New Mexico	Rebecca 1120 Subsid 2 Test for Efile	Rebecca	Subsidiary

Submit For E-File | Select All | Deselect All | Cancel

Figure 2:11

From this hyperlink on the initial **Returns** screen, review and check the **Select** box next to each jurisdiction that is part of your Alabama and/or New York consolidated group as well as all Alabama and/or New York consolidated group members. All state returns checked on this **Returns** screen will be submitted for e-file when you click the **Submit For E-file** button at the bottom of the screen. If you prefer, you may submit the returns by using the jurisdiction's hyperlink.

CHAPTER 3: OTHER RESOURCES

For information about creating specific tax application returns for e-file, see the following:

TAX APPLICATION	GUIDE
1040	• 1040 E-file • 1040 State E-file Information • 1040 State E-file Summary • 1040 Federal and State E-filed Forms • 1040 E-filed PDF Filenames
1041	• 1041 E-file • 1041 State E-file Information • 1041 State E-file Summary • 1041 Federal and State E-filed Forms • 1041 E-filed PDF Filenames
1065	• 1065 E-file • 1065 State E-file • 1065 State E-file Information • 1065 State E-file Summary • 1065 Federal and State E-filed Forms • 1065 E-filed PDF Filenames
1120	• 1120 E-file • 1120 State E-file • 1120 State E-file Information • 1120 State E-file Summary • 1120 Federal and State E-filed Forms • 1120 E-filed PDF Filenames
990	• 990 E-file • 990 State E-file Information • 990 State E-file Summary • 990 Federal and State E-filed Forms • 990 E-filed PDF Filenames

TAX APPLICATION	GUIDE
5500	• 5500 E-file • 5500 Federal E-filed Forms • 5500 E-filed PDF Filenames
Form 114	Form 114 FBAR E-file