Logo

Description automatically generatedBroadridge Fi360 Solutions

2 Chatham Centre

Pittsburgh, PA 15219 [www.fi360.com](http://www.fi360.com/)

***WE MAY ALREADY HAVE YOUR DATA!***

Please note, you should not complete or submit the attached authorization form if you are with a **Broker Dealer or RIA aggregator**. Contact [fi360integrations@broadridge.com](mailto:fi360integrations@broadridge.com) to see if your firm has already been approved for this integration.

**Things you should know.**

1. This is a Firm Level Authorization ONLY. The person in your firm responsible for Third Party Authorization will need to complete this form.
2. Please make sure you are using the Firm Name you use for business with this record keeper please note if you use more than one name you will need to complete a form for each business name represented.
3. We receive a monthly file from Lincoln Retirement Services that contains month end values. This data is typically received during the 2nd week of the month following month end.
4. Please be sure to enter your CRD number under the [integrations tab](https://fi360.zendesk.com/hc/en-us/articles/235591108-How-To-Request-Integrations-With-A-Provider-Fiduciary-Focus-Toolkit-). This helps us at Fi360 keep track of your request.
5. Copy the document content onto your letterhead and enter the required information. The form must be signed by an authorized signer with the Broker-Dealer.
6. Scan this copy and email it to Patrick.Oldham@lfd.com and copy Fi360Integrations@broadridge.com
7. If you do not see your integration feed within 6 weeks please reach out to [Fi360integrations@broadridge.com](mailto:Fi360integrations@broadridge.com) for an update.

[DATE]

Lincoln Retirement Services Company, LLC

130 N. Radnor Chester Road

Radnor, PA 19087

Dear Lincoln Retirement Services Company, LLC:

[BROKERAGE FIRM NAME] (“Firm”), hereby directs Lincoln Retirement Services Company, LLC (“Recordkeeper” or “Lincoln”) to allow Fi360 (“Agent”) to receive a periodic download of computer files that includes account data (“Account Data”) for all accounts (“Client Accounts”) now or in the future on behalf of the Firm. Account Data shall include Client Account investment information at the plan-level and personal information about the Firm’s employees and agents. The Account Data shall not include any confidential or non-public personal information related to plan participants.

Prior to execution of this letter, Firm will ensure that Agent has established a secure methodology to transmit, receive and maintain the Account Data. Firm acknowledges that: 1) Lincoln does not have a separate contractual relationship with Agent; 2) Lincoln has not hired Agent and Agent is not an affiliate or sub-contractor of Lincoln; 3) Firm has obtained the necessary consent from its customers for Lincoln to provide Account Data to Agent; 4) Lincoln provides the information solely at the direction of the Firm; 5) Lincoln is not responsible for the security of the data outside of its control; 6) Lincoln makes no express or implied representations about the security practices of Agent; 7) As between Lincoln and Firm, Firm is solely responsible for ensuring that Agent maintains an information security program with appropriate written policies, standards, and procedures and maintains adequate administrative, technical and physical safeguards that are designed to prevent the unauthorized disclosure, misuse, alteration or destruction of the Account Data.

Agent’s authority with respect to Client Accounts will be limited to downloading Account Data and integrating the Account Data into Agent’s products to benefit the Firm and the Firm’s employees. Agent will have no trading, disbursement, fee payment or other authority over any Client Account.

Firm shall indemnify, defend and hold Agent, Recordkeeper and their respective affiliates, third party providers, and agents, employees, officers and directors harmless from and against any costs, expenses (including, without limitation, reasonable attorneys’ fees), damages and other liabilities associated with any demand, claim, action, suit or proceeding (collectively, “Claims”) based on, related to or arising out of (a) any acts or omissions of Firm including, without limitation, a failure by Firm to appropriately obtain consent from its customers to properly allow Recordkeeper to send, and Agent to receive, Account Data; (b) Firm’s receipt or use of the Account Data or any decisions or analyses arising out of such use); (c) Firm’s alleged violation of applicable law, rules, regulations, orders or regulatory guidance; or (d) any breaches of Account Data or Client Accounts incurred by Firm or Agent by unauthorized third parties; (e) allegations that the Account Data infringes a patent, copyright, trademark or any other legally cognizable intellectual property right of a third party or misappropriates a trade secret of a third party. Firm agrees that Agent shall be a third party beneficiary of Firm’s obligations in this paragraph and that Agent shall have the right to enforce the terms of this paragraph against Firm.

Sincerely,

[BROKERAGE FIRM NAME]

By: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Authorized Signature**

Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Print Name**

Title: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Job Title**

Date**:**

**Current Date**

Full TAX ID #(s): \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_