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 Plan Sponsor Authorization ONLY. The Plan Sponsor for this plan must sign this authorization. This authorization only authorizes 1 plan.
2. This authorization is NOT required if you already have a Firm authorization and/or plan to sign a Firm Level Authorization. You would only want to use this form is a Firm Level Authorization is not applicable. If you already have a Firm Authorization in place and you are missing one of your plans please reach out to [fi360integrations@broadridge.com](mailto:fi360integrations@broadridge.com).
3. We receive a monthly file from American Funds 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.
6. Scan this copy and email it to RPDataRequest@capgroup.com and copy [Fi360Integrations@broadridge.com](mailto: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.

**Plan-level Information Disclosure and Consent**

Name of Plan: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ (“Plan”)

Plan Number: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Vendor: American Funds (“Vendor”)

Advisor: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ (“Advisor”) Dealer Firm: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Rep ID:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

The plan administrator and Advisor hereby request Vendor to provide plan-level information (including, but not limited to: Plan ID, Plan name, Plan contact, Plan address, , Plan assets, ticker and/or cusip symbols, Advisor name, Advisor address) to fi360, Inc.(“fi360”).

Information to be received by fi360 is strictly limited to only plan-level information and does not include any information at the participant level (individually identifiable information of any kind, social security numbers, individual account balances, etc.).

fi360 provides analytical and reporting technology to advisors across the United States who provide investment advice and retirement plan consulting services. Plan-level information provided to fi360 by Vendor is used to ensure accurate and timely data is used in preparing retirement plan analysis and reports for Advisor’s use when conducting retirement plan consulting services for Plan.

This request and consent shall remain in effect until it is revoked in writing by the Plan Administrator of the Plan and the revocation is received by Vendor.

Signature of Authorized Signer Date

Name of Authorized Signer (print)

Title of Authorized Signer (print)

***Scan and email completed form to RPDataRequest@capgroup.com***