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 Voya 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 AFSMISCustomerService@voya.com; CorporateMarketsBusinessDevelopment@voya.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]

To: Voya Retirement Insurance and Annuity Company (“VRIAC”) RE: Data Request and Authorization to Submit

To Whom It May Concern,

We, “*Firm Name”* are utilizing Fi360, Inc (Fi360) Platform as our service provider for our advisor reporting. Fi360 will be mapping to your standard UBS file transmission. We represent and warrant that we have satisfied and will continue to satisfy all of our obligations under the rules and interpretative materials of the Financial Industry Regulatory Authority, including but not limited to those pursuant to NASD Notice 05-48, in relation to contracting with Fi360 as a third-party service provider. Please forward the file to Fi360 in future monthly transmissions. The UBS file includes plan level data (plan name, plan assets, assets by fund, etc.) and advisor data.

Both Fi360 and our firm will maintain the same confidentiality of client information as stated in the current selling agreement in place between VRIAC and “*Firm Name*”. We represent and warrant to you that the confidentiality arrangements contemplated by the immediately preceding sentence comply with all applicable privacy laws, including but not limited to Graham-Leach-Bliley, Regulation S-P, and state privacy laws.

In addition, we will notify VRIAC immediately if the relationship with Fi360 is to cease so that the data transmission to Fi360 can be terminated.

Please use this letter as authorization to discuss and provide current data as soon as possible, and then on an ongoing month end basis to authorized representatives of Fi360 for the following firm:

Firm: “*Firm Name*”

Last 4 digits of Firm tax identification number: XXXX

Business Address:

123 Main St.

New York, NY 11111

If you have not already done so, please email the file format instructions to Fi360 to facilitate the programming to load data into our reporting system. Should you require technical assistance please contact Fi360 Support at [support@fi360.com](mailto:support@fi360.com) or (844) 394- 9960.

We value our partnership and want to ensure we are providing the best possible support to our advisors, plan sponsors and participants. Please let us know if there are any other questions we can answer!

Sincerely, [FIRM NAME]

By:

**Authorized Signature**

Name:

**Print Name**

Title:

**Job Title**

Date**: Current Date**