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 Equitable 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 [nick.betlow@equitable.com](mailto:nick.betlow@equitable.com) and [jaime.tobar@equitable.com](mailto:jaime.tobar@equitable.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.

PLACE ON COMPANY LETTERHEAD

[Date]

Equitable

525 Washington Blvd

Jersey City, NJ 07310

Dear Equitable:

[Firm Name] (“Firm”), hereby directs Equitable (“Recordkeeper”) to allow Fi360, Inc. (“Agent”) to receive a periodic download of computer files containing account data

(“Account Data”) for all accounts (“Client Accounts”) now or in the future on behalf of the Firm.

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.

The Agent reserves the right to use, recognize, record and share anonymized or aggregated,

non‐personal information about the usage of its Products and Reports in order to continually

update Products and/or share that anonymized or aggregated information with third party

providers that may be of interest to Users or their Entities.

The Advisor 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 Advisor

including, without limitation, a failure by Advisor to appropriately obtain consent from its

customers to properly allow Recordkeeper to send, and Agent to receive, Account Data; (b)

Advisor’s receipt or use of the Account Data or any decisions or analyses arising out of such

use); (c) Advisor’s alleged violation of applicable law, rules, regulations, orders or regulatory

guidance; or (d) any breaches of Account Data or Client Accounts incurred by Advisor or Agent

by unauthorized third parties; (e) allegations that the Account Data infringes a patent,

PLACE ON COMPANY LETTERHEAD

copyright, trademark or any other legally recognizable intellectual property right of a third

party or misappropriates a trade secret of a third party. Advisor agrees that Agent shall be a

third party beneficiary of Advisor’s obligations in this paragraph and that Agent shall have the

right to enforce the terms of this paragraph against Advisor.

Sincerely,

[FIRM NAME]

Please include all firm names/crds that you’d like sent to the Agent;

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

**Authorized Signature**

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

**Print Name**

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

**Job Title**

Date**: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Current Date**