Logo

Description automatically generatedBroadridge Fi360 Solutions

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***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 John Hancock 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. Have your home office copy the document content onto your letterhead and enter the required information.
6. Scan this copy and email it to [patty\_niras@jhancock.com](mailto:patty_niras@jhancock.com) and [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.

# Broker-Dealer/Registered Investment Adviser Authorization and Certification for

**Limited Data Sharing with Third Party Agent**

**WHEREAS**, John Hancock Life Insurance Company (U.S.A.) (“JH USA”) provides recordkeeping services to certain retirement plans (“Plans”) qualified under Section 401(a) of the Internal Revenue Code of 1986, as amended (the “Code”);

**WHEREAS**, Broker-Dealer/Registered Investment Adviser provides investment-related services in connection with certain Plans qualified under Section 401(a) of the Code;

**WHEREAS**, there are certain Plans for which Broker-Dealer/Registered Investment Adviser and JH USA each provide services (“Shared Clients”);

**WHEREAS**, by the terms of its Recordkeeping Agreement as executed by the Plan Sponsor, JH USA is authorized to share Plan-level data with the Broker-Dealer/Registered Investment Adviser if such data will be used by the Broker-Dealer/Registered Investment Adviser for the sole purpose of servicing the Plans and Plan Participants of Shared Clients;

**WHEREAS**, Broker-Dealer/Registered Investment Adviser has requested that JH USA share with its third party agent certain Plan-level data associated with JH USA’s recordkeeping of the Plans of Shared Clients for the sole purpose of servicing the Plans and Plan Participants;

**NOW, THEREFORE**, in consideration of these premises and the conditions set forth herein, Broker-Dealer/Registered Investment Adviser, through its authorized representative, hereby authorizes JH USA to share Plan-level data with the Broker-Dealer/Registered Investment Adviser’s third party agent.

Broker-Dealer/Registered Investment Advisor certifies to JH USA that the Plan-level data will be used solely and exclusively by such Broker-Dealer/Registered Investment Adviser and/or its third party agent for the purpose of providing Plan and contract related services to the Plan and Plan Participants of Shared Clients and for no other purpose.

Broker-Dealer/Registered Investment Adviser further certifies that the Plan-level data requested is the minimum data required by Broker-Dealer/Registered Investment Adviser and/or its third party agent to provide the services to the Plans and Plan Participants of Shared Clients.

Broker-Dealer/Registered Investment Adviser further certifies that the Plan-level data to be shared with its third party agent will not be disclosed to or shared with any other individual or entity for any purpose.

Broker-Dealer/Registered Investment Adviser further certifies that it has performed due diligence on its third party agent to ensure that such agent has sufficient security measures, procedures and systems in place to protect the shared data.

Broker-Dealer/Registered Investment Adviser and its third party agent undertake to safeguard and protect all of the Plan-level data so made available in accordance with the standards required by law and to indemnify and hold harmless JH USA for any damages or losses resulting from any breach of such responsibilities by the Broker-Dealer/Registered Investment Adviser or its third party agent.

Broker-Dealer/Registered Investment Adviser Name

Name of Authorized Signor

Title of Authorized Signor

Signature Date