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 T. Rowe Price 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 [RPS.Data.Requests.and.Maintenance@troweprice.com](mailto:RPS.Data.Requests.and.Maintenance@troweprice.com) and copy [Fi360Integrations@broadridge.com](mailto:Fi360Integrations@broadridge.com).  
   - You must supply a plan list to accompany The Standard Authorization Form
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.

January 29, 2024

T. Rowe Price Retirement Plan Services, Inc.

100 East Pratt Street

Baltimore, MD 21202

Dear T. Rowe Price Retirement Plan Services, Inc.:

*INSERT FIRM NAME* (“Firm”), hereby authorizes T. Rowe Price Retirement Plan Services, Inc. (“Recordkeeper”) to transfer, or make available, to FI360 (“Agent”), via a secure file transfer protocol a periodic download of computer files containing certain plan level account data (“Account Data”) for all plan accounts for which the Firm is broker of record now or in the future on behalf of the Firm and for which Recordkeeper serves as recordkeeping services provider (“Client Accounts”).

1. Agent’s authority with respect to Client Accounts is limited to receiving Account Data and integrating the Account Data into Agent’s products to benefit the Firm and the Firm’s registered representatives. Agent will have no trading, disbursement, fee payment or other authority over any Client Account.
2. 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 of Agent’s products. Recordkeeper shall have no responsibility with respect to the foregoing, and Firm hereby releases Recordkeeper for any and all liability related or connected thereto.
3. Firm is solely responsible and liable for the actions or inactions of Agent, including ensuring that Agent shall protect the Account Data with the same degree of care a prudent person would exercise to protect its own confidential information and to prevent the unauthorized, negligent, or inadvertent access, acquisition, use, transfer, transmission, procession, replication and storing of the Account Data. Firm is also responsible for verifying or authenticating the identity of Agent for purposes of receipt of Account Data from Recordkeeper or Recordkeeper’s designee.
4. Firm shall indemnify, defend and hold Recordkeeper and its affiliates, 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) a failure by Firm or Agent to obtain consent from Firm’s customers to properly allow Recordkeeper to send, and Agent to receive and use, Account Data; (b) Firm’s or Agent’s sharing and use of the Account Data or any decisions or analyses arising out of such sharing and use; (c) Firm’s or Agent’s alleged violation of applicable law, rules, regulations, orders or regulatory guidance related to the receipt, sharing, or use of Account Data; (d) any disclosure of Account Data by Firm or Agent that is a violation of applicable law; or (e) Firm’s breach of any representation made in this letter.
5. Firm or Recordkeeper may terminate this letter upon written notice to the other, provided that the obligations of Paragraphs 2, 3, and 4 shall survive any termination of this letter.

Sincerely,

*INSERT FIRM NAME*

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

**Authorized Signature**

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

**Print Name**

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

**Job Title**

Date**:                1/29/24**

**Current Date**