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 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. 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.
6. Copy the document content onto your letterhead and enter the required information.
7. Scan this copy and email it to [RPDataRequest@capgroup.com](mailto:RPDataRequest@capgroup.com) and copy [Fi360Integrations@broadridge.com](mailto:Fi360Integrations@broadridge.com)
8. 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 OR COPY & PASTE INTO BODY OF EMAIL*

*(****Request should be sent to RPDataRequest@capgroup.com)***

# [Date]

To: **American Funds**

***RE:* [Firm] *Authorization to Provide Plan Data***

The purpose of this letter is to give you approval to send plan-level information (including, but not limited to: plan ID, plan name, plan address, plan assets, fund/account names, fund asset values, ticker and CUSIP symbols, advisor name, advisor address) for all of the registered representatives of our Firm to Fi360, Inc. (“Fi360”). This information can be sent directly to Fi360.

Your firm already sends plan-level information to Fi360 to be used as part of their Fi360 Toolkit software upon receipt of plan sponsor authorization. The format and type of data will not change. The only difference is that we are asking you to send the plan-level information for all plans served by the registered representatives of our broker dealer.

Please use this letter as authorization to provide current plan-level information as soon as possible, then on an ongoing basis following each month end.

Sincerely,

\_

# [Firm]

\_\_\_\_\_\_\_\_\_\_\_

**Authorized Signor – Print Name Authorized Signor – Signature Date**

V.5