



Broadridge®

Broadridge Fi360 Solutions
2 Chatham Centre
Pittsburgh, PA
15219 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 to see if your firm has already been approved for this integration.

Things you should know.

1. This is a Plan Sponsor and/or Firm level Authorization.
 - a. You can either complete the form for one plan to integrate **OR** check the applicable box indicating that you're integrating multiple plans and attach a plan list of what you'd like to integrate.
2. We receive a monthly file from BPA that contains month end values. This data is typically received during the 2nd week of the month following month end.
3. Please be sure to enter your CRD number under the [integrations tab](#). This helps us at Fi360 keep track of your request.
4. Scan the completed form and send to the following email:
TrustSales@bpas.com and copy Fi360Integrations@broadridge.com.

If you do not see your integration feed within 6 weeks please reach out to Fi360integrations@broadridge.com for an update.



Plan Level Information Disclosure and Authorization

NAME OF PLAN: _____ (“PLAN”)

PLAN NUMBER: _____

AGENT:

(SELECT ONE)

- CAMBRIDGE INVESTMENT RESEARCH
- COMMONWEALTH/CASTLE ROCK
- ENVESTNET

(*If you have chosen Envestnet, please indicate which firm should receive your data ALPH, HH, RBC, RJ, SA, TELA)

- FI360 (If you have chosen Fi360, please check the box above to indicate if Cambridge Investment Research should receive your data)
- PLANTOOLS(FI360 Format)
- LPL
- RPAG
- UBS

ADVISOR/FINANCIAL INTERMEDIARY: _____ (“ADVISOR”)

ADVISOR ID NUMBER: _____

This authorization covers multiple plans. Please see the attached list of plan names and plan numbers.

The Advisor hereby requests BPAS to provide Plan level information (including, but not limited to: BPAS plan number, plan sponsor name, fund/account name, asset values, ticker and/or CUSIP symbols) to the Agent. Information to be received by the Agent is strictly limited to only Plan level information and does not include any information at the participant level (individually identifiable information of any kind, social security numbers, individual account balances, etc.).

Plan level information provided to the Agent by BPAS will not be shared, released or sold to any third parties. The Agent’s authority with respect to the information provided will be limited to downloading Plan level information and integrating this information into Agent’s products to benefit the Advisor and the Advisor’s employees exclusively. The Agent will honor all privacy and security expectations the Advisor has with respect to the Plan level information. The Agent will have no trading, disbursement, fee payment or other authority over the Plan.

Plan level information will be provided to the Agent on a monthly basis via electronic format. This consent shall remain in effect until it is revoked in writing by the Advisor or the Plan Administrator of the Plan and the revocation is received by BPAS.

By: _____
Authorized Signature of Advisor

Date: _____

Name: _____
Print Name

Title: _____

* Envestnet Codes: ALPH = Alpha Pension Group, HH = Hooker & Hocombe, RBC = RBC Wealth Management, RJ = Raymond James, SA = Securities America, TELA = Telamon Financial Group

Please scan and email a copy of this signed form to TrustSales@bpas.com, or fax a signed copy to 315-292-6484. Allow 60 days from the receipt of this form by BPAS for the Plan’s information to be added to the Agent’s report.

Solving Tomorrow’s Benefit Challenges Today

BPAS Services: Plan Administration & Recordkeeping | Actuarial & Pension | TPA | Fiduciary | Healthcare Consulting | VEBA & HRA/HSA AutoRollovers & MyPlanLoan | Transfer Agency | Fund Administration | Collective Investment Funds

BPAS Subsidiaries: Hand Benefits & Trust | BPAS Trust Company of Puerto Rico | NRS Trust Product Administration | Global Trust Company

BPAS offices in: Rochester, Syracuse, Utica, & New York, NY | Philadelphia & Pittsburgh, PA | Houston, TX | Boston, MA | E. Hanover, NJ | San Juan, PR