

Technology Release of Information

OFROI

Rep ID

Instructions: This form is to be used to authorize and instruct LPL Financial to share the Advisor's confidential client account information with approved third party vendors that the Advisor has engaged with to provide portfolio technology services (e.g., performance reporting and analytics).

When completed, please fax to LPL Client Technology Management at (858) 202-8350 or email it to repimaging.email@lpl.com.

1. Requestor Information

Requestor's Name (Please Print) Rep ID (If applicable)

Vendor Name (Data Recipient)

Firm Name DBA Name

2. Request Type

- New Transfer to different Firm

3. If Transferring to a different Firm, please provide the following.

Rep Name Rep ID

Original Firm Name

Firm Name you are transferring to Effective Date

4. For New Requests:

I request LPL Financial to release confidential client account information to the Vendor(s) listed below:

As a reminder, the Vendor(s) listed above must be an LPL approved vendor.

There are multiple ways LPL can send data to the recipient listed above. Please select one option:

- I authorize LPL Financial to release client account information at the Advisor Rep ID level. (Section 5)
- I authorize LPL Financial to release client account information at the account level listed below. (If more space is needed please attach an excel document.)

Accounts to be linked:

- I authorize LPL to release historical advisory account information. Please note that historical data may not be available in all cases and is limited to 10 years. Therefore cost basis information calculated by the vendor may not be accurate.

5. Advisor Authorization (If including Brokerage data, each advisor will need to sign)

Acknowledged and Agreed

Firm ID	Rep ID(s)	Advisor Authorization Signature

ALL signatures are required in order to process this request. If this form is for accounts of an independent advisory firm (RIA Firm), then both the individual Advisor and an authorized agent of the RIA Firm must sign to acknowledge their agreement and understanding of the above. (If more space is needed please attach a separate piece of paper.)



6. Acknowledgment

By signing below, the Requestor hereby authorizes and instructs LPL Financial to release client account information to the Vendors above. The Requestor acknowledges that such information will include confidential information, such as non-public information relating to Advisor's clients and business that may be proprietary and of commercial value to Advisor. To the extent Advisor uses this information for his or her independent advisory firm client accounts, the Requestor represents to LPL Financial that the Requestor is authorized to release such confidential client information under the independent advisor firm's privacy policy and any other applicable laws and regulations. To the extent that the Requestor and/or the Advisors are registered with LPL, LPL may monitor the use by Advisor of Vendor's products, services and related functionality. The Requestor hereby authorizes Vendor to share information with LPL for purposes of any monitoring and consents to the review and monitoring by LPL of Advisor's use of Vendor's products, services and related functionality without notice. By signing below, Advisor agrees to indemnify and hold harmless LPL Financial from and against any claims arising from LPL Financial reliance on Advisor's representations and instructions contained herein.

Financial Advisor / Authorized Person Signature

Financial Advisor / Authorized Person Name (print)

Rep ID

Date (required)



PURPOSE OF THIS DOCUMENT

Use this document as a guide to successfully complete the Form 688 – Release of Information. This form is used to authorize and instruct LPL Financial to share Advisor's confidential client account information with approved third party vendors that the Advisor has engaged to provide portfolio technology services (e.g., performance reporting and analytics).

FORM REQUIREMENTS

Required authorizations/signatures?

- Corporate LPL Advisors: Advisor's signature to send brokerage and advisory
- RIA Firm: If only sending advisory business, then one signature from the authorized person at the firm
- Hybrid RIA: If sending brokerage and advisory business; a signature from each advisor sending brokerage business
- Hybrid RIA: If only sending advisory business, then one signature from the authorized person at the firm

Note: For split Rep IDs on brokerage business, each party (Advisor) within the split arrangement must provide their signature.

Who are the approved Vendors?

Approved vendors can be found in Resource Center under Approved Vendors for Consolidated Reporting.

How data can be requested?

There are 3 ways to request data.

One of these 3 options must be selected:

- Master Rep ID Level
- Advisor Rep ID Level
- Individual Client Account Level (Valid LPL account number(s) must be listed on the form)

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Important: This form is to be used to authorize and instruct LPL to share Advisor's confidential client account information with approved third party vendors that provide the requested portfolio technology services (e.g., performance reporting and analytics). Other important information for Technical/Case Counselors is 688-365-6100 or visit lpl.com/technology.

6. Release Information

Advisor Name (Please Print) Rep ID # (Optional)

Indicate if you are releasing client account information to the following third party:

There is a third party who will receive confidential client account information in the following third party. Please select the option:

I authorize LPL to release client account information of the following Rep ID level:

I authorize LPL to release client account information of the following Rep ID level:

I authorize LPL to release client account information of the account level listed below. If there is more than one account level, please list all account levels.

Account Level(s)

7. Advisor Authorization and Signature

Rep ID	Rep ID(s)	Advisor/Authorized Signature
<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>

All information are required to enter to authorize the release. If Advisor is submitting this form for approval of an independent subsidiary firm (i.e., firm that is not a subsidiary of LPL), please indicate the firm name in the "Advisor/Authorized Signature" field. The release of information is subject to the approval of the firm's legal counsel. The release of information is subject to the approval of the firm's legal counsel. The release of information is subject to the approval of the firm's legal counsel. The release of information is subject to the approval of the firm's legal counsel.

By signing below, Advisor hereby authorizes and instructs LPL Financial to release client account information to the following third party. Advisor acknowledges that such information will include confidential information, such as non-public information relating to the Advisor's clients and business and will be processed and stored in accordance with the Advisor's privacy policy. The release of information is subject to the approval of the firm's legal counsel. The release of information is subject to the approval of the firm's legal counsel. The release of information is subject to the approval of the firm's legal counsel. The release of information is subject to the approval of the firm's legal counsel.

By signing below, Advisor agrees to authorize and instruct LPL Financial to use the information provided hereunder for the purposes of providing the requested portfolio technology services. The release of information is subject to the approval of the firm's legal counsel. The release of information is subject to the approval of the firm's legal counsel. The release of information is subject to the approval of the firm's legal counsel. The release of information is subject to the approval of the firm's legal counsel.

Form 688-365-6100 | LPL Financial Member FINRA/SIPC

FAQS

1. What disclosures are needed on the forms?

No additional disclosures are needed; all disclosures are included within form, which LPL's Legal department has reviewed and approved.

2. How do I access this form?

The form is found on the Resource Center by searching F688.

3. Where do I send the completed form?

Fax this form to Client Technology Management at **(858) 202-8350** or scan and email to repimaging.email@lpl.com.

4. What happens if the form is not in good order?

If there are errors within the form's contents, the form will be returned with the reason for the rejection.

5. I have completed and submitted F688 but do not see any data provided from the Vendor. Who should I contact?

Please allow 1 to 5 days for your subscription to be activated. If there is still a problem, please contact Client Technology Management at ext. 6123.

6. What type of data files can be sent to the Vendor once this form has been processed?

Once a Vendor subscription is completed, the following data files are generated and delivered on a nightly basis:

- Rep/Advisor Information
- Money Manager
- Client Data
- Account Data
- Positions
- Transactions
- Tax Lots/Cost Basis
- Security Reference
- Security Prices