Technology Release of Information

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					Rep ID						
	ructions: This form is to be used to author ty vendors that the Advisor has engaged w					with a	appro	ved third			
Vhe	en completed, please fax to LPL Client Ted	chnology Management at (858) 2	02-8350 or email it to <u>re</u> p	oimaging.email@lpl.com	<u>ı</u> .						
1.	Requestor Information										
	Requestor's Name (Please Print)				Rep ID (If ap	plical	ble)				
	Vendor Name (Data Recipient)										
	vendor Name (Data Recipient)										
	Firm Name		DBA Name								
2.	Request Type										
	New	erent Firm									
3.	If Transferring to a different Firm, plea	se provide the following.									
	Rep Name				Rep ID						
	Original Firm Name				L						
	Firm Name you are transferring to				Effective Dat	.e					
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 Brok	erage data, each advisor will ne	ed to sign)								
	Acknowledged and Agreed										
	Firm ID	Rep ID(s)		Advisor Au	thorization Sig	natur	e				
	ALL signatures are required in order to p Advisor and an authorized agent of the	rocess this request. If this form i RIA Firm must sian to acknowle	s tor accounts of an indel dge their agreement and	pendent advisory firm (F Lunderstanding of the	RIA Firm), then above. (If mo	both ore so	the i	ndividua s needed			
	please attach a separate piece of paper.)		<u> </u>	3 71-	(-1-					





٠.	Acknowledgment					
By signing below, the Requestor hereby authorizes and instructs LPL Financial to release client account information to the Vendors above Requestor acknowledges that such information will include confidential information, such as non-public information relating to Advisor's client business that may be proprietary and of commercial value to Advisor. To the extent Advisor uses this information for his or her independent advisor client accounts, the Requestor represents to LPL Financial that the Requestor is authorized to release such confidential client information und independent advisor firm's privacy policy and any other applicable laws and regulations. To the extent that the Requestor and/or the Advisor registered with LPL, LPL may monitor the use by Advisor of Vendor's products, services and related functionality. The Requestor hereby authorizes 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 proservices and related functionality without notice. By signing below, Advisor agrees to indemnify and hold harmless LPL Financial from and again 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)	Ren 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?

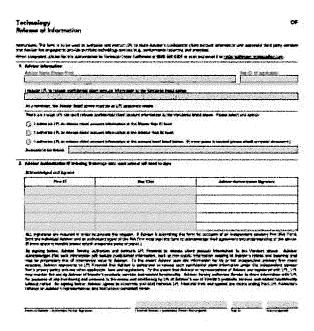
Approved vendors can be found in Resource Center under Approved Vendors for Consolidated Reporting.

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)



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