Third-party data attestation tool guide

Review and update access to your firm's Schwab Advisor Center data in a few clicks

Protecting your firm's and clients' data is critical to the security of your business and our highest priority. To maintain high security standards, you must review your current third-party data relationships on Schwab Advisor Center® and confirm them annually.

This guide is designed to explain why Schwab requires annual attestation and to walk you through the simple tool we've built to make the process quick and easy.

Choose a topic below to get started. On each page, click Next to move on to the next topic or Home to return to this menu.

Main topics

- Understanding attestation requirements and tools
- Step-by-step guide to attestation

Understanding annual data access attestation

Every year, Schwab asks all advisor firms to verify or update the third-party firms that have access to their Schwab Advisor Center® data and how that data is shared with other third-party providers. To make this process as easy as possible, we offer a simple automated tool that your firm can access from the More menu on Schwab Advisor Center. You can complete the process in as little as five minutes.

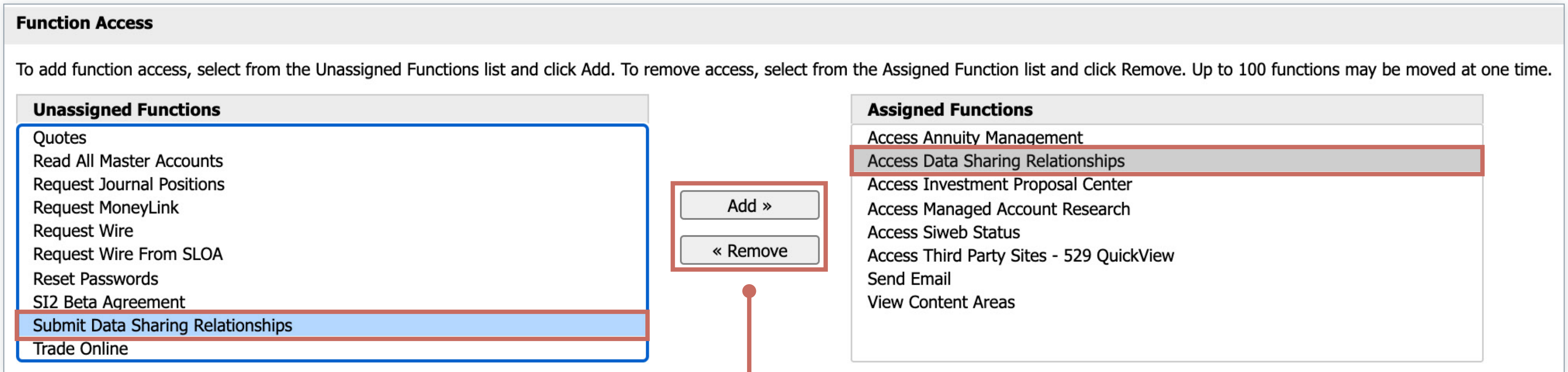
Your firm's designated security administrator (FSA) will receive an email when your annual attestation period begins. Your firm must complete the process using the automated tool within one month of that date, or Schwab will remove all third-party access from your firm's Schwab data.

Although we require that you review data access annually, you can use the attestation tool as needed to review or modify third-party data access—and we encourage your firm to make this type of review a regular part of your security protocols.

If you have any questions about the process or the tool, please contact your service team. For a walkthrough of the attestation process, click **Next** below.

Accessing the attestation tool

By default your firm's security administrator (FSA) will have access to the tool. If others in your firm should also have clearance, either to view or modify third-party information, your FSA can add those individuals to the relevant security groups from the Security dashboard.

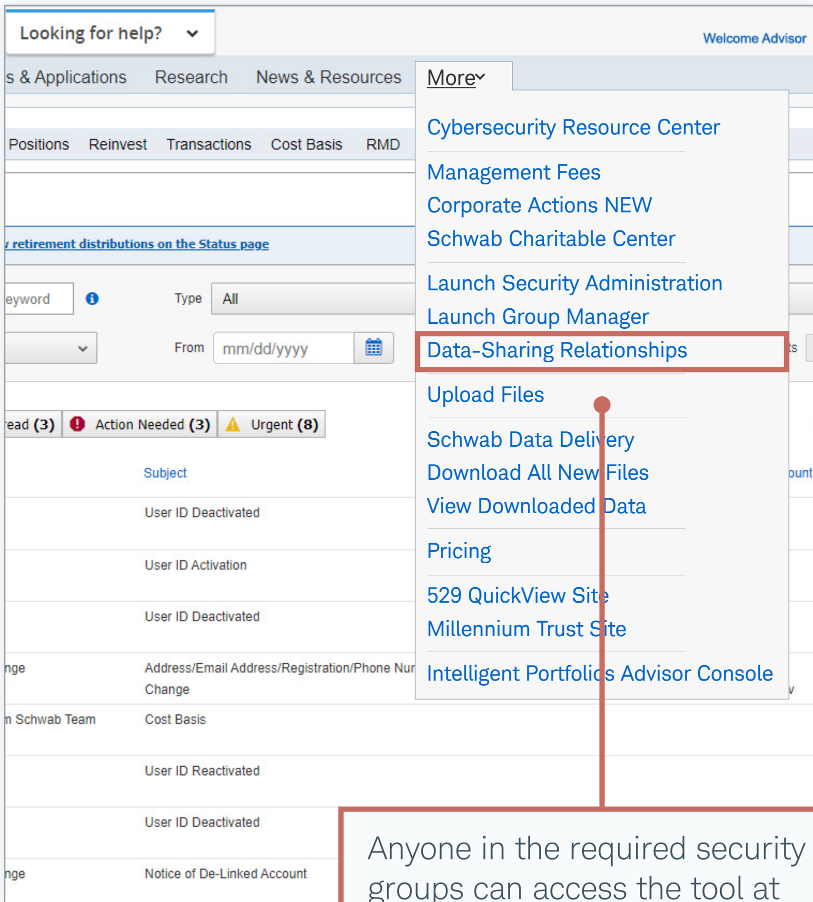


Choose Access Data Sharing Relationships to view the information. Click Submit Data Sharing Relationships to make changes to third-party access.

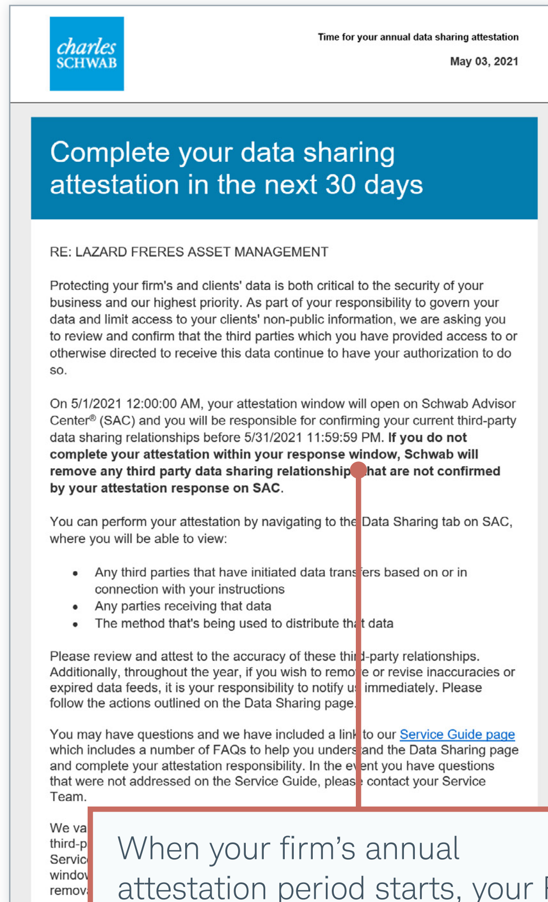
The FSA can click either of these security functions and add or remove them for each user.

Accessing the attestation tool

Your FSA or an individual with the appropriate security designation can access the tool from the More menu. Your FSA will also receive an email at the beginning of your annual attestation period with instructions for accessing the tool.



Anyone in the required security groups can access the tool at any time from the Data-Sharing Relationships link on the More menu to view these relationships.



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Time for your annual data sharing attestation

May 03, 2021

Complete your data sharing attestation in the next 30 days

RE: LAZARD FRERES ASSET MANAGEMENT

Protecting your firm's and clients' data is both critical to the security of your business and our highest priority. As part of your responsibility to govern your data and limit access to your clients' non-public information, we are asking you to review and confirm that the third parties which you have provided access to or otherwise directed to receive this data continue to have your authorization to do so.

On 5/1/2021 12:00:00 AM, your attestation window will open on Schwab Advisor Center® (SAC) and you will be responsible for confirming your current third-party data sharing relationships before 5/31/2021 11:59:59 PM. **If you do not complete your attestation within your response window, Schwab will remove any third party data sharing relationships that are not confirmed by your attestation response on SAC.**

You can perform your attestation by navigating to the Data Sharing tab on SAC, where you will be able to view:

- Any third parties that have initiated data transfers based on or in connection with your instructions
- Any parties receiving that data
- The method that's being used to distribute that data

Please review and attest to the accuracy of these third-party relationships. Additionally, throughout the year, if you wish to remove or revise inaccuracies or expired data feeds, it is your responsibility to notify us immediately. Please follow the actions outlined on the Data Sharing page.

You may have questions and we have included a link to our Service Guide page which includes a number of FAQs to help you understand the Data Sharing page and complete your attestation responsibility. In the event you have questions that were not addressed on the Service Guide, please contact your Service Team.

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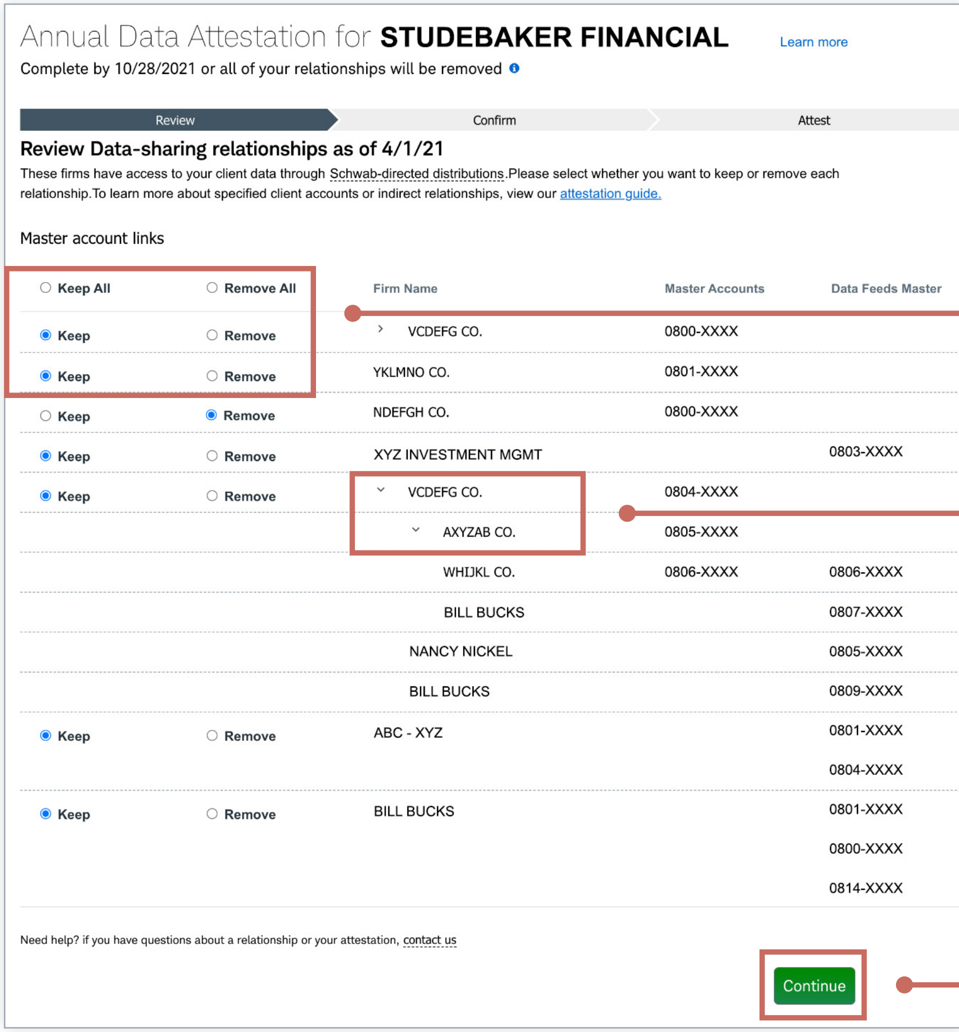
When your firm's annual attestation period starts, your FSA will receive an email that includes instructions for accessing the tool on Schwab Advisor Center.

Tip

The Data-Sharing Relationships link can be used only to update access during the annual attestation period. If you wish to update access during another period, submit a service guide request or contact your service team.

Step-by-step guide to attestation

When the tool launches, it will display a list of all third parties that currently have access to your firm's Schwab data, the master accounts they have access to, and any other recipients who can access that data through those third parties. Review all of these relationships, decide whether you want to keep or remove each, then click Continue.



You can elect to keep or remove each relationship, or keep/remove all with a single click.

Click the ">" sign next to each firm name to see other parties that have access through that firm.

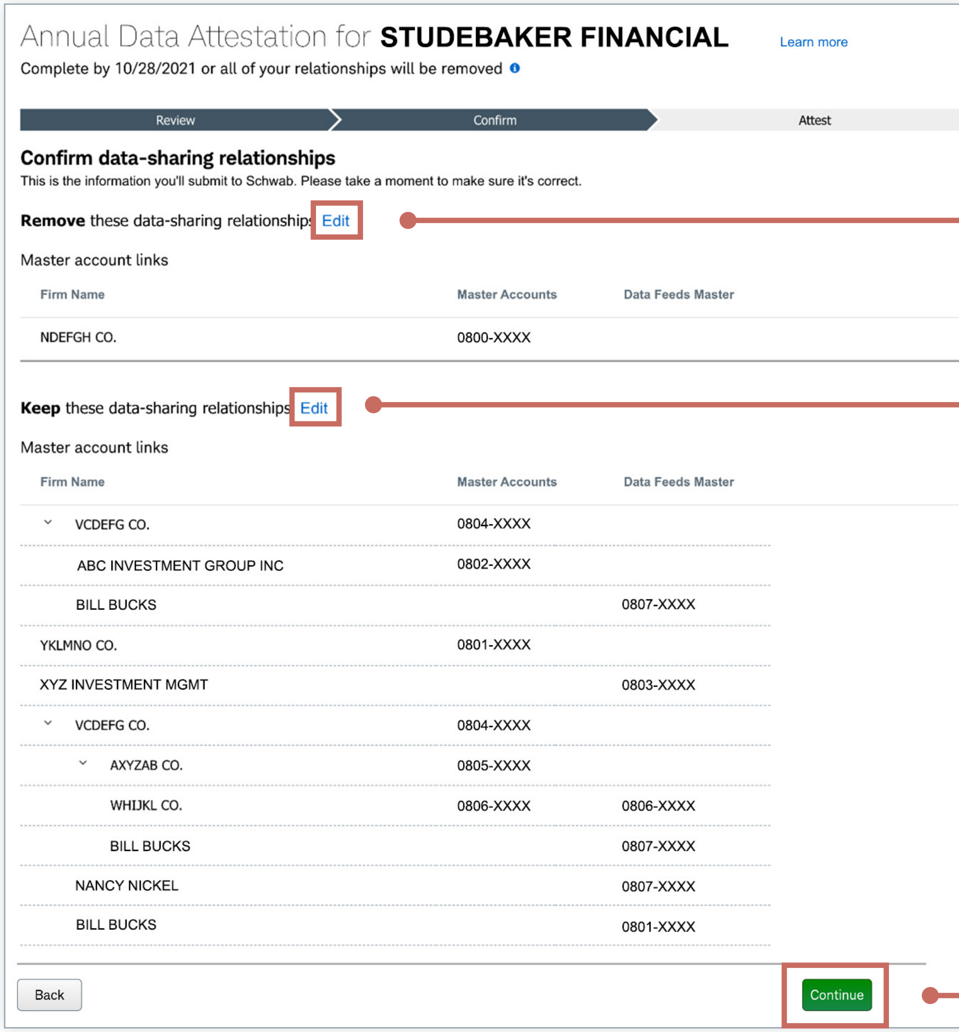
Once you're satisfied with your choices to keep or remove each firm's access, click Continue.

Tip

You can choose only to keep or remove direct data access relationships. You cannot remove access for firms that receive your data through another firm without also removing the top-level firm's access.

Step-by-step guide to attestation

The next step is to confirm your choices. Review the information; if it looks right, click Continue. If you need to make changes, click an Edit link.

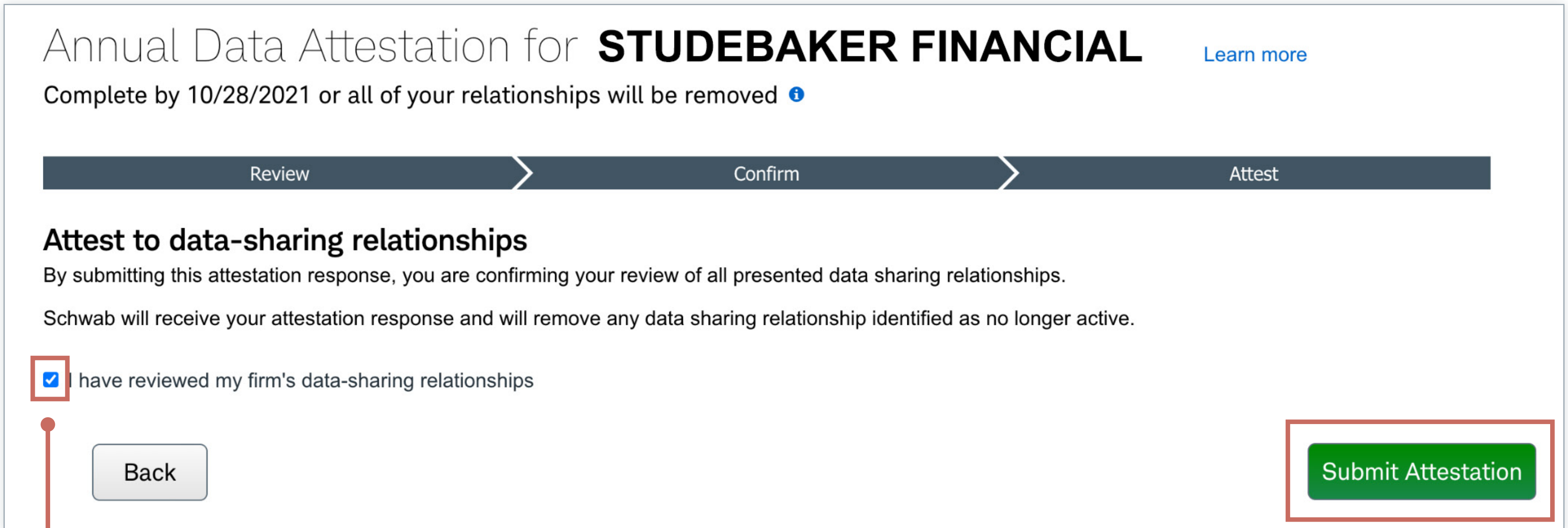


If you see anything that should be changed, click Edit.

When all the information is correct, click Continue.

Step-by-step guide to attestation

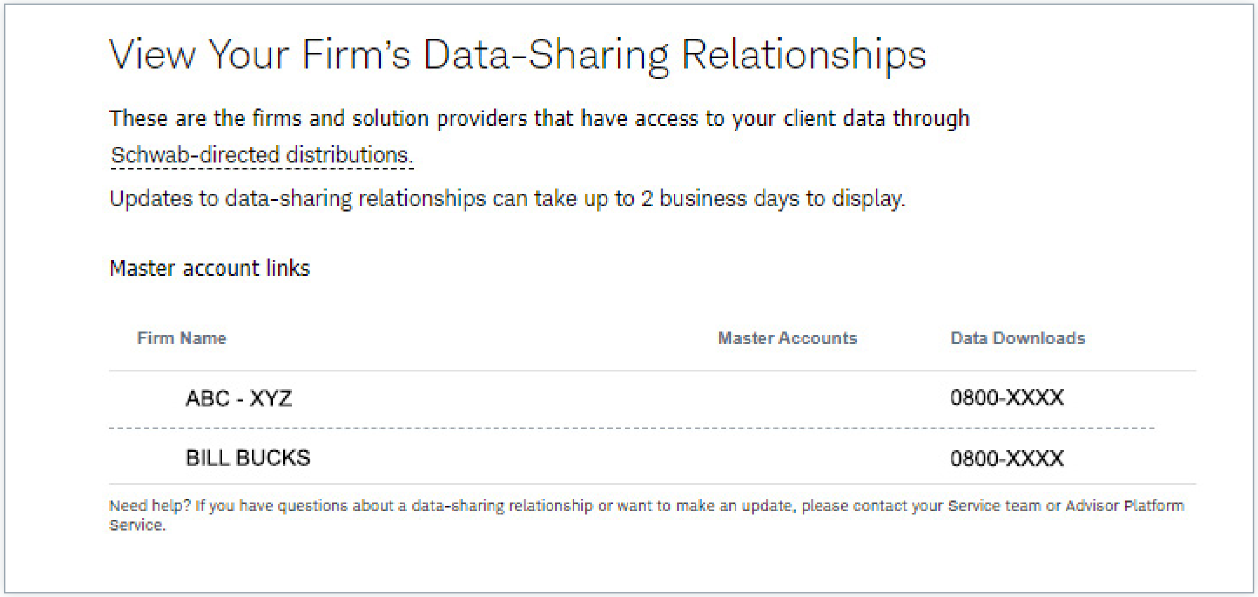
The last step is to confirm that you have reviewed the third-party data-sharing relationships and determined which should be kept or removed. Click the checkbox and then the green button to complete the process.



To indicate that your review is complete, click the checkbox, then click Submit Attestation.

Step-by-step guide to attestation

A confirmation screen will display the results of your attestation choices. If you wish to make additional changes, please contact your service team.



View Your Firm's Data-Sharing Relationships

These are the firms and solution providers that have access to your client data through Schwab-directed distributions.

Updates to data-sharing relationships can take up to 2 business days to display.

Master account links

Firm Name	Master Accounts	Data Downloads
ABC - XYZ		0800-XXXX
BILL BUCKS		0800-XXXX

Need help? If you have questions about a data-sharing relationship or want to make an update, please contact your Service team or Advisor Platform Service.

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