

# 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

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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.

**Function Access**

To add function access, select from the Unassigned Functions list and click Add. To remove access, select from the Assigned Function list and click Remove. Up to 100 functions may be moved at one time.

Unassigned Functions	Assigned Functions
Quotes	Access Annuity Management
Read All Master Accounts	Access Data Sharing Relationships
Request Journal Positions	Access Investment Proposal Center
Request MoneyLink	Access Managed Account Research
Request Wire	Access Siweb Status
Request Wire From SLOA	Access Third Party Sites - 529 QuickView
Reset Passwords	Send Email
SI2 Beta Agreement	View Content Areas
Submit Data Sharing Relationships	
Trade Online	

Buttons: Add » and « Remove

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.

The screenshot shows the Schwab Advisor Center interface. At the top, there is a search bar and navigation tabs for 'Positions', 'Reinvest', 'Transactions', 'Cost Basis', and 'RMD'. A 'More' dropdown menu is open, listing various services. The 'Data-Sharing Relationships' option is highlighted with a red box. A red line connects this box to a callout box below. Other menu items include 'Cybersecurity Resource Center', 'Management Fees', 'Corporate Actions NEW', 'Schwab Charitable Center', 'Launch Security Administration', 'Launch Group Manager', 'Upload Files', 'Schwab Data Delivery', 'Download All New Files', 'View Downloaded Data', 'Pricing', '529 QuickView Site', 'Millennium Trust Site', and 'Intelligent Portfolios Advisor Console'. The background shows a table with columns for 'Subject' and 'Action Needed'.

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.

The screenshot shows an email from Charles Schwab. The subject is 'Complete your data sharing attestation in the next 30 days'. The email body contains the following text: '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. We value your business and thank you for your continued partnership with Schwab. We will remove this email from your inbox once you have completed your attestation.' A red box highlights the text '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.' A red line connects this box to a callout box below.

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](#).

Annual Data Attestation for **STUDEBAKER FINANCIAL** [Learn more](#)

Complete by 10/28/2021 or all of your relationships will be removed

Review Confirm Attest

### Review Data-sharing relationships as of 4/1/21

These firms have access to your client data through Schwab-directed distributions. Please select whether you want to keep or remove each relationship. To learn more about specified client accounts or indirect relationships, view our [attestation guide](#).

Master account links

	Firm Name	Master Accounts	Data Feeds Master
<input type="radio"/> Keep All <input type="radio"/> Remove All	> VCDEFG CO.	0800-XXXX	
<input checked="" type="radio"/> Keep <input type="radio"/> Remove	YKLMNO CO.	0801-XXXX	
<input checked="" type="radio"/> Keep <input type="radio"/> Remove	NDEFGH CO.	0800-XXXX	
<input type="radio"/> Keep <input checked="" type="radio"/> Remove	XYZ INVESTMENT MGMT		0803-XXXX
<input checked="" type="radio"/> Keep <input type="radio"/> Remove	VCDEFG CO.	0804-XXXX	
	AXYZAB CO.	0805-XXXX	
	WHIJKL CO.	0806-XXXX	0806-XXXX
	BILL BUCKS		0807-XXXX
	NANCY NICKEL		0805-XXXX
	BILL BUCKS		0809-XXXX
<input checked="" type="radio"/> Keep <input type="radio"/> Remove	ABC - XYZ		0801-XXXX
			0804-XXXX
<input checked="" type="radio"/> Keep <input type="radio"/> Remove	BILL BUCKS		0801-XXXX
			0800-XXXX
			0814-XXXX

Need help? If you have questions about a relationship or your attestation, [contact us](#)

[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.

Annual Data Attestation for **STUDEBAKER FINANCIAL** [Learn more](#)  
Complete by 10/28/2021 or all of your relationships will be removed

Review → Confirm → Attest

**Confirm data-sharing relationships**  
This is the information you'll submit to Schwab. Please take a moment to make sure it's correct.

**Remove** these data-sharing relationships: [Edit](#)

Master account links

Firm Name	Master Accounts	Data Feeds Master
NDEFGH CO.	0800-XXXX	

**Keep** these data-sharing relationships: [Edit](#)

Master account links

Firm Name	Master Accounts	Data Feeds Master
VCDEFG CO.	0804-XXXX	
ABC INVESTMENT GROUP INC	0802-XXXX	
BILL BUCKS		0807-XXXX
YKLMNO CO.	0801-XXXX	
XYZ INVESTMENT MGMT		0803-XXXX
VCDEFG CO.	0804-XXXX	
XYZAB CO.	0805-XXXX	
WHIJKL CO.	0806-XXXX	0806-XXXX
BILL BUCKS		0807-XXXX
NANCY NICKEL		0807-XXXX
BILL BUCKS		0801-XXXX

[Back](#) [Continue](#)

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.

## Annual Data Attestation for **STUDEBAKER FINANCIAL** [Learn more](#)

Complete by 10/28/2021 or all of your relationships will be removed [i](#)

Review > Confirm > Attest

### Attest to data-sharing relationships

By submitting this attestation response, you are confirming your review of all presented data sharing relationships.

Schwab will receive your attestation response and will remove any data sharing relationship identified as no longer active.

have reviewed my firm's data-sharing relationships

[Back](#) [Submit Attestation](#)

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.

**Brokerage Products: Not FDIC-Insured. No Bank Guarantee. May Lose Value.**

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