**Schwab Data Feed Setup Instructions**

1. **The firm needs to send in the example letter on page two as described:**
	1. The letter on the next page must be printed on your company letterhead. The easiest way to do this is probably to copy the letter and paste into a new file.
	2. The letter must be signed by someone listed on your Form ADV Part 1, Schedule A.
	3. Please print as well as sign your name on the letter.
	4. Please do not change anything in the letter other than inserting your firm name (Advisor Firm Name).
2. **Fill in the highlighted parts on the SmartRIA letter below**

**Fax the completed letters to TCS Operations at 877-242-2772**.

(Schwab only accepts third/fourth party letters by fax, please do not email).

June 18, 2020

Charles Schwab and Company, Inc.

Attn: Technical Client Services

P.O. BOX 52013

Phoenix, AZ. 85072-2013

Dear Charles Schwab & Co., Inc.:

[Advisor Firm Name] (“Advisor”), hereby directs Schwab to allow Smart RIA Ventures, Inc. (“Agent”) to perform a daily download of computer files containing account data (Account Data”) for all accounts (“Client Accounts”) now or in the future linked to the following master accounts: [Specify Each Master Account Number].

Agent’s authority with respect to Client Accounts will be limited to downloading Account Data, and Agent will have no trading, disbursement, fee payment or other authority over any Client Account. Advisor hereby warrants and represents that its clients, the owners of the Client Accounts, have authorized the download or other disclosure of the Account Data as provided herein.

Advisor agrees that it, and not Schwab, is solely responsible for its and Agent’s use, disclosure and safeguarding of the Account Data in compliance with applicable federal and state laws and regulations. Advisor will maintain and assure that Agent maintains written policies and procedures reasonably designed to insure the security and confidentiality of the Account Data and protect it against loss, theft, or unauthorized use, access, disclosure or acquisition. Advisor will promptly notify Schwab if it becomes aware of any loss, theft, or any unauthorized use, access or disclosure or acquisition of the Account Data, whether through Advisor or Agent, and of Advisor’s or Agent’s obligation to give notice of any event that may have compromised the security of the Account Data.

Sincerely,

[INSERT FIRM NAME]

By: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Authorized Signature**

Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

 **Print Name**

Title: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

 **Job Title**

Date**:**

 **Current Date**

June 18, 2020

Charles Schwab and Company, Inc.

Attn: Technical Client Services

P.O. BOX 52013

Phoenix, AZ. 85072-2013

Dear Charles Schwab & Co., Inc.:

Smart RIA Ventures, Inc. (“Agent”), hereby acknowledges that [ Firm Name] (“Advisor”) has appointed it to perform a daily download of computer files containing account data (“Account Data”) for customer brokerage accounts maintained by Schwab and linked to the following master account numbers of Advisor: [Specify Each Master Account Number]. Agent’s authority with respect to Client Accounts will be limited to downloading Account Data, and Agent will have no trading, disbursement, fee payment or other authority over any Client Account.

Agent agrees that it is acting as a service provider to Advisor for purposes of laws or regulations applicable to Advisor relating to the safeguarding of the Account Data and it and not Schwab, is responsible for its use, disclosure and safeguarding of the Account Data in compliance with applicable federal and state laws and regulations. Agent will maintain written policies and procedures reasonably designed to ensure the security and confidentiality of the Account Data and protect it against loss, theft, or unauthorized use, access, disclosure or acquisition. Agent will promptly notify Schwab if it becomes aware of any loss, theft, or any unauthorized use, access or disclosure or acquisition of the Account Data or Agent’s obligation to give notice of any event that may have compromised the security of the Account Data.

Sincerely,

Smart RIA Ventures, Inc.



**By: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Authorized Signature**

**Name: \_\_Mac Bartine\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

 **Print Name**

**Title: \_\_\_CEO\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

 **Job Title**

**Date: June 18, 2020**

 **Current Date**

Smart RIA | [www.smart-ria.com](http://www.smart-ria.com)
8200 Kingston Pike, Suite 21, Knoxville, TN 37919