
CBSI

About Us



CUNA Brokerage Services, Inc. (CBSI) is the broker/dealer subsidiary of CUNA Mutual Group. Since 1985, CBSI has helped members invest and plan for the future through our investment services program. CBSI has been a critical component in bringing CUNA Mutual Group's corporate purpose to life—to help ensure a brighter financial future is available to everyone.

The financial services space is undergoing unprecedented transformation, with investments and individuals' financial future being one of the many uncertain things in our world today. We at CBSI are building on our historical success while continuously adapting to an ever-changing world and developing new approaches to help credit unions position themselves for success, and feel we are in a unique position to do so.

To help stay ahead of changing expectations, CUNA Mutual Group recently entered a strategic alliance with industry leader LPL Financial. This alliance aligns with CUNA Mutual Group's overall corporate strategy of building, buying, or partnering to best help more consumers make financial decisions that work for them.

The alliance offers unmatched value to credit unions, advisors, and members. The capabilities of the two firms work together to enable credit unions' investment services programs and financial advisors to leverage their combined strengths – the credit union expertise, data-driven strategic consulting, and advisor training and support of CUNA Mutual Group, in conjunction with LPL Financial's enhanced tools and technology through their state-of-the-art broker/dealer and advisory platform.

The CUNA Mutual Group - LPL alliance represents a transformative and significant milestone in CBSI's mission to serve more members with personalized guidance that can help fulfill their important life goals. With the alliance, we will create an even better experience for credit unions, advisors, and members. This in turn will help us accelerate growth for the advisors and credit union investment programs.

CBSI and LPL Financial Due Diligence



CUNA Brokerage Services, Inc. (CBSI) and LPL Strategic Alliance

CBSI partners with LPL Financial to provide digital solutions and back-office services. We take the security related to external strategic partnerships seriously and conduct regular reviews of their technology security practices.

LPL Financial Due Diligence/SOC Reports

Existing CBSI/LPL customers

LPL Financial Due Diligence Package

LPL's Due Diligence Package can be downloaded directly from ClientWorks:

- Access the ClientWorks Resource Center [Link](#) (requires log in*)
- Search "LPL Due Diligence Package"

LPL Financial SOC Reports

Instructions for requesting the LPL SOC report are included in LPL's Due Diligence Package. Refer to section B.2

*For existing CBSI/LPL customers that don't have access to ClientWorks, follow the instructions below for new/prospective customers.

New/prospective CBSI/LPL customers

LPL Financial Due Diligence Package and/or LPL Financial SOC Report

Request LPL's Due Diligence Package and/or SOC Report by emailing TechnologyDueDiligence@lplfinancial.com. An NDA may need to be signed before the information is provided. Include the following information in the email:

- Subject: Requesting LPL Due Diligence Package *or* Requesting LPL SOC 1 Report
- Credit Union Name
- Who is requesting the report and why

CBSI Due Diligence

As a reminder, CBSI due diligence information is available from CUNA Mutual Group's [Due Diligence Center](#).

- CBSI due diligence information, e.g., security and privacy practices, business continuity, etc., is included in the CUNA Mutual Group [Basic Package](#).
- CBSI SOC Reports: CBSI does not have a SOC 1 report. A SOC 2 Report for CBSI can be requested by clicking on [SOC Reports](#) in the [Due Diligence Center](#). Complete the requested information. You will be required to accept an online NDA. Once submitted, the requested SOC report(s) will be provided within 3 business days.