●● CPAGold ●

ACCOUNTANTS & CONSULTANTS PROFESSIONAL LIABILITY
Identity Theft Supplement

1. Name of Applicant: _____

2. Do **you** have a physical backup system for electronic client files? Yes ☐ No ☐

3. Do **you** have a formal procedure for destroying or archiving old client files? Yes ☐ No ☐
    a. Please describe:

    _____

    _____

4. Do **you** have a formal policy regarding the security of client files removed from the office? Yes ☐ No ☐

5. Are all partners and staff advised of **your** formal policy regarding data security? Yes ☐ No ☐

6. Do **you** use laptops or portable media devices to transport or remotely work on client files? Yes ☐ No ☐

7. Are all client files contained on laptops or portable media devices encrypted? Yes ☐ No ☐
    a. Please describe:

    _____

    _____

8. Are all servers or network computers "firewall" protected against outside access? Yes ☐ No ☐

9. What firewall software do **you** use on **your** computer network? _____

10. Are all firewalls and firewall software current and regularly updated? Yes ☐ No ☐
    a. Please describe:

    _____

    _____

11. Do **you** have a formal procedure for the disposal of obsolete computers or hard drives? Yes ☐ No ☐
    a. Please describe:

    _____

    _____

12. Are all partners and staff advised of the obligations to secure client privacy?   Yes ☐   No ☐

13. Do **you** have a client notification system in the event of loss or theft of personal records?   Yes ☐   No ☐

14. In the *past five years*, have any client records in **your** custody or control been lost or stolen?   Yes ☐   No ☐
    a.   Please describe:

_____

_____

15. How frequently are passwords changed?   _____

16. Do **you** undertake security background checks for new employees?   Yes ☐   No ☐

17. Are passwords and network access immediately revoked for terminated employees?Yes ☐   No ☐

18. How many of **your** staff have access to **your** computer network?   Yes ☐   No ☐

19. Do **you** monitor and log access to **your** computer network?   Yes ☐   No ☐

20. Do **you** use **Authentication Protocols** to verify requests to wire transfer client funds?   Yes ☐   No ☐

21. Are there additional **Authentication Protocols** for fund requests in excess of $25,000?   Yes ☐   No ☐

***Authentication Protocol(s)** means a documented method of challenge and response to the requestor of a transfer, payment, or delivery of Money or Securities by **you**, via a method other than the initial means of request, to verify the authenticity or validity of the request. The **Authentication Protocol(s)** Should produce a paper trail or electronic evidence that the procedure was followed.

Signature of Applicant: _____   Date: _____