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| **TECHNOLOGY DEVICE INVENTORY & POLICY REVIEW** |
| A number of changes in the way mobile and personally owned devices are used pose challenges for advisers in meeting their obligations under the Books and Records Rule and the Compliance Rule. The Compliance Rule requires an adviser to review, no less frequently than annually, the adequacy of the adviser’s compliance policies and procedures and the effectiveness of their implementation. Please complete the form below to satisfy the firm’s Books and Records requirement. |

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| **ASSOCIATED PERSONS INFORMATION:** |
| Associated Persons Name: |
| Work Phone:  | Mobile Phone: | Email Address: |

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| **INVENTORY REVIEW:** |
| **Device Type** | **Is the Device Owner****the Firm or Individual****(F/I)** | **Device has access to PII and Firm Sensitive Data?****(Y/N)** | **Device Protected****Encrypted (Y/N)** | **Do you have the ability to wipe device remotely if lost or stolen?****(Y/N)** | **Only authorized persons can download software (Y/N)** | **List Protections:*** **Antivirus**
* **Firewall**
* **Encryption**
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| **ATTESTATION:** | **INITIAL** | **COMMENT** |
| I have received and read the firm’s policies and procedures regarding prohibitions and limitations placed on the use of electronic messaging and electronic apps and the adviser’s disciplinary consequences of violating these procedures. |  |  |
| I understand that I must obtain prior approval from the firm’s CCO or IT Department before I am able to access firm email servers or other business applications from personally owned devices. |  |  |
| If I receive business related communications or client directives, I will move the communication to a firm approved platform before I respond, so that the communication is archived through the firms approved archival system. |  |  |
| I will not utilize apps and other technologies that can be readily misused by sending messages or otherwise communicate anonymously, allowing for automatic destruction of messages, or prohibiting third-party viewing or back-up.  |  |  |
| I have not had any cybersecurity breaches that need reported to the CCO or IT Department; including, but not limited to ransomware attack, compromised PII, or email breach. |  |  |

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| **ACKNOWLEDGEMENT:** |
| By signing below, I acknowledge that the information herein is true and correct to the best of my knowledge and belief. I understand that any violation of the above may result in discipline or dismissal.  |
| Associated Persons Signature: | Date: |