



## Certification of Electronic Device & Cyber Security Disclosure

Protection of our customer information is our priority, and our obligation to protect our customer accounts and information has never been more important than it is today. Accordingly, to ensure that our customer's non-public information is protected from any potential cyber-crimes, the firm implemented the policies and procedures addressing the protection of Digital Customer Information that are located in section 39 of the WSP's. Please refer to section 39 for more detailed information.

Associated persons are required to disclose the use and/or termination of use of any electronic device used entirely or in part for business purposes by completing the table below:

- This is an initial report of electronic device(s)
  I have a new device to report  
 I have a retired device to report
  I have a change in usage of a previously reported device to report  
 I certify that all client info stored on my retired device has been permanently erased

Device Description (example: "primary office computer) Include smartphones, tablets and other devices	Device Type (example: iMac, Dell PC desktop, iPhone, etc.)	Operating System Used	% Business Use	% Personal Use

Are your computers and devices used for your securities business protected with up-to-date antivirus software, firewall software, and anti-malware software?  Yes  No (Note: you could be asked at any time to provide documentation of the software used)

Device	Anti-Virus Software	Firewall Software	Anti-Malware Software

Are your computers and devices log-in privileges protected by a strong password that is frequently changed?  Yes  No

Do all of your devices "time out" after 15 minutes or less of non-use?  Yes  No

Do all of your devices have Software auto-update set to "ON"?  Yes  No

Do you certify that ONLY associated personnel have access to your computers and devices?  Yes  No

Do you use a portable storage devices (external hard drives, thumb drives, CDs, DVDs, etc.) to store customer's non-public personal information?  
 Yes  No If yes, do you certify that either the device or the data is encrypted (be prepared to provide proof of encryption upon request)?  
 Yes  No

**If you cannot certify the truth and accuracy of any item listed above, please attach a detailed written explanation.** I verify that the statements made in this certification are true and correct. I understand that false statements herein are made subject to the criminal penalties of 18Pa. C.S. 4909 relating to unsworn falsification.

\_\_\_\_\_  
Registered Representative's Signature/Date

\_\_\_\_\_  
Compliance Initials/Date