



# ARE YOU PREPARED TO PREVENT A CYBERATTACK?

Many financial professionals aren't so sure. The good news is that there are steps you can take to protect your business.

Prepare your office to prevent a breach:



## 1 CREATE A PLAN TO PROTECT YOUR DATA

- ✓ **Organize your client information:** Keep an up-to-date data inventory so you know where critical client info resides.
- ✓ **Identify protective measures:** Determine what key controls to put into place to protect client info from unauthorized access or malicious intent.
- ✓ **Real world training:** Maintain general awareness of threats and suspicious activities with routine exercises, like phishing awareness training, to prepare your office for commonplace attacks.



## 2 PROTECT YOUR BUSINESS WITH CYBER INSURANCE

- ✓ **Find the right insurance:** Like car insurance, there are many carriers to choose from and the options can be overwhelming.
- ✓ **Identify the right partner for you:** When shopping for cyber insurance, read the fine print and ask yourself the following questions:
  - Do they have the right expertise at the best rate?
  - What procedures are in place to protect you and your business?
  - If you do need their help, will they give you the runaround with reimbursement?



## 3 EMPLOY A THIRD PARTY TO VALIDATE THAT YOUR CLIENT INFORMATION IS SECURE

- ✓ **It could be required:** Many current regulations and laws require continuous risk assessments of your protective capabilities for your firm and your third-party supply chain. Do you have a third party, like your broker-dealer, that can address a risk and remediation plan?

## Here's what you need to do if a breach occurs:



### 4 ASSESS THE DAMAGE

- ✔ **Begin an investigation:** Within 24 hours, have a professional begin an investigation and conduct a forensic analysis to contain the breach and understand the damage.
- ✔ **Know your obligations:** legal and regulatory obligations to your clients vary based on state of residence, so it's important to understand your responsibilities.
- ✔ **Create awareness:** Determine what information has been compromised and alert those affected.



### 5 CREATE A CLIENT NOTIFICATION PLAN

- ✔ If your clients data has been compromised you need to notify them
- ✔ Talk to legal
- ✔ Do you need to do anything (e.g., offer credit monitoring)?

Sound like a lot to add to your plate? It is.

That's why Advisor Group developed our **CyberGuard Program**. We've leveraged our scale, along with our established and vetted relationships with industry security leaders, to provide our financial professionals—and their clients—the multi-faceted solutions they need to help protect what is theirs.



**Connect with our team to learn more about CyberGuard Program at 844-2-JOIN-AG.**

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