

Altimum Mutuals Inc.

Supplementary Security Assessment Re: Data Breach Prevention

Part I: **QUESTIONNAIRE**

1. Do you use a separate dedicated computer for your Altimum business? (eg. no insurance client files, no mortgage client files, no income tax client files, no youtube, no games, no Netflix, no personal records, no electronic banking, no other email service, no Google searches, etc.)
2. Do you keep electronic copies of client files on your computer?
3. Do you have and regularly use a cross-cut paper shredder?
4. Is your computer secured by a password at startup?
5. Do you shut down your computer each night or when not in use?
6. Do you have a notebook computer?
7. Do you back up data saved on your computer relating to Altimum business?
8. How often do you back up your data?
9. What media do you use to back it up to?
10. Where is your copy of the data backup stored?
11. Is the data backup under lock and key?
12. Do you subscribe to a data backup service?
13. Do you use your computer for internet banking?
14. Do you change your password on Viefund regularly, eg. monthly?
15. What antivirus program do you use? eg. Bitdefender, Kaspersky?
16. Is your antivirus program also installed on your notebook computer?
17. Is your computer connection to the internet by cable or WIFI?
18. Do you use a secure WPA2 WIFI connection secured by a password?
19. Do you ever log into an unsecured network, eg. client's home, Tim Horton's, neighbour's network, family's network while visiting them away from home?
20. Do you use a VPN? (Virtual Private Network)?
21. Do you use Gmail or Outlook or encrypted e-mail? eg. Proton Visionary.
22. Does Altimum's compliance personnel have access to all business email?
23. Do you use external computer support, eg. Geeksquad from Bestbuy?
24. Do you send clients statements or other confidential information by email?
25. Do you use Dropbox or do you use faxing, or Sync.com Business Pro?
26. Have you taken a course on computer and internet security?
27. Is your cell phone secured by a password or fingerprint security?
28. Do you access Viefund from your cellphone?
29. Do you have an antivirus program on your cell phone?

- 30. Have you given Viefund access to anyone else working with your accounts?
- 31. Have you used the client/advisor contact system Notification in Viefund?
- 32. Do you choose client passwords for their accounts? eg. does more than one client have the same password? Do you store their password information?

Note : In cases where data security is at risk, representatives' passwords may be changed by the Compliance Department, effectively locking the representative out of the back office system until appropriate measures are taken to prevent a breach of client data. Client information will continue to be available to the representative by other than electronic means.

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Part II: ***ACTION PLAN***

Enter Question Number and Anticipated completion date below.
Where multiple problems exist, set priorities and mark them as *.

Rep Name _____

Rep Signature _____

Date _____

Acknowledgement by Approved Person of Section 21 of the Compliance Manual,
Cybersecurity and Computer Usage Policy

I have read, understood and accepted Altimum's policies and procedures regarding Computer and Internet Usage and have agreed to abide by them.

Representative Name _____

Representative Signature _____

Date _____

Compliance Department Acknowledgement _____

Date received by Compliance Department _____