



Security Controls Self-Assessment

This assessment contains controls that are considered to be commercially reasonable for the prevention of fraud and cyber related incidents.

Network Security Controls

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| Do you have firewalls in place to prevent unauthorized or unwanted traffic to the network? | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| Do you keep software updated and security patches current on all devices? | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| Do you utilize anti-virus, anti-spyware and anti-malware monitoring services? | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| Do you monitor for unauthorized system activity? | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| Do you have system backups that are offline, or that are segregated on the network to protect them from corruption or ransomware? | <input type="checkbox"/> Yes <input type="checkbox"/> No |

Physical Security Controls

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| Is access to company facilities managed and monitored to ensure only those that are authorized have such access? | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| Do users log off or lock computers/devices when away from their desk, or done for the day? | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| Are controls in place to ensure computers/devices are not lost or stolen? | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| Are processes in place to ensure timely removal of physical access to facilities when an employee is no longer with the company or such access is no longer needed? | <input type="checkbox"/> Yes <input type="checkbox"/> No |



Information Security Controls

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| Do you have written policies and procedures related to the protection of customer and confidential information? | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| If you answered YES to the question above, are the policies and procedures reviewed at least annually and updated to account for changes in the threat landscape or business environment? | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A |
| Are background checks performed on employees at the time of hire? | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| Do employees receive periodic training on cyber related attacks, social engineering, phishing, fraud schemes. Etc. | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| Is electronic data encrypted in transmission, storage and while in use? | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| Is non-electronic (paper) data securely stored in locked cabinets, fireproof vaults/safes or other secured locations? | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| Do you have written and enforced information retention policies? | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| Do you have processes to ensure secure disposal of information when it is no longer needed for business purposes? | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| If you accept payments from customers via debit or credit cards, are you compliant with PCI-DSS requirements? <i>If yes, please provide a copy of a current PCI Attestation of Compliance</i> | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A |
| If you initiate, process or accept consumer ACH payments, are you compliant with the ACH Data Security Framework for protection of consumer information? | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A |

User Authentication Controls

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| Does each user have a unique username and password? | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| Do passwords have length and complexity requirements? | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| Are there lock-out controls for failed login attempts? | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| Do you require multi-factor authentication for user access? | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| Is login activity monitored for anomalous or unauthorized logins? | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| Are processes in place to terminate user access in a timely manner when they are no longer with the company? | <input type="checkbox"/> Yes <input type="checkbox"/> No |



Business Resilience Controls

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| Do you maintain a disaster recovery or business continuity plan? | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| If you answered YES to the question above, is the plan tested at least annually? | <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A |
| Do you have a response plan for a corporate account takeover event? | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| Do you have cyber insurance coverage? <i>If yes, please attach a current certificate of insurance reflecting the level of cyber related coverage</i> | <input type="checkbox"/> Yes <input type="checkbox"/> No |

Online Financial Security Controls

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|---|---|
| Do you utilize a dedicated computer/device for online financial functions? | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| If you answered NO to the question above, do you restrict web browsing and social networking on the computers/devices used? | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| Do you maintain written procedures related to performing online financial functions? | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| Do you leverage dual control for any funds withdrawals or external transfers from accounts completed via online financial tools? | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| Do you validate initial payment instructions from third-parties (ie: vendors and employee payroll) and re-validate payment instruction changes? | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| Is your deposit account activity reviewed daily for accuracy and to ensure only authorized transactions clear the account? | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| Do you leverage account alerts and notifications to monitor account activity? | <input type="checkbox"/> Yes <input type="checkbox"/> No |



Wire transfer services

Complete this section only if you currently use, or plan to use, self-service wire transfer services.

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|---|---|
| Is each user required to secure their access credentials and not share them with anyone? | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| When sending a wire to a beneficiary for the first time, do you have written procedures that include contacting the receiver to confirm the validity of the instructions you received? <i>Validation should be completed using a channel other than the channel from which the instructions were received.</i> | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| Do you have written procedures that include re-validating wire instructions if they change? <i>Validation should be completed using a channel other than the channel from which the instructions were received.</i> | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| Do you have written procedures that require dual control for initiating self-service wires? | <input type="checkbox"/> Yes <input type="checkbox"/> No |

RDC or mRDC

Complete this section only if you currently use, or plan to use, remote deposit capture (RDC or mRDC) services.

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|---|---|
| Do you have procedures for ensuring that scanned checks are physically secured until they are destroyed? | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| Do you have procedures that require scanned checks be stored for no more than 30 days? | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| Do you have procedures to ensure that scanned checks are securely destroyed (by cross-cut shredding or incineration) and cannot be reconstructed? | <input type="checkbox"/> Yes <input type="checkbox"/> No |