



GUIDE TO PROTECTING CLIENT INFORMATION

Guide to Protecting Client Information is intended for anyone working in the financial services industry. Individuals who may benefit the most from this course include registered representatives, investment advisers, their supervisors, operations and sales support staff, and employees with access to client records and information.

Guide to Protecting Client Information examines methods used by identity thieves and hackers to overview of these techniques, including pretexting, phishing, Trojan horses, using public Wi-Fi connections, among others. This information helps financial services professionals identify scams before client information is compromised.

Lesson 2 gives insight into the 2003 FACT Act and its Red Flags Rule, and goes on to explore the 1999 Gramm-Leach-Bliley Act and its Safeguard Rule. We explain how these rules impact the daily operation of a financial services firm, and what firms must do to comply with these rules. The lesson lists many measures firms may take to safeguard client data, and looks at situations in which the sharing of this data is allowed.