

I.	Confidential Client Data	4
A.	What information is confidential	4
1.	Name	4
2.	SSN.....	4
3.	Date of Birth	4
4.	Marital status.....	4
5.	Income	4
6.	Address.....	4
7.	Business location	4
8.	The simple fact that they are your client is confidential information. ...	4
B.	Inappropriate disclosure	4
1.	Discussing at the dinner table	4
2.	Disclosure to “your other self”	4
II.	Graham-Leach-Bliley Act	6
A.	Annual Privacy Notice	6
1.	“... clear and conspicuous written form.”	6
2.	Information that should be in the notice:	6
3.	May be a single paragraph:.....	7
4.	May be more complex.....	7
B.	Safeguards Rule	7
1.	Locks on door & files.....	7
2.	Proper computer security	7
3.	Communicated procedures	7
4.	Appropriate destruction of old files	7
4.	8	
C.	Have a <i>WRITTEN</i> plan.....	8
1.	Designates Security Person.....	8
2.	Identify & assess risks to customer data	8
3.	Evaluate current safeguards	8
4.	Design and implement additional safeguards	8
5.	Select service providers	8
6.	Monitor and test safeguards then reevaluate	8
III.	Staff Training.....	9
A.	Who.....	9

1.	Employees	9
2.	Contract help.....	9
3.	Computer Tech	9
4.	Janitorial Service.....	9
B.	Training	9
1.	Is it enough to simply ask staff to keep the information confidential?..	9
2.	Policy manual.....	9
3.	Signed acknowledgment, stipulating consequences	9
IV.	Paper files	10
A.	Lock on the office door	10
B.	Lock on the file	10
C.	Written policy that files or file room is locked when authorized persons leave the premise	10
D.	Leaving client files on your desk while interviewing other clients... leaving the room.	10
E.	Alarm system on the office	10
F.	Destruction of old files	10
1.	Worksheets, copies of W-2s, etc.....	10
2.	Paper shredder	10
3.	Certified destruction services	10
V.	Electronic Data	11
A.	Faxes	11
B.	Hardware.....	11
1.	Prevent “box theft”	11
2.	Flash drives.....	11
3.	Biometrics	12
4.	Notebook computers	12
5.	PDA.....	12
6.	Separate tax software from data files.....	13
C.	Software	13
1.	System Passwords.....	13
2.	Keep current with OS “security patches”	15
3.	Naming of computer files	15
4.	Password protected files and folders	15

5.	Data encryption	16
6.	Prevent Data Loss	16
7.	Plain text data files	17
D.	Networking	17
1.	Sharing files on your network.....	17
2.	Firewall.....	17
3.	Wireless Networks	18