

Identity Theft Protection Program

ITPP Policy:

The King Wealth Management Group takes identity theft seriously. We are governed by the Know Your Customer Rule and as a fiduciary for our clients we have enacted the following fraud prevention policies to help mitigate risk.

To that end, our policy to comply with the Regulation S-ID is:

- We encode client account numbers for all interoffice emails.
- Emails with sensitive information are sent with password protection.
- We require client identification when opening new accounts.
- We ask security questions from clients and check interested party information before we give out client account information.
- It is our policy to not take any client instruction via email. We verbally confirm instructions with client before we act on such instructions. All Third-party instruction must be in writing and confirmed verbally with the client.
- All computers in the office shut down after 15 minutes of non-use and employees are required to use a password to log back in; sharing of passwords is prohibited.
- We have a clean desk policy so that client information is locked up at night.
- Any mobile device that has client information is encrypted and/or password protected to safeguard client information outside of the office.
- Emails are monitored and reviewed.
- We use caller ID for the phones.
- We have pop up alerts to monitor client activity and money movements.
- Per our Code of Ethics, we act in professional manner and use our best judgment at all times to ensure our client's information remains confidential.
- Clients are notified of address changes. Disbursements from recently updated accounts over \$10,000 can be frozen for 10 days as a precautionary measure, depending on custodian.

We maintain Commercial Liability and Cyber Insurance policies