



## COMPLIANCE CHECKLIST WORKING FROM HOME

### NON-PUBLIC INFORMATION | COMMUNICATION | SECURITY | TECHNOLOGY

- Identify who could potentially be in your workspace (spouse, children, roommate).
- Find a space to work that prevents your screen and displayed non-public information from being viewed or recorded:
  - By other people in your workspace
  - During video calls
- Install a privacy screen on your computer.
- Find a space where you can hold private client conversations (video or voice calls).
- Secure stored hard copy information in a locked drawer or cabinet.
- Use cross shredder to dispose of client information.
- Ensure your connections are secure:
  - Network/Internet
  - Cloud storage
  - VPN
- Password protect access to your computer/tablet/phone.
- Enable dual factor authentication to access client information and communications on your computer/tablet/phone.
- Leverage archiving technology and services (SMARSH, Global Relay, Hearsay, etc.).
- Document and implement a process for archiving appropriate “written communication” with:
  - Clients (external)
  - Teammates (internal)
- Ensure each team member has followed this checklist for their own home office.

## CONNECT + MORE INFO

### FP TRANSITIONS

[www.fptransitions.com](http://www.fptransitions.com) | 800.934.3303

### COMPLIANCE ADVISOR PROFESSIONALS

[www.complianceadv.com](http://www.complianceadv.com) | 508.828.1410