

# Safeguarding Your Personal Information Using Email Encryption



## **Your Information. Our Responsibility.**

Each day, your Personal Identifiable Information (PII) is used by numerous entities, from department stores to banks. Financial advisors are also entrusted with sensitive personal information related to your accounts, including:

- > Income
- > Demographic Information
- > Account Balances
- > Tax Documents
- > Quarterly Statements

Ensuring the security of this private information is of paramount importance to your advisor's broker-dealer and the regulatory bodies that oversee it. As a result of increased vigilance in protecting private consumer information, many states across the country are implementing "encryption" requirements.

### **What is Email Encryption?**

Email Encryption involves using computer software to allow emailed content to be securely delivered to the recipient without being intercepted/accessed/read by unauthorized persons.

### **Why is Email Encryption Important?**

Whether obtaining a mortgage or visiting a physician, you are asked to provide personal information as a matter of course. The gathering of such information is commonplace; unfortunately, today's technologies have made it easier to unlawfully access another's personal information. As a result, criminals can obtain information on, or steal the identity of, a person as means to commit various crimes including robbery, identity theft, and phishing schemes.

### **How is Your Advisor Safeguarding Your PII?**

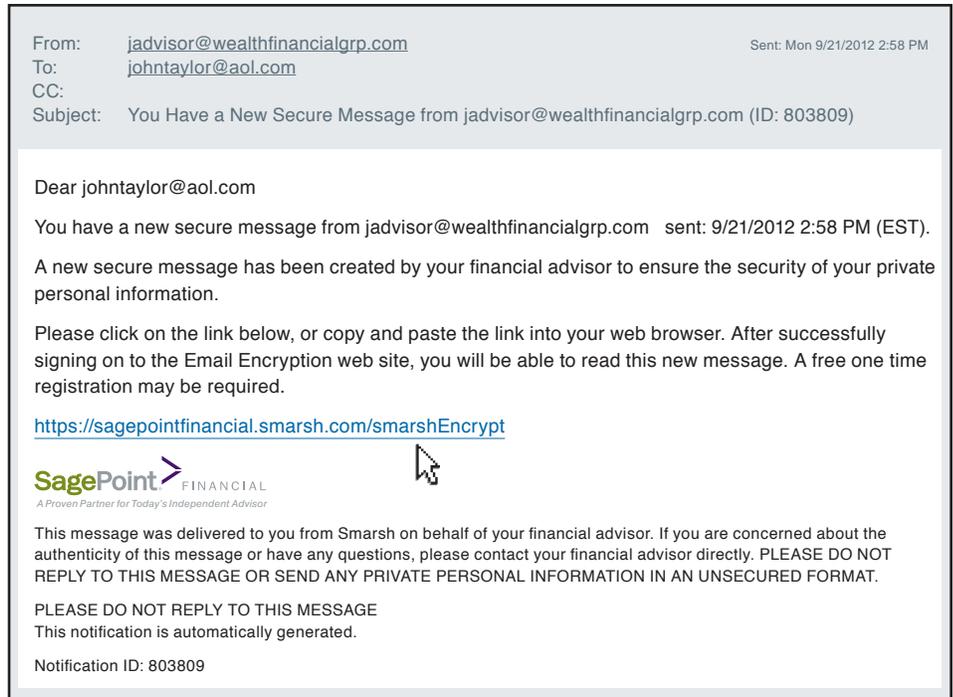
At the national level, legislation has been enacted to address the collection and safeguarding of PII. Your advisor's broker-dealer ensures the security of your private information by using an email authentication process that protects information from being read by unintended recipients.

## How Will the Email Encryption Process Affect You?

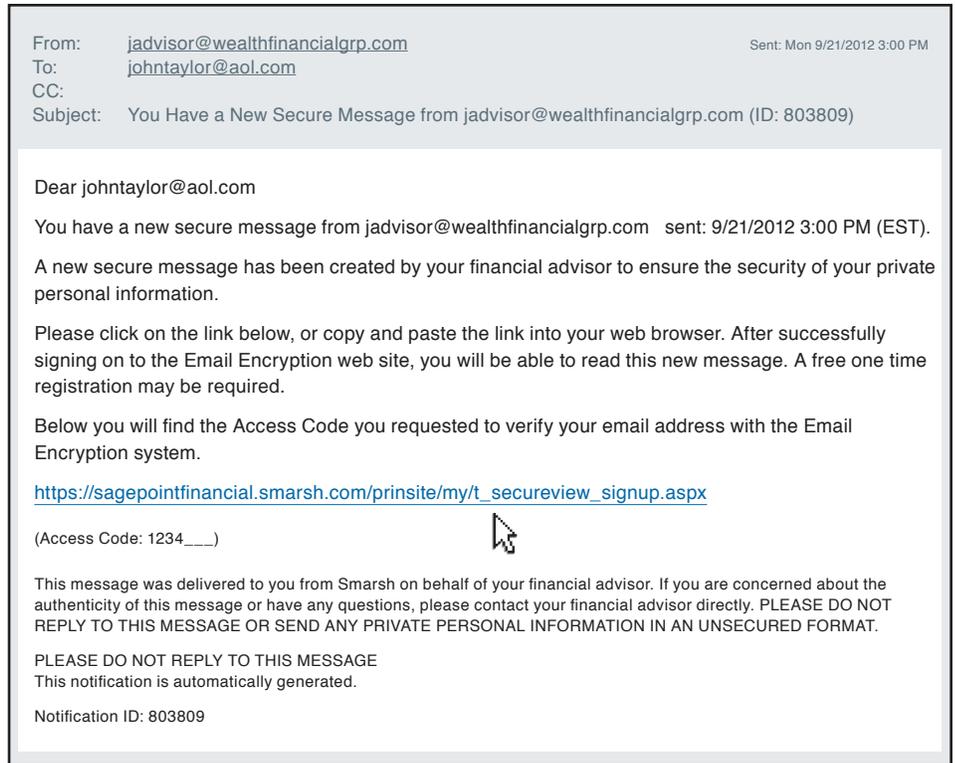
Encrypted messages from your advisor will be securely delivered to you in one of two ways, depending upon your email provider. If your email provider supports Transport Layer Security (TLS) protocol, the email messages will be securely delivered to your inbox like any other email. If your email provider does not support TLS, then you will retrieve your messages through the Smarsh Secure Messaging Portal. The next few pages of this guide focus on how to access the Secure Messaging Portal and retrieve your secure messages.

### To Access the Secure Messaging Portal:

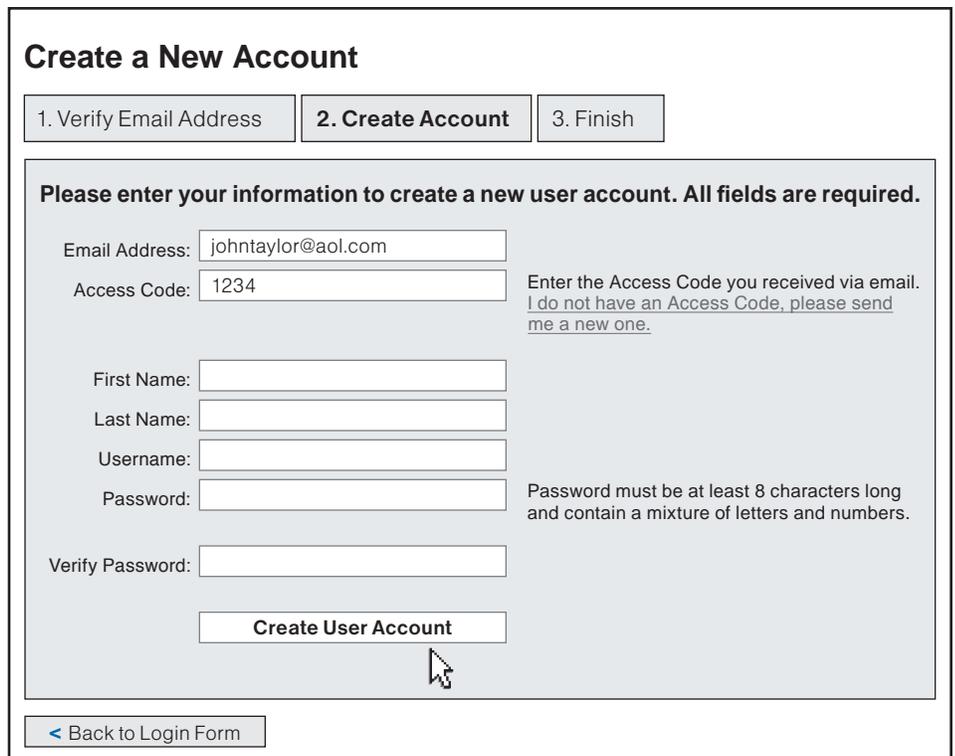
- > To access the **Secure Message**:  
You will receive a notification email from your advisor containing a link to a secured messaging portal.
- > Click on the link right above the SagePoint logo located within the email message. This will take you to the **Create a New Account** page.
- > From the **Create a New Account** page, click on the **Click to Send Access Code** button.



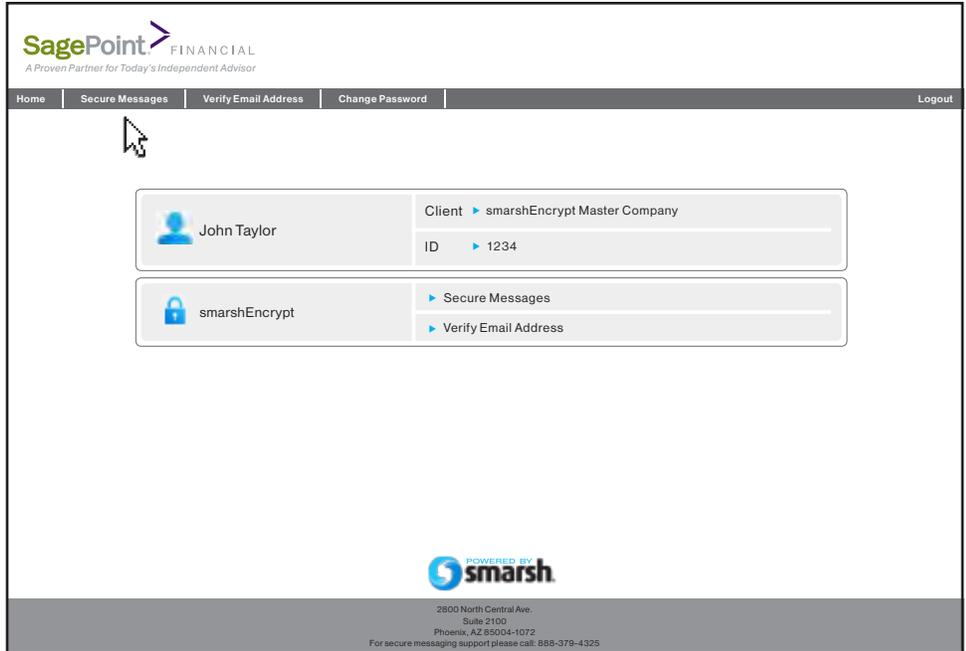
- > Make note of the access code contained in the email you receive. Then click on the link located above the access code. This will take you to the **SmarshEncrypt Registration** page.



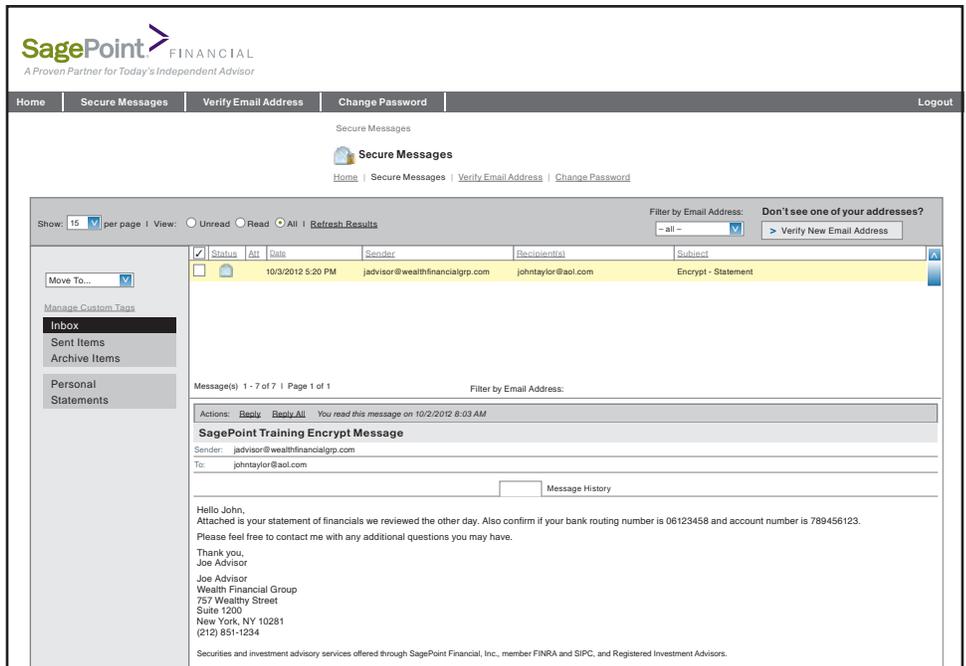
- > Complete all fields on the **SmarshEncrypt Registration** page, including your desired **Username** (we recommend using your email address) and **Password**. Re-enter the password to verify. Click the **“Create User Account”** button to access the **Secure Message** home page.



- > From the **Secure Message** home page, click on the **Secure Messages** link from the menu located at the top of the page.



- > To view the secured message, click on the desired message from the list. The details of the message will display in the lower portion of the screen.



- > To reply to the message, click on the **Reply** or **Reply All** links located above the message section.

Actions: [Reply](#) [Reply All](#) You read this message on 10/2/2012 8:03 AM

Sender: johntaylor@aol.com

To: jadvisor@wealthfinancialgrp.com

Message History

Thanks Joe,  
glad you contacted me to verify my account information as I just changed accounts the other day. I will contact you directly with new information.

.....Original Message.....

Hello John,  
Attached is your statement of financials we reviewed the other day. Also confirm if your bank routing number is 06123458 and account number is 789456123.

Please feel free to contact me with any additional questions you may have.

Thank you,  
Joe Advisor

Joe Advisor  
Wealth Financial Group  
757 Wealthy Street  
Suite 1200  
New York, NY 10281  
(212) 851-1234

- > The next time you receive an encrypted message from your advisor, you would again access the message via the link located above the logo (as referenced on page four). The login screen will display for you to enter your username and password, this would be the information you created during the one-time registration process.

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Login

Please enter your Username and Password

Username:

Password:  Login

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For secure messaging support please call: 658-378-4325

The security of your personal information is a responsibility your advisor and his/her broker-dealer take seriously. The Smarsh Secure Messaging Portal allows your advisor to communicate sensitive information safely and is an invaluable tool to help prevent unauthorized access to your personal information.

If you have any questions or concerns regarding email encryption, please contact your advisor.



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