



TECHNOLOGY APPLICATION

IMPORTANT NOTES: For purpose of the *Insurance Companies Act (Canada)*, this document was issued in the course of St. Paul Fire and Marine Insurance Company's insurance business in Canada.

Please attach copies of your standard contracts and agreements, most current audited or annual financial statements, loss runs for the past five (5) years), and any other information that will better help us analyze and price your insurance coverage. The information provided in this Application is the basis upon which a policy may be subsequently issued. All information provided in this Application forms part of any policy effected pursuant to completion of such section.

Please complete all questions. Indicate "N/A" if a question is not applicable. If additional space is needed to properly address certain questions, please use the "Additional Comments" at the end of this Application or attach additional sheets on your company letterhead with the details. Throughout this Application, "you" or "your" means the Applicant identified in all parts of the Application.

PART I: GENERAL INFORMATION

The following questions apply to all coverages requested.

SECTION A: GENERAL INFORMATION

- Full Name of Applicant: _____
- Number of Years in Business: _____
- Mailing Address of First Named Insured (including postal code): _____

- Website Home Page Address(es): _____
- List Subsidiary Names (attach separate sheet if necessary): _____ List Website Address (If different from above): _____

| | |
|--|--|
| | |
| | |
- Please list all mergers, acquisitions, or divestitures within the past 3 (three) years, including dates and whether you acquired or retained assets, liabilities or both for each transaction.

- Did your due diligence include the following:
 - Review of prior and pending litigation? Yes No
 - Evaluation of all outstanding contracts or service agreements to be included as part of transaction? Yes No
 - Analysis of Intellectual Property Rights, including any 3rd party interest in or liens on these rights? Yes No

SECTION B: INSURANCE

- If you currently have insurance for Commercial General Liability, Technology Errors & Omissions (E&O), Communications and Media Liability or Network and Security Liability coverages, please provide the following information:

| Coverage | Expiry Date | Insurer | Limit | Deductible | Premium | Retroactive Date |
|---------------------------------|-------------|---------|-------|------------|---------|------------------|
| Commercial General Liability | | | \$ | \$ | \$ | |
| Technology E&O | | | \$ | \$ | \$ | |
| Communication & Media Liability | | | \$ | \$ | \$ | |
| Network/Security Liability | | | \$ | \$ | \$ | |

- Please advise the date your first purchased:
 Technology E&O: _____ Communication/Media Liability: _____
 Network/Security Liability: _____
- Have you had continuous and uninterrupted coverage since this date for: _____
 Technology E&O Yes No
 Communication/Media Liability Yes No
 Network/Security Liability Yes No

4. Have you ever been declined, cancelled or non-renewed for Commercial General Liability, Technology Errors & Omissions, Network and Information Security Liability or Communication and Media Liability Insurance? Yes No
 If "Yes", please provide details: _____

SECTION C: COMPLAINTS, CLAIMS OR SUITS

1. Have you ever received any complaint concerning the products or services provided by you or independent contractors working on your behalf? Yes No
 If "Yes", please provide details of the complaint, including how your company responds to these types of complaints:

2. Have you received a complaint concerning the content of your website or customer website (including bulletin boards or chatrooms), e-mail, or internet service pertaining to:
- Disparagement, libel or slander Yes No
 - Infringement of copyright, title, slogan, trademark, trade name, trade dress, service mark or service name Yes No
 - Unauthorized use of advertising material, slogan or title of others Yes No
 - Plagiarism or unauthorized use of material of others Yes No
 - Failure to protect the private or confidential information of others Yes No
 - Failure to prevent transmission of a computer virus Yes No
 - Failure to provide access to any third party. Yes No
- If "Yes", to any of the above, please provide details of the complaint, including how your company responds to these types of complaints.

3. Does any person in your organization have any knowledge of any Intellectual Property Infringement offence, complaint or dispute? Yes No
 If "Yes", please provide details: _____

4. Within the past five (5) years have you sued any customers for non-payment of fees? Yes No
 If "Yes", please provide details: _____

5. Does any person in your organization have any knowledge or information of any fact, circumstance, or incident that has resulted in a dispute or legal claim or may reasonably be expected to result in any dispute or legal claim against your company? Yes No
 If "Yes", please describe below or attach complete details on a separate sheet:

| Date | Description | Actual or Estimated Dispute or Claim | Currently In Suit or Arbitration? | Status |
|------|-------------|--------------------------------------|--|---|
| | | \$ | <input type="checkbox"/> Yes <input type="checkbox"/> No | <input type="checkbox"/> Open <input type="checkbox"/> Closed |
| | | \$ | <input type="checkbox"/> Yes <input type="checkbox"/> No | <input type="checkbox"/> Open <input type="checkbox"/> Closed |
| | | \$ | <input type="checkbox"/> Yes <input type="checkbox"/> No | <input type="checkbox"/> Open <input type="checkbox"/> Closed |

6. Please provide your claims experience for the past five (5) years for coverage requested:

| Date | Description | Cost to Settle (Including Legal Fees) |
|------|-------------|---------------------------------------|
| | | \$ |
| | | \$ |
| | | \$ |

7. What measures have been taken to prevent similar losses, claims or disputes in the future?

SECTION D: COVERAGE REQUESTED

1. Commercial General Liability:

| | | |
|----------------|---|------------|
| Effective Date | Limit Requested (Each Event Limit/Total Limit) | Deductible |
| | \$ | \$ |

2. Coverage Requested:

Please select one or any of these Cybertech+ Liability Protection coverages:

- Technology Errors and Omissions Liability Protection
- Network and Information Security Liability Protection
- Communications and Media Liability Protection

Limits of Coverage Requested (Each wrongful act limit/total limit):

- \$1,000,000/\$1,000,000 \$2,000,000/\$2,000,000 \$3,000,000/\$3,000,000
- \$4,000,000/\$4,000,000 \$5,000,000/\$5,000,000 \$10,000,000/\$10,000,000
- Other: _____

Deductible Requested (Each wrongful act deductible):

- \$5,000 \$10,000 \$25,000 \$50,000 \$100,000 Other: _____

SECTION E: REVENUES

***Revenue** means the gross income of a nonprofit or for-profit entity. Examples of revenue include sources such as:

- sales, receipts, fees, commissions;
- donations, contributions, dues, grants received by nonprofit and membership organizations; and
- any other type of income of nonprofit or for-profit entities.

Revenue does not include investment income, intra-entity revenue, and returns from overpayment of taxes.

| Source(s) of Revenue* | Current Annual Revenue as of _____ MM/YYYY | Projected Annual Revenue |
|------------------------|---|--------------------------|
| Total Canadian Revenue | \$ | \$ |
| Total U.S. Revenue | \$ | \$ |
| Total Foreign Revenue | \$ | \$ |
| Total Revenue | \$ | \$ |

1. Please list the countries which account for your foreign revenue and the percentage breakdown of income derived from each:

2. Employee Information:

| | # of Employees | Current Payroll | |
|---------------------|----------------|-----------------|--|
| Canadian Employees: | | \$ | |
| U.S. Employees: | | \$ | List countries which account for your foreign employees: |
| Foreign Employees: | | \$ | |

SECTION F: YOUR TECHNOLOGY BUSINESS ACTIVITIES

1. Please describe your technology business activities:

2. Please provide the current percentage of revenues for all activities that apply:

| | | | |
|--|------|---|------|
| Application Service Provider (ASP): | ___% | Retail Sales of hardware and/or software: | ___% |
| Contract Programming: | ___% | Sales of pre-packaged software of others: | ___% |
| Consulting/training: | ___% | Systems consulting, analysis and design: | ___% |
| Custom Software Development: | ___% | Systems security software, hardware or services: | ___% |
| Data processing Services: Including maintenance, support and warehousing | ___% | Telecommunications products or services: | ___% |
| Disaster Recovery Services: | ___% | Value added resale and distribution: | ___% |
| ERP, CRM, Supply Chain or similar software and services: | ___% | Web Site Administration/Website Hosting: | ___% |
| Hardware Sales or Services: | ___% | Web Site Developer: | ___% |
| Integration Services: | ___% | Wholesale, distribution or manufacturers representatives: | ___% |
| Internet Service Provider or Online Service Provider: | ___% | Please provide description of products: | ___% |
| Manufacturing of hardware, software or related products: | ___% | _____ | |
| Pre-packaged software development: | ___% | Other: _____ | ___% |
| | | _____ | |

3. Please indicate the principal market(s) for your products or services (*Please provide percentage breakdown*):

| | | | | | |
|--|------|--|------|--|------|
| Agricultural: | ___% | Environment/Pollution | ___% | Marine: | ___% |
| Architectural/Modeling Software: | ___% | Financial Services, including banking, insurance or investment services: | ___% | Personal Use/Home PC: | ___% |
| Automotive/Non-Robotic: | ___% | Food and Beverage: | ___% | Professional Services, (e.g. legal, accounting, medical or other services provided by licensed professionals): | ___% |
| Aviation/Aircraft including Ground Support: | ___% | Fund Transfer: | ___% | Oil and Gas: | ___% |
| Broadcasting (Radio, TV, etc.): | ___% | Gaming: | ___% | Railroad: | ___% |
| Communications: | ___% | Government (military): | ___% | Scientific/Measurement: | ___% |
| Credit Card Processing/Transactions: | ___% | Government (non-military): | ___% | Technology Companies: | ___% |
| Data Security/Verification: | ___% | Healthcare/Medical: | ___% | Utilities: | ___% |
| Educational: | ___% | Manufacturing/Industrial/Robotics: | ___% | Other: _____ | ___% |
| Emergency Services (e.g. 911, fire, security): | ___% | | | _____ | |

4. What new products or services are to be released within the next twelve (12) month period?

5. Do you anticipate any changes to your business activities within the next two (2) years?

If "Yes", please describe: _____

6. Have any products, services or operations been discontinued or recalled within the last five (5) years? Yes No

If "Yes", please describe in detail which products/services were discontinued or recalled, including procedures for informing customers: _____

SECTION G: PRODUCT DEVELOPMENT/QUALITY CONTROL

1. (a) Do you have a written system development methodology or quality control procedure? Yes No

If "Yes", does it include the following:

- Alpha testing Yes No
- Beta testing Yes No
- Customer acceptance procedures Yes No
- Vendor certification process Yes No

(b) Do you keep the test results and test plan used in your quality control procedures for the life of the product? Yes No

2. Do your products/services comply with any widely accepted industry standards? Yes No

If "Yes", please check all that apply: ISO 9000 UL/CSA ANSI Other: _____

3. (a) How do you inform your customers of problems/bugs with your products or services?

- (b) From the time they are first discovered, how long does it take to inform all your customers of product bugs, anomalies, etc? _____
4. (a) Do you obtain written customer acceptance at pre-defined milestones or project stages? Yes No
 (b) Do you obtain written final acceptance, or other sign-off agreement from all customers upon delivery or completion of your products/services? Yes No
 If "No", what are your acceptance procedures? _____

5. Do you have a post-implementation evaluation or review procedures in place? Yes No
 If "Yes", please describe: _____
6. (a) Do you have a formal policy in place for handling customer complaints or requests for changes or fixes? Yes No
 (b) Are all customer complaints or requests documented in writing? Yes No
 (c) Do you have an escalation process in place to resolve customer complaints? Yes No
 (d) Do you have internal controls to prioritize and complete work on procedures? Yes No
7. How long do you retain copies of documentation and contracts? _____
8. Within the past three (3) years, have you or your independent contractors experienced any project delays or past due contract issues with any customer? Yes No
 If "Yes", please describe, including your policy for handling: _____

9. What is the anticipated life of your products or services? _____
10. What features are built into your product/service that will prevent product/service failure? _____

11. Please explain how your customers are required to adhere to preventative maintenance, upgrade, calibration schedules:

12. Is physical installation of your products at the customer site performed by your employees or representatives of your firm? Yes No
 N/A
13. Please explain your service standards, if any (ie. response time you guarantee to customers):

14. (a) Do you provide maintenance for your customers? Yes No
 If "Yes", please explain: _____
 (b) Do you subcontract such maintenance to others? If "Yes", please explain: _____

15. What percentage of delivered products are returned or require repair on site at initial delivery? _____ %
16. When and how do you notify your customers when you are going to miss a scheduled commitment?

17. (a) Do you require independent contractors and/or subcontractors to provide proof of Commercial General Liability? Yes No
 N/A
 If "Yes", what limit of liability do you require independent contractors/subcontractors to have? \$ _____

PART II: TECHNOLOGY ERRORS AND OMISSIONS LIABILITY

****TO BE COMPLETED ONLY IF YOU ARE REQUESTING THIS COVERAGE.**

IMPORTANT NOTE: Technology Errors and Omissions is provided on a claims-made and reported basis. Where legal and applicable, defence expenses are included within the limits of coverage. The retroactive date for your coverage is the first effective date of Technology Errors and Omissions coverage with St. Paul Fire and Marine Insurance Company, unless we agree on a different date.

1. What is the worst-case scenario to your customer or your customer's operations if your product or service were to fail or stop working?

2. Do your procedures include providing continuing service, support or other remedy for discontinued products or services? Yes No N/A

3. What is the acceptable downtime for your product/service according to your average customer's needs?

4. How would you rate the technical sophistication of your average customer?

- Little or no technical sophistication (first time users, or requiring training and support) Average (frequent user requiring some training and support) High (sophisticated user-complex systems)

5. How would you rank your customer's potential for consequential damage and resulting dollar loss if your product or service were to fail or stop working?

- Little or none Average High Other: _____

6. If your product or service were to fail, how many users could potentially be affected? _____

7. Please provide details of the five (5) largest contracts, projects or licensing agreements undertaken during the past five (5) years:

| Customer Type/Name | Length of Contract (months) | Project/Services/Products Provided | Revenue |
|--------------------|-----------------------------|------------------------------------|---------|
| 1. | | | \$ |
| 2. | | | \$ |
| 3. | | | \$ |
| 4. | | | \$ |
| 5. | | | \$ |

8. What is your average and longest installation, service or project time-frame (in months/years)?

Average: _____ Months Years

Longest: _____ Months Years

9. What is the size of your average and largest contract, project or licensing agreement?

Average: \$ _____ Largest: \$ _____

10. (a) What percentage of your services are provided by independent contractors and/or subcontractors? ____%

(b) Do you require independent contractors and/or subcontractors to provide proof of Technology Errors & Omissions? Yes No N/A

(c) If "Yes", what Technology Errors & Omissions limit do you require Independent contractors and/or subcontractors to have? \$ _____

PART II: TECHNOLOGY ERRORS AND OMISSIONS LIABILITY (continued)

****TO BE COMPLETED ONLY IF YOU ARE REQUESTING THIS COVERAGE.**

CONTRACTS

(Please provide copies of standard contracts/sales agreements/purchase orders/licence agreements with this Application)

1. What percentage of projects are undertaken using a standard contract?
 None 1%-25% 26%-50% 51%-75% 76%-99% 100%
If "None", please fully describe the terms under which work is accepted: _____

2. Do all of your contracts contain the following provisions:
- | | | |
|---|------------------------------|-----------------------------|
| Arbitration clause | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| Conditions of product/service acceptance | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| Customer maintenance provision | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| Disclaimer of warranties | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| Exclusive Remedy | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| Force Majeure | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| Integration clause | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| Limitation of liabilities | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| Limitation of liability for consequential damages | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| Project phases or milestones, including testing | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| Hold Harmless agreement/Indemnity agreement | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
3. How many of your customer contracts contain deviations from your standard provision? _____ %
4. Are all contracts reviewed by legal counsel? *If "No", please explain:* _____

5. Who can approve any variation in standard contract or service agreement provisions?
 In-house counsel only Other (Include title or department): _____
6. Are all modifications or mid-term changes to a contract (or service agreement) made in writing?
If "No", please describe when you would not require: _____

7. Do you ever negotiate contracts with customers where you accept liability for consequential damages? *If "Yes", please explain when and how often:* _____

8. Do you enter into contracts that include a fixed time frame for completion of all or portions of the project?
 Yes No
If "Yes", do you require customer sign-off and acceptance of all milestones? _____
 Yes No
9. Does your sales and marketing staff receive training regarding acceptable and standard provisions in your contracts or agreements? _____
 Yes No

PART III: COMMUNICATION AND MEDIA LIABILITY COVERAGE

****TO BE COMPLETED ONLY IF YOU ARE REQUESTING THIS COVERAGE.**

IMPORTANT NOTE: Communication and Media Liability Protection is provided on a claims-made and reported basis. Where legal and applicable, defence expenses are included within the limits of coverage. The retroactive date for your claims-made and reported coverage is the first effective date of coverage with St. Paul Fire and Marine Insurance Company, unless we agree on a different date.

1. Please describe your business activities:

| Please check all that apply for your current and projected business activities. | Current % | Within 2 years | Target Market(s) Please describe: |
|---|-----------|----------------|--------------------------------------|
| a) Access or Presence: Informational or advertising website for your business or the ability to send/receive e-mails, transfer files or browse the Internet: | % | % | |
| b) Communications: Internet Service Providers, Access Service Providers, On-line Service Providers: | % | % | |
| c) Electronic Commerce: Ability to order, buy or sell products or services over the Internet, including advertising of others on your website for a fee: | % | % | |
| d) Collaboration: Private communication networks or any extranet activities including providing systems resources to others: | % | % | |
| e) Data Storage: Including digital asset management and digital rights management software and services: | % | % | |
| f) Hosting: Hosting services provided to third parties, including public bulletin boards or chatrooms: | % | % | |
| g) Security: Consulting, assessments, installation or maintenance: | % | % | |
| h) Website design, development or maintenance for others: Including the development of e-commerce solutions for others: | % | % | |
| i) Other, please describe: | % | % | |

INTELLECTUAL PROPERTY PROCEDURES

1. Do you have a written Intellectual Property procedure? *If "Yes", please provide us with a copy.* Yes No
2. Do you obtain appropriate written permission to use material, images and/or content of others used by you or created by you? Yes No N/A
3. Do you do an internal audit of each operating department to ensure that Intellectual Property rights are being properly secured and that due diligence procedures are being followed? Yes No N/A
4. Do you obtain agreements with outside developers or consultants to include provisions granting you ownership of the Intellectual Property rights incorporated into any work that you provide or is done for you or on your behalf? Yes No N/A
5. Do you require employees and independent contractors/subcontractors to sign a statement that they will not use previous employers' or clients trade secrets or other Intellectual Property? Yes No N/A
6. Do you obtain written permission of any website you link to or frame? Yes No N/A
7. With respect to employees, independent contractors/subcontractors to ensure that they are not authorized to modify or publish corporate materials which have not been screened? Yes No N/A
8. Do you obtain clearance from outside or in-house legal counsel before products and/or services are released? Yes No N/A
9. Do you conduct a search to ensure that your products/services do not violate any Intellectual Property? Yes No N/A
 - a) What methods do you use to conduct searches? Legal Counsel Internet Other: _____
 - b) Are searches conducted on a worldwide basis? Yes No. N/A
10. Do you sell or advertise any products or services for yourself or others as being the same as or similar to, compatible with, or a clone of the products or services of others?
If "Yes" to above, do you have an agreement or permission to do so and is it in writing? Yes No
 Yes No
11. Do you incorporate any software or products designed by others into your designs?
If "Yes" to above, do you always obtain a licence to do so? Yes No
 Yes No
12. Have you or would you ever release a product or service for which you have received a qualified opinion that an intellectual property dispute exists? *If "Yes", please explain:* Yes No

***Note:** If any of the above questions were answered "N/A", not applicable, please provide an explanation in "Comments section".

WEBSITE CONTENT OR SERVICES

1. Do your business activities include or does your website or websites you manage for others contain, disseminate, employ or allow the following: *(Please check all that apply.)*

| | |
|--|--|
| <input type="checkbox"/> Advertising for others | <input type="checkbox"/> Movies/Movie Clips |
| <input type="checkbox"/> Executable programs or shareware | <input type="checkbox"/> Music/Sound Clips |
| <input type="checkbox"/> Domain Name registration | <input type="checkbox"/> Pornographic or sexually explicit material |
| <input type="checkbox"/> File Sharing | <input type="checkbox"/> Professional services (e.g., legal, accounting, medical or other services provided by licensed professionals) |
| <input type="checkbox"/> Financial services, including banking, insurance or investment services | <input type="checkbox"/> Self-help/Self-improvement information |
| <input type="checkbox"/> Health/Medical Information | <input type="checkbox"/> Sweepstakes or coupons |
| <input type="checkbox"/> How-To or Technical Manuals | <input type="checkbox"/> Website design |
| <input type="checkbox"/> Interactive gaming or games of chance | Other: |

2. What percent of the content is created by others? _____%

3. Does your website, or any website(s) you manage for others, include chatrooms, bulletin boards or blogs? Yes No
If "Yes", do you have a formal policy for monitoring and editing the comments and are edits done before the comments are posted? Yes No
If "Yes", is your policy clearly disclosed to chatroom, bulletin board or blog users? Yes No
If "Yes", how often do you monitor and edit your bulletin boards, chatrooms or blogs?

Please attach a description of the target audience and subject matter for each chatroom, bulletin board or blog.

4. Do you have a formal procedure for editing or removing controversial, offensive or infringing material from your website or any website(s) you manage for others? *If "Yes", please describe:* Yes No N/A

5. Do you or anyone on behalf of you, review or monitor the content of your website(s) or website(s) you manage for others? *(e.g., review for libel, slander, invasion of privacy, and infringement of intellectual property rights such as trademark and copyright)?* Yes No N/A
If "Yes", is the content of your website reviewed by an attorney? Yes, in-house counsel Yes, Outside counsel No

6. Do you post a privacy disclosure statement on your website or any website(s) you manage for others? Yes No N/A
If "Yes", how often do you perform audits to ensure compliance with the privacy policy?

7. If you are a website developer, do you transfer ownership of all licensed materials as well as the maintenance of license agreements when you transfer ownership of the website to your customers? Yes No N/A

***Note:** If any of the above questions were answered "N/A", not applicable, please provide an explanation below:

PART IV: NETWORK AND INFORMATION SECURITY LIABILITY

****TO BE COMPLETED ONLY IF YOU ARE REQUESTING THIS COVERAGE.**

IMPORTANT NOTE: Network and Information Security Liability is provided on a claims-made and reported basis. Where legal and applicable, defence expenses are included within the limits of coverage. The retroactive date for your coverage is the first effective date of Network and Information Security Liability coverage with St. Paul Fire and Marine Insurance Company, unless we agree on a different date.

YOUR BUSINESS ACTIVITIES ON THE INTERNET (including subsidiaries)

1. Please check all that apply to your website(s).
Information website only provides general information about you, and your products/service. Yes No
Accessible website has log-in capabilities allowing access to secure or restricted content (e.g. accounts, subscriptions, or profiles) and/or allows user to upload or download secure data. Yes No
Transactional website allows orders or purchases using credit card, debit card or bill payment. Yes No
2. Do you provide any of the following products or services through your website or over the Internet? *Please check all that apply.*
 Data Processing Internet Service Provider Website Hosting Software Downloads
 Network Security Website Development Software Development
Please describe any addition Internet, e-business or e-commerce business operation:

3. Please identify whether you or an outside vendor is responsible for operation of the following aspects of your Internet business activities.
Web Hosting You Vendor Transaction Processing You Vendor
Web Maintenance You Vendor Web Customer Service You Vendor
4. Do your contracts with you vendors for the above services address the following matters:
Provide you with indemnification for the vendor's misconduct, errors, omission and negligence Yes No
Identify the vendor's responsibilities for safeguarding customer and confidential information Yes No
Identify the security measures that the vendor will provide or follow Yes No
5. Do you collect and/or store user-specific, private or confidential information through your website? Yes No
If "Yes", please describe the types of information:

6. Do you share or sell any customer information with outside parties (including subsidiaries or affiliates)? Yes No
If "Yes", please describe such information and with whom you share it:

7. Do you collect data about children who use your website? Yes No
If "Yes", please describe the method you use to obtain parental permission:

SECURITY POLICIES AND PROCEDURES

1. Do you have a written information security policy? Yes No
2. Do you have written procedures governing how you make changes to your information security components or programs? Yes No
3. Do you have a company policy or procedure for the secure care, handling and storage of private, sensitive or confidential information on portable communications devices? Yes No
4. How often do you perform audits to ensure compliance with your privacy policies? _____
5. Are your employees required to sign an Internet usage policy or statement? Yes No
If yes, do you require annual (or more frequent) review of those policies or statements? Yes No
6. Is user-specific, private, sensitive or confidential information stored on your server(s) encrypted? Yes No
7. Is information stored on portable communications equipment, e.g. laptops, PDA's or other portable devices, encrypted? Yes No
8. Is the responsibility for the secure care, handling and storage of private, sensitive or confidential information of others addressed in your contracts with your customers? Yes No
9. Is the responsibility for the secure care, handling and storage of private, sensitive or confidential information of others addressed in your contracts with your subcontractors, independent contractors or third party vendors who may have access to or use of this information? Yes No
10. At which points do you run anti-virus software?
 Desktops/laptops Network gateways Mail servers File servers Other: _____
How often and by what method are virus signatures updated? _____
Please provide other relevant information describing your computer virus management practices (e.g., virus screening performed by outside party)
11. Do you have formal procedures in place to report and respond to unauthorized attempts to access your computer systems? Yes No
12. Do you maintain computer network logs and generate exception reports to monitor:
Unacceptable or restricted transactions Yes No
Correcting or reversing entries Yes No
Unsuccessful attempts to access restricted information on the site Yes No
13. Safeguards: Please check all that apply, identifying who provides or maintains the safeguard:
Intrusion detection software You Vendor
Vulnerability or penetration testing You Vendor
Backup and recovery processes You Vendor
14. Please describe your policies and procedures for identifying computer system vulnerabilities and obtaining remedial software patches: _____

15. Do you have a firewall installed and configured (hardened) to protect your network? Yes No
16. Is a login ID and password (authentication) required to access secure areas of your website? Yes No
17. If your website or communications network were disabled, what is the worst-case scenario to the authorized user who accesses your website or communications network? _____

