

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



Tax Documents



Account Balances



Quarterly
Statements

Ensuring the security of this private information is of paramount importance to your advisor's firm and the regulatory bodies that oversee it. As a result of increased vigilance in protecting private consumer information, many states across the country have implemented "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 firm 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:

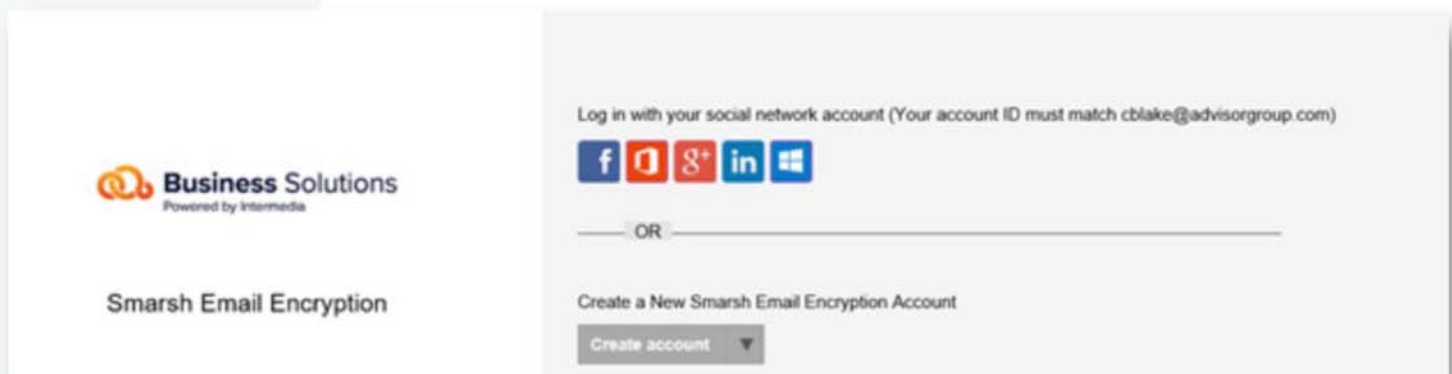
- **If this is your first time receiving a secure email from your advisor,** you will need to set up an account in the Web Portal to read an encrypted message. The activation information (activation password and link) is provided in the message. To activate the account, select the activation link and enter your name and activation password. You will then be asked to create a new password.
- **If you have previously used the Web Portal,** you will receive a message with the subject 'You have a new encrypted message from [sender's address]'. This email will have information about the encrypted message, such as subject, sent and expiration date, along with the link to access the encrypted message. Select the link and enter your email address and password (created during activation) to login and read your message.

To access the Secure Message: You will receive a notification email from your advisor containing a link to register for the secured messaging portal.

- Open your Smarsh Email Encryption activation email and click the [Click here](#) to create your account and read your message link. The registration page appears with your email address and activation code pre-filled.



- Click to create your account



- Fill in the registration form.

The screenshot shows the 'Create a New Smarsh Email Encryption Account' page. On the left, there is a logo for 'Business Solutions' with the tagline 'Powered by Mimecast' and the text 'Smarsh Email Encryption'. The main form area is titled 'Create a New Smarsh Email Encryption Account' and has a 'Back' button. The form is divided into three sections: 'Enter your registration information', 'Create a Password', and 'Password Recovery'. The 'Enter your registration information' section includes fields for 'First Name', 'Last Name', 'Email Address', and 'Activation Code'. The 'Create a Password' section includes a 'Password' field, a 'Password Strength' indicator, and a 'Confirm Password' field. The 'Password Recovery' section includes a 'Select your Challenge Questions' section with three questions and answers, and a 'Provide an alternate email address for password recovery' section with an 'Alternate Email Address' field. An 'Activate' button is at the bottom of the form.

- Click the **Activate** button. When your account is ready, you are redirected to the login page.

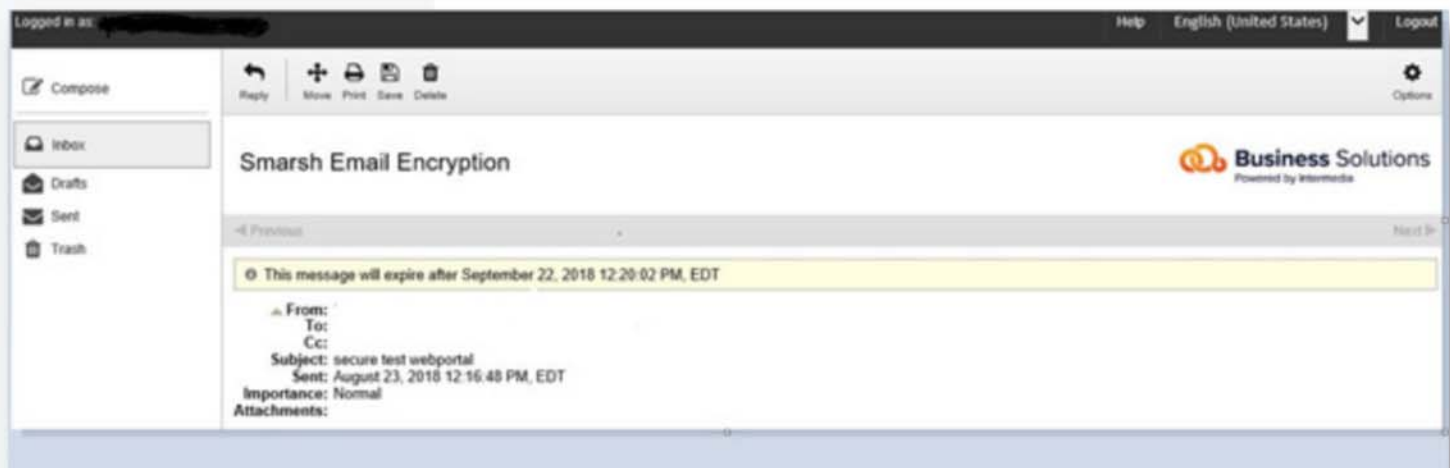
3. Log in to the Smarsh Email Encryption Web Portal

This screenshot is identical to the one above, showing the 'Create a New Smarsh Email Encryption Account' page. It includes the same logo, form sections ('Enter your registration information', 'Create a Password', 'Password Recovery'), and fields ('First Name', 'Last Name', 'Email Address', 'Activation Code', 'Password', 'Confirm Password', 'Challenge Questions', 'Alternate Email Address'). The 'Activate' button is at the bottom.

At this point, you can access your encrypted emails.

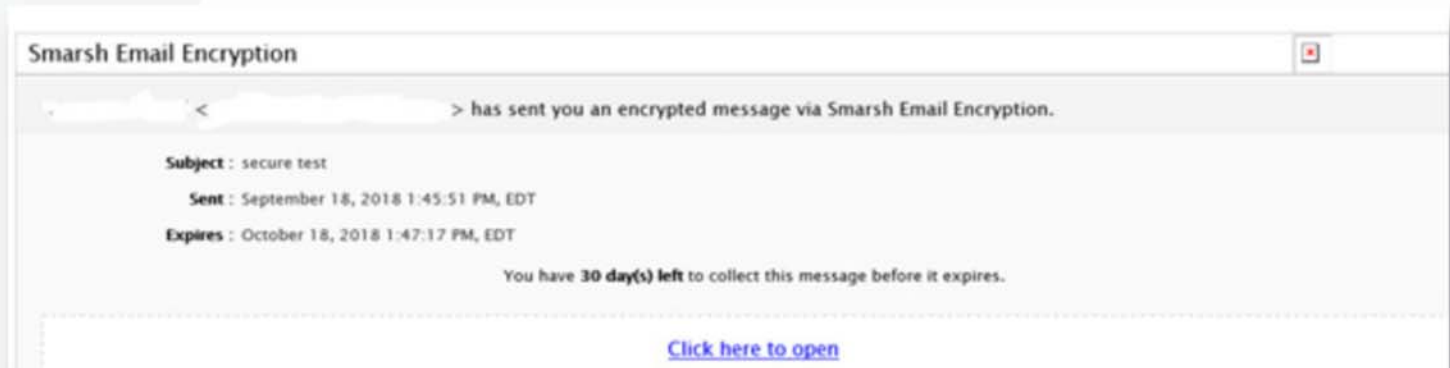


To reply to the message, click on the **Reply** link located above the message section.



Messages read or unread will expire in 30 days. The save function will allow you to save the email in various formats if you wish to retain it.

The next time you receive an encrypted message from your advisor, you would again access the message via the link located in the body of the email. The login screen will display for you to enter your username and password; use the same information you created during the one-time registration process.





Smarsh Email Encryption



Click a social network icon to log in with your social network account

Or log in with your Smarsh Email Encryption email address and password below.

Login

[Forgot your password?](#)

The system will attempt to make a secure TLS "handshake" with the recipient's email server. If it is unable to successfully complete this step, the message will be delivered through the secure portal, which requires you to log in to view the message. This may happen at times even if you typically receive secure messages directly in your mailbox. This is to ensure maximum security of your information.

The security of your personal information is a responsibility your advisor and his/her firm 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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