

# THIRD PARTY SERVICE PROVIDER QUESTIONNAIRE

Entity: <i>The Faley Corporation Independent Agency</i>	
Name & Title of Organization Senior Officer: <i>Michael Faley</i>	
Name of Organization Cybersecurity/Technology Contact information: <b>Michael Faley</b> <u>914-337-5201</u>	
Are you a covered entity under the NYS Cybersecurity Regulation (23 NYCRR 500)? (i.e., do you hold any license issued by the NYS Department of Financial Services?)	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
If you are a covered entity, have you filed your annual certificate of compliance with the NYS Department of Financial Services?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
<p>If you are a covered entity, please select any exemptions you qualify for:</p> <ul style="list-style-type: none"> <li><input checked="" type="checkbox"/> 500.19 (a 1, 2, &amp;/or 3) Limited Exemption</li> <li><input type="checkbox"/> 500.19 (b) Employee, agent, or representative of a covered entity</li> <li><input type="checkbox"/> 500.19 (c) Do not directly or indirectly maintain, utilize, control, or operate any information systems</li> <li><input type="checkbox"/> 500.19 (d) Covered entity under Article 70 of the NYS Insurance Law (captive insurance company)</li> <li><input type="checkbox"/> 500.19 (f) Subject to NYS Insurance law section 1110 (charitable annuity society), section 5904 (risk retention group not chartered in NY), or are an accredited reinsurer pursuant to 11 NYCRR 125 (reinsurer)</li> </ul>	
<p>Do you comply with any existing published cyber/data security standards? If so, please select all that apply.</p> <ul style="list-style-type: none"> <li><input checked="" type="checkbox"/> 23 NYCRR 500 (NYS Cybersecurity Regulation)</li> <li><input type="checkbox"/> ISO/IEC 27000 family of standards (International Organization for Standardization)</li> <li><input type="checkbox"/> SOC2/3 and/or SOC for cybersecurity (method to keep data secure)</li> <li><input type="checkbox"/> NIST 7621r1 (small business information security fundamentals)</li> <li><input type="checkbox"/> NIST CSF (government cybersecurity framework)</li> <li><input type="checkbox"/> OWASP (Open Web Application Security Project)</li> <li><input type="checkbox"/> GDPR (European data protection regulation)</li> <li><input type="checkbox"/> Other</li> </ul>	
Have you undergone a cybersecurity/vulnerability audit? If so, when and by whom? <i>AT&amp;T/Frontline (Digital Defense), February 2017 Network Audit/Penetration Test</i>	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No

<p>Do you encrypt data in transit?  If yes, please list encryption technology/tool used.  <i>TLS Email Encryption, SSL Website</i></p>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
<p>Do you encrypt data at rest (stored data)?  If yes, please list encryption technology/tool used.</p>	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
<p>Do you employ access controls and policies designed to limit access to relevant information systems and Nonpublic Information<sup>1</sup>?  If yes, please briefly describe.  <i>Management system command access, as well as network server access, is limited by roles and departments within our organization.</i></p>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
<p>Do you use multi-factor authentication or risk-based authentication to protect against unauthorized external access to your Nonpublic Information (multiple passwords and codes to access the network)?</p>	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
<p>Do you have policies and procedures in place to notify our organization in the event of a cybersecurity event<sup>2</sup> directly impacting our information systems or Nonpublic Information? If yes, please briefly describe.   <i>As part of the Faley Corporations procedures there will be a email notification provided to the contact of record for each affected entity, with detailed information regarding the incident.</i></p>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
<p>Click here to attest that the above is true and accurate to the best of your knowledge.</p>	<input checked="" type="checkbox"/>
<p>Name &amp; Title of person completing form</p>	<p>Michael  Faley,  President</p>
<p>Date</p>	<p>3/1/19</p>

**DISCLAIMER:**

- Definition of NPI:** Nonpublic Information shall mean all electronic information that is not Publicly Available Information and is: (1) Business-related information of a Covered Entity the tampering with which, or unauthorized disclosure, access or use of which, would cause a material adverse impact to the business, operations or security of the Covered Entity; (2) Any information concerning an individual, which because of name, number, personal mark, or other identifier can be used to identify such individual, in combination with any one or more of the following data elements: (i) social security number, (ii) driver' license number or non-driver identification card number, (iii) account number, credit or debit card number, (iv) any security code, access code or password that would permit access to an individual's financial account, or (v) biometric records; (3) Any information or data, except age or gender, in any form or medium created by or derived from a health care provider or an individual and that relates to (i) the past, present or future physical, mental or behavioral health or condition of any individual or a member of the individual's family, (ii) the provision of health care to any individual, or (iii) payment for the provision of health care to any individual.
- Definition of cybersecurity event:** Any act or attempt, successful or unsuccessful, to gain unauthorized access to, disrupt or misuse an Information System or information stored on such Information System.