

# Heissler Financial, LLC

## Identity Theft Prevention/Red Flag Policy

### Policy Objectives

The purpose of the Heissler Financial Identity Theft Prevention/Red Flag Policy is to define Heissler Financial responsibilities in detecting, preventing, and mitigating identity theft as required by the Federal Trade Commission (FTC) under the Fair and Accurate Credit Transactions (FACT) Act. The rule adopted by the FTC is referred to as the "Red Flag Rule".

### Policy Scope

All employees, temporary workers and contractors of Heissler Financial are responsible for adhering to this policy.

### Policy Owner

The Heissler Financial Identity Theft Prevention Officer is responsible for administering this policy.

### Responsibilities

Heissler Financial takes seriously its regulatory responsibilities and all reports of identity theft will be investigated and acted upon, up to and including the involvement of law enforcement agencies when needed.

Heissler Financial is responsible for maintaining procedures to identify red flags and monitor accounts that have been flagged as being potentially linked to instances of identity theft.

Examples of ID Theft Prevention Procedures:

1. Obtaining identifying documents from new customers
2. Verifying information received from consumer reporting agencies and service providers
3. Authenticating customers through the use of passwords and security personal identification Numbers (PINs).
4. Monitoring account transactions
5. Verifying the validity of address changes

### Reporting Procedure

If you are a client of Heissler Financial and feel you may be a victim of identity theft please contact your financial advisor.

Any suspicion of, or incidents of Identify Theft discovered must be promptly reported to Heissler Financial at 503.492.1556.