

This self-assessment is in lieu of, or in addition to, a site visit as described in your Pentucket Business Express agreement. This survey aids in oversight of risks associated with information security and fraud. It is essential that your information and computers are protected from exposure to possible fraudulent activity including hackers or employee fraud. Accordingly, Pentucket Bank uses this self-assessment as a monitoring tool to be sure that you are protecting information and implementing internal controls as agreed upon in your Pentucket Business Express agreement. Please complete this survey within 30 days and return to the bank in the postage-paid envelope provided. Consult appropriate business and technical professionals for advice and counsel.

Company:

Primary Contact Name:

Telephone Number:

Primary Email Address:

1. Have there been any changes in Management since your PBE system was originally installed? If yes, please explain.
 Yes No
Explain:
2. Are authorized personnel being trained on the proper use of the PBE system? Yes No
Explain:
3. Do your employees who are authorized to use PBE each have their own, unique User Name and Password to log into the PBE system? Yes No
4. Do you maintain a firewall to protect data and your Internet connection? Yes No
5. Do you have an encrypted hard drive on the computer that you use for PBE? Yes No
6. Do you maintain secure systems and applications? Yes No
7. What is the name of the anti-malware software you are presently using?
8. How often do you update the anti-malware software?
 Daily Weekly Monthly Semi-Annually
9. What is the last date your anti-malware software was updated?
10. Are your anti-malware programs capable of detecting, removing, and protecting against all known types of malicious software? Yes No

11. Do you have a policy (written or unwritten) that addresses information security and the prohibition of sharing User ID's and passwords? Yes No
12. Do you lock or secure the checks once they've been deposited? Yes No
13. Is paper-based PBE data, including checks, routinely moved to an off-site storage area? Yes No
14. If yes, does a third-party transport the paper-based PBE data or does an employee? Third-party Employee
15. How many days do you retain checks?
16. Please explain your method of destroying checks:
17. What date were the checks and copies of checks last destroyed?
18. Is access for terminated employees immediately revoked from the PBE system and/or is the bank contacted to disable their access to the PBE system? Yes No
19. Please list the locations of each check scanner:
20. Are you experiencing any problems with the check scanning hardware, software, or images? Yes No
Explain:
21. Are you routinely cleaning the scanner? Yes No
22. Are you complying with your responsibilities as outlined in the PBE agreement you signed with Pentucket Bank?
 Yes No

Name of authorized user who completed the self-assessment:

Signature of the authorized user: _____

Date Completed: _____

Please save your completed form to your computer and email it to Holly Pouliot:
psbit@pentucketbank.com
All forms are due back by Friday, September 29, 2017.