

# Top 10



## Security Tips to Keep You and Your Clients Safe

### 1 Enable MFA for All Financial Platforms

Protects against the use of compromised credentials and account takeovers.



### 2 Always Verify Money Transfer Requests

If a client emails asking to move funds, call them directly before taking action.



### 3 Be Wary of Spoofed CEO or Client Emails

Pause before responding. If something feels phishy, always reach out to that person via a second form of communication.



### 4 Keep Your Desk Clean

Avoid leaving client statements, checkbooks, or passwords lying around.



### 5 Use Secure File Sharing Tools (Not Email Attachments)

Sensitive documents should be shared via tools that won't compromise confidential information.



### 6 Before You Walk Away, Lock Your Workstation

Especially important in open offices or shared spaces.



### 7 Regularly Review Access to Client Portfolios

Remove old accounts and terminate access for former staff.



### 8 Never Use Public Cloud Drives for Client Files

Stick to your firm's approved document management system.



### 9 Watch for Phishing That Mimics Notices

FINRA/SEC scams are common. Always verify on the official website.



### 10 Compliance-Ready Backups

Ensure data is encrypted, archived, and retrievable for audits.



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