



## Fields Auto Group Compliance

### Service Provider Risk Assessment

Questionnaire requested by **LEXUS OF ORANGE PARK**.

Name of Person Completing This  
Questionnaire  
James Fales

Service Provider Name  
AutoAlert

Date Completed  
5 June 2023

|                                                                                                                                                                                                           |                            |                                                             |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------|-------------------------------------------------------------|
| 1. Are you an employee or authorized representative of this vendor/company?<br>Indicate the Person's Name in the comments.                                                                                | Person's Name: James Fales |                                                             |
| 2. Does your company offer software applications as part of its services?                                                                                                                                 | Yes                        |                                                             |
| 3. Is client data encrypted at rest and in transit? If not, why not?                                                                                                                                      | Yes                        |                                                             |
| 4. Has your company experienced a data breach in the past 12 months that affected customers' personal information?                                                                                        | No                         |                                                             |
| 5. Does your company have insurance coverage for a data breach that may involve our customer information that your company acquires while doing business with us?                                         | Yes                        |                                                             |
| 6. Does your company require security awareness training for all employees? If so, please answer how often it is provided in the comments section.                                                        | Yes                        | Security Training Frequency: Quarterly training requirement |
| 7. Does your company monitor for the effectiveness of employee security training by testing your users with simulated attacks?                                                                            | Yes                        |                                                             |
| 8. Does your company have a process for restricting access to customer files on a need-to-know basis?                                                                                                     | Yes                        |                                                             |
| 9. Do you have a written information security program?                                                                                                                                                    | Yes                        |                                                             |
| 10. Does your company conduct annual risk assessments that assess electronic, physical, and administrative information safeguards?                                                                        | Yes                        |                                                             |
| 11. Does your company have systems in place to securely dispose of documents that have personal identifiable information on them?                                                                         | Yes                        |                                                             |
| 12. Does your company have systems in place to restrict access to files/documents containing customers personal information to those with proper authorization?                                           | Yes                        |                                                             |
| 13. Does your company have due diligence processes and procedures for vetting subcontractors, including having them sign processing agreements that are compliant with applicable federal and state laws? | Yes                        |                                                             |
| 14. Has your company performed penetration testing of its systems within the past 12 months?                                                                                                              | Yes                        |                                                             |
| 15. Has your company conducted a vulnerability assessment of your systems within the past 6 months?                                                                                                       | Yes                        |                                                             |
| 16. Does your company maintain end-of-life or unsupported operating systems or software? If so, are these systems used to manage or maintain customer data?                                               | No                         |                                                             |
| 17. Does your company regularly patch or update systems and third-party software and monitor for noncompliance?                                                                                           | Yes                        |                                                             |
| 18. Does your company have a written incident response plan in the event of a security breach?                                                                                                            | Yes                        |                                                             |
| 19. Does your company require users to create complex passwords with 9 characters or greater?                                                                                                             | No                         | 8 characters with a complexity requirement                  |



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|-------------------------------------------------------------------------------------|-----|
| 20. Does your company prohibit shared logins?                                       | Yes |
| 21. Does your company require multi-factor authentication to log into your systems? | Yes |
| 22. Do you have an account lockout policy?                                          | Yes |

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|---------------------|------------------------------------------------------------------|------------------------------------------|
| Date<br>5 June 2023 | Signature of Authorized Agent of Service Provider<br>James Fales | Title<br>Information Security<br>Manager |
|---------------------|------------------------------------------------------------------|------------------------------------------|

*Submitted on June 5, 2023 at 12:17 PM by 136.32.2.20.*