



# LEVEL FOUR

Financial  
A DIVISION OF  
LEVEL FOUR GROUP, LLC

LFF018

Form #

Account #

Branch #

FA #

## INFORMATION SECURITY INCIDENT REPORT

Name: \_\_\_\_\_

Date of Incident: \_\_\_\_\_

Date Incident Discovered: \_\_\_\_\_

Which of the following best describes how you initially learned about the incident?

- I recognized red flags
- Client whose information was potentially compromised (e.g. identity theft)
- Internal personnel
- Other \_\_\_\_\_
- Don't know

Describe incident: \_\_\_\_\_

\_\_\_\_\_

Describe action taken: \_\_\_\_\_

\_\_\_\_\_

## INTERNAL REVIEW

Incident Number: \_\_\_\_\_

Date Reported: \_\_\_\_\_

Which of the following best describes the incident type (check all that apply)?

- Email Phishing
- Vishing (voice phishing)
- Spoofing (email sender uses forged header to appear as legitimate address)
- Malware/Virus
- Possible ID Theft
- Compromised email/website
- Other \_\_\_\_\_
- Don't know

Threat Level (Low, Medium, High): \_\_\_\_\_

Describe additional action taken: \_\_\_\_\_

\_\_\_\_\_

Conclusion: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Level Four Financial, LLC Member FINRA & SIPC.

Level Four Advisory Services, LLC, an SEC-registered investment advisor.

Level Four Group, LLC is a division of CRI Capital Group, LLC, a subsidiary of CRI Advisors, LLC. "CRI" is the brand name under which Carr, Riggs & Ingram, L.L.C. ("CPA Firm") and CRI Advisors, LLC ("Advisors") and its subsidiary entities provide professional services. CPA Firm and Advisors (and its subsidiary entities) practice as an alternative practice structure in accordance with the AICPA Code of Professional Conduct and applicable law, regulations and professional standards. CPA Firm is a licensed independent CPA firm that provides attest services to its clients, and Advisors and its subsidiary entities provide tax and business consulting services to their clients. Advisors and its subsidiary entities are not licensed CPA firms.