

CERTIFICATE OF COMPLIANCE

As of 11/05/2022

Harris & Harris has successfully completed all of the requirements to be considered a TECH LOCK® Certified Service Provider by being assessed against the following data security standards, regulations, and laws:

- GLBA
- FTC Red Flags Rule
- Massachusetts 201 CMR 17.00
- Nevada NRS 603A
- PCI DSS 3.2.1
- HIPAA
- IRS Pub 1075

TECH LOCK® has evaluated Harris & Harris and is certifying Harris & Harris is compliant with the required controls of the listed laws and data security standards bulleted above. As part of TECH LOCK® Certified Program, Harris & Harris is required to inform TECH LOCK® of any significant changes to its environment that impacts validation conditions as laid out within the laws and standards Harris & Harris has been certified in. To maintain TECH LOCK® Certified, Harris & Harris is required to submit successfully passed ongoing quarterly scans for its systems and provide to TECH LOCK® information regarding any new systems or components that store, process, or transmit confidential, cardholder, or client data. This certificate is valid for NO MORE THAN ONE YEAR from the above date of compliance. This certificate is for sole purpose of identifying the laws or standards reviewed and documented in the TECH LOCK® report.



Lead Assessor

Nicholas Stephens

Signature

Nick Stephens

Name

Practice Director

Title