

CERTIFICATE OF COMPLIANCE

As of 2/17/2024

RGS Financial 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
- ISO 27002
- Massachusetts 201 CMR 17.00
- Nevada NRS 603A
- PCI DSS 3.2.1
- HIPAA
- FISMA

TECH LOCK® has evaluated RGS Financial and is certifying RGS Financial is compliant with the required controls of the listed laws and data security standards bulleted above. As part of TECH LOCK® Certified Program, RGS Financial 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 RGS Financial has been certified in. To maintain TECH LOCK® Certified, RGS Financial 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	<u>Jason Luke</u>	<u>Jason Luke</u>	<u>Practice Director</u>
	Signature	Name	Title