



The Solution to Safeguards Rule Compliance

Online Panel Discussion

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Introduction:

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Moderated By:
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Panel Discussion By:

Doug Fusco, CEO Dealer Safeguards Solutions
Michael Dachille, Managing Director AutoTrieve
Chris Cleveland, CEO & Co-Founder ComplyAuto



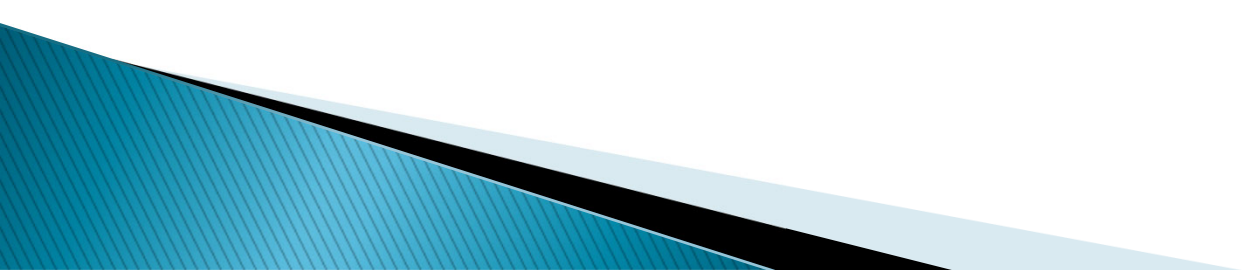
Introduction

- **GLBA SAFEGUARDS RULE**
Updated for the first time
since 2002 – 2 to 145 pages
- **FTC ENFORCEMENT**
Fine Increased in 2002
from \$43,792 to \$46,517




WHY DO DEALERS NEED TO COMPLY WITH GLBA?

- ▶ The Gramm–Leach–Bliley Act requires financial institutions – companies that offer consumers financial products or services like loans, financial or investment advice, or insurance – to explain their information–sharing practices to their customers and to safeguard sensitive data.



HOW DOES A DEALERSHIP MANAGE THE INFORMATION IT.....

- ▶ **COLLECTS** – DRIVERS LICENSE, INSURANCE CARD, STIPS, NON-PUBLIC PERSONAL INFORMATION
 - ▶ **CREATES** – CREDIT APPLICATION, MV DOCUMENTS, LENDING AGREEMENTS
 - ▶ **CONTROLS** – CUSTOMER FILES, CONSUMER FILES (DEAD DEALS), DATA PROTECTION, CYBER SECURITY, SERVICE PROVIDER OVERSIGHT
- 



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Stop hoping...
Start knowing!

Mandatory Steps

- ✓ Training on Policies & Procedures
- ✓ Periodic Compliance Reviews

DO NOT DO LIST!!!

- ✓ No paper
- ✓ FCRA
- ✓ Dead Deals
- ✓ Consistency - No shortcuts
- ✓ No text/Gmail
- ✓ Phone not personal copier
- ✓ Credit Apps
- ✓ Red Flags
- ✓ Fraud

While several of the new obligations may already be in place at many dealerships, others vastly expand what most dealers have developed and will require additional investments in software, technology, and potentially dealership personnel. The challenges involved in satisfying the new obligations could also increase dealers' liability exposure.



AutoTrieve specializes in secure Private Cloud-based Compliant Document Scanning as a Service (CDSaaS) for the Automotive Industry.

AutoTrieve is a service brand of Micro Graphic Information Service, Inc.

Michael Dachille, Managing Director

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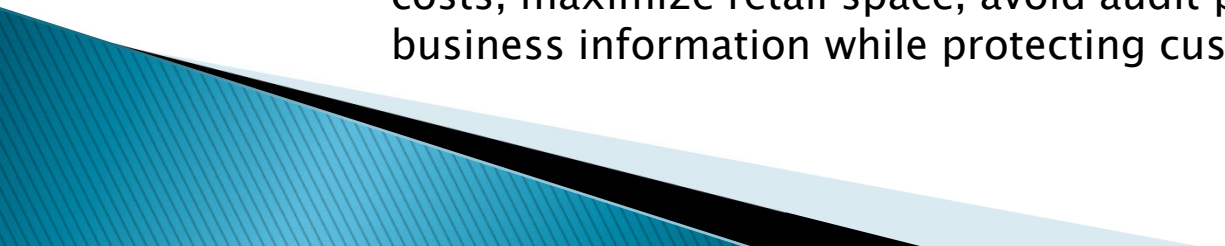
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Why Outsource Document Scanning?

1. Protect Client Personal Information.
2. Mitigate Reduced Labor & Rising Costs.
3. Respond to OEM Audits & Requests.
4. Reclaim Retail, Office & Service Department Space.
5. Eliminate Filing and Loss of Documents when re-filing.
6. CDK & Other DMS Extract & Write-Back Integrations.

AutoTrieve can help change how you scan and manage documents, reduce labor costs, maximize retail space, avoid audit penalties, and gain control of your business information while protecting customer's personal information.





Chris Cleveland

Compliance Director, Galpin Motors
CEO & Co-Founder, ComplyAuto Privacy



John McCallan

Owner, Operator & Attorney, Raceway Ford
Partner, Kearny Mesa Ford & Kia of Sunroad Auto



Shane McCallan

Co-Founder, ComplyAuto Privacy
General Counsel, Raceway Ford (former)
Vice President, Auto Advisory Services (former)



Hao Nguyen

General Counsel, ComplyAuto Privacy
Staff Counsel, CNCDA (former)
Sr. Manager of Legal Affairs, KPA (former)

Our History

"By Dealers. For Dealers."

- ComplyAuto Privacy was created organically to solve problems faced by the owners at their own dealerships.
- What you'll achieve with ComplyAuto
 - *Privacy as a brand promise*
 - *Full compliance with state and federal privacy laws*
 - *Modern and automated solution*
 - *Compliance Guarantee*
 - *Reduced insurance premiums*
 - *Reduced data breach and ransomware liability*
- Over **700** dealers currently using the ComplyAuto software.



COMPLYAUTO

What is required under the revised GLBA Safeguards Rule?

4 WRITTEN POLICIES –

- A. Information Security Program
- B. Incident Response Plan
- C. Data Retention Plan
- D. IT Change Management System

GLBA Updated Requirements

1. Internal Risk Assessments
2. Service Provider Risk Assessments
3. Employee Training
4. Annual Penetration Testing
5. BI-Annual Vulnerability Assessments
6. Phishing Simulations and Training

ComplyAuto LLC is a RegTech company offering cloud-based software that helps dealerships enhance their compliance capabilities while becoming more efficient and cost-effective. ComplyAuto uses data analytics and AI to provide real-time automated compliance decisions, performing tasks that would normally require manually-intensive processes and human intelligence.

THANKS FOR COMING!!

QUESTIONS FOR OUR PANEL?



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