

Secure Document Transmission Policy

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Secure Document Transmission Policy

At **Financial Gravity**, protecting client information is a core responsibility. As a Registered Investment Adviser, Financial Gravity operates in accordance with applicable federal securities laws and cybersecurity and safeguarding guidance issued by the U.S. Securities and Exchange Commission (SEC).

To ensure the confidentiality and integrity of sensitive information, clients and team members must follow strict guidelines when transmitting documents electronically. Regular, unencrypted email is **not** considered a secure method for sending sensitive data. The following information must never be transmitted through standard email, whether included in the body of a message or as an attachment.

Prohibited Documents and Data (Unencrypted Transmission)

1. Identity & Civil Status Documents

Documents that verify identity or legal status are highly sensitive and strictly prohibited from unencrypted transmission, including:

- Social Security cards
- Passport copies
- Driver's licenses (front and back)
- State ID cards
- Birth certificates
- Death certificates
- Marriage certificates
- Divorce decrees
- Adoption records
- Citizenship or naturalization certificates
- Permanent resident cards

2. Financial Account Information

Any information that could provide access to financial accounts or facilitate fraud must not be sent via regular email, including:

- Bank account numbers (full or partial, if identifiable)
- Routing numbers combined with account numbers
- Voided checks
- Direct deposit authorization forms
- Wire transfer instructions
- Brokerage or investment account statements
- Retirement account statements
- Loan account numbers
- Credit card numbers (full or partial)
- Mortgage payoff statements

3. Tax & Government Forms

Inv Tax and government-issued documentation contains highly sensitive financial and identifying data and must be transmitted only through secure channels, including: AS; Services, LLC. (FG Family Office Services), an SEC Registered Investment Adviser. Neither FG Asset Management nor FG Family Office Services provides tax or legal advice and is not a certified public accountant. FG

- W-2 forms
- 1099 forms
- W-9 forms
- W-4 forms
- Individual or business tax returns (e.g., Form 1040)
- IRS transcripts
- EIN confirmation letters
- Social Security benefit statements

4. Legal & Estate Documents

Estate planning and legal documents often contain confidential financial and personal information and are prohibited from unencrypted email transmission, including:

- Powers of Attorney
- Trust agreements
- Last Will and Testament
- Estate settlement documents
- Guardianship documents
- Court orders and judgments
- Bankruptcy filings

5. Medical & Insurance Information

Health-related and insurance documentation is particularly sensitive and must never be transmitted via standard email, including:

- Medical records
- Insurance ID cards
- Disability documentation
- Medical record numbers

6. Authentication & Security Information

Security credentials and access-related information must always remain confidential and must never be shared through email, including:

- Passwords
- PINs
- One-time passcodes
- Multi-factor authentication (MFA) backup codes
- Private encryption keys
- Account recovery answers
- Signature card copies

Prohibited Data Combinations

Even if individual pieces of information appear non-sensitive on their own, certain combinations significantly increase risk. The following combinations are strictly prohibited from unencrypted transmission:

- Full name + Social Security number (including last four digits)
- Full name + date of birth + full address
- Account number + date of birth
- Customer ID + authentication responses
- Employee ID + payroll information

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Secure Transmission Requirement

If you need to send any of the information listed above, you must use an approved secure document portal or encrypted transmission method provided by Financial Gravity. When in doubt, always assume the information requires secure handling and contact the Financial Gravity Operations team for guidance before sending.

Safeguarding client information is not optional — it is a shared responsibility and a foundational component of our commitment to trust, compliance, and excellence.

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