



The Solo & Small-Firm Client Confidentiality Checklist

A plain-English self-check mapped to your duties of competence and confidentiality

The rules of professional conduct expect you to keep reasonably abreast of the risks of technology and to make reasonable efforts to protect client information. This checklist helps you see where you stand. For each item, ask: could I show a client, or a bar reviewer, that I actually do this?

Confidentiality of Client Data

1. Client files and email are encrypted, both on your devices and wherever they are stored in the cloud.
2. Multi-factor authentication is on for email, your document-management system, and remote access.
3. Every person with access has a unique login, and access is removed the day someone leaves.
4. You use secure methods to send sensitive documents, not just plain email attachments.

Money and Fraud

1. You have a written wire-verification workflow: any change to payment or wiring instructions is confirmed by phone to a known number before money moves.
2. Staff know that a "change of bank details" email is the classic fraud, and they know to stop and verify.
3. Trust-account access is tightly limited and monitored.

Competence, Supervision, and Response

1. You keep reasonably current on the basic security risks of the tools your firm uses.
2. Your staff, contract paralegals, and vendors are covered by clear data-handling expectations.
3. Your cloud practice-management and storage vendors have real security commitments in writing.
4. You have a written plan for what to do if client data is exposed, including who you would need to notify.
5. You can respond to a corporate client's security questionnaire or Outside Counsel Guidelines without scrambling.

How did you score? If items 5 through 7 gave you pause, you are not alone. Wire fraud on trust accounts and settlements is the way firms lose real money, and it is preventable. If item 12 stopped you, know that passing client security reviews is becoming the price of keeping institutional work.

This is an educational self-check, not legal or ethics advice. Confirm how these duties apply to you with your own counsel.

Want a documented, defensible security posture mapped to your duties? We deliver it as a fixed-fee confidentiality assessment, so you have proof you took reasonable steps.

Book a free 30-minute readiness check: info@secureroots.io · 310-421-8132

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