CYBERSECURITY COMPLIANCE FOR INVESTMENT ADVISORS, BROKER DEALERS, HEDGE FUNDS, PRIVATE EQUITY AND OTHER REGULATED FINANCIAL FIRMS

OBJECTIVES

- Establish, maintain, and evidence attainment of federal and state cyber and data security requirements inside single log on dashboard.
- Guide and incorporate best practice cyber and data security procedures and technologies.

FEATURES

Policy and Procedure Development, Monitoring and Maintenance

Customized profiling and development of documentation (potential policies listed at end of this document) detailing data management, including physical and electronic processes. Policy guidance, maintenance, and updating in accordance with National Institute Standards of Technology (N.I.S.T.). Electronic endpoint device monitoring and human testing to evaluate policy and procedure implementation.

Cyber and Data Security Risk Assessments

Assessment of cybersecurity risks, data handling processes, and overall business security vulnerabilities. Certification of cyber security standards included.

Cyber and Data Security Training

Customized data security training courses executed and delivered individually. Automated reminders, reporting, and status notifications, and certification of completion provided. Weekly and monthly data security news, alerts, tips, videos and information for employees and clients.

Email Vulnerability Testing

Email management behavioral vulnerabilities evaluated and improved through customized enticement platforms. Full notifications and reporting of status along with measurements of overall resistance to email enticements. Quarantine and identification tools provided.

Penetration Testing

External penetration testing performed under global open web security testing 4.0 standards. Full diagnostic description of exploitation efforts along with vulnerability identifications ranked and profiled including recommended reactive actions. cyber security standards included.

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SDDco Group

Examination Preparation

State and federal mock examinations. Exam readiness exercises and guidance on demand.

Vendor Vetting and Due Diligence

Identification and vetting of third party access partners. Full vetting according to approved data security standards. Approved vendor agreements provided and serving as guidance upon exposure incidents.

Information Data Controls

Rostering of data ranked high to low. Asset inventory descriptions and rostering maintained.

Data Incident Exposure and Response Management

Fully managed and documented data security exposure events. Includes reporting, containment efforts, response planning, forensic investigations, and determination of notification requirements related to state and federal guidelines including client and state notifications.

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