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IA Compliance: Master Emerging Challenges

Sept. 16, 2019 | Philadelphia, PA

UPCOMING WEBINARS

Conquering Current Compliance Challenges

Sept. 11, 2019 | 2:00 - 2:30 PM EST

RECORDED WEBINARS

Conquering Current Compliance Challenges

Recorded: August 14, 2019

HANDBOOKS

Private Equity Enforcement Lessons Learned: Compliance Guidance for the PE Business Model

Includes: Best Practices, Key Regulatory Issues and Compliance Tips

The SEC Examinations Priorities Handbook (2019 Edition)

Includes: Best Practices, Document Request Letters and OCIE Risk Alerts

The Adviser's Guide to SEC Advertising and Marketing Rules

Includes: 23 Best Practices, 5 Peer-tested tools and 15 No Action Letters

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Ask your cyber vendor where its penetration test originates – the answer may surprise

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Having an entity test its ability to infiltrate your network stands as a confirmed cybersecurity best practice.

However, you may want to ask your vendor where its penetration testing originates. A CCO shares her experience that led her to fire the vendor and collect a refund.

The CCO did her due diligence and investigated three vendors before landing on a well-known firm that **RCW** declines to identify.

Months before hiring the vendor to do penetration testing, the advisory firm closed its network ports to any pings from certain countries, such as China and India, out of fear these locations could host cyber bad guys.

Later, the vendor attempted to do its pen testing but couldn't. The CCO then discovered the failure was because the vendor had outsourced the pen testing job to a firm in India – a location the adviser had blocked.

The CCO was aghast and perturbed that the vendor hadn't disclosed this before being hired.

"When you open a portal like that, it opens it for anybody" from those suspect countries, says the CCO. The CCO later found a vendor that conducts its pen testing from the U.S.

The information contained herein was current as of the publication date.

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