

## Technology Advisory, Security and Compliance Services

RSI is a trusted resource to help broker dealers and financial advisors navigate today's turbulent Cybersecurity waters and deploy best-in-class security solutions. As a Strategic Partner to 1st Global, we can help you secure your computers and networks, and keep your client's personally identifiable information (PII) safe.

We're well suited to help you proactively plan for core business risks as well as provide incident response if needed. Our security experts can assess how your unique attack surface has evolved over time and whether your Cybersecurity planning and mitigation strategies have kept pace. Focus on the strategies and logistics that drive your future, and let us focus on keeping you secure.

Since 2008, RSI has helped organizations of all sizes achieve risk-management success and protected our customer's critical assets and reputation. Let's talk about how we can confront this evolving threat landscape together, and walk away confident you've met a business and technology partner that deeply understands your company's Cybersecurity needs.



### 1st Global Branch Office Cybersecurity Policies Compliance

All computer equipment and devices used to connect to 1st Global's website and systems must have security measures in place, such as Encryption, AntiVirus, Security Patch updates, and strong Password Policies. RSI's Gap assessment process and threat mitigation services ensure branch office compliance and security for 1st Global advisors.



### SEC Regulation S-P / Rule 30

Financial service firms are required to have policies and procedures addressing the protection of customer information and records. This includes protecting against any anticipated threats or hazards to the security or integrity of customer records.



### Managed Vulnerability Assessment

Continuously identifying, quantifying and prioritizing vulnerabilities in your IT infrastructure ensures that all resources meet or exceed risk tolerance standards.



### Forensics

Organizations rely on urgent and expedited resolutions after data and security breaches occur. Performing In-depth, root-cause analysis allows us to provide additional security measures to prevent future threats.



### IT Asset Management

Our award-winning asset management system autonomously scans your computer's software and hardware, monitoring for needed driver updates or alerting us of unauthorized changes to system configuration. This allows you to make cost-effective decisions on purchasing, redistribution, and re-purposing of your organization's IT infrastructure.



### Managed Security & Compliance

Keep up with the most advanced security technology while lowering your cost of ownership with our managed services. We customize our industry-leading managed security services to fit your needs while managing your organization's need to comply with regulations and standards.



### Incident Report

Responding to a data-loss incident quickly and in an organized manner is paramount in containing a breach, limiting exposure, stemming losses and preserving evidence.



### IT Support/Help Desk

RSI provides multiple ways for customers to troubleshoot problems by offering assistance through our call center 24/7 or through our self-serve knowledge base.

## Identification

Identification services provide control and protocols for managing Cybersecurity. At RSI, we have management tools that capture, track, and compare a client's Cybersecurity asset inventory with their risk tolerance for clients of any size (Tier 1-4).

## Protection

RSI offers many IT services that range from simple IT help desk support to Cybersecurity and forensics. We understand the importance of setting up an end users' IT network with the adequate security measures and software that will provide them with the highest level of protection for their individual IT setup.

## Detection

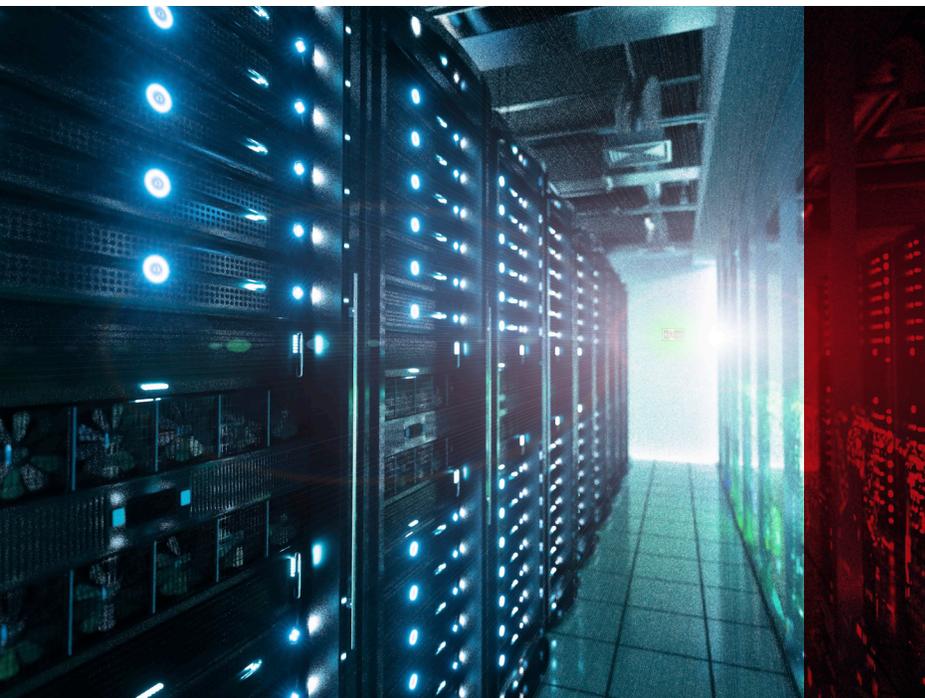
In the event that a RSI client experiences any form of an intrusion or breach to their endpoint system, we have the ability to detect any adverse or negative Cybersecurity events, determine if our protective solutions have successfully mitigated the matter, and notify the client.

## Response & Recovery

In the confirmed event that a RSI client has experienced a security breach, RSI can and will support and advise them through the Incident Response life cycle. If the breach is complex, and requires additional services (AD Hoc services), RSI will provide the client with our base support and guidance services and provide the client with an IRP (Incident Response Plan).

# About RSI

RSI is the nation's premier information security and compliance provider dedicated to helping organizations achieve risk-management success. We work with some of the world's leading companies, institutions and governments to ensure the safety of their information and their compliance with applicable regulation. We also are a security and compliance software ISV and stay at the forefront of innovative tools to save assessment time, increase compliance and provide additional safeguard assurance. With a unique blend of software based automation and managed services, RSI can assist all sizes of organizations in managing IT governance, risk management and compliance efforts (GRC).



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