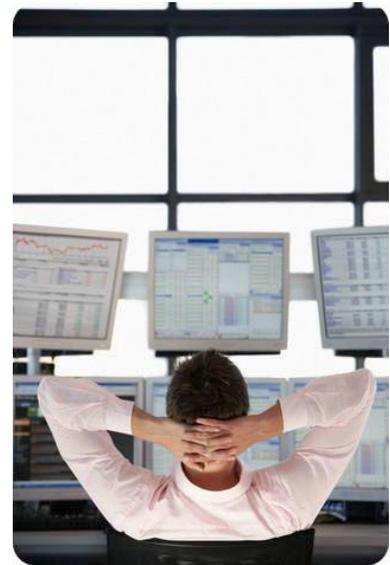




SecureWorks



Solutions for Investment Management Firms

Many registered and non-registered investment management firms such as - hedge funds, alternative investment, wealth management and private equity firms, - believe they are not a target for a cyber attack . With high value digital information such as client securities and banking records, proprietary research and trading algorithms and trading strategies, investment management firms of all sizes are attractive targets for cyber criminals. Attacks can lead to IT security breaches that damage a firm's reputation, expose it to losses and costly litigation, and compromise intellectual property,

Many are not prepared to be on the "front lines" of data protection and information security where they face not only financially motivated cyber criminals, but even politically or socially motivated hacktivists. Investment management firms that do not invest shrewdly in information security can see investment capital erode rapidly due to reputational damage incurred as a result of a security breach.

66% of respondents to the recent Investment Management Compliance Test Survey do not have a standalone cybersecurity policy.¹

Additionally, more investors and trading partners, such as prime brokers, are calling for the firms they work with to improve information security policies and implement a proven incident response plan.

SEC OCIE Cybersecurity Initiative Exam

The U.S. Securities and Exchange Commission's Office of Compliance Inspections and Examinations (OCIE) issued in April 2014 a Cybersecurity Initiative to assess cybersecurity preparedness for registered firms in the financial industry. This includes registered investment advisors (RIA) including investment management firms of any size.

As part of the Cybersecurity Initiative, the OCIE will be conducting exams across registered brokers - dealers and registered investment advisers, focusing on how each firm is complying with the OCIE Initiative. The exam includes an assessment of overall cyber security governance, identification of cyber security risks, levels of network and information protection, risks associated with vendors and other third parties and an overall assessment of how each firm has implemented a thorough cyber security and incident response plan.

As a leading provider of information security services, Dell SecureWorks can help your organization enhance your security posture to defend against cyber attacks and help you satisfy the OCIE at the same time. Dell SecureWorks has hundreds of certified IT security experts, including analysts at our SOCs, who provide support 24x7. And we have a deep bench of experienced information security and risk consultants with a broad range of expertise. Through our broad portfolio of security services, we can help you prevent, detect and respond to cyber attacks against your organization.

Dell SecureWorks is positioned in the Leaders Quadrant of Gartner's Magic Quadrant for Global MSSPs.²

How Dell SecureWorks can help

Dell SecureWorks, through our broad portfolio of Managed Security, Security and Risk Consulting, Threat Intelligence and Incident Response services, can help you develop a comprehensive strategic security plan and augment your efforts in responding in an ongoing fashion to the OCIE exam. Dell SecureWorks can help as little or as much as needed, working in conjunction with your firm, and based on your organization's ability to respond to the detailed list of requests from the OCIE.

Dell SecureWorks is a leader in providing security services to the financial industry. More than half our clients are banks, credit unions and other financial markets organizations, including hedge fund management firms, private equity, investment banks, global investment firms, bank holding companies, mutual funds, exchanges, and brokerages, and bank technology service providers. With our large global client base, we have excellent visibility into emerging threat to financial institutions.

Services backed by elite cyber threat intelligence

Our [Threat Intelligence Services](#) supports all aspects of our portfolio. With global threat visibility, intelligence formulated by the Dell SecureWorks Counter Threat Unit (CTU) research team is actively shared across our security analysts, consultants and incident responders through an open feedback loop, providing further context for every engagement. As a result, clients receive specific, more effective support across our entire portfolio.

1. 2014 Investment Management Compliance Testing Survey 2. "Magic Quadrant for Global MSSPs by Kelly M. Kavanagh, 26 February 2014. Availability varies by country. © 2014 Dell Inc. All rights reserved. Dell and the Dell logo, SecureWorks, Counter Threat Unit (CTU) are either registered trademarks or service marks, or other trademarks or service marks of Dell Inc. in the United States and in other countries. All other products and services mentioned are trademarks of their respective companies. August 2014

Managed Security Services

[Dell SecureWorks' Managed Security Services](#) are built upon our proprietary technology, certified security experts and worldwide threat intelligence to protect clients from attacks 24x7. Enriched by threat intelligence, our information security experts serve as a seamless extension of your team to help prevent, detect and respond to threats. Our services can be delivered in a wide range of options: full outsourcing, co-management, monitoring or automated correlation and reporting only.

Security and Risk Consulting

Our [Security and Risk Consulting](#) team provides the expertise and analysis to help you enhance your security posture, reduce your risk, facilitate compliance (OCIE exam, PCI DSS, GLBA/FFIEC, NCUA, FISMA) and improve your operational efficiency. Going beyond compliance, Dell SecureWorks' Security Awareness Training Solutions help change employee behavior and reduce risk to your organization.

Incident Response

The [Dell SecureWorks Incident Response and Digital Forensics](#) practice provides rapid containment and eradication of threats, minimizing the duration and impact of a security breach. Leveraging elite cyber threat intelligence and global visibility, we can help you prepare for, respond to and recover from even the most complex and large-scale security incidents.

[Learn more](#) about how Dell SecureWorks can help you pass the SEC Cybersecurity exam and build a stronger information security program. Email info@secureworks.com or phone 877-838-7947 to speak to a Dell SecureWorks Security Specialist.