

What Makes Thrive's Wealth Management Story unique?

- ◆ 65% of Thrive's clients are in the Financial Services space
- ◆ Strong focus on Compliance (SEC/FINRA) -- Thrive offers customized compliance solutions
- ◆ Deep bench of technology consultants that know the Wealth Management industry
- ◆ Thrive owns and operates its own 24x7 Security Operations Center (SOC)

Thrive's Solutions Are Designed For SEC and FINRA

- ◆ Risk Assessments
- ◆ Cyber Security (with Remediation)
 - SIEMaaS
 - Endpoint Detection and Response
 - Vulnerability Management
- ◆ DRaaS

Target

Mid-Size banks and regional banks

- ◆ Usually have multiple locations
- ◆ Large cyber security concerns with significant numbers of retail clients
- ◆ Typically have complicated networks

Customer Questions

1. Do you have a Cyber Security Program in place?
2. When is the last time you did a technology audit review based on the SEC/FINRA requirements ?
3. How is your current Disaster Recovery set up? How often do you test your DR solution?
4. Who are the core banking providers you work with?
5. How much do these core banking partner companies do for you as it relates to your day to day operations? *Guidance: some of these companies will take some of the IT and cyber security day to day (i.e. FIS will manage firewalls if there are connections back to their SaaS, FiServ has an IT LOB for larger operations)*
6. What are your current IT, Cloud, and cyber security support partners and how often do you evaluate new partners?
7. What is your staffing strategy for IT?
8. What is your patch management strategy and how does it tie into your attestation to regulators?
9. What are you using to collect log data and other data for enterprise systems such as Office 365?
10. When refreshing your firewalls at each of your sites will you evaluate SD-WAN?