

RISA IT Security Overview

Application/Technical Assistance:

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Quick Summary:

The RISA was built from the ground up with security in mind to safeguard a Firm's data and the data of its prospects and clients.

The following is a bullet-point version of the measures we've undergone to ensure complete safety while using the platform:

- Secure by design leveraging a zero trust serverless solution architecture.
- Data residency restricted to the AWS US regions only.
- Survey records are stored in an isolated data lake, encrypted to meet the AES 256 standard.
- Metadata catalogs are encrypted to be Fips compliant.
- Services are hosted and monitored by a secure third party to ensure there is no conflict of interest between firms and financial institutions.
- Service hosted in AWS Cloud
- Authentication leveraging Security Assertion Markup Language 2.0 (SAML 2.0) protocol.

Does RISA provide Cloud Services?

Yes, the RISA platform is entirely cloud based.

Which data centers/countries/geographies are you deployed in:

The service is hosted in the US East region of the AWS cloud.

Do you monitor activity of authorized users to detect unusual downloading, copying, or altering of nonpublic information?

Yes

What are your data encryption policies?

AES256, Encryption in Transit and Encryption at Rest. DB tables are independently encrypted.

What third parties have access to your data?

Personalized identifiable data is owned and controlled by the Firm/Advisor who created the data.

Do you maintain written disaster recovery and business continuity plans?

Yes

How often are these plans updated and tested?

On a weekly basis

Have you experienced a cybersecurity event in the past two years?

No

Do you share customer data with, or enable direct access by, any third-party?

No

Do you seek a right to use or own customer derived data for your own purposes?

Yes. Anonymized data sets will be used for statistical analysis and Data warehousing

Is your Privacy Policy externally available?

Yes, at the following address:

<https://risaprofile.com/risa-privacy-policy/>

