



## Cerity Partners Network Security

The protection of our network and the security of your information is our top priority. As an investment advisor regulated by the U.S. Securities and Exchange Commission, we are required by law to take the necessary steps to protect your information from unauthorized release. We partner with industry-leading technology providers to assist us in safekeeping your information. Below is a summary of the controls we have in place to help keep our network and your information safe and secure.

### **Partnership**

Cerity Partners engages an SSAE 18 audited information technology service provider for our IT infrastructure and support services. They put security at the forefront of our solution to ensure that our clients' data is safe as well as implementing a framework for security compliance. Our partner has employed industry-proven security protocols within our environment to deliver a secure and reliable solution.

### **Networking**

We leverage enterprise-grade, redundant firewalls with an encrypted virtual private network (VPN) between offices. These VPN tunnels use industry-standard encryption to secure internal traffic between sites and our cloud services. Stringent firewall rules limit access to the network, and network equipment is monitored 24x7 with alerts automatically created and escalated based on the severity of the event. Critical sites maintain redundant internet circuits for connectivity resiliency. We run external vulnerability scans on a regular basis to validate the security of the network perimeter.

### **Authorization and Identity**

Our system is a minimal access system. Our users are required to use two-factor authentication, which uses an iOS/Android app installed on the user's phone to access the network. All access is monitored and logged for each user. The system generates automatic alerts and blocks access on irregular login activity, such as attempting to log in from multiple geographic locations within a short time period. Access right changes are logged.

### **Passwords and Two-Factor Authentication**

All Passwords must meet complexity standards and are required to be changed on a scheduled basis. Two-factor authentication is required for access to Cerity Partners' systems.

### **Device Security**

Cerity Partners' workstations and servers have Anti-Virus (AV) and Web Filtering software installed, which includes software-based Intrusion Prevention Systems (IPS) to protect against network threats. The AV software checks for definition updates hourly, on-access scanning checks executable files when opened, and workstations/laptops have daily scans scheduled. Tickets are automatically opened and escalated for malicious detections. In addition to AV software, workstations utilize full disk encryption and have established patching procedures. Managed systems are updated automatically where applicable, and a process is in place to validate compliance. If a device falls out of compliance, a ticket is raised, and the issue investigated until a resolution is in place. In cases where automatic updates are not possible, maintenance is scheduled.

### **Email Protection**

All email is scanned for spam and malware before it arrives in a user's email environment. Email is checked again when the attachments are accessed within Outlook. All potentially harmful emails are quarantined for review in a safe environment.



### **Security Awareness Training**

Cerity Partners conducts annual security awareness training for all employees in addition to periodic security training exercises such as phishing training.

### **Activity Monitoring and Management**

All systems are monitored 24x7 - device logs are captured and monitored in real time. Tickets are automatically created based on events, and rules are in place to automatically escalate based on the severity of the event. Policies are in place to eliminate access where specific events occur, such as geographically impossible login attempts.

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