



Case Study: Stock Brokerage Firm Concerned About Regulatory Compliance (Document No. 0501334)

Solutions For Advanced IT Services

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Assessments and Business Value

Altius IT's risk assessments:

- Help meet compliance initiatives
- Determine if your IT funds are effectively being used
- Identify and quantify your IT related strengths and weaknesses
- Help you focus on those areas that create the most value for your firm

While some organizations want tactical advice on the state of the IT department, others want to maximize their investment in IT by developing and implementing a formal strategy.

Before an organization can develop and execute strategy, Altius IT's network and security assessments help your organization understand its IT infrastructure and related strengths and weaknesses.

Assessments add business value and help you maximize your investment in your IT infrastructure.

Assessments vs. Audits

Altius IT provides both network and security assessments as well as network and security audits.

- Assessments - we review your systems, people, and processes to help your organization manage its risks. For more information, please see our assessment Work Plan or download one of our Executive Summary documents.
- Audits - Altius IT reviews your systems and compares with standards and compliance regulations that may apply to your organization.

We recommend that your organization first start with our network and security assessments prior to using our audit services.

Get Started On Advanced Assessments

Call us today to take advantage of our advanced assessment services (714) 442-6670.

Case Study: SEC Compliance

Client Situation

A stock brokerage firm must protect customer data as well as show that information, such as new account registrations, cannot be changed or modified. The organization is concerned about compliance related issues and management wants an assessment of technology, people, and processes.

Altius IT Solution

Altius IT provided a network assessment with an analysis of document management best practices, change control processes, patch management, and network reliability and information confidentiality. Our services included a review of:

- Risk tolerance – risk analysis, downtime costs
- Network security – servers, firewalls, VPN
- Electronic threats – customer protection
- Security practices – management, documents
- Removable media – write once media (WORM)
- Risk management – Single points of failure (SPOF)

Our analysis included a comparison of the IT department with industry benchmarks so the organization could evaluate if they were making effective use of IT spending. Altius IT also reviewed written policies, business continuity plans, and related procedures and guidelines.

Altius IT's provided a report of findings as well as recommendations, costs, and a prioritized Action Plan.

Client Benefit

Altius IT's network assessment documented several areas that placed the organization at risk to both internal and external threats. The prioritized Action Plan helped the organization meet compliance requirements.

We Help Businesses Succeed

As a leading information technology (IT) resource, our track record of helping businesses succeed is featured on *MSNBC* and in over 40 publications including *The Wall Street Journal*, *Business Week*, *the Los Angeles Times*, and *USA Today*.