

# Complete Technology and Process Security

## Security is a Top Priority



We understand the sensitive nature of M&A operations and critical need to protect shareholder private information. We employ a multi-faceted approach that includes hiring the right people, leveraging best-of-breed cloud infrastructure, and adherence to industry standards to manage our network, secure our web and client applications, and set policies across our organization.

## Security Audit & Controls



Maintaining client trust is paramount to us. And, we're proud that we have met the strict standards for SOC2. SOC2 was performed by an independent audit and it was determined that our security protocols meet AICPA requirements. Furthermore, we will maintain our SOC2 compliance and continue to enhance the security of our services for the future growth and integrity of the company.

## Systems & Technology

### Best-of-Breed

- ✓ Cloud-based accounting and hosting systems for redundancy and resiliency.
- ✓ System monitoring, disaster recovery, and business continuity.
- ✓ We have multiple ways to validate access to our applications through proprietary "mutual authentication" or independent third-party validation.
- ✓ Independent third party conducts an annual cybersecurity assessment and penetration test.
- ✓ Layered network firewall solutions with perimeter, application, and end-point protection.

### Complete Security for Identity and Sensitive Information

- ✓ Multi-factor authentication and strong passwords required before shareholders can enroll for our online services.
- ✓ e-Signatures, enabled for document submission including tax forms and LOTS, secured through public key cryptography, tied to a unique password.
- ✓ Emails are encrypted in transit.
- ✓ Data is encrypted in transit and at rest.

## Process Security

### Personnel

SRS Acquiom is the global leader in managing post-closing activity in private M&A with more than 10,500 M&A transactions, valued at more than \$1.8 trillion. We have hired experts in information technology, security and compliance. They ensure process security across our entire organization.

- ✓ Segregation of responsibilities through operational roles and distinct levels of authorization continuously controlled and monitored.
- ✓ All SRS Acquiom staff and contractors undergo a full background check for criminal and financial history.
- ✓ Online systems provide monitoring, alerting, and audit trails.
- ✓ Information Security, Privacy and related policies and procedures to meet financial industry compliance standards, including SOC2, FINRA/SEC, and applicable cybersecurity and privacy laws.

### Deposit, Payment Administration, and Escrow Services

- ✓ Funds paid through regulated broker-dealer account at FDIC-insured banks for the exclusive benefit of customers. No SRS Acquiom credit risk.
- ✓ Escrows held in corporate trust division of banks subject to specific terms of the escrow agreement, ensuring strict independence from the deal parties and SRS Acquiom.
- ✓ Disbursements only possible pursuant to written direction of deal parties, shareholder payees, court order, and/or the terms of the escrow agreement.
- ✓ Electronic payments require multiple approvals. No single person can provide more than one approval. Bank systems provide final review and release.
- ✓ Payee Positive Pay – All checks reviewed by bank prior to payment with respect to amount, check number, date, and payee name.
- ✓ Electronic LOTS entered by payee with online validations. All paper LOTS dual captured to eliminate errors.