

The Premier Cybersecurity Solution for RIAs

Cybersecurity consulting and managed security services built exclusively for SEC-registered Investment Advisers — aligned with Regulation S-P, NIST CSF 2.0, and the realities of running an RIA.

WHO WE ARE

AdvisorDefense is the vanguard of cybersecurity excellence for Registered Investment Advisers. We deliver fully integrated compliance and cybersecurity solutions, ensuring RIAs of every size receive unparalleled protection from a team of cybersecurity veterans with decades of combined experience.

Built for RIAs

Purpose-built for the SEC-registered RIA channel — not a generic MSSP repackaging tools for everyone.

Veteran-Led Expertise

Led by industry veterans with decades of CISO experience inside RIAs, asset managers, and broker-dealers.

Regulation S-P Ready

Programs aligned to the SEC's Reg S-P amendments, NIST CSF 2.0, and NIST SP 800-30.

WHY IT MATTERS

SEC Regulation S-P Amendments — Compliance Now Required

The SEC's amended Regulation S-P requires RIAs to enhance how they safeguard client information. Larger RIAs (\geq \$1.5B AUM) have been required to comply since December 3, 2025; smaller RIAs ($<$ \$1.5B AUM) must comply by June 3, 2026. Firms must detect, respond to, and recover from unauthorized access to client data — with formal procedures for assessment, containment, and client notification within 30 days, plus oversight of service providers and breach notifications within 72 hours. AdvisorDefense helps you meet these mandates.

WHAT WE DELIVER

Cybersecurity Risk Assessments

Annual NIST CSF 2.0 / SP 800-30 assessments tailored to your environment, vendors, and data flows.

Vendor Due Diligence Library

Curated repository of vendor findings reports for the FinTech, CRM, archiving, and PMS tools RIAs use.

Regulatory Exam Support

Hands-on help responding to SEC and state cybersecurity exam requests and information demands.

Policies & Incident Response Plans

Cybersecurity Policy and written IRP aligned to Reg S-P, with annual reviews and tabletop exercises.

M365 & Google Workspace Reviews

Security inspection reports benchmarked to CIS Foundations and CISA cloud security best practices.

Breach Response & Remediation

Embedded IR support — assessment, containment, evidence preservation, and 30-day notification analysis.

AdvisorDefense Service Tier	IRE Incident Response Essentials	CE Cybersecurity Essentials	CA Cybersecurity Advantage	CAP Cybersecurity Advantage Plus
CONSULTING & COMPLIANCE				
Cybersecurity Risk Assessment Annual NIST CSF 2.0 / SP 800-30 assessment	—	✓	✓	✓
Cybersecurity Policy & Incident Response Plan Creation, annual review & tabletop alignment	—	✓	✓	✓
Cybersecurity Strategy Calls Ongoing advisory with your dedicated team	—	✓	✓	✓
Cybersecurity Gap Analysis Identify control gaps and remediation priorities	—	✓	✓	✓
Regulatory & Cybersecurity Alerts Curated knowledge base, updates & advisories	—	✓	✓	✓
Vendor Due Diligence Library Curated vendor findings reports for RIA tech stack	—	✓	✓	✓
Microsoft 365 & Google Workspace Security Review CIS / CISA benchmark inspection report	—	✓	✓	✓
AdvisorCloud360® Platform Access Centralized system of record (1 user license)	—	✓	✓	✓
INCIDENT RESPONSE & EXAM SUPPORT				
Incident Response Plan Management Ongoing tuning of your IRP and playbooks	✓	✓	✓	✓
Incident Response Tabletop Exercises Scenario-based drills with your leadership team	✓	✓	✓	✓
Breach Response & Remediation Guidance Hands-on support during a live incident	✓	✓	✓	✓
Mock Incident Response Exercises Practice runs to validate readiness	✓	✓	✓	✓
Regulatory Exam Support SEC and state cybersecurity exam assistance	—	✓	✓	✓
Custom Content & Education Tailored training, podcasts, and webinars	—	✓	✓	✓
Ongoing MSP Oversight Independent review of your managed IT provider	—	✓	✓	✓

OPTIONAL MANAGED SECURITY SERVICES

Stack additional protections onto any tier

- Security Awareness Training & Phishing Simulations
- Endpoint Detection & Response (EDR) — CrowdStrike
- DNS Website Filtering
- Password Manager & Dark Web Monitoring
- 24/7 Managed Detection & Response (MDR)
- Monthly Vulnerability Scanning (Internal & External)
- Penetration Testing (Network, Wireless, Web App)
- Regulatory Exam Mock Audits

Ready to secure your RIA?

Reach out for a tailored conversation about your firm's risk profile, regulatory exposure, and the program that fits.

Visit advisordefense.com