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Corporate Services LLC

# Prepare for the SEC's New Cybersecurity Rules Under Regulation S-P

The U.S. Securities and Exchange Commission (SEC) has adopted significant amendments to Regulation S-P, imposing expanded cybersecurity and incident response requirements on a broad range of financial institutions, including:

- Broker-Dealers
- Investment Companies
- SEC-Registered Investment Advisers
- Foreign-Registered Firms & Transfer Agents

These changes aim to strengthen the protection of nonpublic personal information and modernize data security standards across the industry. Covered Institutions must act swiftly to meet compliance requirements.

## Key Compliance Obligations

Firms must now implement and maintain robust cybersecurity and data privacy programs, including:

- Incident response policies and procedures
- Timely customer notification in the event of a data breach
- Oversight of third-party vendors and service providers
- Secure disposal of customer and consumer information

**A&C Corporate Services**  
Trusted Advisors in Regulatory  
Compliance & Corporate Governance

## How We Can Help


A&C offers comprehensive compliance solutions to help you prepare for and meet these enhanced SEC requirements:

- ✓ Cybersecurity Program Development & Gap Assessment
- ✓ Incident Response Planning & Tabletop Exercises
- ✓ Third-Party Vendor Risk Management
- ✓ Regulatory Reporting & Customer Notification Protocols
- ✓ Data Disposal Policies & Internal Controls
- ✓ Ongoing Advisory & Policy Updates

Our experts help you design a compliance framework tailored to your regulatory exposure, operational scale, and data risk profile—ensuring readiness ahead of upcoming deadlines.


## Don't Wait. Be Ready.

**Schedule Your Cybersecurity Readiness Call Today**

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