

RDR Investments LLC
CYBER SECURITY ASSESSMENT REPORT
June 2020

Confidential



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CERTIFIED PUBLIC ACCOUNTANTS & BUSINESS CONSULTANTS

June 23, 2020

Mr. Stephen Singer
RDR Investments LLC
7710 Carondelet Avenue, Suite 513
St. Louis, Missouri 63105

Re: Cyber Security Assessment

Dear Mr. Singer:

We have completed our Cyber Security Assessment of RDR Investments LLC network environment. Our services were performed in accordance with the *Statement on Standards for Consulting Services*, as prescribed by the American Institute of Certified Public Accountants. Fieldwork was performed during June 2020.

The accompanying report includes sections on each subject area of the assessment including an executive summary, summary of findings and detailed technical findings. Because the procedures performed in conjunction with the engagement are more limited than would be necessary to provide an opinion on the system of internal accounting and security controls taken as a whole, such an opinion is not expressed. In addition, the engagement did not include a detailed audit of transactions that would be required to discover fraud, defalcations, other irregularities, or all vulnerabilities.

This report is intended solely for the information and use of management and is not intended to be, and should not be, used by anyone other than management.

We would like to express our gratitude to all employees involved with this project. Each person involved was accessible and responsive to our requests for information.

Sincerely,

A handwritten signature in blue ink, appearing to read "Rob Rudloff".

Rob Rudloff, CISSP-ISSMP, MBA
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EXECUTIVE SUMMARY

RubinBrown, LLP (RubinBrown) performed a Cyber Security Assessment of RDR Investments LLC environment in June 2020. The assessment was designed to identify gaps and vulnerabilities within the security program that could result in unnecessary risks to the information technology infrastructure, organizational processes or sensitive information. We focused on specific areas within RDR Investments LLC's environment as defined by management.

The Cyber Security Assessment included the following components:

- 1) External Vulnerability and Penetration Test
- 2) Internal Vulnerability Assessment

The report, recommendations and supporting attachments are designed to be used by RDR Investments LLC to make relevant decisions on improving information security in the above-noted areas, as well as the enterprise security program.

Summary of Observations

The following were observations from the Technical Security Assessment:

- Insecure configurations exist on the internal network*
- Insecure protocols are in use on the internal network*
- Weak encryption is in use*

*The security vulnerabilities identified during the assessment were remediated by RDR Investments. Follow-up testing verified the remediation efforts and did not identify new vulnerabilities.

Recommendations

RubinBrown recommends RDR Investments LLC implement the following recommendations to improve the security of the environment:

1. Address identified vulnerabilities and re-test to ensure vulnerabilities are remediated (completed).
2. Implement a vulnerability management program that includes periodic internal and external vulnerability, and penetration testing. Given the environment and operational use of technology, we recommend performing semi-annual external testing and internal vulnerability scans (ongoing).