# FINRA Cybersecurity Checklist

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## 1 How's Your Security?

Cybersecurity is crucial for financial firms. In 2023, finance sector cybercrime doubled. Without a strong defense, they face FINRA fines.

## 2 FINRA Basics

FINRA regulates equities, bonds, and more. All non-MSRB-regulated securities firms must join. Follow the NIST Framework for Cybersecurity guidance.

## 3 No Assumptions

Don't assume immunity to cyber threats. Continuous assessment is key. Cybercriminals evolve tactics constantly.

## 4 Can You Check Every Item Off This List?

By completing this checklist, you can identify areas of strength and opportunities for improvement in your cybersecurity defenses.

- ☐ Patch Maintenance
- ☐ Secure System Configuration
- ☐ Identity and Access
- ☐ Management
- ☐ Vulnerability Scanning
- ☐ Endpoint Malware Protection
- ☐ E-mail and Browser Protection
- ☐ Perimeter Security
- ☐ Security Awareness Training
- ☐ Risk Assessments
- ☐ Data Protection
- ☐ Third-Party Risk Management
- ☐ Branch Controls
- ☐ Policies and Procedures

If you can't confidently check every item, then you're not secure as far as FINRA is concerned.

## 5 Need Expert Assistance?

The journey towards FINRA cybersecurity compliance does not have to be complicated.

**Centerpoint IT can help your firm take the first steps toward alignment with FINRA's recommended cybersecurity controls.**

This FINRA checklist serves as a guide with basic questions about your firm's cybersecurity posture that must be addressed. This questionnaire does not represent legal advice but serves only as a guide to cybersecurity readiness. A more thorough engagement is required to analyze and ensure your technology systems and procedures comply with recommended cybersecurity best practices.