

Cyber Incident Response Evaluation

for Investment Firms

1. Firm Information

Investment Firm Name

Contact Person

Date of Evaluation

2. Incident Response Policy & Plan

Does the firm have a documented cyber incident response policy?

Date of last review/update:

Comments

3. Incident Detection & Reporting

1. Are there monitoring systems to detect anomalies?
2. Is there a process for employees to report incidents?

Comments

4. Roles & Responsibilities

Role	Assigned To	Contact
Incident Response Lead		
IT Security		
Legal/Compliance		
Communications		

5. Incident Response Procedures

- Containment steps defined
- Eradication and recovery protocols in place
- Evidence collection procedures
- Notification plan for stakeholders and regulators

Comments

6. Post-Incident Review

Is there a process to review and learn from incidents?

Improvement actions taken

7. Evaluation Summary

Overall Findings

Recommendations