

Complete Technology & Process Security

Security is a Top Priority

We understand the sensitive nature of M&A operations and critical need to protect shareholder private information. We employ a multi-faceted approach that includes hiring the right people, leveraging best-of-breed cloud infrastructure and adherence to industry standards to manage our network, secure our web and client applications and set policies across our organization.



Systems & Technology

Best-of-Breed

- Cloud-based accounting and hosting systems for redundancy and resiliency.
- Round-the-clock monitoring, disaster recovery and business continuity.
- Proprietary, patent-pending “mutual authentication” and secure public key cryptography (PKC)-based e-signature technology, both tailored to work with the unique requirements of M&A transactions.
- Penetration testing by a leading security review firm.
- State-of-the-art firewall; access restricted only to authorized hardware through digital certificates over VPN.

Complete Security for Identity and Sensitive Information

- Multi-factor authentication and strong passwords required before shareholders can enroll for our online services.
- Complete encryption of sensitive data when transmitted through public networks and held at rest within our infrastructure.
- Transmission of data only through secure SSH or HTTPS connections.
- e-Signatures, enabled for tax document and LOT submittals, secured through public key cryptography, tied to a unique password and protected from fraudulent insertion attacks using external time-stamping services.

Process Security

Personnel

SRS Acquiom is the global leader in managing post-closing activity in private M&A with over 650 M&A transactions, valued at \$110 billion. We have hired industry-recognized experts in information security and industry standards. They ensure process security across our entire organization.

- Segregation of responsibilities through operational roles and distinct levels of authorization continuously controlled and monitored.
- Personnel access to systems only through multi-factor authentication and encrypted virtual private network.
- All SRS staff are screened and checked for criminal and financial history.
- Online systems provide audit trails and monitoring to augment those provided by cloud-based providers.

Deposit, Payment Administration and Escrow Services

- Funds paid through accounts in the name of FDIC-insured banks as custodian or in name of the deal parties - No funds pass through SRS Acquiom accounts. No SRS Acquiom credit risk.
- Escrows held in corporate trust division of banks subject to specific terms of the escrow agreement, ensuring strict independence from the deal parties and SRS Acquiom.
- Disbursements only possible pursuant to written direction of deal parties, shareholder payees, court order and/or the terms of the escrow agreement.
- Electronic payments require three separate approvals. No single person can provide more than one approval. Bank systems provide final review and release.
- Payee Positive Pay – All checks reviewed by bank prior to payment with respect to amount, check number, date and payee name.
- Electronic LOTs entered by payee with online validations. All paper LOTs dual captured to eliminate errors.