



Secretary of State State of Indiana

Connie Lawson
Indiana Secretary of State

Alex Glass
Securities Commissioner

COMPLIANCE ALERT

TO: All Broker-Dealers, Investment Advisers, Registered Agents and Investment Adviser Representatives
FROM: Alex Glass, Securities Commissioner
DATE: July 20, 2020
RE: Cybersecurity Advisory Issued by the Department of Homeland Security

The Indiana Secretary of State, Securities Division (“Division”) and Securities Commissioner (“Commissioner”) are issuing this compliance alert to notify registrants of two pertinent cybersecurity advisories issued by the Department of Homeland Security’s Cybersecurity & Infrastructure Security Agency (“CISA”). The advisories bring attention to important vulnerabilities recognized by CISA that may allow hackers full access to firms’ systems.

The resources below provide guidance to protect against cybersecurity vulnerabilities. The advisories issued by CISA contain information regarding how to patch and work around the recognized vulnerabilities. In addition to the alerts, the North American Securities Administrators Association (“NASAA”) provides cybersecurity resources to protect against cybersecurity vulnerabilities. Finally, the CISA alerts page provides links to previously issued CISA alerts and is updated when new alerts are created.

- [CISA Alert: Critical Vulnerability in Windows DNS Server \(AA20-197A\)](#)
- [CISA Alert: Critical Vulnerability in SAP NetWeaver AS Java \(AA20-195A\)](#)
- [NASAA Cybersecurity Resources](#)
- [CISA Alerts Home Page](#)

With the increased online activity during the COVID-19 pandemic, firms are at increased risk of cybersecurity attacks. It is important to remain diligent and be cautious when operating because of the sensitive data handled by broker-dealers and investment advisers. Firms and individuals should reduce risk of data breaches by ensuring that appropriate cybersecurity measures are in place.

Questions regarding this alert may be directed to securities@sos.in.gov.