



Prudential Retirement Information Security Update

State of North Carolina

Kellie Lanko – Business Information Security Officer

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System of Controls

Security

- What is Prudential's strategic approach to IT security?
 - External validation
 - Peer company benchmarking
 - Institutional customer due diligence
 - Results and feedback from internal audits and assessments and external exams by regulators (i.e. Boston Fed, OCC). Includes completion of newly introduced FFIEC Cybersecurity Assessment Tool
- What specific protocols / tools are in place to prevent a data security breach?

Industry top leaders in security tooling:

 - FireEye, McAfee, Qualys, Guardium, Vontu, Bluecoat, Symantec
 - 24 x 7 monitoring within the Centralized Security Operations Center (CSOC)
- How often are these protocols / systems tested and what have you learned from this testing?
 - Daily network level pen testing / scans by Qualys
 - Redteam exercise done annually
 - External Pen test twice per year by Telos



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Security

- Has Pru experienced a breach? If so, when and how significant was it?
 - There have been no material breaches to date.
 - Security incidents do occur. They are tracked centrally. Sixty percent of incidents are a result of double-stuffed envelopes.
- How does Pru adapt to this ever changing environment of threats?
 - Collaborating with other financial peer companies
 - Working with top vendors within the industry
 - Leader in providing input into new regulations (i.e. NY Department of Financial Services, Insurance Data Security Model Law, SPARK Data Security Standards)
- We heard in the CLA presentation people tend to be the weakest link of any system. Do you agree and what has Pru done to manage this risk?
 - YES!
 - Security Awareness Training / Education and Testing using PhishMe



System of Controls

Security

Summary: Prudential's Security Framework

- Governed by dedicated associates in our Information Security Office
- Security at all levels: firewall, network, operating system, portal, database, device and application
- Intrusion Detection Systems (IDS) & Intrusion Prevention Systems (IPS)
- End Point Blocking Protocols and Data Loss Prevention
- Participant Access: Single-sign-on; strong authentication including challenge questions
- Least Privileged Access Model for Prudential Associates
- Secured Data Sharing utilizing PruMessenger and Website HTTPS to run reports and upload contribution data or make demographic updates
- Ongoing Investments in Data Security
- Table top exercises conducted from top down; PFI leadership through individual business unit leadership. Table top exercises also conducted with security leaders Mandiant and Kroll.



System of Controls

Privacy

Summary: Prudential's Privacy Program

- Governed by dedicated associates in our Privacy Office
- Limit exposure of full PII data through education, privacy assessment and updates to security framework within technology
- Privacy Officer and BISO partnering together to “Change the Culture”.
- Privacy By Design (Limiting Data within the overall life cycle - Collection , Access, Use, Retention, Transmission and Disposal)
- Privacy Event Management Program