

TraceSecurity Helps First National Bank in Savannah Prepare for the Auditors and Ensure Compliance and Security

FIRST NATIONAL BANK PROFILE

Services

Full-service retail and small business banking serving Savannah, Pooler, Richmond Hill and Tybee Island in the greater Savannah, Georgia area

Assets

\$250 million

Website

www.fn-bank.net

Challenge

First National Bank needed assistance in preparing for an OCC audit with only 90 days to spare

Solutions

TraceSecurity Compliance Manager, Comprehensive Security Assessment, Remote Social Engineering and External Penetration Testing

During the summer of 2007, the First National Bank in Savannah, with \$250 million in assets, underwent an arduous transition from outsourcing its information technology efforts to bringing them in-house. To facilitate this conversion, the bank appointed Tom Hartley as their IT Director.

As soon as he joined the bank, he had the daunting challenge of preparing for a September audit by the Office of the Comptroller of the Currency, a bureau of the U.S. Department of the Treasury. With less than ninety days to ensure compliance, he immediately researched organizations that could help him prepare for the audit.

"I first considered two providers that work hand in hand," recalls Hartley. "One would come in and write policies and procedures, and then the other would come in and do testing based on those policies and procedures. It was a one-shot deal, and the cost was considerable."

Knowing that security and compliance involves much more than simply "a one-shot deal where they tell you where you are and that you have to fix it," says Hartley, "I continued to do more research."

That's when he came across TraceSecurity and found that "they truly understand the requirements for compliance, and they package their products and services so that you get everything you need on a continuous level – not just a one-time visit and 'We're out the door' like the other companies," he remarks. In fact, First National Bank contracted TraceSecurity for a four-year commitment for considerably less than quoted by the first two companies he contacted.

A Product That Is There All the Time

Having the TraceSecurity expertise was clearly a significant help to Hartley, who had never before been through an audit.

"Here I am, brand new to the bank," he says. "I have three months to prepare for an audit, to learn what was required for the audit and what was needed for compliance. I had to understand the bank's computer system and its networks, and figure out how to pull it all together to make sure I covered all the bases."

"TraceSecurity picked up a lot of that and really helped me run with it," he continues. "They had somebody come to the bank, they did internal and external penetration testing, and they provided a web-based solution. Compliance Manager is one of the better parts of the whole package because I could go in there to determine my regulators and answer the applicable questions. TraceSecurity had someone walk me through every question – someone who was intelligent and experienced enough to say 'Okay, you answered this question, but did you hit the mark?'"



"A big factor in selecting TraceSecurity is that they have knowledgeable people and a wonderful product that is there all the time," Hartley declares. "Before, because the bank had outsourced IT, it left a time gap for holes to appear, whereas with TraceSecurity Compliance Manager, it's like having a full-time staff doing nothing but looking for vulnerabilities and showing me what I need to do to fix them."

A Proactive Approach

Hartley also finds the training module, TracePolicy, extremely useful. "I can upload training on passwords, network security, loan policies – whichever topic I choose – and select which individuals I want to train," he explains. "TracePolicy sends those employees an e-mail giving them access to online documentation that they must read and sign off on, and then I can test them on it. TraceSecurity is proactive. They thought

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"Another cool module," continues Hartley, "is the vulnerability assessment. It's a device on my network that looks at all of my equipment and lets me know where vulnerabilities are. And not only that, it tells me how to fix them. The nice thing is, once I patch the holes, I can run a test from here and re-evaluate the system to see if the patches have worked. It's like having someone look over your shoulder all the time."

He also takes advantage of TraceAssure, a toolbar that "makes sure when my customers visit the First National Bank web site that they won't be transferred to some other pharming site. It doesn't cost me a penny and it provides another level of safety and security to my customers."

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About TraceSecurity

TraceSecurity is a leading provider of security compliance and risk management solutions. The company helps organizations of all sizes to achieve, maintain and demonstrate security compliance while significantly improving their security posture. Key to TraceSecurity's success is the company's comprehensive patent-pending methodology that helps clients address all of the critical components of a successful security compliance program: people, process and technology.

A Big Weight Off My Shoulders

The combination of products and services offered by TraceSecurity fulfills Hartley's needs and gives him the peace of mind critical to anyone in the banking industry. "To have TraceSecurity, whose tools with which I can facilitate many things – whether it's security, training, compliance or more – is a big weight off of my shoulders," he explains.

"I can print all the reports that TraceSecurity provides, like results of site visits, training results, posted policies and who has read them, patch notifications, and whether the patches have been installed," states Hartley. "I answer to the CEO, the CFO and ultimately the board of directors. With TraceSecurity Compliance Manager, I can print a board summary for their meetings and show them everything we're doing for compliance and security."

"TraceSecurity provides an extensive report after they do a site visit," he continues. "It points out not only the vulnerabilities they found but also includes those areas in which we are doing well. It's a very complete package. You can't find something like this anywhere else."

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The Right Answer at the Right Time

Hartley emphasizes that he really appreciates "the level of professionalism of the people at TraceSecurity. I've worked with other companies where you call them with a technical question based on a vulnerability alert they've sent you, and it becomes more of a sales call than a technical call. They'll say 'Before I get to your question, I've got this other great product.' With TraceSecurity, you've got a question, you get an answer. You get an engineer who knows what he's talking about because that's all he does. If you've got a vulnerability question, you get the guy in charge of vulnerabilities."

"Hats off to these people," he proclaims. "If I wasn't working for a bank, I'd figure out a way to work for them."

And the audit for which Hartley had three months to prepare? "It went very well," he says. "The regulator was equally impressed with TraceSecurity."