



# Global DataGuard

PREDICT AND PROTECT

SOX COMPLIANCE



**ACHIEVING SOX COMPLIANCE WITH  
MANAGED SECURITY SERVICES**

## **Achieving SOX Compliance with Managed Security Services**

The Sarbanes-Oxley (SOX) Act, also known as the Public Company Accounting Reform and Investor Protection Act of 2002 (and commonly called SOX), establishes new and enhanced standards for all U.S. public company boards, management, and public accounting firms, and requires that these companies implement financial reporting controls that ensure the accuracy of the financial information they provide to investors.

The Public Company Accounting Oversight Board (PCAOB), a new quasi-public agency established by SOX, is charged with overseeing, regulating, inspecting, and disciplining accounting firms in their roles as auditors of public companies. It also covers issues such as auditor independence, corporate governance, internal control assessment, and enhanced financial disclosure.



Within this context, Section 404 of the Sarbanes-Oxley Act states that on an annual basis, CEOs and CFOs must confirm that the company’s control environment is adequate to ensure the overall integrity of its financial information, and that its environmental processes and procedures are adequately documented and effectively communicated. While this section fails to specify what IT needs to do to comply, the majority of auditors have adopted the Control Objectives for Information and related Technology (COBIT) framework which is published by the IT Governance Institute. This framework encompasses 34 IT processes that are organized in the following domains:

- Plan and Organize
- Acquire and Implement
- Deliver and Support
- Monitor and Evaluate

Global DataGuard has extensive experience in helping organizations improve their security and compliance posture while reducing their network security infrastructure’s total cost of ownership. Our holistic, architecturally-based Enterprise UTM security suite, combined with our 24x7 Managed Security Services and Professional Services, align with specific control objectives for Deliver and Support (DS) and Monitor and Evaluate (ME) domains within the COBIT framework. The chart below describes these specific control objectives and identifies how Global DataGuard’s complete security solution can help you efficiently and cost-effectively meet or exceed the requirements they set forth.

**COBIT CONTROL OBJECTIVES SUPPORTED BY GLOBAL DATAGUARD**

Domain/Control Objective	Summary	Solutions
<p><b>DS5 Ensure System Security</b></p> <p><b>DS5.3 Identity Management</b></p>	<ul style="list-style-type: none"> <li>• Ensure that all users are uniquely identifiable. Enable user identities via authentication mechanisms.</li> <li>• Maintain user identities and access rights in a central repository.</li> <li>• Deploy cost-effective technical and procedural measures, and keep them current to establish user identification, implement authentication and enforce access rights.</li> </ul>	<p>Global DataGuard’s fully integrated security suite provides for the creation and management of granular access and authorization rules.</p> <p>Using a risk-based methodology, Global DataGuard’s Professional Services team can help you evaluate your Systems Security and Identity Management methods, processes and procedures, and make recommendations for areas in need of improvement in relation to SOX requirements (DS5 and DS5.3).</p> <p>Additionally, our Managed Firewall and Network Access Monitoring services can provide you with 24x7 firewall management and monitoring of your network access points by certified security professionals. Our firewall experts will audit policies to ensure that they align with SOX requirements, perform on-going rule-set changes and monitor these devices for any signs of attack.</p> <p><b>How does Global DataGuard help?</b></p> <ul style="list-style-type: none"> <li>&gt; Managed Firewall</li> <li>&gt; Network Access Monitoring</li> <li>&gt; Professional Services</li> </ul>



Domain/Control Objective	Summary	Solutions
<b>DS5.4 User Account Management</b>	<ul style="list-style-type: none"><li>• Address requesting, establishing, issuing, suspending, modifying and closing user accounts and related user privileges with a set of user account management procedures.</li><li>• Perform regular management review of all accounts and related privileges.</li></ul>	<p>This requirement calls for user account management and authentication, which are standard features within Global DataGuard's integrated security portfolio.</p> <p>Global DataGuard's Professional Services team can work with you to establish account management procedures, set user privileges and conduct regular account reviews.</p> <p>Further, Global DataGuard's Security Monitoring service, provided by our certified security professionals 24x7, can help you easily demonstrate compliance with account management and authentication requirements.</p> <p><b>How does Global DataGuard help?</b></p> <ul style="list-style-type: none"><li>&gt; Managed Firewall</li><li>&gt; Firewall &amp; Server Log Management</li><li>&gt; Network Access Monitoring</li><li>&gt; Security Monitoring</li><li>&gt; Professional Services</li></ul>
<b>DS5.56 Security Testing, Surveillance and Monitoring</b>	<ul style="list-style-type: none"><li>• Test and monitor the IT security implementation in a proactive way.</li><li>• A logging and monitoring function will enable the early prevention and/or detection and subsequent timely reporting of unusual and/or abnormal activities that may need to be addressed.</li></ul>	<p>Global DataGuard's Security Monitoring and Event/Threat Management capabilities allow administrators to not only test and monitor the enterprise security posture for significant events, intrusions, and anomalies, but also proactively detect, prevent, and deter threats through adaptive information sharing and correlation of detected threats, alerts and logs with detected vulnerabilities between all security applications and appliances.</p> <p>From Managed Firewall services to Vulnerability Scanning, Network Access and Security Monitoring, Global DataGuard has a full suite of enterprise-class tools and services to help you easily demonstrate compliance with Sox requirements.</p> <p><b>How does Global DataGuard help?</b></p> <ul style="list-style-type: none"><li>&gt; Managed Firewall</li><li>&gt; Managed Signature IDS/IPS</li><li>&gt; Managed Behavioral IDS</li><li>&gt; Managed Firewall &amp; Server Logs</li><li>&gt; Managed Vulnerability Scanning</li><li>&gt; Network Access Monitoring</li><li>&gt; Security Monitoring</li><li>&gt; Security Event Management</li><li>&gt; Threat Management</li><li>&gt; Professional Services</li></ul>

Domain/Control Objective	Summary	Solutions
<p><b>DS5.6 Security Incident Definition</b></p>	<ul style="list-style-type: none"> <li>• Clearly define and communicate the characteristics of potential security incidents so they can be properly classified and treated by the incident and problem management process.</li> </ul>	<p>Global DataGuard’s Enterprise UTM security suite and Managed Security Services help you to proactively identify, classify and respond to security incidents. Our certified security professionals provide 24x7 enterprise-wide security monitoring and escalation to prevent and respond to security incidents.</p> <p>In addition, our Professional Services team can work with you to develop an Incident Response Plan and ensure that it meets or exceeds minimum SOX requirements for classification, response, reporting and documentation as indicated by DS5.6.</p> <p><b>How does Global DataGuard help?</b></p> <p>We have World-class managed services backed by a custom security alert response procedure and Global DataGuard’s Enterprise Unified Threat Management System including:</p> <ul style="list-style-type: none"> <li>&gt; Managed Firewall</li> <li>&gt; Managed IDS/IPS</li> <li>&gt; Managed Firewall &amp; Server Logs</li> <li>&gt; Managed Vulnerability Scanning</li> <li>&gt; Network Access Monitoring</li> <li>&gt; Security Event Management</li> <li>&gt; Threat Management</li> </ul>
<p><b>DS5.9 Malicious Software Prevention, Detection and Correction</b></p>	<ul style="list-style-type: none"> <li>• Put preventive, detective and corrective measures in place (especially up-to-date security patches and virus control) across the organization to protect information systems and technology from malware (e.g., viruses, worms, spyware, spam).</li> </ul>	<p>Global DataGuard’s multi-layered security software includes Zero-Hour Virus Protection that proactively identifies outbreaks as soon as they emerge; Recurrent Pattern Detection-Enabled Anti-Spam that detects and blocks spam automatically and remains consistently effective in the face of repeated and evolving spammer attempts; and IP Reputation service that fights spam and email-borne malware at the perimeter, reducing up to 90% of incoming messages at the entry-point, before they enter the network.</p> <p>Further, our managed IDS/IPS and vulnerability scanning capabilities can detect, deter, prevent and mitigate the introduction, exposure, and propagation of malware.</p> <p><b>How does Global DataGuard help?</b></p> <ul style="list-style-type: none"> <li>&gt; All-n-One Security Module which provides gateway anti-virus, content filtering, IP reputation and anti-spam</li> <li>&gt; Managed IDS/IPS</li> <li>&gt; Managed Behavioral IDS</li> <li>&gt; Managed Vulnerability Scanning</li> <li>&gt; Regular audits and testing through Global DataGuard’s Professional Services</li> </ul>



Domain/Control Objective	Summary	Solutions
<b>DS5.10 Network Security</b>	<ul style="list-style-type: none"><li>• Use security techniques and related management procedures (e.g., firewalls, security appliances, network segmentation, intrusion detection) to authorize access and control information flows from and to networks.</li></ul>	<p>Global DataGuard’s holistic, behavioral-based solution enables a comprehensive set of enterprise-class security applications to adaptively share and correlate detected threats, alerts and logs with detected vulnerabilities between applications and appliances.</p> <p>This fully integrated approach enables our Enterprise UTM security products to continuously predict, adapt and respond to changing network threats, thereby providing substantially better service and far greater network security protection at a much lower cost-of-ownership.</p> <p>In addition, our 24x7 Professional Services team has the breadth and depth of experience to help you identify “best practices” within your network security infrastructure and achieve ongoing regulatory compliance within your unique vertical market.</p> <p><b>How does Global DataGuard help?</b></p> <ul style="list-style-type: none"><li>&gt;Managed Firewall</li><li>&gt; Managed All-n-One Security Module</li><li>&gt; Managed IDS/IPS</li><li>&gt; Managed Firewall &amp; Server Logs</li><li>&gt; Managed Vulnerability Scanning</li><li>&gt; Network Access Monitoring</li><li>&gt; Security Event Management</li><li>&gt;Threat Management</li><li>&gt;Professional Services to consult on security best practices</li></ul>
<b>DS5.11 Exchange of Sensitive Data</b>	<ul style="list-style-type: none"><li>• Exchange sensitive transaction data only over a trusted path or medium with controls to provide authenticity of content, proof of submission, and proof of receipt and non-repudiation of origin.</li></ul>	<p>Global DataGuard’s Firewall Syslog Module, which utilizes Virtual StrongBox™ technology, can securely monitor and analyze encrypted data files without ever having to decrypt the data.</p> <p>Our integrated managed firewall solution can capture, monitor and store log files from a variety of third-party firewalls, switches, routers, and applications running on servers. Further, it addresses data storage, local encryption, and key management requirements and provides comprehensive file-level security by incorporating the following unique and trusted technologies: Autonomous File-Level Security, Key Management, Identity Management, and Policy Management.</p> <p><b>How does Global DataGuard help?</b></p> <ul style="list-style-type: none"><li>&gt;Keneisys Virtual StrongBox™ Technology integrated with the Global DataGuard Firewall Syslog Module</li><li>&gt; Managed Syslogs</li></ul>

Domain/Control Objective	Summary	Solutions
<p><b>ME1 Monitor and Evaluate IT Performance</b></p> <p><b>ME1.4 Performance Assessment</b></p> <p><b>ME1.5 Board And Executive Reporting</b></p> <p><b>ME 1.6 Remedial Actions</b></p>	<ul style="list-style-type: none"> <li>Periodically review performance against targets, analyze the cause of any deviations, and initiate remedial action to address the underlying causes. At appropriate times, perform root cause analysis across deviations.</li> <li>Develop senior management reports on IT contributions to the business.</li> <li>Provide the report to senior management, and solicit feedback from management's review.</li> <li>Identify and initiate remedial actions based on performance monitoring, assessment and reporting.</li> </ul>	<p>Global DataGuard can log security performance across its systems as well as capture, monitor and store log files from a variety of third-party party devices, including firewalls, switches, routers, and applications running on servers.</p> <p>Our Managed Security Services provides 24x7 monitoring and management of your network. We can provide actionable, event-based remediation, as well as detailed management, incident response and on-demand reporting to help you identify and prevent network security problems and respond to immediate security issues.</p> <p><b>How does Global DataGuard help?</b></p> <p>&gt; World-class managed services including 24/7 monitoring, incident response &amp; reporting, on-demand reporting 24/7, weekly summary reporting and quarterly security reviews</p>

**ADDITIONAL RESOURCES**

Sarbanes-Oxley – Financial and Accounting Disclosure Information:  
<http://www.sarbanes-oxley.com>

Information Systems Audit and Control Association website:  
<http://www.isaca.org>

**ABOUT GLOBAL DATAGUARD**

Based in Dallas, Texas, Global DataGuard is the premier provider of Enterprise UTM solutions for small/medium businesses to large enterprise organizations. Global DataGuard's intelligent, out-of-the-box and fully integrated Enterprise UTM security suite has the necessary tools to arm first responders with preemptive, actionable remediation data to meet their unique compliance needs. Products and services include firewall, antivirus/anti-spam protection, IP Reputation, a web content filter, intrusion detection and prevention, adaptive network behavior analysis and correlation, network access and policy management, vulnerability management, threat management, and log management and monitoring.



**2009 Best Products & Services – Reader's Trust Award**  
 Network Products Guide has named Global DataGuard a winner of the 2009 Best Products and Services - Reader's Trust Award for Unified Security.



**2009 Global Product Excellence - Customer Trust Award**  
 Info Security Products Guide has named Global DataGuard a winner of the 2009 Global Product Excellence Customer Trust Award for Integrated Security.



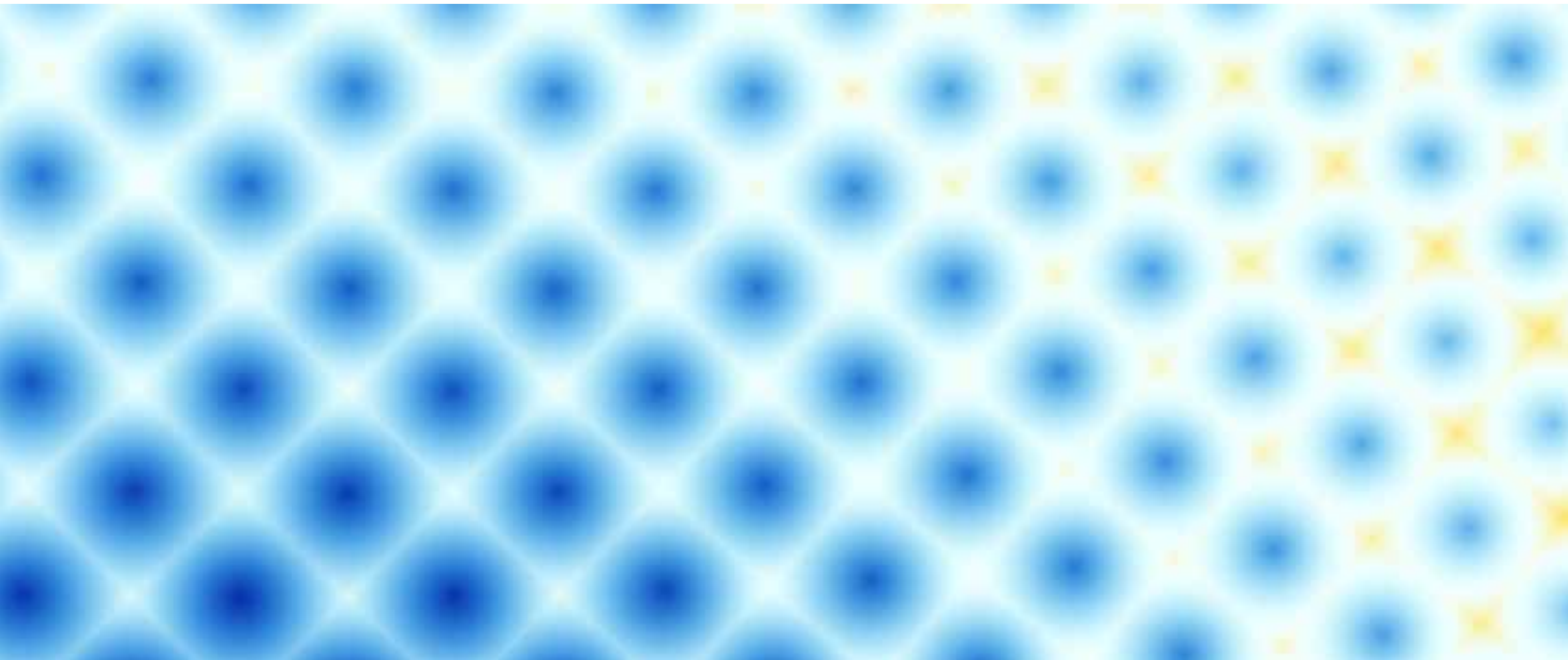
**2009 Product Innovation Award**  
 Network Products Guide has named Global DataGuard's Enterprise UTM++ a winner of the 2009 Product Innovation Award for the overall Security Solution (Hardware and Software) category. Global DataGuard also receive the Product Innovation award in 2008 for its All-n-One Security Module for Enterprise UTM.



**2009 'Tomorrow's Technology Today' Award**  
 Info Security Products Guide has named Global DataGuard's Enterprise UTM++ a winner of the 2009 Tomorrow's Technology Today Award for the Integrated Security Solution (Hardware and Software) category. Global DataGuard has also received the Tomorrow's Technology Today award in prior years (2006, 2007 & 2008) for Unified Security, Network Security and Security Risk Management Managed Security Services.



**SC Magazine 2008 Industry Innovator**  
 SC Magazine has recognized Global DataGuard for its industry innovation in the unified threat management category.



14800 Landmark Blvd, Suite 610 | Dallas, TX 75254 |  
972.980.1444 | [www.globaldataguard.com](http://www.globaldataguard.com)



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