



RISC Compass Security & Trust Center

May 2026

Platform Overview

RISC Compass is a cloud-based compliance management platform designed for broker-dealers, registered investment advisers, compliance consultants, and financial services firms. The platform supports supervisory workflows, regulatory recordkeeping, attestations, compliance reviews, document management, onboarding, and operational processes.

Security Philosophy

RISC Compass is designed around three principles:

- Minimize sensitive data collection
- Protect customer information using commercially reasonable safeguards
- Utilize established enterprise cloud infrastructure and security providers

Data We Collect

RISC Compass primarily stores compliance and operational information, including:

- Compliance attestations
- Supervisory reviews
- Employee records
- Compliance documentation
- Regulatory communications
- Business records

Data We Do Not Store

To reduce cybersecurity risk, RISC Compass is not designed to store highly sensitive personal information such as:

- Full Social Security Numbers
- Full payment card information
- Banking credentials

Sensitive financial account numbers used for compliance workflows are encrypted and masked where applicable.

Encrypted & Secure Transmission

- Encrypted HTTPS/TLS communications
- Encrypted storage where supported by the underlying platform
- Role-based access controls
- Secure authentication
- Audit capabilities within the application

RISC Compass utilizes commercially reasonable safeguards to protect data confidentiality, integrity, and availability.

Endpoint & Network Security

RISC Consultants employs layered endpoint and network security controls designed to protect systems used to access RISC Compass and confidential client information.

Security measures include, as applicable:

- Password-protected and encrypted business devices.

- Multi-Factor Authentication (MFA) for business systems where available.
- Current operating system and application security updates.
- Commercially reasonable endpoint protection and malware prevention technologies.
- Secure network configurations, including modern Wi-Fi encryption and firewall protections.
- Encrypted communications (HTTPS/TLS) for cloud-based applications and data transmission.
- Role-based access controls and least-privilege access principles.
- Physical safeguards to protect business devices and confidential information.

These safeguards are supplemented by the security controls implemented by RISC's trusted cloud service providers, including Zoho's enterprise infrastructure and security program.

Platform Infrastructure

RISC Compass is a proprietary compliance management platform developed by RISC Consultants. The application operates on Zoho's enterprise cloud platform, leveraging its underlying infrastructure, availability, security controls, and business continuity capabilities while maintaining application-specific functionality and administration by RISC.

The underlying infrastructure benefits from enterprise security controls including:

- Business continuity planning
- Disaster recovery capabilities
- Redundant infrastructure
- Physical data center security
- Network monitoring
- Independent security assessments

Security Certifications & Independent Assurance

The cloud infrastructure supporting RISC Compass is operated by Zoho, which maintains internationally recognized information security, privacy, and business continuity certifications and undergoes independent assurance examinations. These include:

- **SOC 2 Type II** – Independent examination covering the design and operating effectiveness of controls related to Security, Availability, Confidentiality, Processing Integrity, and Privacy.
- **ISO/IEC 27001:2022** – Certified Information Security Management System (ISMS) covering the development and provision of cloud-based software applications, data center operations, and the hosting of applications and personal data.
- **ISO/IEC 27701:2019** – Certified Privacy Information Management System (PIMS) supporting the management of personal information in both controller and processor roles.
- **ISO 22301** – Certified Business Continuity Management System supporting business continuity and operational resilience.

Business Continuity

The hosting platform maintains an **ISO 22301 certified Business Continuity Management System** supporting resilient operations, disaster recovery capabilities, and business continuity planning for critical cloud services.

Vendor Oversight

RISC periodically reviews the security posture and operational practices of key third-party providers used to support the platform.

Customer Responsibilities

Customers retain responsibility for:

- User administration
- User permissions
- Internal cybersecurity
- Device security
- Regulatory supervision
- Books and records obligations

RISC Compass is designed to support compliance programs but does not replace a firm's supervisory or regulatory responsibilities.

Available Vendor Due Diligence Documents

Upon request, RISC Consultants can provide:

- Certificate of Insurance
- Mutual Non-Disclosure Agreement
- RISC Compass Security & Data Protection Overview
- Zoho Business Continuity (ISO 22301) Certificate
- Additional vendor due diligence information, as appropriate

Contact

For vendor due diligence, information security, or operational control questions, please email: support@risccompass.com