

**Module 9: Senior Management Memo**

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DATE: March 19, 2023

TO: Senior Management, Aliceo, Inc.

FROM: Mike Lewis, CISO

SUBJECT: Probable Senior Technology Executive Insider Trading Detected

I am writing this memo to senior management at Aliceo, Inc. to initiate an immediate internal investigation towards John Smith, CTO, for insider trading related to our confidential breach information that has not been publicly released.

On Saturday, March 18, 2023, Preethi Kumar, a Recognizant DLP specialist, discovered email subject lines with the titles “Trade stocks now” and “sell now” to John’s probable relatives at a hedge fund coming from John Smith’s corporate email address. Our Aliceo cybersecurity analysts followed up on the user’s latest login information and confirmed that they logged in today with MFA and show no signs of compromise.

The discovery was made with standard Planatir and Carbon Black endpoint tools. As per incident response protocol per Legal (i.e., Teri Malley), Preethi and Recognizant have been on high alert for exfiltration and threat hunting in the environment for some time since the breach. Preethi has formulated specific queries of common words and terms for insider trading in their DLP solution, hence picking up John’s subject lines. Legal approved a full production of the suspected emails for an investigation, where insider trading was confirmed, by at least our department.

As a result, we will be forwarding the results of our investigation to the U.S. SEC and FBI for criminal investigation and prosecution. We recommend immediately suspending John’s identity while this is pending.

Thank you.

Mike Lewis, CISO