

PREPARED BY: TS SECURITY SOLUTIONS	
ON THE BEHALF OF:	TStephens Information Security Committee
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TStephens LLC

Risk Management Policy

Risk Management Policy

Purpose

The purpose of the Risk Management Policy for TStephens LLC is to establish the requirements for the assessment and treatment of information security-related risks facing TStephens LLC.

Audience

The Risk Management Policy applies to all individuals employed by TStephens LLC, that are responsible for management, implementation, or treatment of risk activity.

Policy

- Formal organization-wide risk assessments will be conducted by TStephens LLC, no less than annually or upon significant changes to the environment provided by TStephens LLC.
- Risk assessments must account for administrative, physical, and technical risks.
- Information security risk management procedures must be developed and include the following, at the very least:
 - Risk Assessment
 - Risk Treatment
 - Risk Communication
 - Risk Monitoring and Review
- Risk evaluation criteria should be developed for evaluating the organization's information security risks considering the following:
 - The strategic value of the business information process.
 - The criticality of the information assets involved.
 - Legal and regulatory requirements, and contractual requirements.
 - Operational and business importance of confidentiality, integrity, and availability.
 - Stakeholders' expectations and perceptions, and negative consequences for goodwill and reputation.
- All risks will be classified and prioritized according to their importance to the organization.
- Periodically, TStephens LLC may contract with a third-party vendor to conduct independent risk assessment and/or to validate the effectiveness of the risk management process governed by TStephens LLC.

References

- ISO 27002: 18
- NIST CSF: ID.GV, ID.RA, ID.RM, PR.IP

Waivers

Waivers from certain policy provisions may be sought following the Waiver Process governed by TStephens LLC.

Enforcement

Personnel found to have violated this policy may be subject to disciplinary action, up to and including termination of employment, and related civil or criminal penalties.

Any vendor, consultant, or contractor found to have violated this policy may be subject to sanctions up to and including removal of access rights, termination of contract(s), and related civil or criminal penalties.

Version History

Version	Modified Date	Approved Date	Approved By	Reason/Comments
1.0.0	July 2025		TS Security Solutions	Document Origination

Reach out to TS Security Solutions if you are interested in our services or in need of assistance.

TS Security Solutions specializes in providing consulting services related to information security.

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