



**CORPORATE CREATIONS®**

Registered Agent • Director • Incorporation

---

***External Vulnerability Assessment  
Executive Summary Report***

**Jefferson Wells  
725 Heartland Trail  
Madison, Wisconsin 53717  
608-828-2720**

**Tom Schlepenbach / Mark Deen  
Security / IT Audit Professional**

**Sanjay Deo  
Director, Technology Risk Management**

**Ken Shaurette  
Engagement Manager**

**CONFIDENTIAL**

---

# Table of Contents

## **EXECUTIVE SUMMARY**

ACKNOWLEDGEMENT AND DISCLAIMERS  
ENGAGEMENT SCOPE AND OBJECTIVES  
EXECUTIVE SUMMARY OF ASSESSMENT RESULTS

---

## EXECUTIVE SUMMARY

---

### Acknowledgement and Disclaimers

This Assessment Summary Report reflects information obtained through vulnerability scanning using the Critical Watch Fusion VM software tool and interviews with Corporate Creations staff, conducted in March 2007. It is important to note that this assessment relies on the accuracy of the information obtained during the data gathering activities for creating this report. Accordingly, Jefferson Wells makes no representations regarding additional exposures that may be present in Corporate Creations systems in addition to and outside of the observations delivered in this report. Electronic versions of all detail scan reports that were reviewed were made available to the Corporate Creations IT Staff.

Jefferson Wells would like to express its thanks for the participation and time commitment of the Corporate Creations personnel throughout the course of this assessment.

### Engagement Scope and Objectives

Corporate Creations was founded in 1993 and is engaged in the business of providing registered agent services to customers and assisting in the setup and creation of corporate entities on behalf of clients. Corporate Creations conducts its business online using web enabled systems to facilitate client document storage, processing and retrieval amongst other service offerings facilitated by web technology. Corporate Creations has several IP addresses hosted via a high speed connection to the corporate office facility; the static portions of the company web site appear to be hosted by a third party provider.

Corporate Creations requested Jefferson Wells perform an External Network Vulnerability Assessment to assess the vulnerabilities of the internet accessible systems. The agreed upon objectives included the following:

- Perform an automated vulnerability scan of externally facing devices including analysis of identified systems to determine reasonableness of security levels.
- Create a consistent and complete report that summarizes vulnerabilities in the Corporate Creations external environment, including an executive overview with separate supporting detailed technical documentation.
- Provide security expertise to assist with understanding and identifying remediation of any identified control weaknesses.

## Executive Summary of Assessment Results

Corporate Creations has taken due diligence to implement industry standard authentication systems with typical security features found in systems that protect sensitive private data unavailable from public records. This vulnerability assessment was designed to help Corporate Creations perform due diligence in maintaining a reasonably secure external perimeter. Corporate Creations management exhibited a solid commitment to maintaining a secure environment while maintaining the stability of their computing environment.

This vulnerability assessment consisted of using the industry standard commercial scanning software called FusionVM from the vendor Critical Watch to scan the Corporate Creations external environment. Remediation measures were identified and performed by Corporate Creations IT Staff to maintain a reasonably secure environment given the current level of technology and threat environment.

This assessment was performed by Jefferson Wells Security Professionals, who maintain globally recognized security certifications including the Certified Information Systems Security Professional (CISSP) Certification maintained by the International Information System Security Certification Consortium (ISC2), the Certified Information Systems Auditor (CISA) and Certified Information Security Manager certifications maintained by the Information Systems Audit and Control Association (ISACA). Attached are detailed profiles of Jefferson Wells' staff involved on this engagement.



**This document provides detail profiles of all the Jefferson Wells professionals who have worked on this engagement.**

- **Mark M. Deen – Security Professional**
- **Tom Schleppenbach – Security Professional**
- **Ken M. Shaurette – Engagement Manager**

# Mark M. Deen

## Executive Summary

Experienced IT Audit professional with 15 years of IT experience and prior Big 5 IT Audit and risk analysis experience. Proficient in regulations applying to the banking sector such as Gramm-Leach Bliley Act (GLBA), FFIEC guidance, OTS guidance, and OFAC/BSA/AML guidance. Proficient in regulatory environments including Sarbanes-Oxley and Health Insurance Portability and Accountability Act (HIPAA). Extensive background in IT audits using SAS70, ISO/BS 17799, COBIT, AICPA SysTrust and WebTrust. Over 11 years of Cisco, Microsoft, UNIX, Novell and network technology background. Prior experience working in technical environments performing technical audit related functions and delivering technical and business solutions.

## Key Career Accomplishments

- Led team of consultants in the analysis of the Ryder Alliance (Arthur Anderson and IBM GSD) relationship performing business process analysis and process re-engineering leading to improved efficiencies within the Alliance operation.
- Applied GLBA, FFIEC and OTS knowledge to multi state banking organization to assure compliance with regulation. Successfully extended engagement to peer banks with resulted in additional revenue for the firm and increased client efficiencies. Developed methodology for analyzing GLBA, FFIEC and OTS regulated agencies using audit programs, worksheets and training materials.
- Performed Sarbanes-Oxley process documentation, policy and procedure design and gap analysis for a key consumer financial organization, acted in the role of IT Internal SOX auditor and interfaced directly with Big 4 audit team to provide a successful engagement throughout the SOX control review of design process.
- Performed analysis of the Ryder RTEC organization resulting in a cost savings of \$2M to the organization through the process redesign and technology consolidations performed as a result of the analysis.
- Designed and led implementation of \$1.2M data and voice network for large governmental agency using Cisco, Novell, Microsoft, Unix and Siemens solutions. Performed project management functions reporting to the City Commission until the network was fully operational. Established a Service Level Agreement (SLA) between the Information Technology agency and the City.
- Performed business process analysis of a media company's operations, utilized the COBIT framework to analyze the operation and efficiency of the IT organization; created IT steering committee and implemented operational policies and procedures to align IT objectives with existing business objectives.
- IT Leader responsible for implementing ERP governmental software for municipal government agency resulting in improved efficiencies in the gathering of financial information pertinent to GASB requirements for the Comprehensive Annual Financial Reports (CAFR).
- Responsible for determining security flaws within core banking product leading to complete disassembly and reverse engineering of the algorithm used to encrypt consumer financial information (article published in MicroBanker magazine).
- Active member of FACCI (Florida Association of Computer Crimes Investigators).

## Professional Experience

- CoralSpan LLC, Manager
- KPMG Peat Marwick LLP, Senior Consultant
- City of North Lauderdale, Director of Information Systems
- City of Pembroke Pines, Programmer/Analyst III

## Education, Certification, Memberships

- Master of Business Administration, University of Liverpool, England
- Bachelor of Science, University of Doncaster, England
- Member of the IIA
- Member of ISACA
- Microsoft MCSE (Microsoft Certified Systems Engineer) - Since June 1998
- Microsoft MCT (Microsoft Certified Trainer) - Since August 2000
- CNE 3,4,5 (Certified Network Engineer 5) - Since June 1998
- Cisco CCNP (Cisco Certified Network Professional) - Since October 2001
- Cisco CCDP (Cisco Certified Design Professional) - Since October 2001
- CISSP (Certified Information Systems Security Professional) - Since March 2002
- Dell/EMC SAN 4.0 Certification

# Tom Schleppenbach

## Executive Summary

Tom has 18 Years of Information Technology experience and holds a Bachelor Degree in Computer Science from the University of Wisconsin Eau Claire with a minor in Business Administration. He has provided leadership, strategic information security guidance, support and technical mentoring for multiple security assessments and compliance reviews including organizations such as Health Insurance, County Government, Financial Institutions, Hospitals and hybrid entities. Tom has published several papers and written chapters for respected information security books. Tom has a strong working knowledge of computer system integration and networking including experience with numerous security solutions, vulnerability assessment tools, techniques and methodologies. Tom is also a CISSP awarded by (ISC)2 and CISM awarded by the Information Systems Audit and Control Association (ISACA).

## Key Career Accomplishments

- Performed Information Security Compliancy reviews for the healthcare (HIPAA) and financial (GLBA) industries.
- Performed Information Security Operational Plans defining strategic organizational security programs.
- Drafted Information Security Policies and Procedures for organizations in the healthcare, financial and education industries.
- Provided executive overviews to review strategic direction and to educate on new technologies.
- Designed, planned and implemented the networking environment for several calls centers across the US providing technical outsourcing support for major software publishers and organizations.
- Co-authored chapters on Incident response, Spyware and Disaster Recovery Business Continuity for the Handbook of Information Security Management, 2004, 2005, and 2006 editions.

## Professional Experience

- MPC Computers: Senior Security Advisor
- Inacom Information Systems: Senior Security Advisor/Security Product Manager
- Goliath Networks, Inc.: Director Information Security Services
- Sitel: Manager of Network Systems
- Softmart: Manager of Network Systems
- SPC: Senior Network Engineer
- Great Lakes Higher Education: Senior Network Engineer
- Physicians Insurance Company of Wisconsin (PICIC): Senior Programmer Analyst/Network Systems Administrator
- Stenograph: Software Engineer

## Education, Certification, Memberships

- Bachelor of Science (Major: Computer Science, Minor: Business Administration); University of Wisconsin-Eau Claire
- Certified Information Systems Security Professional, (CISSP)
- Certified Information Security Manager, (CISM)
- Symantec Certified Security Practitioner, (SCSP), in Firewall, IPS and AV disciplines
- Infragard Executive Board: Western Wisconsin Chapter
- Certified NetWare Engineer (CNE) 1992 – Retired
- Certified NetWare 4 Administrator (CAN) 1996 - Retired



# Ken M. Shaurette

## Executive Summary

Ken has been working in information technology since 1976, working specifically with information security since 1984. Ken has published several papers and has presented security training seminars at numerous conferences. Ken has a strong working knowledge of computer system integration and networking including experience with numerous audit controls and security solutions, applications, databases and operating systems. Ken is very strong in his understanding of regulatory requirements and the integration and interrelationships of various security solutions especially the concept of overall defense in depth and audit controls. He is the President of Western Wisconsin InfraGard and VP of ISSA-Milwaukee (Information Systems Security Association).

Ken has held the internationally recognized designation of CISSP (Certified Information Systems Security Professional) since 1999 from the International Information Systems Security Certification Consortium (ISC2). Ken is also a CISA (Certified Information Systems Auditor) since 1999 and a CISM (Certified Information Security Manager) since 2002. The Information Systems Audit and Control Association (ISACA) awards both the CISA and CISM. The CISSP is a validation of excellent foundational knowledge of ten security domains established by ISC2. The CISA provides validation of understanding from an IT Auditor's view, ability to audit security from the perspective of business needs, while the CISM designation validates a strong understanding of both the security, and IS auditing areas along with being able to manage and balance security risk and business needs with practical accountability and sensibility

## Key Career Accomplishments

- Has established and grown information security programs for four companies as a full time member of their security staff including a fortune 500 Insurance organization.
- Wrote Information Security policies for multiple K-12 Education institutions.
- Performed HIPAA, GLBA and SOX security assessments for organizations to prepare them to meet regulatory requirements.
- Provided consulting to county government on information security planning and preparation for overall information security improvements and HIPAA compliance.
- Established marketing and advertising campaigns for information security solutions.
- Conducted security awareness training and education sessions on numerous security related topics.
- Built Problem and Change Management program for large multi-line insurance company.
- Knowledgeable in security aspects of many databases, several security software solutions, operating systems and overall networking infrastructures.
- Strong working knowledge of security's integration with networks and the functions of various operating environments and protocols.
- Has led numerous security assessment projects, authentication solution implementations and an enterprise systems management selection and implementation.
- Has performed Information Security policy and process reviews many organizations, both in an external consulting role and as a full time staff member.
- Provided design, development and creation of overall architecture for new security product solutions for consulting organizations including managing vendor relationships.
- Provided mentoring and subject matter expertise for Information Security Professionals in the building and growing of security consulting practices.

## Professional Experience

- MPC Computers: Information Security Solutions Manager
- Omni Tech Corporation – Information Security Solutions Manager and Staff Advisor
- Goliath Networks, Inc.: Information Security Advisor
- American Family Insurance – Senior Information Security Staff Advisor
- Madison Gas and Electric – Senior Security Analyst
- Foremost Insurance – Security Administrator
- Wausau Insurance – Security, Change Management and Availability Analyst
- UW Eau Claire – Computer Operator

## Education, Certification, Memberships

- Certified Information Systems Security Professional (CISSP)
- Certified Information Systems Auditor (CISA) Information Systems Audit and Control Association
- Certified Information Security Manager (CISM) by Information Systems Audit and Control Association
- Certified in the National Security Agency’s INFOSEC Assessment Methodology (IAM)
- Associate Degree in Data Processing from District One Technical Institute – Eau Claire, WI
- 2005 Speaker for Wisconsin Medical Society – Advanced HIPAA Security Workshops.
- Authored chapters in the 2001, 2002 Handbook of Information Security Management (HISM) published by Auerbach..
- Past Co-Chair for HIPAA-COW ( HIPAA Collaborative of Wisconsin) Security Technical Workgroup, and speaker on security planning for HIPAA-COW conferences.
- Milwaukee Area Technical College Information Security Specialist Curriculum Advisory Committee.
- President and founding member of Western Wisconsin InfraGard.
- Past President of ISSA (Information Systems Security Association) Milwaukee Chapter.
- Vice President of ISSA. Milwaukee Chapter.
- Chairman of the Information Security Specialist advisory committee for Milwaukee Area Technical College.
- Co-Chair 2002-2003 Wisconsin Kids Improving Security (KIS) Poster Contest.
- Published several papers related to information security in various information security trade journals.
- Provides training courses and presentations at numerous regional and national conferences.
- Frequent speaker at regional venues related to security (ISSA, InfraGard),
- 2001-2003 Contributor of monthly articles to Green Bay, Wisconsin publication titled DotCom Green Bay.