



**Connie Lawson**  
Secretary of State

# Secretary of State

## State of Indiana

### Securities Division

**Alex Glass**  
Securities Commissioner

### COMPLIANCE ALERT

**TO:** All Indiana Registered Broker-Dealers and Investment Advisers  
**FROM:** Alex Glass, Securities Commissioner  
**DATE:** January 8, 2021  
**RE:** Alert Regarding SolarWinds Cybersecurity Incident

The Indiana Secretary of State, Securities Division (“Division”) is issuing the following compliance alert to raise awareness among state financial service registrants, including state-registered investment advisers and broker-dealers, regarding the SolarWinds cybersecurity incident.

In December 2020, the federal government reported that SolarWinds, a vendor that provides updating and monitoring software to numerous government agencies and private companies, was the victim of a breach that caused SolarWinds Orion Network Management Products to transmit malware to many of its clients, including federal, state, and local governments in addition to private sector entities.

The U.S. Department of Homeland Security’s Cybersecurity & Infrastructure Security Agency (“CISA”) has issued an [alert](#) that describes the threat and provides guidance on how to address it. Additionally, SolarWinds has provided further instruction and guidance on its [website](#).

Impacted firms should use the above resources to help mitigate the danger posed by the malware in order to protect their clients and colleagues. Additionally, any firm with malicious versions of the SolarWinds Orion software should contact its primary regulator. State-registered investment advisers and intrastate broker-dealers in Indiana may contact the Securities Division by e-mail at [securities@sos.in.gov](mailto:securities@sos.in.gov).

**Indiana Government Center South, E-111**  
**Indianapolis, Indiana 46204**  
**(317) 232-6681, Fax (317) 233-3675**