



Shenzhen Stock Exchange (SZSE), China ISO 27001 Information Security Case Study

Client Objectives

- Successfully conduct the ISMS assessment for the whole company
- Establish a high-quality information security management system
- Enhance the level of information security management

Background

The Shenzhen Stock Exchange (SZSE) was established on the 1st December 1990. It is managed and supervised directly by the China Securities Regulatory Commission (CSRC), and is one of the two largest stock exchanges in Mainland China. The SZSE strives to create an open, fair and orderly securities marketplace in China.

The SZSE has blossomed into a market of great competitive edges in the country, with a market capitalization around RMB 3 trillion (US\$ 447 billion). A broad spectrum of market participants, including 942 listed companies and 73 million registered investors, create the market.

Customer Needs

In order to comply with the principles of “information and technology protection”, which is initiated by Chinese government, SZSE is the first company in the industry of stocks and securities who conducts management system of information security.

SZSE's Management team set three goals for this project. Firstly, they must complete the project successfully. Secondly, through this project, they can learn the methodologies of how to establish an information security system and to improve SZSE's management level of information security in all aspects. Eventually, they can have a perfect/ideal information security system in two and three years.

What was involved?

As part of a competitive process, BSI was one of a 10 companies to place a public bid for the job at SZSE. BSI fit the bill because BSI is not only the market leader with extensive experiences but also impressed them a lot when implemented ISO 20000 for one of SZSE's departments in 2006.

In the SZSE assessment project, BSI provided pre-assessment, initial assessment and enhanced SZSE employees' awareness of information security in every chance we got.

“To be honest, as the team leader and key member of the auditors' group, I felt huge pressure during fulfilling the assessment work. Because I wanted to make SZSE's ISMS system perform perfectly after passing our assessment. We are so happy to see that our assessment work is highly recognized by our customer in the end.”said Cathy Wang, team leader of auditors' group.

After the assessment, more and more SZSE employees have attended ISO 27001 auditor course and ISO 27001 leader auditor course from time to time.

Benefits

After the implementation of this project, SZSE has achieved a significant improvement in the level of information security management, which is a great help to SZSE's mid to long term development. Other benefits include:

- Increased the business operation capabilities and the security management standard of the associated employees
- Reduced cost associated with business risks
- Worked out a long-term information security strategy and plan and implementation guidelines
- Significantly enhanced the standard of information security management
- Improved the implementation of information security control
- Increased employees' awareness of information security

BSI's role

“During the implementation of this project, BSI has left a deep impression on us by demonstrating their solid technical skills and working experiences, their constant pursue for perfection, their professional attitude and their customer-oriented services. We hope that BSI can continue to provide their support and that the original team members will continue to support SZSE's audit.”

-----Mr. Deng Hui, Project Manager of Systems Operations Department ,Shenzhen Stock Exchange