CISO SPOTLIGHT | JAMES FRITZ

Future Ready Compliance

How Wealthspire's CISO built a security and GRC program while the business kept growing, and turned it into a reason clients say yes.



James Fritz
Chief Information Security Officer, Wealthspire

1,400+
employees to protect

10+
acquisitions to integrate

5+
frameworks to manage

2020
started with risk3sixty

01 THE BUSINESS PROBLEM

An established firm, starting from zero.

When Wealthspire merged from five separate companies, it brought hundreds of billions in assets under management and advisement, but no single security program of its own. Under his leadership, James stood up a scalable security and compliance program and started building for the future.

Growth by acquisition

Every acquisition arrives with systems, processes, and team members that need to be integrated.

Harmonized Compliance

SOC 2, SEC, ISO 27001, Canada's OSC, GDPR, AI, and a growing patchwork of state privacy laws to harmonize. (Test once, comply many.)

AI in every employee's hands

Enabling every employee to leverage AI while also managing the risks.

Clients raising the bar

Sophisticated prospects ask pointed security questions. Advisors need proof to win.

> **We're operating like a startup in terms of speed. Instead of business as usual, it's building as unusual.**
>
> James Fritz, CISO, Wealthspire

02 THE SOLUTION & OUTCOME

Security the front office can sell.

1,400+

builders, not 1,400+ risks.

James treats every employee as an asset to enable. He focuses on enabling while keeping security top of mind. Sanctioned, secure AI tools let people move fast without exposing client data.

1. **Compliance as a sales tool**
   Clients demand trust. James pursues SOC 2 to arm Wealthspire competing for bigger clients.
2. **Leadership in lockstep**
   When the CISO, CTO, and Chief Privacy Officer agree, the business listens.
3. **An acquisition playbook**
   Tools built to absorb new firms now harden the core environment too. Every deal makes the program stronger.
4. **Capability without headcount**
   AI in **fullCircle** for regulatory tracking, policy updates, evidence collection, and hunting shadow IT.

03 HOW RISK3SIXTY HELPED

A partner that supports the climb.

The partnership began in 2020, when James led security at NFP, and it came with him to Wealthspire. Today risk3sixty supports SOC 2, penetration testing, and AI strategy, with the fullCircle platform at the center of the compliance workflow.

Since 2020, when James needs support, risk3sixty is there to match his team's urgency.

THE ISO 27001 SPRINT

A major prospect: certify by October or lose the deal. It was April.

Original estimate	**18 months**
With risk3sixty	**6 months**

Certified on time. Deal won.



"I'm not looking for a vendor. I'm looking for a partner who grows their platform as we grow our business. Risk3sixty and fullCircle is that partner."

James Fritz, CISO, Wealthspire



"We can move fast, but the client has to be prepared to do what it takes. James and his team were. They deserve 80 percent of the credit."

Christian Hyatt, CEO, risk3sixty

PEOPLE + PLATFORM + AI

The Compliance Tech Stack Powering Wealthspire

AI Agents 03

fullCircle Platform 02

Certified Experts 01

01 PEOPLE

Every project starts with certified experts.

Software doesn't pass audits. People do. Before any platform or agent touches Wealthspire's program, seasoned risk3sixty practitioners design it, run it, and stand behind it.

SANS
Company of the Year

3x Best Firms
Consulting Magazine

Global
Recognition for our experts

CERTIFIED CISA CISSP HITRUST Certified PCI QSA ISO Lead Implementer and more

02 FULLCIRCLE PLATFORM

One control set. Every framework.

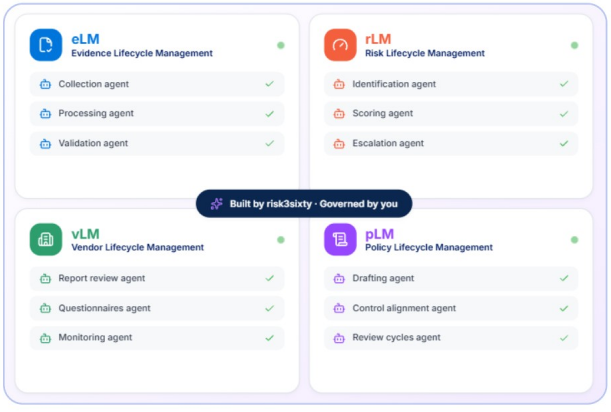
FullCircle enables Wealthspire to harmonize their program into a single source of truth. Test once, comply many. Future proofing the program.

100+
pieces of evidence managed in one place

100s
of hours saved every audit cycle



03 AI AGENTS



Agents do the busywork. People do the thinking.

1. **Automated evidence collection**
   Evidence pulled on schedule. No engineer chasing screenshots.
2. **Pre-audit validation**
   Evidence and controls checked for sufficiency before the auditor ever sees them.
3. **Third-party risk on autopilot**
   Vendor questionnaires sent, tracked, and reviewed, with SOC 2 reports analyzed for you.