



## 2022 FINRA Cloud Computing Conference

Cloud computing is transforming how broker-dealers operate by providing opportunities to enhance agility, efficiency, resiliency and security within firms' technology and business operations while potentially reducing costs. As a result, cloud computing is increasingly seen by many firms as an important architectural component to their infrastructure. This one-day conference brings together regulators, thought leaders and industry practitioners to discuss the use of Cloud Computing, and related opportunities and challenges.

# Agenda

Wednesday, March 30

All times are listed in Eastern Time

9:30 a.m. – 10:45 a.m.	<p>► <b>Welcome Remarks and Trends in Cloud Technologies for Financial Institutions</b></p> <p>Financial firms are gradually embracing cloud technologies while some are breaking ground with new use cases. During this session, panelists explore evolving services and innovative applications of cloud technologies and discuss emerging approaches to operational resilience.</p> <p><b>Speaker Introduction:</b> Haimera (Haime) Workie, FINRA Office of Financial Innovation (OFI)</p> <p><b>Welcome Remarks Speaker:</b> Steve Randich, FINRA Technology</p> <p><b>Moderator:</b> Steven (Steve) Polansky, FINRA Member Supervision</p> <p><b>Panelists:</b> Dave Dadoun, Microsoft Corporation Thomas (Rad) Radkiewicz, Gartner Ulku Rowe, Google Greg Wolff, FINRA Technology</p>
10:45 a.m. – 11:00 a.m.	Break
11:00 a.m. – 12:00 p.m.	<p>► <b>Regulatory Perspective</b></p> <p>Firms that operate in the cloud face unique opportunities and challenges as they relate to issues such as cybersecurity, data protection, business continuity and vendor management. This panel explores the regulatory considerations for firms operating in the cloud and discuss the supervisory issues and evolving requirements being assessed by regulators.</p> <p><b>Moderator:</b> Haimera (Haime) Workie, FINRA Office of Financial Innovation (OFI)</p> <p><b>Panelists:</b> Daniel (Dan) DeWaal, U.S. Securities and Exchange Commission (SEC) Christine Graham, Federal Reserve Board (FED) Justin Herring, New York State Department of Financial Services Melissa MacGregor, Securities Industry and Financial Markets Association (SIFMA)</p>
12:00 p.m. – 12:45 p.m.	Networking Lunch

# Agenda *(con't)*

12:45 p.m. – 1:45 p.m.	<p>► <b>Cloud Migration Experience of Firms</b></p> <p>Each firm’s cloud journey is unique in terms of the scope and speed of migration and impact on the firm’s operational architecture, organizational structure and culture. Join FINRA staff and industry practitioners as they discuss different firms’ cloud journeys, their perspectives on ingredients to a successful migration, views on cloud trends and prospects for innovating in the cloud.</p> <p><b>Moderator:</b> Michael Oh, FINRA Office of Financial Innovation (OFI)</p> <p><b>Panelists:</b> Assaf Ronen, SoFi Scott Kain, HSBC Securities (USA) Inc. Matthew Liste, JPMorgan Chase</p>
1:45 p.m. – 2:00 p.m.	Break
2:00 p.m. – 3:00 p.m.	<p>► <b>Small Firm Perspectives and Closing Remarks</b></p> <p>Small firms face some unique challenges associated with their use of cloud services including how they identify workflows to migrate to the cloud or partner with external vendors to manage the migration process and security in a cloud environment. During this session, hear the perspectives of small firms and the rationale driving their cloud strategy, the benefits and challenges of doing so and their approach to meeting regulatory requirements, such as for cybersecurity.</p> <p><b>Moderator:</b> Gregory (Greg) Markovich, FINRA Member Supervision</p> <p><b>Panelists:</b> Vincent Iannuzzi, Beech Hill Securities Linde Murphy, M.E. Allison &amp; Co., Inc. Mandy Teigland, Northland Securities</p>
3:00 p.m. – 3:30 p.m.	Break
3:30 p.m. – 5:00 p.m.	► <b>Office Hours</b>
5:00 p.m.	► <b>Conference Adjourns</b>

## CONTINUING EDUCATION (CE) CREDITS

Attendance to this conference qualifies for Certified Regulatory and Compliance Professional (CRCP)<sup>®</sup>, continuing education credits—plus a Continuing Legal Education (CLE) CE voucher.

# Registration

## How to Register

To register, visit [www.finra.org/cloudcomputing2022](http://www.finra.org/cloudcomputing2022) and complete the online registration form using your credit card. Conference registration is limited and available on a first-come, first-served basis. If you experience difficulties registering, please call (800) 321-6273 or send an email to [conreg@finra.org](mailto:conreg@finra.org).

## Confirmation Email

You will receive an email confirmation of your registration. Please make sure your registration has been confirmed prior to your arrival onsite at the conference.

## Cancellation Policy

Full refunds for registration fees will be granted to written requests received 7 days or more prior to the start of the conference. Refunds will not be granted after March 23, 2022.

## Fees

In-Person—Individual	
FINRA Member (must provide valid CRD #)	\$795
FINRA Member (Small Firm) must provide valid CRD #	\$395
Non-Member	\$1,175
Government / Regulator	\$560

In-Person —Group* (Per Person)	
FINRA Member (must provide valid CRD #)	\$670
FINRA Member (Small Firm) must provide valid CRD #	\$270
Non-Member	\$1,000
*Available to firms registering 3 or more employees at the same time with the same credit card. Please follow instructions in registration system.	

Virtual Attendee	
FINRA Member (must provide valid CRD #)	\$100
FINRA Member (Group) must provide valid CRD #	\$50
Non-Member	\$200
Non-Member (Group)	\$150
Government/Regulator	\$100

## Contact Information

If you have any questions regarding this conference or for information about other administrative policies, please call (800) 321-6273.

# Hotel and Travel Information

## Hotel Information

The 2022 Cloud Computing Conference takes place at:  
InterContinental New York Times Square Hotel  
300 W 44th Street  
New York, NY 10036

## Hotel Reservations

A room block is available at the InterContinental New York Times Square Hotel at the special room rate of \$199 per night, plus tax. The rate is available until March 7, 2022, or until the room block is sold out.

## New Process for FINRA Programs

To reserve a room at the InterContinental New York Times Square Hotel, you must first register as an attendee for the conference. A hotel reservation link will then be provided in your registration summary page and your registration confirmation email. Please contact us with any additional questions.

## Travel Information

FINRA suggests that you do not purchase restricted or nonrefundable tickets for travel to the conference, especially prior to the receipt of your registration confirmation. FINRA assumes no liability for penalties or fare increases should the conference sell out or in the unlikely event that changes to the conference dates and/or location become necessary. Please note that hotel reservations, cancellations, and charges are the attendee's responsibility.

## Exhibitors

Conference exhibitors showcase a range of products and services for broker-dealer firms. Current exhibitors include:

- ▶ FCI Cyber
- ▶ Smarsh
- ▶ Theta Lake

FINRA has a limited number of exhibitor opportunities remaining for this conference. To secure your participation, contact Jeffrey Arcuri at email [Jeff.Arcuri@finra.org](mailto:Jeff.Arcuri@finra.org) to request a conference exhibitor package.

# Speaker List as of 3/2/22

Name	Company
Dave Dadoun	Microsoft Corporation
Daniel (Dan) DeWaal	U.S. Securities and Exchange Commission (SEC)
Christine Graham	Federal Reserve Board (FED)
Justin Herring	New York State Department of Financial Services
Vincent Iannuzzi	Beech Hill Securities
Scott Kain	HSBC Securities (USA) Inc.
Matthew Liste	JPMorgan Chase
Melissa MacGregor	Securities Industry and Financial Markets Association (SIFMA)
Gregory (Greg) Markovich	FINRA Member Supervision
Linde Murphy	M.E. Allison & Co., Inc.
Michael Oh	FINRA Office of Financial Innovation (OFI)
Steven (Steve) Polansky	FINRA Member Supervision
Thomas (Rad) Radkiewicz	Gartner
Steve Randich	FINRA Technology
Assaf Ronen	SoFi
Ulku Rowe	Google
Mandy Teigland	Northland Securities
Greg Wolff	FINRA Technology
Haimera (Haime) Workie	FINRA Office of Financial Innovation (OFI)