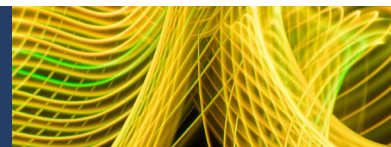


# 2021 FINRA Virtual Technology Conference

The 2021 FINRA Virtual Technology Conference showcases the latest technology offerings to our member firms. Technology is transforming the Financial Services industry and FINRA is dedicated to supplying our members with innovative technology designed to protect investors and ensure market integrity. Additionally, FINRA employs innovative technological solutions to carry out its mission. This one-day virtual conference is held online and focuses on technology tools for complying with FINRA rules, as well as sharing the innovative technology FINRA uses in its daily operations. The conference brings together experts, executives, and policy makers to share their specialized knowledge and experiences. The Technology Conference is designed to facilitate meaningful dialogue on a range of topics in an educational format and is designed for both compliance and technology professionals.

# Agenda



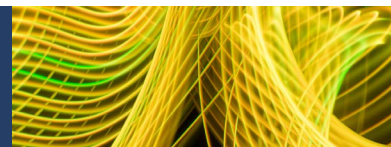
## Wednesday, June 23

All times are listed in Eastern Time

10:00 a.m. – 10:05 a.m.	<b>Welcome Remarks: Robert Cook</b>
10:05 a.m. – 11:00 a.m.	<b>► Moving Regulated Workloads Onto the Cloud</b>  Steve discusses implications of financial services firms moving regulated workloads and data to the cloud - including implementation strategies, security, and compliance risks and controls.  <b>Speakers:</b> Steve Randich, FINRA Technology Rubyna Zito, FINRA Technology
11:00 a.m. – 11:15 a.m.	Break
11:15 a.m. – 12:00 p.m.	<b>► Fireside Chat: FINRA Innovation and Culture</b>  During this session, gain insights on the culture and innovative initiatives happening at FINRA Tech that include recognition programs, diversity and inclusion efforts, the 6th Annual Createathon, AI-related work and the analytics transformation program.  <b>Moderator:</b> Michael (Mike) Dillon, FINRA Technology <b>Panelists:</b> Ivy Ho, FINRA Technology Greg Jones, FINRA Technology Geethalaksmi (Geetha) Ramachandran, FINRA Technology
12:00 p.m. – 1:30 p.m.	Lunch and Technology Demonstrations
1:30 p.m. – 2:30 p.m.	<b>► Transforming the Digital Experience of Firms</b>  FINRA is in the middle of a wide-ranging, multi-year effort to revolutionize the digital experience that firms have when interacting with FINRA. The Digital Experience Transformation (DXT) is a transformation driven by firms for firms. The initiative is focusing on six solution areas that have been identified as priorities by FINRA member firms, including a simplified user experience and flexibility and automation when it comes to access to FINRA data. During this session, hear about upcoming changes to Firm Gateway, Reporting, and Request Manager and exciting advances in technology on FINRA Gateway's multiyear roadmap. FINRA staff and Industry panelists share what they have learned through significant industry outreach, firms' experience as they have adopted these changes, and how they are saving time and money with FINRA Gateway. Be a part of the conversation of how FINRA is listening and advancing technology with you.  <b>Moderator:</b> Claudia Holanda, FINRA Technology <b>Panelists:</b> Bob Bloncheck, FINRA Technology Julia McCafferty, FINRA Technology Rashmi Srinivasa, FINRA Technology Eric Weller, FINRA Technology
2:30 p.m. – 2:45 p.m.	Break

For more information and to register, please visit [www.finra.org/2021tech](http://www.finra.org/2021tech)

# Agenda *(con't)*

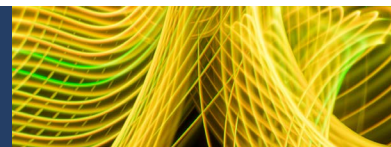


2:45 p.m. – 3:45 p.m.	<p>► <b>Cybersecurity Update</b></p> <p>Join FINRA cybersecurity leaders as they discuss the current state of cybersecurity and the ever-changing threat landscape. The conversation will focus on three facets of FINRA’s cybersecurity initiatives: how FINRA secures its own systems, unique security features of the Consolidated Audit Trail (CAT) system, and how FINRA supports member firms’ cybersecurity programs.</p> <p><b>Moderator:</b> Carmi Moser, FINRA Member Supervision</p> <p><b>Panelists:</b> John Brady, FINRA Technology David (Dave) Kelley, FINRA Member Supervision Eric Pickersgill, FINRA Technology David (Dave) Yacono, FINRA CAT, LLC</p>
3:45 p.m. – 4:00 p.m.	Break
4:00 p.m. – 4:55 p.m.	<p>► <b>Consolidated Audit Trail (CAT)</b></p> <p>Join FINRA CAT, Exchange and Industry staff to hear an overview of technology used in the Consolidated Audit Trail. Learn about secure connectivity, enhanced disaster recovery testing and how big data processing is managed in CAT. Also, learn about tools that help to make big data smaller and easier to understand.</p> <p><b>Moderator:</b> Jeff Wells, Cboe Global Markets, Inc.</p> <p><b>Panelists:</b> Shelly Bohlin, FINRA CAT, LLC Judy McDonald, Susquehanna International Group, LLP (SIG) Paul McKenney, FINRA CAT, LLC Cindy Retterer, Nasdaq</p>
4:55 p.m. – 5:05 p.m.	<p>► <b>Closing Remarks: Tigran Khrimian, FINRA Technology</b></p>

## CONTINUING EDUCATION (CE) CREDITS

Attendance to this virtual conference qualifies for five (5) Certified Regulatory and Compliance Professional (CRCP)<sup>®</sup> Continuing Education (CE) credits. CRCP<sup>®</sup> CE credit should be self-reported after the conference.

# Registration



## How to Register

To register, visit [www.finra.org/2021tech](http://www.finra.org/2021tech) and complete the online registration form using your credit card. If you experience difficulties registering, please call (800) 321-6273 or send an email to [conreg@finra.org](mailto:conreg@finra.org).

## Confirmation Email

Conference fees include attendance to all sessions and conference materials. Payment is required at the time your registration is submitted. You will receive an email confirmation of your completed registration form and payment. **Please note: Access instructions will be sent within 24 hours of the start of this virtual event.**

## Cancellation Policy

Cancellations within 48 hours of the virtual event will be subject to a \$25.00 cancellation fee.

## Virtual Registration Fees

Individual	
FINRA Member (must provide valid CRD #)	\$100
Non-Member	\$200
Government / Regulator	\$100

Group* (Per Person)	
FINRA Member (must provide valid CRD #)	\$50
Non-Member	\$150

\*Available to firms registering 3 or more employees at the same time with the same credit card. Please follow instructions in registration system.

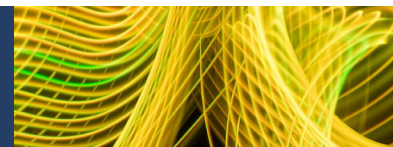
## Contact Information

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

## Press

This event is open to the media.

# Speaker List as of 6/9/21



Name	Company
Bob Blonchek	FINRA Technology
Shelly Bohlin	FINRA CAT, LLC
John Brady	FINRA Technology
Robert Cook	FINRA
Michael (Mike) Dillon	FINRA Technology
Ivy Ho	FINRA Technology
Claudia Holanda	FINRA Technology
Greg Jones	FINRA Technology
David (Dave) Kelley	FINRA Member Supervision
Tigran Khrimian	FINRA Technology
Julia McCafferty	FINRA Technology
Judy McDonald	Susquehanna International Group, LLP (SIG)
Paul McKenney	FINRA CAT, LLC
Carmi Moser	FINRA Member Supervision
Eric Pickersgill	FINRA Technology
Geethalaksmi (Geetha) Ramachandran	FINRA Technology
Steve Randich	FINRA Technology
Cindy Retterer	Nasdaq
Rashmi Srinivasa	FINRA Technology
Eric Weller	FINRA Technology
Jeff Wells	Cboe Global Markets, Inc.
David (Dave) Yacono	FINRA CAT, LLC
Rubyna Zito	FINRA Technology