



2022 FINRA Cybersecurity Conference

FINRA's Cybersecurity Conference provides a forum to learn the fundamentals and take a deeper dive into key areas of cybersecurity. Understand your organization's vulnerabilities, the range of potential threats and learn tips to identify them. Gain knowledge for how to protect your organization from cyber threats and how to respond and recover when attacked.

Agenda

Tuesday, March 29

All times are listed in Eastern Time

10:00 a.m. – 10:45 a.m.	<p>► Welcome Remarks and Keynote Address</p> <p>Austin Murphy is the Vice President and General Manager of CrowdStrike's Falcon Complete team. CrowdStrike is a global cybersecurity technology company that provides cloud workload and endpoint security, threat intelligence and cyberattack response capabilities. During the keynote address, Mr. Murphy will discuss his experiences and knowledge battling the world's most sophisticated digital adversaries and share the latest threat intelligence related to new attack methods and new challenges for the cybersecurity industry which will help inform the financial industry's cyber security strategy.</p> <p>Welcome Remarks Speaker: Steve Randich, FINRA Technology Keynote Speaker Introduction: Omer Meisel, FINRA Member Supervision Keynote Speaker: Austin Murphy, CrowdStrike</p>
10:45 a.m. – 11:00 a.m.	Break
11:00 a.m. – 12:00 p.m.	<p>► Security Considerations in the Post-COVID World</p> <p>Organizations are changing how they deliver and consume technology to adapt to the workforce's evolving needs in the post-COVID world. This includes supporting a distributed workforce, enabling BYOD, onboarding new collaboration tools, and increasing reliance on mobile and cloud technology. This panel explores how security professionals can ensure the secure deployment and use of these technology changes.</p> <p>Moderator: Eric Pickersgill, FINRA Technology Panelists: Brian Carter, Sigma Financial Gregory (Greg) Markovich, FINRA Member Supervision Jennifer Szaro, CRCP®, XML Securities, LLC</p>
12:00 p.m. – 1:00 p.m.	Networking Lunch
1:00 p.m. – 2:00 p.m.	<p>► Broker-Dealer Cybersecurity Practices</p> <p>With the increase of cyber events at member firms and recent high-profile data breaches, cybersecurity continues to be a frequent hot topic within the financial services industry. During this session, panelists answer your questions related to the cybersecurity issues affecting the broker-dealers. During the session, panelists share their perspectives on effective practices and helpful tips they have identified.</p> <p>Moderator: David (Dave) Kelley, FINRA Member Supervision Panelists: Jeffrey (Jeff) Davis CISSP, CISM, CRISC, Pershing LLC, a BNY Mellon company Greg Gilbert, CFP®, Infinity Financial Services Carmi Moser, FINRA Member Supervision</p>
2:00 p.m. – 2:15 p.m.	Break

For more information and to register, please visit www.finra.org/2022cybersecurity

Agenda *(con't)*

2:15 p.m. – 3:15 p.m.	<p>► Branch Cybersecurity Controls</p> <p>Cybersecurity is a top priority for the financial services industry. Firms dedicate significant resources every day to protect against cyber-crime, safeguard consumer data, and maintain the integrity and resilience of their systems in the face of countless cyber threats. During this session, panelists discuss defensive measures firms can take within branch locations. These measures including the development of cybersecurity policies and procedures specifically for branch locations, incorporating cyber and IT controls testing into the branch audit program, training employees, and ongoing monitoring of the controls at these locations.</p> <p>Moderator: Keith Bettencourt, FINRA Member Supervision</p> <p>Panelists: Wyatt Hamilton, FINRA Member Supervision Jason Mayor, Raymond James Financial Brian VanKonynenburg, Weild & Co. Heather Watson, FINRA Member Supervision</p>
3:15 p.m. – 3:30 p.m.	Break
3:30 p.m. – 4:30 p.m.	<p>► IT Supply Chain Risk Management and Closing Remarks</p> <p>Most organizations depend on third parties to at least some degree to achieve their IT objectives. Dependencies range from simple use of off-the-shelf or open-source software, to custom developed IT systems, to data processing and IT support services, to operation of a substantially cloud-based IT program. During this session, FINRA staff and industry practitioners discuss the security risks inherent to various IT supply chain dependencies along with considerations and techniques for assessing and managing those risks across the IT supply chain lifecycle.</p> <p>Moderator: David (Dave) Yacono, FINRA CAT LLC</p> <p>Panelists: Reshma Budhwani, New York Life Insurance Company Robert Fernandes, The Investment Center, Inc. Len Smuglin, FINRA Member Supervision Joshua (Josh) Werner, FINRA Technology</p> <p>Closing Remarks Speaker: Greg Ruppert, FINRA Member Supervision</p>
4:30 p.m.	<p>► Conference Adjourns</p>

CONTINUING EDUCATION (CE) CREDITS

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

Registration

How to Register

To register, visit www.finra.org/2022cybersecurity 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.

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 22, 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

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

*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.

Hotel and Travel Information

Hotel Information

The 2022 Cybersecurity 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 to request a conference exhibitor package.

Speaker List as of 3/3/22

Name	Company
Keith Bettencourt	FINRA Member Supervision
Reshma Budhwani	New York Life Insurance Company
Brian Carter	Sigma Financial
Jeffrey (Jeff) Davis, CISSP, CISM, CRISC	Pershing LLC, a BNY Mellon company
Robert Fernandes	The Investment Center, Inc.
Greg Gilbert, CFP®	Infinity Financial Services
Wyatt Hamilton	FINRA Member Supervision
David (Dave) Kelley	FINRA Member Supervision
Gregory (Greg) Markovich	FINRA Member Supervision
Jason Mayor	Raymond James Financial
Omer Meisel	FINRA Member Supervision
Carmi Moser	FINRA Member Supervision
Austin Murphy	CrowdStrike
Eric Pickersgill	FINRA Technology
Steve Randich	FINRA Technology
Greg Ruppert	FINRA Member Supervision
Len Smuglin	FINRA Member Supervision
Jennifer Szaro, CRCP®	XML Securities, LLC
Brian VanKonynenburg	Weild & Co.
Heather Watson	FINRA Member Supervision
Joshua (Josh) Werner	FINRA Technology
David (Dave) Yacono	FINRA CAT LLC