FINRA | SIFMA
Cybersecurity Conference

CONSIDERATIONS AND PRACTICES FOR THE FINANCIAL SERVICES INDUSTRY

February 4, 2015
New York, NY
Crowne Plaza Times Square Manhattan Hotel

HIGHLIGHTS

► Learn risk strategies to manage cyber threats
► Hear the latest regulatory developments and guidance
► Explore cyber solutions in the exhibit hall

www.finra.org/conferences/cybersecurity
The frequency and sophistication of cybersecurity attacks are increasing, and combating these threats remains a priority for regulators and firms.

That’s why FINRA and SIFMA are joining forces to host a full-day conference dedicated to discussing important issues around cybersecurity. The program is intended to foster a culture of risk management and protection from cyber threats for financial institutions and their clients, and will address the latest regulatory developments and guidance.

FEBRUARY 4, 2015

8:00 a.m. – 5:00 p.m. Cyber Solutions Exhibit Open
Showcase of technology companies with emerging or established cyber threat solutions.

8:00 a.m. – 9:00 a.m. Registration & Breakfast

9:00 a.m. – 9:20 a.m. Welcome Remarks
• Kenneth Bentsen, Jr., President, Chief Executive Officer, SIFMA
• Steve Randich, Executive Vice President, Chief Information Officer, FINRA

9:20 a.m. – 10:00 a.m. Keynote Address
• Stephen Russell, Practice Leader, Cyber & Technology Risk Management, PricewaterhouseCoopers LLP

10:00 a.m. – 10:10 a.m. Break

10:10 a.m. – 11:00 a.m. Session 1: Establishing Cybersecurity Risk Management and Governance
This session reviews two broad themes: a risk-management-based approach to cybersecurity and cybersecurity governance. Panelists discuss:

▲ the benefit of the National Institute of Standards and Technology (NIST) Framework in developing a cybersecurity program,
▲ the roles and responsibilities of Boards and executive management regarding assessing risk tolerance, and
▲ different approaches firms can take to address cybersecurity threats.

Moderator:
• Karl Schimmeck, Managing Director, Financial Services Operations, SIFMA

Panelists:
• Zulfi Ahmed, Senior Vice President IT Risk, Global Chief Information Security Officer, MetLife
• Patrick Cox, Senior Vice President for Infrastructure Risk Management and Chief Privacy Officer, LPL Financial
• Lisa Roth, President, Monahan & Roth LLC
11:00 a.m. – 11:10 a.m. Break

11:10 a.m. – 12:00 p.m. **Session 2: Assessing Risk and Critical Assets**
This session focuses on risk assessment, including vendor due diligence, and the identification and inventorying of critical assets. Panelists discuss how firms with different business models conduct assessments and how the results inform a firm’s cybersecurity programs. In addition, the panelists discuss tools and practices firms can use to create and maintain their critical asset inventory.

**Moderator:**
- Steven Polansky, Senior Director, Office of Regulatory Programs, FINRA

**Panelists:**
- Gerard Brady, Chief Information Security Officer, Global Head of IT Security, Morgan Stanley
- Jason Lish, Vice President, Security Technology & Operations, Charles Schwab
- Andy Zolper, Senior Vice President, Chief Information Security Officer, Raymond James

12:00 p.m. – 1:10 p.m. **Keynote Address and Lunch**

1:10 p.m. – 2:00 p.m. **Session 3: Implementing Measures and Controls**
This session discusses preventive measures firms can take to control access to their systems, protect data on those systems, and educate and train contractors and staff about sound cybersecurity practices. As part of this discussion, panelists address some of the common areas where failures may occur (e.g., malware downloads, phishing attacks and wire transfers) and measures to prevent them. The discussion also includes how the Financial Services Information Sharing and Analysis Center (FS-ISAC) promotes the importance of information sharing across the industry.

**Moderator:**
- Harriet Pearson, Cybersecurity Lead, Hogan Lovells

**Panelists:**
- Moriah Lazar Hara, Senior Vice President, Enterprise Information Security, Wells Fargo
- Timothy Nagle, Vice President, Chief Privacy Counsel, Prudential Financial
- Bill Nelson, President, Chief Executive Officer, FS-ISAC

2:00 p.m. – 2:10 p.m. Break
2:10 p.m. – 3:00 p.m.  Session 4: Detecting Threats in a Timely Manner
This session discusses monitoring for cybersecurity threats and detecting cyber events or attacks and security breaches. Panelists discuss the types of monitoring that firms perform; the policies, processes and tools that support that monitoring; and the challenges of maintaining strong detective controls and making effective use of data and alerts.

Moderator:
• John Brady, Vice President, Chief Information Security Officer, FINRA

Panelists:
• Bob Ganim, Senior Vice President, Chief Information Security Officer, Global Head of BCP, Neuberger Berman
• Marc Sokol, Vice President, Chief Security Officer, Head of Operational Risk Management, Guardian Life Insurance Company of America
• Hardeep Walia, Chief Executive Officer, Motif Investing

3:00 p.m. – 3:10 p.m. Break

3:10 p.m. – 4:00 p.m.  Session 5: Developing a Recovery Plan to Minimize Damage
This session evaluates how to respond to and recover from a cyber-attack or security breach. Panelists address incident response planning, restoring systems, process improvements, and communications with clients and regulators when breaches occur.

Moderator:
• David Kelley, Surveillance Director, FINRA

Panelists:
• Lon Dolber, Chief Executive Officer, Chief Information Officer, American Portfolios Financial Services
• Alan Raul, Partner, Sidley Austin LLP
• Michelle Wraight, Vice President, Chief Privacy Officer, Pershing LLC

4:00 p.m. – 4:10 p.m. Break

4:10 p.m. – 5:00 p.m.  Session 6: Regulatory Perspectives on Cybersecurity
Senior officials from FINRA, the SEC and Treasury Department discuss regulatory and government perspectives on cybersecurity, including effective practices identified in FINRA's Cybersecurity Report.

Moderator:
• Melissa MacGregor, Managing Director, Associate General Counsel, SIFMA

Panelists:
• Vincente Martinez, Chief of Office of Market Intelligence, Securities and Exchange Commission
• Daniel Sibears, Executive Vice President, Member Regulation, FINRA

5:00 p.m. Conference adjourns
Registration and Fees

Visit [www.finra.org/conferences/cybersecurity](http://www.finra.org/conferences/cybersecurity) to register. Conference registration is limited and available on a first-come, first-served basis. Payment is required at the time your registration is submitted. You will receive an email confirmation of your completed registration form and payment.

FINRA and SIFMA suggest that you do not purchase restricted or nonrefundable tickets for travel to the conference, especially prior to receipt of your registration confirmation. FINRA and SIFMA assume no liability for penalties or fare increases should the conference sell out or in the unlikely event that changes to the conference date and/or location become necessary.

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Refunds for registration, less a $75 processing fee, will be granted for written requests received 14 days or more prior to the start date of the conference. Refunds will not be available after January 21, 2015.

HOTEL & ACCOMMODATIONS

A room block is available at the [Crowne Plaza Times Square Manhattan Hotel](http://www.crowneplazatimesquare.com) at the special rate of $179 per night, plus tax. This rate is available until January 21, 2015, or until the room block is sold out. Hotel reservations will then be accepted on a space- and rate-available basis. To reserve a room, please call (888) 233-9527 and identify yourself as a FINRA/SIFMA Cybersecurity Conference attendee or make your reservation [online](http://www.crowneplazatimesquare.com).

EXHIBITORS

A limited number of exhibitor opportunities are available for this conference. To secure your participation, contact Tamara Tondu at (212) 313-1240 to request a conference exhibitor package. (Please provide complete contact information in your message.)

MORE INFORMATION

If you have any questions regarding this conference or for information about other administrative policies, please call (800) 321-6273. For registration information, please contact (202) 728-6957 or [conreg@finra.org](mailto:conreg@finra.org).