

Cybersecurity Conference

February 11, 2016

New York, NY

- ▶ Gain insight on the fundamentals of cybersecurity controls.
- ▶ Learn strategies for mitigating risk.
- ▶ Hear regulatory updates and meet with FINRA staff and industry experts.
- ▶ Network and share ideas with peers.
- ▶ Earn CRCP CE credits.



Unlocking the Code
to Data Security

Agenda | Thursday, February 11



Keynote Speaker

Stuart Tryon

Special Agent in Charge
Criminal Investigative Division
United States Secret Service

8:00 a.m. – 9:00 a.m.	Registration & Continental Breakfast
8:00 a.m. – 5:00 p.m.	Cybersecurity Solutions Exhibitors
9:00 a.m. – 9:15 a.m.	Welcome Remarks <ul style="list-style-type: none"> ▶ Steven J. Randich, Executive Vice President and Chief Information Officer, FINRA
9:15 a.m. – 9:45 a.m.	Keynote Address <ul style="list-style-type: none"> ▶ Stuart Tryon, Special Agent in Charge, Criminal Investigative Division, United States Secret Service
9:45 a.m. – 10:00 a.m.	Break
10:00 a.m. – 11:00 a.m.	Fundamentals of Cybersecurity Controls <ul style="list-style-type: none"> ▶ The frequency and sophistication of cyber attacks are increasing, and it is imperative to have fundamental controls in place to manage risk and reduce the threat. During this session, panelists discuss some of the big-impact controls—such as one-time passwords, anti-malware tools, limiting administrative privileges, vulnerability and patch management—that firms should consider.
11:00 a.m. – 11:15 a.m.	Break
11:15 a.m. – 12:15 p.m.	Security Awareness Case Studies <ul style="list-style-type: none"> ▶ Financial organizations face a tremendous challenge in guarding against today’s cybersecurity threats. Join industry practitioners and FINRA staff as they discuss real-life examples of how the failure to implement and maintain an adequate control process can result in reputational risk to the firm and exposure of customer assets.
12:15 p.m. – 1:15 p.m.	Lunch & Networking

Agenda | Thursday, February 11 | continued

CRCP CE Credit

Attendance to this conference qualifies for up to six (6) hours of continuing education credit for FINRA Institute at Wharton CRCP™ designees.

1:15 p.m. – 2:15 p.m.	Identifying High-Risk Business Processes and Programs <ul style="list-style-type: none"> ▶ Each firm has a unique threat landscape that is distinct from others; therefore, identifying your firm’s areas of highest risk for security threats is critical. During this session, panelists discuss measures firms can take to determine their risk profile and risk tolerance.
2:15 p.m. – 2:30 p.m.	Break
2:30 p.m. – 3:30 p.m.	Strategies for Mitigating Risk <ul style="list-style-type: none"> ▶ Industry experts agree: It’s not if—but when—your firm is going to be subject to a successful cyber attack. Given the magnitude and complexity of this challenge, during this panel, FINRA staff and industry practitioners addresses techniques security professionals can implement to mitigate risk. Panelists focus on communications, analysis, mitigation, improvements and how to develop plans for resilience.
3:30 p.m. – 3:45 p.m.	Break
3:45 p.m. – 4:45 p.m.	Ask the Regulator and Industry Experts <ul style="list-style-type: none"> ▶ During this session, panelists answer your questions related to the cybersecurity regulatory landscape, insider threats and other important issues. You’ll hear their perspectives on effective practices and helpful tips they have identified. FINRA staff share examples of how FINRA secures and monitors sensitive data.
4:45 p.m.	Closing Remarks/Conference Adjourns

Speakers | Exhibitors | As of February 2016



Speakers

John Brady	FINRA Technology Administration
John Carlson	FS-ISAC
Deborah Castiglioni	Cutter & Company, Inc.
Matthew Chung	Morgan Stanley
Nicole Clement	Office of the Comptroller of the Currency (OCC)
Lon Dolber	American Portfolios Financial Services, Inc.
Jose Dominguez	TD Ameritrade, Inc.
Moriah Hara	Wells Fargo
Chip Jones	FINRA Member Relations and Education
David Kelley	FINRA Kansas City District Office
Wendy Lanton	Lantern Investments, Inc.
Jason Lish	Charles Schwab and Company
Vincente Martinez	U.S. Securities and Exchange Commission (SEC)
Brian Peretti	U.S. Department of the Treasury
Steven Polansky	FINRA Regulatory Programs/Shared Services
Steven J. Randich	FINRA Office of the Chief Information Officer
Lisa Roth	Monahan & Roth, LLC
Daniel Sibears	FINRA Regulatory Operations/Shared Services
Christopher Stevenson	Deloitte & Touche LLP
Stuart Tryon	United States Secret Service
Andy Zolper	Raymond James Financial, Inc.

Exhibitors

Conference exhibitors showcase a wide range of products and services for broker-dealer firms.

- ▶ **Ascendant Compliance Management**
- ▶ **Darktrace Limited**
- ▶ **Docupace Technologies**
- ▶ **eSentire**
- ▶ **Freedom Security Alliance, Inc.**
- ▶ **Mercer Communications**
- ▶ **Minas IRC**
- ▶ **NetWatcher**
- ▶ **Savanture**
- ▶ **Smarsh**
- ▶ **Strategy Basecamp**
- ▶ **Vertafore, Inc.**
- ▶ **World Informatix Cyber Security**

Registration Information



TWO WAYS TO ATTEND

In person or via online live broadcast

How to Register

To register, please visit www.finra.org/conferences/cyberconf and complete the online registration form using your credit card. Conference registration is limited and available on a first-come, first-served basis. Please note that this event is not open to journalists.

Online registration closes on Thursday, February 11, 2016. If you experience difficulties registering, please call (202) 728-6980 or email conreg@finra.org.

Questions | Please direct questions about registration to (202) 728-6980 or email conreg@finra.org.

Confirmation Email

Payment is required at the time your registration is submitted. You will receive an email confirmation of your completed registration form and payment. Please make sure your registration has been confirmed prior to your arrival onsite at the conference.

Cancellation Policy

For all registration categories, a full refund for registration fees, less a \$75 processing fee, will be granted to written requests received 14 days or more prior to the start of the conference. Refunds will not be granted after January 28, 2016.

Registration Rates

IN-PERSON	First 50 Through December 1, 2015	50+ or After December 1, 2015
FINRA Member Firm	\$795	\$945
Non-Member	\$1,175	\$1,325
Attorney	\$985	\$1,135
Government/Regulator	\$560	\$670
GROUP RATE (Per Person)*	First 50 Through December 1, 2015	50+ or After December 1, 2015
FINRA Member Firm	\$670	\$800
Non-Member	\$1,000	\$1,130
Attorney	\$830	\$960
LIVE BROADCAST	Multi-Viewer License Fees	
FINRA Member – Small Firm	\$250	
FINRA Member Firm	\$1,200	
Non-Member	\$1,500	
Attorney	\$1,500	
Government/Regulator	\$1,200	

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

Hotel and Travel Information



**The 2016 Cybersecurity Conference
takes place at:**

New York Hilton Midtown

1335 Avenue of the Americas
New York, NY 10019

Phone: (212) 586-7000

Web: [www.finra.org/conferences/
cyberconf/hotel](http://www.finra.org/conferences/cyberconf/hotel)

Hotel Reservations

A room block is available at the New York Hilton Midtown at the special rate of \$189 (plus tax) per night. This rate is available until January 17, 2016, or until the room block is sold out. Book your hotel room [online](#) or call the New York Hilton Midtown at (212) 586-7000 and identify yourself as a 2016 FINRA Cybersecurity Conference attendee.

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.

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