



2018 FINRA

Cybersecurity Conference

February 22 | New York, NY

- ▶ Gain insight on the fundamentals of cybersecurity controls.
- ▶ Learn strategies and explore solutions for protecting your organization against ongoing cyber threats.
- ▶ Hear regulatory updates and meet with FINRA cybersecurity experts and learn about resources available to help mitigate risks.
- ▶ Network and share ideas with industry experts and peers.
- ▶ Earn CRCP, CLE, and CFP CE credits.



Register at www.finra.org/2018cybersecurity

Agenda | Thursday, February 22

The FINRA Cybersecurity Conference helps you stay current on today's cybersecurity challenges and the ways in which organizations can understand vulnerabilities and threats, and create resilience against cyber attacks. Whether you are the Chief Information Security Officer, an IT professional, compliance officer or business owner, you will learn from leading experts in the industry and participate in engaging sessions to leave you with valuable information to help you protect your organization.

8:00 a.m. – 9:00 a.m.	Registration & Continental Breakfast
8:00 a.m. – 4:45 p.m.	Cybersecurity Solution Exhibitors
9:00 a.m. – 9:15 a.m.	Welcome Remarks VIDEO ▶ Steve J. Randich , FINRA Office of the Chief Information Officer
9:15 a.m. – 9:45 a.m.	Keynote Address VIDEO ▶ Jeff Lanza , Retired FBI Agent
9:45 a.m. – 10:00 a.m.	Networking Break
10:00 a.m. – 11:00 a.m.	Concurrent Sessions I
	<p>▶ Chief Compliance Officer's (CCO's) Role in Cybersecurity VIDEO</p> <p>Increased use of technologies such as mobile devices, social media and cloud computing has increased the risk posed by cyber criminals. As a result, in addition to other compliance matters, the CCO is now also responsible for assisting—and protecting—company information technology (IT) systems. During this session, panelists discuss the role CCOs can play in a firm's cybersecurity program.</p> <p>Moderator:</p> <ul style="list-style-type: none"> • Steven Polansky, FINRA Office of Regulatory Operations/Shared Services <p>Panelists:</p> <ul style="list-style-type: none"> • Jose Dominguez, TD Ameritrade, Inc. • Ann Grady, Tastyworks, Inc. • Ann McCague, Piper Jaffray & Co. • Kyle Wootten, Raymond James Financial <hr/> <p>▶ Effective Practices for Insider Threats and Third-Party Risk Management</p> <p>Financial institutions are subject to threats on multiple fronts. Two threats of significant and growing concern to our industry include insiders, such as employees, and third parties, such as vendors. We necessarily rely on and trust both insiders and third parties; however, we must exert appropriate oversight if we are to prevent that trust from being violated by either malicious actors, or careless actions or inactions. During this session, panelists discuss case studies and share effective practices firms can use to manage and mitigate these risks, and develop and improve both their insider risk and third-party risk management programs.</p> <p>Moderator:</p> <ul style="list-style-type: none"> • David Yacono, FINRA Technology, Cyber & Information Security <p>Panelist:</p> <ul style="list-style-type: none"> • Brice Cook, FINRA Technology, Cyber & Information Security • Kishen Sridharan, Raymond James Financial • Homayum Yaqub, JPMorgan Chase & Co.

Keynote Speaker:



Jeff Lanza was head of operations security for the Kansas City FBI and a graduate of the world-renowned John E. Reid School of Interviewing and Interrogation. Mr. Lanza worked as an FBI special agent for over 20 years, where he investigated cybercrime, fraud, organized crime, human trafficking and terrorism. He is a certified FBI instructor and a published author of two critically acclaimed books on the topic of cybersecurity. Jeff previously worked for Xerox Corporation, where he was a Computer Systems Analyst before being recruited by the FBI. Mr. Lanza has an undergraduate degree in criminal justice from the University of New Haven (Connecticut) and a master's degree in business administration from the University of Texas.

Agenda | Thursday, February 22 | continued

11:00 a.m. – 11:15 a.m.	Networking Break
11:15 a.m. – 12:15 p.m.	Concurrent Sessions II
	<p>▶ Recent Cyber Attacks, Threats and Possible Solutions VIDEO</p> <p>The world has entered an age in which well-organized and well-funded groups use sophisticated cyber techniques to attack organizations with increasing frequency. This threat landscape is constantly changing and modern cyber defenses must evolve. During this session, panelists discuss recent high-visibility hacks and steps that could have been taken to prevent them from happening or minimize the disruption.</p> <p>Moderator:</p> <ul style="list-style-type: none"> • Gregory Markovich, FINRA Chicago District Office <p>Panelists:</p> <ul style="list-style-type: none"> • Britt Lindley, Thrivent Financial for Lutherans • Jesse Magenheimer, State Farm • Melissa Vacon, Signator Investors, Inc. <hr/> <p>▶ Cybersecurity Guidance for Small Firms</p> <p>It is crucial that small financial firms take proper cybersecurity measures to protect their customers and their firm. During this session, panelists provide risk-based, threat-informed effective practices applicable to small firms and supportive of their overall business model to increase their security and ensure the protection of their customers.</p> <p>Moderator:</p> <ul style="list-style-type: none"> • David Kelley, FINRA Kansas City District Office <p>Panelists:</p> <ul style="list-style-type: none"> • Melinda LeGaye, Moody Securities, LLC • Lisa Roth, Tessera Capital Partners, LLC • Hardeep Walia, Motif
12:15 p.m. – 1:15 p.m.	Networking Lunch and Dessert With Exhibitors
1:15 p.m. – 2:15 p.m.	Plenary Session I
	<p>▶ Branch Cybersecurity Controls VIDEO</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 face of countless cyber threats. During this session, panelists discuss defensive measures firms can take within branch locations. These measures include developing information security branch plans, training employees and other solutions.</p> <p>Moderator:</p> <ul style="list-style-type: none"> • Kevin Bogue, FINRA Chicago District Office <p>Panelists:</p> <ul style="list-style-type: none"> • Tammy Boone, NEXT Financial Group, Inc. • Robert Geary, Lincoln Financial Securities • David Wimer, Transamerica
2:15 p.m. – 2:30 p.m.	Networking Break



CRCP, CLE, and CFP CE credits

Attendance to this conference qualifies for Certified Regulatory and Compliance Professional™ (CRCP™), Certified Financial Planner (CFP) and Continuing Legal Education (CLE) continuing education credits.

CLE attendees will receive a five (5)-credit CLE CE voucher from NACLE (National Academy of Continuing Legal Education) for attending the Cybersecurity Conference.

For more information and to register, please visit www.finra.org/2018cybersecurity

Agenda | Thursday, February 22 | continued

2:30 p.m. – 3:30 p.m.	Concurrent Sessions III
	<p>▶ Cyber Incident Response Plans and Resources VIDEO</p> <p>Every organization should develop a written plan that identifies cyber-attack scenarios and sets out appropriate responses. While plans must be customized for each organization’s particular circumstances, the plan should address basic components. Join panelists as they discuss these components and provide examples of steps their firms have implemented. Panelists also provide resources and helpful tools for firms to address critical cyber threats as well as provide examples of what not to do.</p> <p>Moderator:</p> <ul style="list-style-type: none"> • Rafael Skovron, FINRA San Francisco District Office <p>Panelists:</p> <ul style="list-style-type: none"> • Andrew Hartridge, M&T Securities, Inc. • Paul Horn, HD Vest Financial Services • Gregory Scroggs, Primerica <hr/> <p>▶ Steps to Take Now to Be Ready if Your Organization Is Breached</p> <p>The cyber threats are no longer a question of <i>if</i>, but <i>when</i>, a breach will occur. It is important to have a cybersecurity plan in place so you are ready to act if your organization experiences a data breach. Join panelists as they share effective steps organizations can take to prepare for an attack.</p> <p>Moderator:</p> <ul style="list-style-type: none"> • Lloyd Glavocich, FINRA Member Regulation, Office of Risk Oversight and Operational Regulation <p>Panelists:</p> <ul style="list-style-type: none"> • Brian Donadio, Vanguard • Laz Montano, Voya Financial
3:30 p.m. – 3:45 p.m.	Networking Break
3:45 p.m. – 4:45 p.m.	Plenary Session II
	<p>▶ Cybersecurity in the Current Regulatory Environment: Insights From Regulators and Industry Experts VIDEO</p> <p>With 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 regulatory landscape, insider threats and other important issues. You will hear their perspectives on effective practices and helpful tips they have identified.</p> <p>Moderator:</p> <ul style="list-style-type: none"> • John Brady, FINRA Technology, Cyber & Information Security <p>Panelists:</p> <ul style="list-style-type: none"> • Christopher Hetner, U.S. Securities and Exchange Commission (SEC) • Brian Peretti, ESQ, U.S. Department of Treasury • John Zecca, Nasdaq, Inc.
4:45 p.m.	Closing Remarks/Conference Adjourns



DEMOS | FINRA Cybersecurity Resources

Meet with one of FINRA’s cybersecurity experts and learn about resources available to help mitigate your cybersecurity risks. Resources include FINRA’s small firm cybersecurity checklist and the updated cybersecurity page on FINRA.org, which includes guidance on what to do in the event you experience a breach, effective industry practices and free diagnostic tools.

For more information and to register, please visit www.finra.org/2018cybersecurity

Additional Information



Exhibitors

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

Current Exhibitors include:

- ▶ Compass IT Compliance
- ▶ Darktrace
- ▶ Entreda
- ▶ Global Relay
- ▶ Proofpoint

Speakers | As of Wednesday, February 14

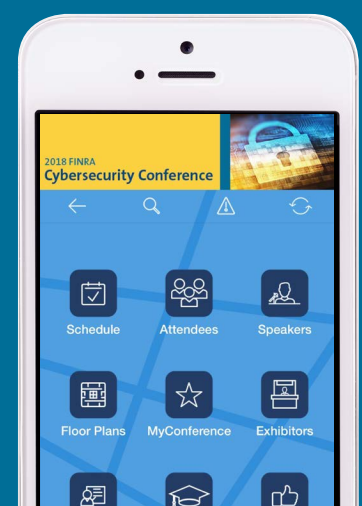
Timothy Ale	FINRA Chicago District Office
Kevin Bogue	FINRA Chicago District Office
Tammy Boone	NEXT Financial Group, Inc.
John Brady	FINRA Technology, Cyber & Information Security
Brice Cook	FINRA Technology, Cyber & Information Security
Jose Dominguez	TD Ameritrade, Inc.
Brian Donadio	Vanguard
Robert Geary	Lincoln Financial Securities
Lloyd Glavocich	FINRA Member Regulation, Office of Risk Oversight and Operational Regulation
Ann Grady	Tastyworks, Inc.
Andrew Hartridge	M&T Securities, Inc.
Christopher Hetner	U.S. Securities and Exchange Commission
Paul Horn	HD Vest Financial Services
David Kelley	FINRA Kansas City District Office
Jeff Lanza	Retired FBI Agent
Melinda (Mimi) LeGaye	Moody Securities, LLC
Britt Lindley	Thrivent Financial for Lutherans

Jesse Magenheimer	State Farm
Gregory Markovich	FINRA Chicago District Office
Ann McCague	Piper Jaffray & Co.
Laz Montano	Voya Financial
Brian Peretti, ESQ	U.S. Department of Treasury
Steven Polansky	FINRA Office of Regulatory Operations/Shared Services
Steven Randich	FINRA Office of the Chief Information Officer
Lisa Roth	Tessera Capital Partners, LLC
Gregory Scroggs	Primerica
Rafael Skovron	FINRA San Francisco District Office
Kishen Sridharan	Raymond James Financial
Melissa Vacon	Signator Investors, Inc.
Hardeep Walia	Motif
David Wimer	Transamerica
Kyle Wootten	Raymond James Financial
David Yacono	FINRA
Homayum Yaqub	JPMorgan Chase & Co.
John Zecca	Nasdaq, Inc.

2018 Cybersecurity Conference App

Our conference app is created specifically for Cybersecurity attendees; it empowers our attendees to network and connect, and it provides conference details at your fingertips. The app will be available for download in the near future. It includes information about:

- ▶ speakers;
- ▶ sessions;
- ▶ exhibitors;
- ▶ continuing education;
- ▶ maps; and
- ▶ networking opportunities.



For more information and to register, please visit www.finra.org/2018cybersecurity



REGISTER NOW @

How to Register

To register, please visit www.finra.org/2018cybersecurity 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 open to the media.

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 February 8, 2018.

Live Broadcast Attendees | Most sessions will be recorded and available. Online participants also receive access to all conference materials and can ask questions live.

Registration Rates

IN-PERSON SOLD OUT	First 50 Through December 1, 2017	50+ or After December 1, 2017
FINRA Member Firm	\$795	\$945
FINRA Member Firm Small Firm	\$395	\$495
Non-Member	\$1,175	\$1,325
Government/Regulator	\$560	\$670

GROUP RATE (Per Person)* SOLD OUT	First 50 Through December 1, 2017	50+ or After December 1, 2017
FINRA Member Firm	\$670	\$800
FINRA Member Firm Small Firm	\$270	\$370
Non-Member	\$1,000	\$1,130

LIVE BROADCAST	Multi-Viewer License Fees
FINRA Member—Small Firm	\$250
FINRA Member Firm	\$1,200
Non-Member	\$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 Reservations

Westin New York at Times Square
270 West 43rd Street
New York, NY 10036

The room block at the Westin New York at Times Square is sold out. As an alternative, please check out other surrounding hotels in the area.

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.

For more information and to register, please visit www.finra.org/2018cybersecurity