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
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
  ▶ Chief Compliance Officer’s (CCO’s) Role in Cybersecurity | VIDEO
    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.
    Moderator:  • Steven Polansky, FINRA Office of Regulatory Operations/Shared Services
    Panelists:  • Jose Dominguez, TD Ameritrade, Inc.
               • Ann Grady, Tastyworks, Inc.
               • Ann McCague, Piper Jaffray & Co.
               • Kyle Wootten, Raymond James Financial
  ▶ Effective Practices for Insider Threats and Third-Party Risk Management
    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.
    Moderator:  • David Yacono, FINRA Technology, Cyber & Information Security
    Panelist:  • Brice Cook, FINRA Technology, Cyber & Information Security
               • Kishen Sridharan, Raymond James Financial
               • Homayun 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.
### Recent Cyber Attacks, Threats and Possible Solutions | VIDEO

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.

**Moderator:**
- Gregory Markovich, FINRA Chicago District Office

**Panelists:**
- Britt Lindley, Thrivent Financial for Lutherans
- Jesse Magenheimer, State Farm
- Melissa Vacon, Signator Investors, Inc.

### Cybersecurity Guidance for Small Firms

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.

**Moderator:**
- David Kelley, FINRA Kansas City District Office

**Panelists:**
- Melinda LeGaye, Moody Securities, LLC
- Lisa Roth, Tessera Capital Partners, LLC
- Hardeep Walia, Motif

### Branch Cybersecurity Controls | VIDEO

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.

**Moderator:**
- Kevin Bogue, FINRA Chicago District Office

**Panelists:**
- Tammy Boone, NEXT Financial Group, Inc.
- Robert Geary, Lincoln Financial Securities
- David Wimer, Transamerica

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**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](http://www.finra.org/2018cybersecurity)
### Concurrent Sessions III

**Cyber Incident Response Plans and Resources | VIDEO**

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.

**Moderator:**
- Rafael Skovron, FINRA San Francisco District Office

**Panelists:**
- Andrew Hartridge, M&T Securities, Inc.
- Paul Horn, HD Vest Financial Services
- Gregory Scroggs, Primerica

**Steps to Take Now to Be Ready if Your Organization Is Breached**

The cyber threats are no longer a question of *if*, but *when*, 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.

**Moderator:**
- Lloyd Glavocich, FINRA Member Regulation, Office of Risk Oversight and Operational Regulation

**Panelists:**
- Brian Donadio, Vanguard
- Laz Montano, Voya Financial

### Plenary Session II

**Cybersecurity in the Current Regulatory Environment: Insights From Regulators and Industry Experts | VIDEO**

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.

**Moderator:**
- John Brady, FINRA Technology, Cyber & Information Security

**Panelists:**
- Christopher Hetner, U.S. Securities and Exchange Commission (SEC)
- Brian Peretti, ESQ, U.S. Department of Treasury
- John Zecca, Nasdaq, Inc.

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

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<thead>
<tr>
<th>IN-PERSON</th>
<th><strong>SOLD OUT</strong></th>
<th>First 50 Through December 1, 2017</th>
<th>50+ or After December 1, 2017</th>
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<td>FINRA Member Firm</td>
<td>$795</td>
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<td>FINRA Member Firm</td>
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<th>GROUP RATE (Per Person)*</th>
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<td>FINRA Member Firm</td>
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<td>Non-Member</td>
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**LIVE BROADCAST**

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<th>Multi-Viewer License Fees</th>
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<td>FINRA Member—Small Firm</td>
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* 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.

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**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**