



2020 FINRA Cybersecurity Conference

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2020 FINRA Cybersecurity Conference Speaker Biographies

Matthew Beals is Chief Operating Officer and Chief Information Officer at Bolton Global Capital. In this role, Mr. Beals oversees back office operations, platform development, infrastructure expansion, information systems, and cybersecurity. He also works closely with Bolton's executive team on business development and company strategy. Prior to his current role, Mr. Beals was Manager of Technology and Business Development for Bolton Global Capital, where he managed information systems, cybersecurity, and supported new advisor acquisition. Mr. Beals holds a BS in Mathematics and Statistics and an MBA, both from the University of Massachusetts at Amherst. He also holds FINRA Series 7 and 24 licenses.

Kevin Bogue joined FINRA in January 2017 as Regulatory Principal in the Chicago Office. Mr. Bogue is a member of the Member Supervision Cybersecurity team responsible for examining firms' controls over their protection of sensitive client and firm information. Prior to joining FINRA, Mr. Bogue has more than 18 years of information technology (IT) and information security experience working as a technology consultant with Accenture, as an internal Global IT auditor, IT Compliance Manager and SOX Program Manager with Abbott Laboratories, as an IT Compliance Manager with Brunswick and as an internal IT Audit Manager with CDW. Mr. Bogue earned an MS in Information Systems from DePaul University in Chicago, IL and a BS in Psychology from Iowa State University in Ames, IA.

Michael Bouley has more than 19 years of experience in the financial services industry working with various traditional and online FINRA member broker-dealer firms. His background includes serving as Chief Compliance Officer (CCO) for Stockpile Investments, Inc., a FINRA member broker-dealer, overseeing the firm's operations and compliance functions. Prior to Stockpile, some of his other work experience includes serving as Senior Manager Service at Zecco Trading, Inc., Brokerage and Offshore Delivery Manager at E*Trade Securities LLC, and as a Brokerage Manager at Brown & Co. LLC. Mr. Bouley received his B.S. from the Rhode Island College (RI). He currently maintains the Series 4, 6, 7, 9/10, 24, 63, 57 licenses.

John Brady is Vice President in Technology for Cyber and Information Security for FINRA, and is the organization's Chief Information Security Officer (CISO). In this capacity, he is responsible for all aspects of FINRA's information and cyber security programs, as well as ensures compliance with related laws and regulations. He oversees staff focused in four primary information security areas: security architecture and controls, security management tools, application security, and identity management. Mr. Brady, along with counterparts in FINRA's Data Privacy Office, establishes policy and technical controls to ensure information is appropriately protected throughout its lifecycle. He began his career with FINRA more than 10 years ago as the Director of Networks and Firewalls. He then broadened and deepened his technical knowledge by taking on responsibility for server and storage infrastructure, where he led system engineering efforts to expand capacity and performance of Market Regulation systems in response to data volumes growing more than 40 percent year over year. Mr. Brady recently led the establishment, design, and implementation of FINRA's new data centers and the seamless migration of more than 175 applications from an outsourcer to those new data centers. Prior to the commencement of his work with FINRA in October 2002, Mr. Brady was Director of Networks at VeriSign from 2000 to 2002 and Network Solutions from 1998 to 2000. From 1995 to 1998, he built and operated Citibank's Internet Web and email services as Vice President, Internet Services. From 1993 to 1995, Mr. Brady worked for Sun Microsystems as Senior Consultant, where he built integrated network systems for prominent customers. Mr. Brady began his professional career as a member of technical staff at The Aerospace Corporation from 1987 to 1993, designing satellite systems and command and control networks for the Air Force Space Command. Mr. Brady holds a bachelor's degree in Computer and Electrical Engineering from Purdue University of West Lafayette in Indiana, and a master's degree in Industrial Engineering and Operations Research from the University of California at Berkeley. He also is an (ISC)² Certified Information Systems Security Professional (CISSP).

Jay Copeland is Vice President, Information Systems and Technology for The Strategic Financial Alliance, Inc. and Strategic Blueprint, LLC. and the Chief Information Security Officer for SFA Partners, Inc. and The SFA, Inc. Mr. Copeland is responsible for all aspects of IT, including systems, servers, network administration and cybersecurity for the broker dealer. Prior to The SFA, Mr. Copeland spent four years as the IT Manager for the marine electronics division of Johnson Outdoors, Inc. overseeing IT systems and technology in Georgia, Alabama and Canada. Prior to Johnson Outdoors, Mr. Copeland was Director, Information Technology of TSYS, an international credit card processing company for six years. As head of Service Delivery for TSYS Distribution Technologies, Mr. Copeland was responsible for IT project management and PCI compliance for all client facing, revenue generating systems. Mr. Copeland was also the Information Technology Manager of Tom's Foods, Inc., a nationally recognized snack food manufacturer, for 16 years prior to joining TSYS.

In June 2019, Director Christopher Wray named **Michael J. Driscoll** as a Special Agent in Charge in the New York Office where he currently oversees the Counterintelligence/Cyber Division. SAC Driscoll previously recently served as a Section Chief in the Criminal Investigative Division at FBI Headquarters in Washington, D.C. SAC Driscoll began his career as an FBI Special Agent in 1996, when he was assigned to the New York Office to work counterterrorism matters. He was part of the team that investigated al Qaeda conspirators, including those responsible for the 1998 bombings of United States Embassies in Kenya and Tanzania and the attacks on 9/11. SAC Driscoll was transferred to FBI Headquarters in 2003 to work as the FBI's representative to the al Qaeda Department of the CIA's Counterterrorism Center. In 2005, SAC Driscoll was promoted to Supervisor and returned to the New York Office, where he was in charge of the squad responsible for extraterritorial investigations in Africa. He also led the FBI's counterterrorism efforts in the New York Hudson Valley region and was later promoted to the Coordinating Supervisory Special Agent for New York's Counterterrorism Program. SAC Driscoll was named Assistant Legal Attaché for London in 2013, overseeing the Cyber Program and working closely with United Kingdom law enforcement and intelligence services. In 2016, he was appointed Assistant Special Agent in Charge of the Philadelphia Field Office's Cyber and Counterintelligence Programs. He returned to FBI Headquarters in 2018 as the chief of the Violent Crime Section, which leads the FBI's Crimes Against Children Program, as well as efforts to reduce violent crime and gang-related violence. Prior to joining the FBI, SAC Driscoll was an attorney working in commercial litigation. He graduated from the State University of New York in Albany and received his law degree from Hofstra University School of Law in Hempstead, New York. He earned an Attorney General's Award for Distinguished Service in 2002 for his work investigating al Qaeda and the 1998 embassy bombings.

Allen Eickelberg, CFP® is Director of Operations for Spire Investment Partners, LLC; the parent of both a SEC RIA and a FINRA member BD. In this role, he oversees the operations and supervision of Spire's brokerage & advisory services, its IT infrastructure, and cyber security programs. Mr. Eickelberg has excelled at taking an entrepreneurial approach to introducing new technologies, streamlining operations processes, and improving Spire's cyber security programs. Previously, Mr. Eickelberg has held a number of positions with increasing responsibilities in both operations and administration at Spire working directly with Spire's executive leadership, compliance and wealth management teams. A graduate of Virginia Tech; Mr. Eickelberg spends his free time volunteering at a local ceramics studio and home-brewing a variety of styles of beer.

Dave Kelley is Surveillance Director based out of FINRA's Kansas City office. He has been with FINRA for nine years and leads the regulatory surveillance team based in Kansas City. Mr. Kelley also leads FINRA's Sales Practice exam program for cybersecurity and the Regulatory Specialist team for Cyber Security, IT Controls and Privacy. Prior to joining FINRA, he worked for more than 19 years at American Century Investments in various positions, including Chief Privacy Officer, Director of IT Audit and Director of Electronic Commerce Controls. He led the development of website controls, including customer application security, ethical hacking programs and application controls. Mr. Kelley is a CPA and Certified Internal Auditor, and previously held the Series 7 and 24 licenses.

John Kines is Director of Technology for Cyber and Information Security for FINRA. In this capacity he is responsible for leading the Risk and Compliance Management team whose focus is on Enterprise Risk Management, Third Party Vendor Management, and maintaining FINRA's FISMA/FedRAMP and PCS-DSS Compliance. In prior positions at FINRA, he was a Technical Project Manager responsible for development and delivery of web application projects including the Nationwide Mortgage Licensing System (NMLS) and FINRA's Proctor applications. Mr. Kines holds a master's degree in Computer Science from Johns Hopkins University along with an MBA from Loyola University Maryland. He also holds numerous professional certifications including: ISACA's Certified Information Security Manager (CISM), Certified in Risk and Information Systems Control (CRISC) and Certified Information Systems Auditor (CISA) along with the Project Management Professional (PMP) certification.

Jason Lish is currently the Chief Security, Privacy, and Data Officer for Advisor Solutions where he is developing a comprehensive and proactive strategy to drive business decisions and protect value creation on behalf of Advisor Group and its affiliated Advisors. Prior to Advisor Group, Mr. Lish served as Alight's Chief Information Officer. In this role, Mr. Lish was responsible for Alight's overall digital, technology, enterprise risk and security strategy and execution. Before joining Alight, Mr. Lish was the Senior Vice President of Security Technology and Operations for Charles Schwab and held senior roles in cyber security at Honeywell. Mr. Lish began his career in the United States Air Force as a telecommunication specialist where he administered large network, communication, and cryptographic systems. He serves on several advisory boards related to systems security. Mr. Lish degrees include a B.S. in Business Information Systems and an M.B.A.

Greg Lockwood is the chief technology officer and chief information security officer for USA Financial. His responsibilities include leading the internal technical staff and external consultants to deliver software, hardware, network, telecom and other technical services that support those connected to USA Financial. As CISO, Mr. Lockwood leads the organization's enterprise security program. Since joining the firm in 2007, he's played a vital role in the continued success of USA Financial by implementing processes and systems to address the needs of its staff, advisors, and clients. Through his technology leadership, Mr. Lockwood has improved the efficiencies and security posture of the internal staff, as well as the advisors and clients who are affected daily by the technology systems employed by the firm. Mr. Lockwood is a 20+ year veteran of the Information Technology field and holds a B.S. in communications from Grand Valley State University in Grand Rapids, Michigan.

Greg Markovich joined FINRA on February 1, 2016, as Regulatory Principal and he is currently responsible for leading cybersecurity examinations and providing security consultation and training for other staff. Prior to joining FINRA, Mr. Markovich has 30 years of information technology (IT) and security experience working at two investment management firms including Capital Group – American Funds, and American Century Investments. His leadership roles at these firms included responsibility for information security, risk management, identity access management, and disaster recovery. Mr. Markovich also has experience leading applications development and infrastructure support teams. In addition to having an MBA degree from the University of Missouri, Mr. Markovich has several security certifications including a certified Information Systems Security Professional (CISSP) and a Certified Information Security Manager (CISM) certification.

Alex Maximov is Director in the Application Platforms department at FINRA. He is responsible for driving strategic initiatives and delivering enterprise solutions within the Identity and Access Management (IAM), cybersecurity and FINRA Entitlement Program domains. In this role he partners with FINRA business lines to deliver secure, reliable and frictionless login and profile management experience for firms. He works across all functional lines and stakeholder groups to understand applications security issues and deliver optimal technology solutions. Examples include the Multi-factor authentication (MFA), external Single sign-on (SSO), and FINRA Identity Platform (FIP) modernization. On another front, he leads a number of internal efforts to enforce cybersecurity best practices and introduce effective IAM processes in partnership with senior leaders from Enterprise Architecture, Information/Applications Security, Operations, and FINRA applications teams. Prior to taking on this role, Mr. Maximov led cloud transformation initiatives at FINRA's Business & Legal Systems department and oversaw applications development for Public Offerings and Private Placements programs. Mr. Maximov is a graduate of Virginia Polytechnic and State University where he earned a Master of Information Technology with a specialization in cybersecurity.

Salvatore Montemarano has been an examiner within the SEC's Office of Compliance Inspections and Examinations for three years. Prior to joining the Commission, he was the Chief Information Security Officer for the Overseas Private Investment Corporation (OPIC). Mr. Montemarano has worked in the information technology field for more than 20 years, 12 years focused on cybersecurity. Mr. Montemarano has a degree from George Mason University and a Masters in Information Security from the University of Maryland University College.

Nicole Olivo is Compliance Liaison and Information Security Officer at TFS Securities, Inc. As part of her responsibilities, Ms. Olivo spearheads cybersecurity efforts across the firm's securities, advisory, insurance, and mortgage divisions. Ms. Olivo developed the program with a focus on cybersecurity strategy and network architecture, internal and external threat assessments, and incorporating a "defense in depth" philosophy. Ms. Olivo developed and currently oversees cyber auditing process and procedures, WISPs, SIEM monitoring, DR/BCP programs, and continues to maintain and enhance open and effective dialogue with senior management, vendors, and advisors. Ms. Olivo serves as one of the firm's primary liaisons during SEC and

FINRA Compliance Exams, as well as New York Department of Finance (23 NYCRR 500) Audits. Ms. Olivo has 20 years' experience in the financial services industry; holding positions at several specialist, investment banking, and broker-dealer firms in the areas of operations, compliance, risk management, regulatory research and examinations, supervisory structures and procedures, internal and external audits, innovative systems development, and project management.

Brian J. Peretti, Esq., is Director for the Office of Critical Infrastructure Protection and Compliance Policy at the United States Department of the Treasury located in Washington, D.C. At the Department of the Treasury, Mr. Peretti supervises the planning, evaluating and implementation of information security, information assurance, and risk management policies related to critical infrastructure protection, cyber security and homeland security. He leads the efforts of the Financial and Banking Information Infrastructure Committee (FBIIC), an interagency organization chartered under the President's Working Group for Financial Markets composed of 18 federal and state financial regulatory agencies. He is the relationship manager to the Departments of Homeland Security, Energy, Transportation, Justice, Defense and the Intelligence Community Homeland Security issues. He represents the Treasury on various interagency groups, including Cyber Interagency Planning Committee (Cyber-IPC), the National Cyber Response Coordination Group, and the National CIP R & D draft group. He is the emergency coordinator for the Treasury's Domestic Finance area, where he leads efforts in the areas of business continuity and disaster recovery. He directs the Treasury's effort to implement a Research and Development agenda, created in coordination with the financial services sector, to address technology issues. He has lectured extensively and has authored six books on topics related to financial institutions, including, most recently, co-authoring with Barkley Clark and Mark Hargrave *Compliance Guide to Payment Systems: Law and Regulations*. Prior to joining the Treasury Department, Mr. Peretti was an associate in Shook, Hardy & Bacon's Corporate Banking and Finance Section in Washington, D.C. Prior to that position, Mr. Peretti was General Counsel for the Wright Patman Congressional Federal Credit Union, which serves the U.S. House of Representatives and associated groups. Mr. Peretti received his bachelor's degree from Rider University *cum laude* in 1989 and his law degree from American University, Washington College of Law *cum laude* in 1992.

Steven J. Randich, Executive Vice President and Chief Information Officer (CIO), oversees all technology at FINRA. Previously, Mr. Randich served as Co-CIO at Citigroup, and CIO and Global Head of Technology for Citigroup's Institutional Clients Group. Prior to joining Citigroup, he was Executive Vice President of Operations and Technology and CIO at NASDAQ, where he was responsible for all aspects of NASDAQ technology, including applications development and technology infrastructure. From 1996 to 2000, Mr. Randich served as Executive Vice President and CIO for the Chicago Stock Exchange. He was responsible for all technology, trading-floor and back-office operations, and business product planning and development. Prior to joining the Chicago Stock Exchange, Mr. Randich was a Managing Principal at IBM Global Services and a Manager at KPMG. Mr. Randich has an undergraduate degree in computer science from Northern Illinois University and an M.B.A. from the University of Chicago.

Dwayne Roberts, Executive Director, Technology, specializes in cybersecurity and risk. Prior to joining GCM Grosvenor, Mr. Roberts spent three years at the Tribune Publishing Company as Digital Security Manager, and two years as Security Architect for TransUnion credit bureau. Previously, Mr. Roberts served 12 years in Japan performing multiple cybersecurity roles: Information Assurance Technical Lead for United States Forces Japan, Lead IT Security Engineer for Marine Corps Community Services, Security Operations Center (SOC) Analyst for the United States Navy and Information Protection Specialist for the United States Air Force. He has achieved several industry certifications throughout his 20 year cybersecurity career, such as, Certified Information Systems Security Professional (CISSP), Certified HIPAA Security Specialist (CHSS) and Payment Card Industry Professional (PCI-P). Mr. Roberts earned his degree in Information Systems Technology while on active duty in the United States Air Force.

Lisa Roth is the president of Monahan & Roth, LLC, a professional consulting firm offering compliance guidance, expert witness and related services on financial and investment services topics including securities and financial services industry compliance, investment product due diligence, investor suitability, management and supervision, information security and related topics. Ms. Roth is also the President, AML Compliance Officer and Chief Information Security Officer of Tessera Capital Partners. Tessera is a limited purpose broker dealer offering new business development, financial intermediary relations, client services and marketing support to investment managers and financial services firms. Ms. Roth holds FINRA Series 7, 24, 53, 4, 65, 99 Licenses, and has served in various executive capacities with Keystone Capital Corporation, Royal Alliance Associates, First Affiliated (now Allied) Securities, and other brokerage and advisory firms. In 2003, Ms. Roth founded ComplianceMAX Financial Corp. acquired by NRS in 2007), a regulatory compliance company offering

technology and consulting services to more than 1000 broker-dealers and investment advisers. Ms. Roth's leadership at ComplianceMAX led to the development of revolutionary audit and compliance workflow technologies now in use by some of the United States' largest (and smallest) broker-dealers, investment advisors and other financial services companies. Ms. Roth has been engaged as an expert witness on more than 100 occasions, including FINRA, JAMS and AAA arbitrations, Superior Court and other litigations, providing research, analysis, expert reports, damages calculations and/or testimony at deposition, hearing and trial. Ms. Roth is a member of FINRA DR's National Arbitration and Mediation Committee, and FINRA's Series 14 Item Writing Committee. Ms. Roth was unanimously selected by her peers to serve as the Chairman of FINRA's Small Firm Advisory Board for one of a total of four years of service on the Board from 2008-2012. She has also served as a member of the PCAOB Standing Advisory Group, and is an active participant in other industry forums, including speaking engagements and trade associations. Ms. Roth resides in CA, but is a native of Pennsylvania, where she attained a Bachelors of Arts Degree and was awarded the History Prize from Moravian College in Bethlehem, PA.

Len Smuglin is an IT Exam Manager at FINRA. Prior to joining FINRA more than five years ago, Mr. Smuglin worked in the financial services industry for more than 20 years for several large New York area institutions. His roles and responsibilities were in the following areas: IT Audit, Technology Risk and Systems Quality Assurance. He is a University of Wisconsin (at Milwaukee) graduate where he majored in MIS (Management Information Systems) and completed Advanced Certificate Program in Systems Auditing at New York University. Mr. Smuglin holds a CISA certification (Certified Information Systems Auditor).

Dale Spoljaric currently is Managing Director with the National Futures Association, where he helps oversee the compliance department's examination, investigation, financial surveillance, and risk management programs. Prior to his current role, Mr. Spoljaric was US Head of Agency Derivative Services Compliance at Barclays Capital Inc. where he led a team of compliance professionals covering futures, cleared swaps, and FX prime brokerage. He also spent time as a Control Officer with JP Morgan Securities in the F&O and Cleared OTC Operations group. He began his career in the futures industry with Chicago Mercantile Exchange where he conducted audits of clearing member FCMs. Mr. Spoljaric earned a Bachelor of Science degree with a double major in Accounting and Information Technology from Marquette University in Milwaukee, Wisconsin. He's also a registered CPA in Illinois and Certified Fraud Examiner.

Barry Suskind, CISSP is a senior director and has been a member of the Cyber Security community for almost 30 years. He is a well-respected member of the Cyber Security community and regularly attends premiere Security Conferences like BlackHat and Defcon. As an early adopter of the Internet, Mr. Suskind built firewalls and secured the companies where he worked, sharing his experiences and knowledge with other divisions and staff. He came to FINRA in 2000, when it was still NASD and NASDAQ was still a part of the company. During his first week he was instrumental in stopping one of the worst email computer viruses, "I Love You". He worked with NASDAQ providing security expertise when they looked to create markets in Europe and Asia. Since then, he has diligently protected FINRA from security breaches both from external attacks and from computer viruses. His persistence in 2003-2004 prevented several computer viruses from causing any harm at FINRA but had adversely affected many other Financial Services companies. This earned him an "Excellence in Service Award." Mr. Suskind has deployed many of the security tools helping to keep FINRA safe, such as Spam Blockers, Intrusion Prevention, Data Loss Prevention and Vulnerability scanning. He has built a team of highly skilled staff that monitor and stop attacks from effecting our users or systems. When FINRA began its migration to the AWS Cloud, Mr. Suskind was there to ensure our enterprise was configured to be more secure than in the data center. He was an early adaptor of "Micro-segmentation" where hosts instead of networks are isolated, which further secures systems by preventing any attack from spreading. His current work includes working with enterprise architects to ensure the security of all FINRA's applications, including CAT. He's also working with his team to utilize Splunk to provide high level metrics so senior management and executives can see at a glance our security posture.

Jennifer Szaro is Chief Compliance Officer for Lara, May & Associates, LLC ("LMA") a fully disclosed introducing broker/dealer and its affiliated investment advisory firm, XML Financial Group. Ms. Szaro is responsible for managing both firms' compliance infrastructures. Ms. Szaro joined the securities industry in 2000. She previously worked in the internet technology sector where she had experience in ecommerce, hosting and product development. As the securities industry went through significant changes with higher regulatory demands she took on more compliance and marketing related roles. In 2011, she became a senior level executive and LMA's Chief Compliance Officer. In addition to her role as the CCO, she is the AMLCO, and alternative FINOP. She's obtained the following FINRA series 6, 7, 14, 24, 28, 53, 63, 65 and 99. In 2012, she completed FINRA's Certified Regulatory and Compliance Professional Program (CRCP)[®] previously through

the FINRA Institute at Wharton. In 2018, she became a non-public FINRA Dispute Resolution Arbitrator, having qualified through the National Arbitration and Mediation Committee. In 2019, she was appointed by FINRA to serve out a two-year term on the Small Firm Advisory Committee (SFAC) and is the 2020 Chair. Ms. Szaro is a graduate from the University of Rhode Island with a Bachelor of Science.