

Cybersecurity the Current Regulatory Environment: Insight from Regulators and Industry Experts

Tuesday, January 14, 2020

3:45 p.m. – 4:40 p.m.

During this session, hear insight from regulators and industry experts. Panelists answer your questions related to the cybersecurity regulatory landscape, what they are seeing during examinations and other important issues. You will hear their perspectives on effective practices and helpful tips they have identified.

Moderator: David Kelley
Surveillance Director, Kansas City District Office
FINRA Member Supervision

Speakers: Gregory Markovich
Regulatory Principal, Chicago District Office
FINRA Member Supervision

Salvatore Montemarano
Senior Specialized Examiner - Information Technology, Technology Controls
Program, Office of Compliance Inspections and Examination (OCIE)
U.S. Securities and Exchange Commission (SEC)

Dale Spoljaric
Managing Director, Compliance
National Futures Association (NFA)

Cybersecurity the Current Regulatory Environment: Insight from Regulators and Industry Experts Panelist Bios:

Moderator:

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.

Speakers:

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.

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.

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.

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Panelists

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