

2020 FINRA

Cybersecurity Conference

January 14, 2020 | New York, NY

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.

Register at www.finra.org/2020cyber

FINRA[®]

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Agenda | Tuesday, January 14



7:30 a.m. – 4:30 p.m.	Registration
7:30 a.m. – 9:00 a.m.	Networking Breakfast
9:00 a.m. – 9:05 a.m.	Welcome Remarks Steven (Steve) Randich, FINRA Office of the Chief Information Officer
9:05 a.m. – 9:45 a.m.	Keynote Address FBI Special Agent in Charge Michael Driscoll
9:45 a.m. – 10:00 a.m.	Networking Break
10:00 a.m. – 11:00 a.m.	Identify: Cybersecurity Threats
	<p>▶ Join FINRA staff and industry panelists as they discuss the benefit of the National Institute of Standards and Technology (NIST) Cybersecurity Framework in developing a strong cybersecurity program. During the session, panelists discuss using a risk-management-based approach to cybersecurity, cybersecurity governance, assessments, including vendor due diligence, and the identification and inventorying of critical assets. Panelists discuss how firms with different business models conduct assessments and how the results inform a firm’s cybersecurity program.</p> <p>Moderator:</p> <ul style="list-style-type: none"> • John Kines, FINRA Cyber & Information Security <p>Panelists:</p> <ul style="list-style-type: none"> • Michael Bouley, Stockpile Investments, Inc. • Dwayne Roberts, Grosvenor Capital • Lisa Roth, Tessera Capital Partners, LLC
11:00 a.m. – 11:15 a.m.	Networking Break
11:15 a.m. – 12:15 p.m.	Protect: Measures and Controls
	<p>▶ Attend this session to learn about preventive measures firms can take to control access to their systems, protect data on those systems, and educate and train contractors and staff about sound cybersecurity practices. As part of this discussion, panelists address some of the common areas where failures may occur (e.g., malware downloads, phishing attacks and wire transfers) and measures to prevent them.</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"> • Joseph (Jay) Copeland, SFA Partners, Inc. • Allen Eickelberg, Spire Investment Partners, LLC • Jason Lish, Advisor Group • Barry Suskind, FINRA Information Security Architecture
12:15 p.m. – 1:15 p.m.	Networking Lunch
12:15 p.m. – 1:15 p.m.	Dessert with Exhibitors
1:15 p.m. – 2:15 p.m.	Detect: Detecting Threats in a Timely Manner
	<p>▶ During this session, panelists discuss monitoring for cybersecurity threats and detecting cyber events or attacks and security breaches. Panelist discuss the types of monitoring that firms perform; the policies, processes and tools that support that monitoring; and the challenges of maintaining strong detective controls and making effective use of data and alerts.</p> <p>Moderator:</p> <ul style="list-style-type: none"> • Gregory (Greg) Markovich, FINRA Member Supervision <p>Panelists:</p> <ul style="list-style-type: none"> • Matthew (Matt) Beals, Bolton Global Capital • Len Smuglin, FINRA Member Supervision • Nicole (Nicky) Olivo, TFS Securities, Inc.

Agenda | Tuesday, January 14 | continued

2:15 p.m. – 2:30 p.m.	Networking Break
2:30 p.m. – 3:30 p.m.	Respond and Recover: Recovery Plan—Minimizing the Damage 
	<p>▶ This session evaluates how to respond to and recover from a cyber-attack or security breach. Panelists address incident response planning, restoring systems, process improvements, and communications with clients and regulators when breaches occur.</p> <p>Moderator:</p> <ul style="list-style-type: none"> • Kevin Bogue, FINRA Member Supervision <p>Panelists:</p> <ul style="list-style-type: none"> • Greg Lockwood, USA Financial Securities Corp. • Paul Nickelson, TD Ameritrade • Jennifer Szaro, Lara, May & Associates, LLC
3:30 p.m. – 3:45 p.m.	Networking Break
3:45 p.m. – 4:40 p.m.	Cybersecurity the Current Regulatory Environment: Insight from Regulators and Industry Experts 
	<p>▶ 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.</p> <p>Moderator:</p> <ul style="list-style-type: none"> • David Kelley, FINRA Member Supervision <p>Panelists:</p> <ul style="list-style-type: none"> • Gregory (Greg) Markovich, FINRA Member Supervision • Salvatore Montemarano, U.S. Securities and Exchange Commission (SEC) • Dale Spoljaric, National Futures Association (NFA)
4:40 p.m. – 4:45 p.m.	Closing Remarks (V) Steven (Steve) Randich, FINRA Office of the Chief Information Officer
4:45 p.m.	Conference Adjourns

Contact Information

If you have any questions regarding this conference, please call (800) 321-6273.

For more information and to register, please visit www.finra.org/2020cyber

Featured Speaker



Michael Driscoll

FBI Special Agent in Charge, Counterintelligence/Cyber Division

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.

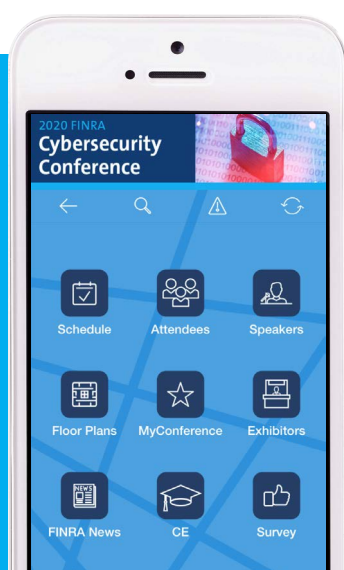


Speakers | as of December 26, 2019

Speaker	Company
Matthew (Matt) Beals	Bolton Global Capital
Kevin Bogue	FINRA Member Supervision
Michael Bouley	Stockpile Investments, Inc.
John Brady	FINRA Technology, Cyber & Information Security
Joseph (Jay) Copeland	SFA Partners, Inc.
Michael Driscoll	Federal Bureau of Investigation (FBI)
Allen Eickelberg	Spire Investment Partners, LLC
David (Dave) Kelley	FINRA Member Supervision
John Kines	FINRA Cyber & Information Security
Jason Lish	Advisor Group
Greg Lockwood	USA Financial Securities Corp.
Gregory (Greg) Markovich	FINRA Member Supervision
Alexander (Alex) Maximov	FINRA Technology
Salvatore (Sal) Montemarano	U.S. Securities and Exchange Commission (SEC)
Paul Nickelson	TD Ameritrade
Nicole (Nicky) Olivo	TFS Securities, Inc.
Gregory (Greg) Markovic	FINRA Member Supervision
Steven (Steve) Randich	FINRA Office of the Chief Information Officer
Lisa Roth	Tessera Capital Partners, LLC
Len Smuglin	FINRA Member Supervision
Dale Spoljaric	National Futures Association (NFA)
Barry Suskind	FINRA Information Security Architecture
Jennifer Szaro	Lara, May & Associates, LLC

Continuing Education (CE) Credits

Attendance to this conference qualifies for Certified Regulatory and Compliance Professional (CRCP)[®], and Certified Financial Planner (CFP) continuing education (CE) credits – plus a Continuing Legal Education (CLE) CE voucher.



2020 FINRA Cybersecurity Conference App

Our conference app is created specifically for the Cybersecurity Conference; 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/2020cyber

Hotel Information

The 2020 Cybersecurity Conference takes place at:

Crowne Plaza Times Square Manhattan Hotel

1605 Broadway

New York, NY 10019

Hotel Reservations

A room block is available at the Crowne Plaza Times Square Manhattan Hotel at the special room rate of \$259 per night, plus tax. The rate is available until December 30, 2019, or until the room block is sold out. Hotel reservations will then be accepted on a space- and rate-available basis.

New Process for FINRA Programs

To reserve a room at the Crowne Plaza Times Square Manhattan Hotel, you must first register as an attendee for the conference. A hotel reservation link will then be provided in your registration summary page and your registration confirmation email. Please contact us with any additional questions.

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.

Exhibitors

FINRA has a limited number of exhibitor opportunities remaining for this conference. To secure your participation, contact Jeffrey Arcuri at email Jeff.Arcuri@finra.org to request a conference exhibitor package.

Conference exhibitors showcase a range of products and services for broker-dealer firms. Current exhibitors include:

- ▶ Blue Star Cyber
- ▶ Braintrace
- ▶ BW Cyber Services
- ▶ Compass IT Compliance
- ▶ FCI
- ▶ Global Relay
- ▶ H2Cyber
- ▶ Workplace by OS33
- ▶ ZIX

Registration | Hotel and Travel Information

REGISTER NOW @

How to Register

To register, visit www.finra.org/2020cyber and complete the online registration form using your credit card. Conference registration is limited and available on a first-come, first-served basis. If you experience difficulties registering, please call (800) 321-6273 or send an email to conreg@finra.org.

Confirmation Email

You will receive an email confirmation of your registration. Please make sure your registration has been confirmed prior to your arrival onsite at the conference.

Cancellation Policy

The special discounted rate for the first 50 in-person registrants is non-refundable. For all other registration categories, a full refund—less a \$75 processing fee—will be granted to written requests received 14 days or more prior to the start date of the program. Refunds will not be granted after December 31, 2019.

Contact Information

If you have any questions regarding this conference or for information about other administrative policies, please call (800) 321-6273.

IN-PERSON—INDIVIDUAL	
FINRA Member Firm must provide valid CRD #	\$945
FINRA Member Small Firm must provide valid CRD #	\$495
Non-Member	\$1,325
Government/Regulator	\$670

IN PERSON GROUP* (Per Person)	
FINRA Member Firm must provide valid CRD #	\$800
FINRA Member Small Firm must provide valid CRD #	\$370
Non-Member	\$1,130

LIVE BROADCAST—MULTI-VIEWER	
FINRA Member Firm must provide valid CRD #	\$1,200
FINRA Member Small Firm must provide valid CRD #	\$250
Non-Member	\$1,500
Government/Regulator	\$1,200
Trade Association	\$1,500

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