



# 2022 Cybersecurity Conference

March 29 | New York, NY | Hybrid Event

## 2022 FINRA Cybersecurity Conference Speaker Biographies

**Keith Bettencourt** has been with FINRA as Exam Manager since 2017 in the Long Island Office and Retail Firm Grouping before joining the Cybersecurity team in 2020. Prior to FINRA, Mr. Bettencourt was most recently a Compliance Director at First Empire Securities, Inc. an institutional fixed income BD, and before that worked in the Compliance Department at Capital One Investing for seven years. There he held several positions including serving as its Chief Compliance Officer in 2016, where he was responsible for the traditional bank-BD and self-directed online (f/k/a Sharebuilder) platforms. Mr. Bettencourt led several technology-based efforts while at Capital One, including acting as Data Steward for the firm's compliance applications, leading the compliance and regulatory governance (GRC) efforts, implementation and ongoing monitoring of the firm's vendors, and served as compliance advisor on the firm's agile technology development teams. Prior to Capital One, Mr. Bettencourt held compliance and supervisory positions at HSBC Securities, and was a Sales Practice Review Unit examiner on the Risk Team at NYSE Regulation in 2006. Mr. Bettencourt's career in supervision and compliance began at Edward Jones in St. Louis in 2003 where he supervised approximately 125 RRs while also performing branch inspections. He has held other operational and sales positions with SWS Securities, First Union Securities, and PaineWebber. Mr. Bettencourt graduated from Oswego State University with a Bachelor of Arts in Public Justice. He holds CISA, CAMS, and CFE designations, and has also served as an industry arbitrator with FINRA Dispute Resolution. He also holds an Information Security and Risk Management certificate program from the University of Washington.

**Reshma Budhwani** is Vice President & Chief Technology Security Officer at New York Life Insurance Company. As a cybersecurity executive, she has more than 17 years of experience in leading and managing large-scale information security programs and building high performing teams. She is a result-oriented leader with the ability to consistently deliver on critical program goals while maintaining financial discipline. She is a trusted advisor and strategic partner to senior management for addressing security threats and driving transformation. Ms. Budhwani is currently serving as a Chief Technology Security Officer of a Fortune 100 company, responsible for cyber security strategy, engineering, and operations. Prior to this, she was a financial service focused leader in Deloitte's cyber risk services, specializing in delivering secure, vigilant, and resilient solutions for her clients. Ms. Budhwani holds a master's in information technology and is CISSP Certified. Ms. Budhwani is also an active supporter of several non-profit organizations.

**Brian Carter** is Vice President of Technology for Sigma Financial Corporation and Parkland Securities, LLC. He joined the firm in early 2021 to lead the effort to modernize and transform their technology platform. Mr. Carter brings a passion for implementing technology that helps organizations and people be more effective. How can we create solutions that allow people to shift their time from doing lower-value work to higher-value work? In the Post-COVID World with people working remotely, how do we allow them to do their work effectively while mitigating the constant cybersecurity threats posed by bad actors? These are some of the questions Mr. Carter thinks the most about. He began his 20 plus years of experience in financial services technology as a programmer tasked with building a new commission processing system for National Planning Holdings, a broker dealer network formerly owned by Jackson National Life. From there he moved into various leadership roles, gaining experience in a wide range of technology disciplines. Mr. Carter earned an MBA from Vanderbilt University in 2014, which was a catalyst to transforming his outlook on technology to be more business focused.

**Jeff Davis** has more than 20 years' experience in Information Security and has worked in the Telecom, Professional services, and financial services industries. He holds several certifications, such as the CRISC, CISSP and CISM, as well as a Series 7 designation. He has authored articles for the *Information Security Management Handbook* (Tipton and Krause) on topics including Patch Management, Security Diversity, Token Authentication and the Structure of a Corporate Computer and Network Security organization. He has a master's in computer science from Stevens Institute of Technology and is currently Director of the Information Security Organization for Pershing LLC, a BNY Mellon Company.

**Robert Fernandes** is Chief Information Security Officer (CISO) for The Investment Center, Inc., a broker-dealer based in Bedminster, NJ. Mr. Fernandes develops and maintains the firm's Information Security Program. He recently celebrated his 20th anniversary with the firm. When COVID hit, he worked with his team to prepare the office for moving remote and has been integral in implementing cybersecurity policies and protocols on all levels. After several years on the more technical side of the field, he got a taste for information security and immediately realized that it was his calling. Mr. Fernandes is extremely passionate about information security and considers himself a cybersecurity ambassador, practitioner, and student. His philosophy is that we are constantly changing roles between teacher and student, saying: "We all have knowledge to share, and yet so much more to learn." He is a constant presenter at firm events discussing everything from phishing attacks to impersonation attempts, as well as continuing to educate the firm's financial professionals on the ever-changing landscape of cyber threats. He ensures everyone is aware of vulnerabilities and how to potentially prevent any type of breach.

**Greg Gilbert** is an accomplished, results-driven, owner, and entrepreneur with 21 years of successful leadership, business development and client relationship management expertise. In 2007, Mr. Gilbert launched Infinity Financial Services, a national independent wealth management firm, with Co-Founder James S. Simos, CFP®. Prior to starting Infinity Financial Services, Mr. Gilbert was a senior financial advisor with Merrill Lynch Global Private Client Group and later joined LPL Financial Corporation. Mr. Gilbert is dedicated to helping the firm's FAs to grow their independent practices in a flexible, open architecture environment. Mr. Gilbert is extremely well-versed regarding ongoing regulatory and compliance issues; experienced in evaluating and selecting a comprehensive platform of technology solutions and correspondent services; and in the implementation of an extensive array of asset and risk management solutions for the operation of the firm. Infinity offers professional traditional and alternative asset management, insurance, and risk management services, and retirement plan advisory services to individual, small business and institutional investors. In 2015, Infinity launched Elevate Plan Services, an innovative online financial planning solution, which is a WealthManagement.com 2015 Industry Awards Finalist for Technology. In 2017, Infinity Financial Services was ranked the sixth biggest percentage gained firm ranked by revenue in the Investment News. Mr. Gilbert received his BA in Speech Communications from San Francisco State University. After college, Mr. Gilbert spent five years as a producer and broadcast journalist for KCBS in San Francisco, reporting on business, economics, politics, and current affairs. He is a Certified Financial Planner®, Board Member for San Francisco Bay Area Council of Boy Scouts of America, and member of Rotary Club of Oakland. Mr. Gilbert holds FINRA Series 4, 7, 24, 53, and 66 licenses and State of CA insurance license.

**Wyatt Hamilton** joined FINRA in November 2020 as a member of the Cybersecurity team. Prior to joining FINRA, Mr. Hamilton managed the Information Technology and Cybersecurity program at Peak Brokerage Services, a small independent BD in south Florida. His most recent role with Peak Brokerage was as the firm's CISO where he was responsible for crafting and updating the firm's cybersecurity policies, managing issues at branch offices, and interfacing with regulators. Prior to his role as the firm's CISO, Mr. Hamilton performed back office operational functions as well as managed vendor relationships, including managed service providers. Mr. Hamilton graduated *cum laude* from Pfeiffer University in 2016 with a Bachelor of Science in Computer Information Systems. Mr. Hamilton was also a four-year member of the Pfeiffer University Men's Volleyball program. He currently holds the CISA and is pursuing other certifications in cloud security and auditing.

**Dave Kelley**, Director, Member Supervision Specialist Programs, is based out of FINRA's Kansas City office. He has been with FINRA for more than 11 years and leads the specialist team dealing with cybersecurity and information technology controls. 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, Director of Electronic Commerce Controls and AML Officer. 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.

**Greg Markovich** joined FINRA on February 1, 2016, as a Senior Principal Risk Specialist 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.

**Jason Mayor** is Vice President and leader in Cyber Security and Risk Management at Raymond James Financial. He currently oversees the IT Risk Management department, which includes: assessing the risk of existing and future partners to advise executive leadership on risk mitigation, consulting with project teams as a trusted advisor, interfacing with regulatory agencies, assuring the effectiveness of the security program through technical assessment activities, and managing the Infrastructure and Information Security project portfolios. Mr. Mayor and his organization of Information Security professionals specialize in managing cyber security risks while supporting business priorities to enable firm growth and success. Previously, Mr. Mayor served five years as an active-duty Cyber Operations Officer in the United States Air Force, leading men and women in network operations, network defense, and information assurance. Mr. Mayor received his bachelor's degree in Systems Engineering Management from the United States Air Force Academy and achieved a master's degree in Business Administration from Oklahoma State University. He has several industry-leading technical and business certifications, including the CISSP, CISM, and Series 99.

**Omer Meisel** is Vice President of FINRA's National Cause and Financial Crimes Detection Program (NCFC) - Specialist Groups where he leads FINRA's Anti-Money Laundering and Special Investigations Unit, the High-Risk Reps (HRR) Unit, the Vulnerable Adults and Seniors Team (VAST), and the CyberTech Specialist Unit. Mr. Meisel joined FINRA from the FBI where he spent more than 22 years. In his last assignment, he was the Assistant Special Agent In Charge of the FBI's San Diego Division where he led the Cyber (National Security and Criminal) Branch, the Counterintelligence Branch, Intelligence Branch, and Private Sector Outreach. Mr. Meisel also served as the Acting Special Agent In Charge of the San Diego Division where he led all operations and mission services. Mr. Meisel began his FBI career in the San Francisco Division specializing in complex corporate and securities fraud, money laundering, financial crimes, and international terrorism investigations. He served on the Enron Task Force as a senior investigator assigned to investigate Enron's CFO, other Enron senior executives, and various investment banks. Mr. Meisel also served in numerous leadership roles at the FBI to include the Supervisory Special Agent of the Joint Terrorism Task Force, the head of the FBI's overseas office in Israel, and the Division Legal Counsel. Mr. Meisel was also detailed to the Office of Special Counsel where he led a team's investigation into the Russian government's efforts to influence the 2016 presidential election. Prior to joining the FBI, Mr. Meisel worked for the National Association of Securities Dealers, the Securities and Exchange Commission, and was a trader. Mr. Meisel is a member of the Illinois bar.

**Carmi Moser** joined FINRA on November 2, 2020, as Senior Principal Risk Specialist with the team leading cybersecurity examinations, providing cybersecurity consultations and training. Prior to joining FINRA, Ms. Moser performed 12 years of combined hands-on and management experience in the Information Technology and Cybersecurity domains working in roles responsible for Governance, Risk & Compliance, Security Operations, and IT Operations. Her broad experience includes work at Kaseya, PyeongChang Winter Olympics, Virgin Hyperloop One and the Department of Energy's cybersecurity operations center. She completed her Master's in Information Technology at American InterContinental University and holds several cybersecurity certifications including CISSP, CISM, CIPM and GCIH.

**Austin Murphy** has over a decade of hands-on Computer Network Security experience in both private sector professional services as well as service in the U.S. Department of Defense. As the Vice President of Managed Services, Mr. Murphy leads the team responsible for stopping breaches through managed endpoint protection. Additionally, while at CrowdStrike, Mr. Murphy spent several years as the Director of Incident Response, leading a team of experts delivering trusted advisory services and directed over 1,000 forensic investigations. Prior to joining CrowdStrike, Mr. Murphy was a Digital Forensics/Incident Response Manager in the Advanced Security Center at Ernst & Young. There, he was tasked with leading cyber breach investigations for customers as well as building or improving client security operations capabilities. Before entering the public sector, Mr. Murphy was a U.S. Air Force Cyberspace Operations Officer where his primary focus was on developing tactics for the deployment of advanced computer network attack and defense capabilities. Mr. Murphy was the Distinguished Graduate of his Undergraduate Network Warfare Training class. Mr. Murphy holds a bachelor's degree with quantitative methods and computer science from the University of Saint Thomas. Additionally, he is a Certified Information Systems Security Professional (CISSP) and a GIAC Certified Forensic Analyst. (GCFA). Mr. Murphy has been invited to speak at SANS DFIR Summit, (ISC)2 Security Congress, RSA Security Analytics Summit, and is co-author of *Responding to Targeted Cyber Attacks*.

**Eric Pickersgill** is a technology leader and subject matter expert in information security, cloud computing, risk management, and IT governance with more than 15 years of experience supporting Fortune 500 companies and federal agencies. Mr. Pickersgill is currently the Deputy Chief Information Security Officer (CISO) at FINRA. As Deputy CISO, Mr. Pickersgill supports the CISO in leading FINRA's Cyber and Information Security program. Previously, Mr. Pickersgill served as the SVP of Cloud Security Strategy at Wells Fargo where he led the development and implementation of the cloud security program and solutions across the enterprise. Prior to Wells Fargo, Mr. Pickersgill served as the Director of Cloud Governance and Security at Capital One where he established and implemented the enterprise cloud governance and security strategy. He successfully oversaw the secure deployment and use of core enterprise cloud platforms such as AWS, Google Cloud Platform, Microsoft Azure, Salesforce, and ServiceNow. Prior to Capital One, Mr. Pickersgill served as the CISO of Smartronix Cloud Assured. As CISO, he established and operated an information security program to protect AWS environments for federal agencies, financial institutions, media and entertainment companies, and pharmaceutical firms. Prior to Smartronix, Mr. Pickersgill worked for Verizon Enterprise Solutions as an Information Assurance Manager where he oversaw the FedRAMP authorization of Verizon Terremark's IaaS offering, Enterprise Cloud Federal Edition (ECFE). His past work experience also includes tenures at large consultancies such as KPMG and Booz Allen Hamilton where he assisted various organizations across different industries in meeting security and regulatory requirements. He holds a Master of Science (MS) degree in Information Technology from Marymount University, a Graduate Certificate in Computer Security and Information Assurance from Marymount University, a CISO Executive Certification from Carnegie Mellon University, a Bachelor of Science (BS) degree in Accounting and Information Systems from Virginia Tech, and a second BS in Entrepreneurship, Innovation, and Technology Management from Virginia Tech. He is also a Certified Information System Security Professional (CISSP), a Certified Information Security Manager (CISM), a Project Management Professional (PMP), and a Certified Ethical Hacker (CEH).

**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.

**Greg Ruppert**, Executive Vice President, leads FINRA's Member Supervision organization, a cohesive group of programs which protect investors and safeguard market integrity through surveillance and oversight of Member Firms and Registered Representatives. In particular, Mr. Ruppert sets the strategic direction of the Member Application Program, Risk Monitoring Program, Firm Examination Program, and Investigative Programs of the organization. Mr. Ruppert joined FINRA in 2020 as the Executive Vice President of FINRA's National Cause and Financial Crimes Detection Program (NCFC) within Member Supervision. In his prior role, Mr. Ruppert oversaw FINRA's National Cause Program, Financial Crimes Surveillance, and Specialized Investigative Units covering vulnerable adults and seniors, anti-money laundering and fraud, high-risk representatives, and cybersecurity. He was also responsible for the creation of FINRA's Financial Intelligence Unit. Prior to joining FINRA, from 2014 to 2020, Mr. Ruppert was a Senior Vice President in Charles Schwab Corporation's Risk Management department. In that role, he led teams responsible for several of the key operational and compliance risk areas across the enterprise. He also served as the Board-appointed Bank Secrecy Act (BSA) Officer and the Corporate Responsibility Officer for the corporation. Prior to joining Schwab, Mr. Ruppert spent more than 17 years with the U.S. Government, achieving the rank of Senior Executive Service. Mr. Ruppert's career as a Special Agent in the FBI included investigator and leadership roles specializing in complex corporate and securities cases, financial crimes, terrorism, and cyber. Mr. Ruppert is a Professor of Practice at the University of the Pacific, School of Engineering and Computer Sciences, for the Data Science Master's Program. He is on the Board of Directors of the non-profit organization CalTrout. Previously, he was on the board of the non-profit organization GirlVentures and served as President of the board. Mr. Ruppert has a J.D. from the University of the Pacific's McGeorge School of Law and a B.A. from the University of the Pacific.

**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).

**Jennifer Szaro** is Chief Compliance Officer for XML Securities, LLC 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 technology sector where she had experience in ecommerce, website 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 Chief Compliance Officer of the broker dealer, then dually registered. In addition to her current role as CCO, she is the AMLCO, and alternative FINOP. In 2012, she completed FINRA's Certified Regulatory and Compliance Professional Program (CRCP)<sup>®</sup>. 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 to serve out a two-year term on the FINRA's Small Firm Advisory Committee (SFAC), serving as the 2020 Chair. She was re-appointed to serve a three-year term through 2023. Ms. Szaro holds the following FINRA registrations; Compliance Officer (CR), Introducing Broker-Dealer Financial and Operations Principal (FI), General Securities Principal (GP), General Securities Representative (GS), Investment Company and Variable Contracts Products Representative (IR), Municipal Securities Principal (MP), Municipal Securities Representative (MR), and Operations Professional (OS). Ms. Szaro is a graduate from the University of Rhode Island with a Bachelor of Science.

**Brian VanKonynenburg** serves as Chief Operating Officer, Chief Development Officer, Compliance Officer and Secretary of Weild & Co. Mr. VanKonynenburg served as VP Product at OurStage.com—a crowd-sourced music entertainment and competition platform—where he was integral to the design and management of professional services and brand engagement products, serving key clients including Intel, Best Buy, Coors and ESPN. Mr. VanKonynenburg also served as VP Product at Helium.com from its inception to sale to RR Donnelly, where his clients included AOL, Hearst Corporation, Fox Interactive, and Pulitzer. At BaseSix, a web marketing & development firm, Mr. VanKonynenburg's clients included Johnson & Johnson, DuPont, and CMGI. Previously, he worked in Strategic Systems at Monster.com where he managed global e-commerce and employer platform projects from business requirements, through usability, design, specification, and development. Mr. VanKonynenburg holds FINRA Series 7, 24, 63, 82 and 99 licenses.

**Heather Watson** joined FINRA in October 2007 as an Examiner (now Principal Risk Specialist), based out of the Boston Office, conducting examinations of our member firms. During the past few years, she has conducted several cybersecurity reviews as part of larger Sales Practice examinations or in coordination with FINRA's Cybersecurity Team. In September of 2020, Ms. Watson joined FINRA's Cybersecurity Specialist Team and now leads cybersecurity reviews and advises other FINRA staff. Prior to joining FINRA, Ms. Watson spent 10 years with Boston Financial, working in various operations areas as well as in the compliance department, in both supervisory and risk analyst roles. Ms. Watson holds a BSBA in Finance from Northeastern University and also has her Certified Anti-Money Laundering Specialist (CAMS) certification.

**Joshua Werner** is a technology & cybersecurity leader with 10 years of experience spanning cloud computing, telecommunications, IT Risk Management & Cyber security disciplines across numerous Fortune 500 organizations. Mr. Werner is currently serving as a Director in Information Security where he is responsible for Security Architecture & Cloud Security functions. In his current role he oversees security partnership across technology & business to support rapid, secure adoption of technology and the comprehensive security of cloud computing platforms at FINRA. Previously Mr. Werner was at Truist Financial as an SVP in vulnerability management & data protection where his teams were responsible for the engineering, development and enhancement of critical security applications and he drove core alignment across cybersecurity in a transformational move to the Microsoft Azure cloud environment. Preceding Truist, Mr. Werner was a Manager at Capital One in Cloud Governance where he supported the development of technical control requirements for running securely in AWS, Azure, Google Cloud, Salesforce, Servicenow and subsequent implementation of controls across numerous cloud technology platforms. Mr. Werner also served at Capital One as a Principal Security Consultant for the AWS platform where he worked with 50+ application teams in ensuring the security of newly deployed cloud applications prior to production release. He was able to partner with business & technology leadership to support a successful deployment of wholistic governance strategy across numerous cloud platforms. Past work

includes serving as a Security Engineer at BAE Systems where he was responsible for the development, engineering, deployment & operations of cybersecurity tooling in support of enterprise security operations as well as System Administrator at BIT Systems, implementing CI/CD pipelines via open source software, supporting pipeline applications, development of linux images & standup of core networking/compute resources for development teams. Mr. Werner is a BS graduate of James Madison University Integrated Science and Technology program. He is also an AWS Solutions Architect and Certified Ethical Hacker (CEH).

**David A. Yacono** is Chief Information Security Officer for FINRA CAT LLC, a subsidiary of FINRA that is the Plan Processor for the Consolidated Audit Trail (CAT). Mr. Yacono has more than 25 years of experience in a range of information-technology disciplines including system operations, software development, network security, and cyber and information security, with nearly 20 years of this experience focused on cyber and information security. Prior to his current role, Mr. Yacono was responsible for several of FINRA's core cybersecurity functions, including leading a comprehensive Application Security Program, which Mr. Yacono established a decade earlier; the Security Compliance Program, which includes compliance with the globally recognized NIST/FISMA standards; and the Third-Party Risk Management Program, which he also created. Mr. Yacono also facilitated FINRA's secure adoption of cloud services, establishing a program that included cloud-aware policies and standards, a cloud-security evaluation process, and the development of tools for automating management and monitoring of critical cloud-security controls. Mr. Yacono has a Bachelor of Science in Electrical Engineering from the University of Maryland, and holds several security certifications, including Certified Information Systems Security Professional (CISSP), Certified Secure Software Lifecycle Professional (CSSLP), and Certified Third Party Risk Professional (CTPRP).