



Regulatory Compliance[®]



New York, 1/2 Day Regional Conference
Cyber-Security:
How Regulation and Risk Mitigation Are Reshaping Your Firm's Operations

When:

Tuesday, October 14, 2014

Where:

New York Athletic Club
180 Central Park South
New York, NY 10019

Time:

8:00-11:30AM

Continental Breakfast and beverage service.

Credits:

Up to 3.0 CPE Credits Offered

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Topics:

SEC Alert Review & Background

Cyber-security: Definitions & Case Studies

Implementing Protections: Training, Policies, and Assessment

Incident Response: Requirements and Notification

Featuring:

- John H. Walsh, Partner, Sutherland Asbill & Brennan LLP
- Tim O'Brien, Supervisory Special Agent, FBI Cyber Branch NY

Panelists:

- Craig Moreshead, Director, Regulatory Compliance
- Raj Bakhru, CFA, Chief Executive Officer, Aponix Financial Technologists
- Marc Lotti, PMP, CGEIT - Chief Operating Officer, Aponix Financial Technologists
- Eric Hess, Managing Counsel, Hess Legal Counsel

Moderated by:

- Evan Ignall, Director, Regulatory Compliance - New York Office

Who should attend?

- Investment Advisors and Broker Dealers
- Chief Compliance Officers
- CEOs, Presidents & Executive Management
- CFOs, CTOs
- Directors of Operations, Technology Managers

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