

IOSCO AMCC LEARNING SERIES WEBINAR ON "CYBERSECURITY DURING THE PANDEMIC AND BEYOND"

Platform: BlueJeans
Date and time: Wednesday 20 April 2022,
13.00-14.30 CEST

AGENDA

Moderator: Jeanne Balcom, Executive Director, Options Clearing Corporation (OCC)

- 13.00 – 13.05 Introductory Remarks
Karen K. Wuertz, AMCC Chair and Senior Vice President, External Affairs and Communications, National Futures Association, USA
- 13.05 – 13.15 Introduction: Cyber-Security: the threat is real
- a) Ransomware
 - b) Insider threats
 - c) Attacks on common services
 - d) Business email compromise
- Mark Morrison, Chief Security Officer, Options Clearing Corporation (OCC)*
- 13.15 – 13.35 The importance of crisis management exercises
- a) Table-top exercises at the individual entity level
 - b) Sector-wide exercises
 - c) Global exercises: e.g., Quantum Dawn
- Thomas M. Wagner, Managing Director, Financial Services Operations, Securities Industry and Financial Markets Association (SIFMA)*
- 13.35 – 13.50 The importance of public-private partnerships
Peter G. Salmon, Senior Director, Technology & Cybersecurity of the Investment Company Institute (ICI Global)
- 13.50 – 14.05 How to communicate cyber-risk to the board?
Mark Morrison, Chief Security Officer, Options Clearing Corporation (OCC)
- 14.05 – 14.15 Cyber-security resources available (Government and Private)
Peter G. Salmon, Senior Director, Technology & Cybersecurity of the Investment Company Institute (ICI Global)
- 14.15 – 14.25 Questions and Answers
- 14.25 – 14.30 Closing remarks

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Karen K. Wuertz, Chair of the Affiliate Members Consultative Committee (AMCC) and NFA's Senior Vice President of External Affairs and Communications

Ms. Wuertz is responsible for NFA's international activities, member education initiatives, investor education, corporate communications, media, and legislative issues. Ms. Wuertz joined NFA as it was being created. Throughout her NFA career, Ms. Wuertz has had extensive experience in the areas of rulemaking, examinations, investigations, system development and enforcement. Ms. Wuertz also had the opportunity to step aside from her derivatives regulatory career to lead the development and construction of a 33-story office tower in Chicago. This experience prepared Ms. Wuertz to tackle the unexpected, to negotiate and build consensus among many entities with various motives, build extensive networks, and manage budgets and spending of hundreds of millions. Ms. Wuertz also spent part of her career at the Chicago Stock Exchange overseeing its financial operations. Ms. Wuertz is currently Chair of the IOSCO Affiliate Members Consultative Committee. She co-chaired an IOSCO subcommittee to develop and publish a formal paper entitled "Model for Effective Self-Regulation". She holds a CPA in Illinois, a Masters in Management from the Kellogg Graduate School of Management at Northwestern University and a Bachelor of Science degree in Accounting from the University of Illinois.



Peter G. Salmon, Senior Director, Technology & Cybersecurity of the Investment Company Institute (ICI Global)

Peter G. Salmon is the Senior Director, Technology & Cybersecurity of the ICI Global. He is responsible for the Institute's Technology Committee, Chief Information Security Officer Committee, Information Security Officer Committees, and Business Continuity Committee. During the last 20 years Mr. Salmon was also responsible for the Institute's Small Funds Committee, and End of Day Pricing Forum. Prior to joining the ICI in 1999, Mr. Salmon spent 11 years with The NASDAQ Stock Market, Inc., most recently as Director of NASDAQ International Market Initiatives, Inc., where he was responsible for the general management of a NASDAQ subsidiary that assisted in the development of foreign equity markets from a technological and regulatory perspective.

Mr. Salmon represents the ICI on the Financial Services Sector Coordinating Council for Critical Infrastructure Protection and Homeland Security, United States Department of the Treasury, the Financial Services Information Sharing and Analysis Center, Federal Bureau of Investigation's INFRAGARD (Board Member), and the National Cyber Forensics and Training Alliance. Mr. Salmon is a graduate of Villanova University, where he earned a BA in Economics, and The American University, where he earned a MA in Economics. Mr. Salmon has also earned Certificates in Financial Planning from Georgetown University and Cyber Threat Analysis from the National Cyber Forensics and Training Alliance.

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Mark J. Morrison, Chief Security Officer, Options Clearing Corporation (OCC)

Mark Morrison is Chief Security Officer for OCC, the world's largest equity derivatives clearing organization. He joined OCC in May of 2017 and is responsible for information security, business continuity and records management.

Prior to joining OCC, Mr. Morrison served from 2013 to 2017 as Senior Vice President and Chief Information Security Officer for State Street Corporation. In this role, his responsibilities included providing strategic direction and oversight of the company's information security program, concentrating on cyber security defense, cyber threat intelligence, cloud and virtualization security technologies, and risk-based information security architecture. Mr. Morrison also integrated cyber security into the project management lifecycle of the information technology development activities of State Street by effectively factoring information security best practices into overall enterprise risk.

From 2012 to 2013, Mr. Morrison served as Principal Director to the Deputy Chief Information Officer, Cyber Security and Deputy Chief Information Officer for the U.S. Department of Defense (DoD). Mr. Morrison worked for the Office of the Director of National Intelligence from 2009 to 2011 as Director, Intelligence Community Information Assurance and Intelligence Community Chief Information Security Office. From 2005 to 2009, Mr. Morrison served as Chief Information Security Officer for the Defense Intelligence Agency. Mr. Morrison graduated from the University of Massachusetts at Amherst with a bachelor's degree in economics. Infrastructures and was a member of the oversight committees of CLS, EuroCCP, Euroclear, LCH, SWIFT and TARGET2. He was awarded a doctorate of Tilburg University in 1992 for his PhD thesis in Economics and Artificial Intelligence



Thomas M. Wagner, Managing Director, Financial Services Operations, Securities Industry and Financial Markets Association

At SIFMA, Tom is responsible for Cybersecurity, Third-Party Resilience and BCP programs and drives global public and private sector initiatives for critical infrastructure protection, operational resilience, data protection, insider threat, crisis management and industry exercise programs such as Quantum Dawn.

Prior to SIFMA, Tom was a Principal consultant at Booz Allen and Hamilton where he worked with industry and government partners and the intelligence community on critical infrastructure protection matters for the financial industry.

Tom has a Master's Deg in Computer Science from NYU and a Bachelor of Science degree in Math and Computer Science from Brooklyn College.