



# Internal Auditors Society (IAS) Annual Conference

The rapid pace of change driven by technology and innovation, shifts in geopolitical landscape, changes in regulatory focus, and dynamic workforce demographics are having an unprecedented effect on all areas of the securities industry.

This year's SIFMA IAS Annual Conference will convene internal audit, risk management and compliance professionals to discuss the challenges of managing risk in a disruptive environment and share perspectives on how firms are addressing them.

Join us on November 4-7 in Nashville to collaborate with leaders and peers, take a deep dive into key issues, bring back actionable takeaways to your firm, and participate in focused discussions including Future Leaders, Women in Securities, and more.

## Featured Speakers



**Rajesh Jayaraman** Chief Technology Officer Ellevest



**Tom**

**Patterson** Author Mapping Security: The Corporate Security Sourcebook for Today's Global Economy



**A.B. Stoddard** Associate Editor and Columnist RealClearPolitics

## Sunday November 4, 2018

**12:00pm – 5:00pm**

**Golf Tournament**

Located 10 minutes from Nashville International Airport and 5 minutes from Gaylord Opryland Resort, Gaylord Springs Golf Links has consistently been recognized among GolfWeek's best courses you can play in Tennessee.

*Please email Lizzie Grimm at [egrimm@sifma.org](mailto:egrimm@sifma.org) to reserve your spot.*

## Location

Gaylord Springs Golf Links

**6:30pm – 8:00pm**

**Registration Desk Hours**

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**Welcome Reception**

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**Monday November 5, 2018**

**7:30am – 8:30am**

**Networking Breakfast**

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**8:30am – 4:00pm**

**General Session**

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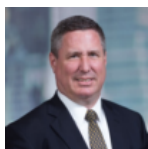
General Session Audio Visual Sponsored by EY

**8:30am – 8:35am**

**President's Opening Remarks**

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## Speaker



**Paul Jensen**

Internal Audit Chief Administrative Officer and Head of Audit Practices

J.P. Morgan Chase & Co.

President, Internal Auditors Society

**8:35am – 8:40am**

**Conference Chair's Opening Remarks**

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## Speaker

**Jack McNamara**

Deputy Chief Auditor

BNY Mellon

2018 Annual Conference Chair

**8:40am – 9:30am****Risk Management Amid Disruptive Technological Innovation**

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This talk will provide a historical perspective of technology driven disruptions in financial services and follow it up with ideas on how risk managers must evolve their tools and methods to meet the changing landscape.

**Speaker****Rajesh Jayaraman**

Chief Technology Officer

Ellevest

**9:30am – 10:20am****Energizing Auditors in a Changing and Disruptive World**

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With the ongoing disruptions to business caused by new technology, regulatory change, political uncertainty and strategic objectives, our audit functions need to be infused with renewed energy so that we can be dynamic and pro-actively be at the forefront of such change. We need to successfully tackle our audit world face-on while also balancing current lifestyle expectations and the needs of our teams. The right energy within our audit groups will help audit leaders manage the challenges of retaining and developing strong talent, understanding the needs and wants of millennials, and adjusting to the C-suite's ever changing needs as well as disruptions that face our audit plan. This panel hosted by the Women in Leadership Committee will include a mix of audit professionals and non-audit professionals that will consider some of the challenges we face in today's environment across our organizations.

**Moderator****Regina Piscazzi**

Head of Internal Audit

Apollo Global Management LLC

**Panelists****Jennifer Fisher**

National Managing Director for Well-being

Deloitte

**Gladys Griffiths**

US Chief Audit Executive, Head of Capital Markets and Risk Audit  
RBC

**Heather Haboush**

Chief Operating Officer  
Citi

**Erwin Shilling**

Managing Director, Internal Audit  
Goldman, Sachs & Co.

**10:20am – 10:40am**

**Networking Break**

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Sponsored by CrossCountry Consulting

**10:40am – 11:30am**

**Breakout Session: Operational Risk – The Risk Dashboard Debate**

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In this lively session, a panel of experts in their field will discuss and debate whether financial services organizations are in an environment of increasing or decreasing risk, by looking at current trends across different aspects of operational risk. Learn what this could mean for financial services internal audit by attending this breakout.

**Moderator****Howard Shain**

Senior Director  
RSM US LLP

**Panelists****Richard Aiello**

Vice President, Operational Risk Management  
E\*TRADE Financial Corporation

**Kevin Depew**

Deputy Chief Economist



RSM US LLP

**Patrick Simonnet**

Global Head of Audit for Market Behavior & Conduct  
Credit Suisse

**Corey Wells**

Managing Principal  
Focal Point Data Risk, LLC

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**Breakout Session: Beyond 'Vendor Risk' – Reliance on Third-Parties for Core Business Functions and Approaches to Reducing Related Risk**

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As the use of third-parties increases, such as through the use of Cloud computing, blockchain, affiliate arrangements and other third-party functions, related risk is raised. Financial institutions have little choice, as they must remain competitive in the market. The combination of new technologies, disruptive business models and the speed of impact from risk events has raised the level of inherent risk in the use of third-parties, and older vendor risk assessment models and SOC2 assessments are become more sophisticated. In this session, our speaker will walk through the fundamental areas of priority in a regulated third-party management program designed for today's disruptive environment.

**Moderator****Jack McNamara**

Deputy Chief Auditor  
BNY Mellon  
2018 Annual Conference Chair

**Panelists****Tom Garrubba**

Senior Director and CISO  
The Santa Fe Group

**Chris Poulin**

Principal Consulting Engineer  
BitSight Technologies

**Frank Roppelt**

Senior Manager, Security Policy & Vendor Risk  
TD Ameritrade

**11:30am – 12:20pm**

**Fireside Chat: Geopolitical Risk, Trade and Investment**

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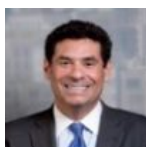
Jonathan Shames and Kevin Kajiwara will be sitting down and having a wide ranging discussion with the audience on understanding the business implications of geopolitical disruption in the world today and providing guidance on how to address the associated risks.

## Speakers



**Kevin Kajiwara**

Co-President  
Teneo Intelligence



**Jonathan Shames**

Geostrategic Business Group Leader and Global Client Service Partner, Private Equity  
EY

**12:20pm – 1:30pm**

**Networking Luncheon**

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Sponsored by KPMG LLP

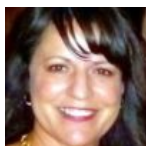
**1:30pm – 2:20pm**

**Breakout Session: Culture, Conduct and Accountability in an Era of Disruption**

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Certainly there are a small number of bad actors out there that will play out schemes given the opportunity and enough motivation – but how do organizations mitigate the risk of misconduct from Sr. Management through to each employee? What new behaviors and accountability frameworks are emerging in today's disruptive and innovative culture, that indicate risky conduct? This session explores what is changing in conduct and organizational behavior that may lead to unwanted conduct that could place our firms [the organization] into serious negative public scrutiny.

## Moderator



**Kristen Gantt**

GRC Leader - Regulatory & OpsRisk Advisory  
Deloitte  
2018 Annual Conference Chair

## Panelists

**Laura Gellman**

Senior Vice President, Compliance Risk  
Wells Fargo

**Hayseworth Hylton**

Head of Americas Global Banking and Markets Audit  
HSBC

**Patrick Simonnet**

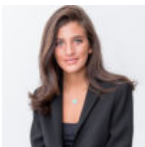
Global Head of Audit for Market Behavior & Conduct  
Credit Suisse

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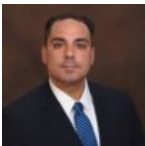
**Breakout Session: Risk and Regulatory Disruptions – What You Need to Know**

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This session will focus on emerging risk and recent regulatory pronouncements impacting financial services. The discussion will focus on BSA, OFAC and other AML related areas as well as key Cybersecurity and Technology disruptions.

**Moderator****Gabrielle Bass**

Sales and Marketing  
Accume Partners

**Panelists****Michael Paliseno**

Director of IT Audit  
Guggenheim Partners

**David Roath**

Chief Executive Officer  
Accume Partners

**Michael Rosenberg**

Executive Director, Risk & Regulatory Advisory Services  
Accume Partners

**2:20pm – 2:40pm****Networking Break**

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Sponsored by MetricStream

**2:40pm – 3:10pm**

## **Transforming Internal Audit Using New Technology**

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The presentation will outline how new enabling technology will transform the role of Internal Audit and help realize the aspirational vision of an insightful, proactive and future focused function.

### **Speaker**



**Stephen Mills**  
Managing Director  
Promontory, an IBM Company

**3:10pm – 4:00pm**

### **CAE Panel**

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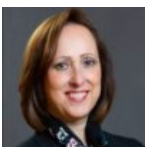
This panel of Chief Audit Executives (CAE's) from leading Financial Services Industry Firms will discuss, among other things, the current practices in addressing the topic of managing risk in a disruptive environment. This will include updates of its impact on the Internal Audit Function and the role Internal Audit can be expected to play in response to emerging economic and technological risks.

### **Moderator**



**Eric Sutphin**  
Partner  
KPMG LLP

### **Panelists**



**Denise DeMaio**  
Chief Audit Executive  
MUFG Union Bank, N.A.



**Mitch Mantua**  
Executive Vice President, CAE Internal Audit  
Charles Schwab & Co.



**Kevin Murray**  
Managing Director, Head of Americas Audit  
UBS AG

**5:30pm – 7:00pm**

### **Networking Reception**

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Sponsored by PwC

## Location

Skye, Please use the Skye marked elevators in the Sheraton

## Tuesday November 6, 2018

**8:15am – 9:00am**

**Networking Breakfast**

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**9:00am – 2:05pm**

**General Session**

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General Session Audio Visual Sponsored by EY

**9:00am – 9:05am**

**Conference Chair's Opening Remarks**

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## Speaker



**Bruce Goldberg**

Managing Director, Deloitte Risk and Financial Advisory

Deloitte

2018 Annual Conference Chair

**9:05am – 10:05am**

**Cyber Security: Insights Beyond the Headlines**

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In this lecture, noted security expert Tom Patterson leverages his decades fighting cyber criminals and foreign spies to take us on an insider's tour through today's cyber threats against the financial industry, giving a face to our enemies, and laying bare their sources and methods. In this highly interactive session, Tom tells inside stories of current real world attacks you've read about, dispels myth's and misperceptions, and encourages active discussions on how, why and what's happening, and who is really behind it all. Armed with this information, Tom then illuminates both mistakes and successes of your peers, and highlights three specific keys to defense in this time of highly disruptive cyber attacks that we work in.

### Learning Objectives:

- Understand how today's threats require new thinking to defend.
- Learn from other's mistakes, and avoid their own.
- Become security evangelists armed with persuasive stories for their own organizations

## Speaker



**Tom Patterson**  
Chief Trust Officer  
Unisys

**10:05am – 11:05am**

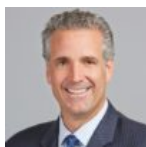
### **Collaboration and Independence of 2nd and 3rd 'Lines of Defense' in the Era of Technology Transformation**

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How are financial institutions sharing risk perspectives, data, and harmonizing points of view in today's disruptive and fast moving environment. Each 'Line of Defense' ("LOD") has its own mission, and is transforming / modernizing their processes to meet needs for more powerful risk insights – It is well understood many of the same data points used in one LOD are in demand by another LOD, but applied differently. The Board also demands more harmonized risk themes to understand how it impacts business objectives and risk appetite. The challenge is to fit into an organizational risk framework which is also transforming while also reducing the cost of risk management and compliance functions.

Hear from our panelists, representing OpRisk, Compliance, Third-party Risk Management, IT Risk and Corporate Risk and Compliance Systems leaders discuss real life progress on their journey, and how each collaborates and applies technology to extract more robust actionable insights in their organizations.

## Moderator



**Richard Reynolds**  
Partner  
PwC

## Panelists



**Julian Fry**  
Managing Director, Head of Operational Risk Oversight – Combined US Operations  
UBS AG



**James Karayanis**  
Chief Compliance Officer  
E\*TRADE Financial Corporation

**Ryan Rodriguez-Wiggins**

Senior Director, Strategic Client Advisor  
MetricStream, Inc.

**11:05am – 11:25am****Networking Break**

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Sponsored by Focal Point Data Risk, LLC

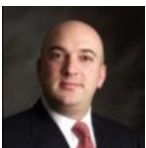
**11:25am – 12:15pm****Modernizing Internal Audit Panel Discussion – People, Process and Technology**

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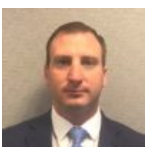
Internal audit functions must evolve and modernize to stay relevant. Innovative internal audit functions must constantly re-evaluate the People, Processes, and Technology being leveraged to anticipate and evaluate risk while adding value to the business. The Modernizing IA Panel will share their successful experiences building and implementing these innovative practices, including workforce development and employee engagement, delivery models, and using automation.

**Learning Objectives:**

- Recognize the need to modernize their Internal Audit functions, and gain an understanding of the benefits of innovation and what it takes to get there
- Understand the changing landscape of the industry and internal audit and what considerations (i.e., training, organizational structure) IA functions will need to acknowledge to strengthen its skill set and increase its impact and influence within the organization
- Challenge existing processes by examining ways to streamline and simplify the IA process to increase efficiency focusing on agility and innovation
- Effectively leverage automation (Robotics/RPA, analytics and AI) tools and technologies throughout the audit lifecycle to reshape internal audit and its impact

**Moderator****Michael Schor**

Partner  
Deloitte

**Panelists****Steve Pollick**

Senior Vice President, Audit Director - Enterprise Risk Management  
Bank of America

**Crystal D. Rilee**

Senior Vice President, Audit Director - Training, Branding & Recognition  
Bank of America

**Kevin Thalinger**

Senior Vice President, Audit Director - Process Innovation  
Bank of America

**12:15pm – 1:15pm****Networking Luncheon**

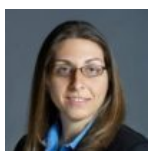
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Sponsored by Protiviti Inc.

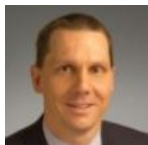
**1:15pm – 2:05pm****Regulatory Panel**

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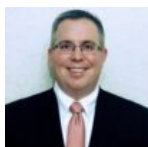
As the regulatory landscape continues to change and compliance programs become more mature within financial institutions, internal audit will need to be able to rapidly adapt to such change and assess the internal control environment within the organization. During this panel session, we will hear from established regulatory leaders from FINRA and the FED on their expectations for internal audit in this rapidly changing environment and what they view as the key and emerging risks for financial institutions that internal audit should focus on over the coming year. They will share their keen insight and draw from their experiences to make this a very informative and interactive session.

**Moderator****Barbi Goldstein**

Managing Director  
Protiviti

**Panelists****Michael Rufino**

Executive Vice President, Head of Member Regulation - Sales Practice  
FINRA

**Dennis Ryan**

National Audit Lead – LISCC Portfolio  
Federal Reserve Bank of New York

**2:05pm – 2:55pm****Breakout Session: How Does IA Make Disruptive Innovation a Friend, not Foe?**

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Key topics include the following:

- Effective and efficient internal audit through approaches such as Agile Internal Audit and the use of subject matter resources
- Effective and efficient internal controls through approaches such as testing reliance and controls transformation/forward looking controls for the organization

## Moderator



**Dan Costa**

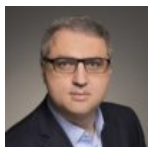
Principal, IT Risk Assurance  
EY

## Panelists



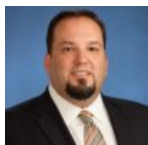
**Michael Gandara**

Chief Auditor - Global Technology  
JPMorgan Chase & Co.



**Edward Kirkorian**

Managing Director, Audit Technology  
BNY Mellon



**Chad Levant**

Co-Head of Americas Technology Audit and Global Director of Audit  
Goldman, Sachs & Co.

### **Breakout Session: The Next Generation of Internal Auditing – Are You Ready? Future-Minded Auditors Discuss What's Next**

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A forward-looking audit function should provide insight, oversight and foresight around an organization's current and future risks and controls. Cutting-edge technologies, data analytics and transformative audit approaches and methodologies enable and accelerate how internal audit functions operate – now and for the future.

Join Protiviti's Managing Director Michael Thor for an interactive panel discussion with audit executives who are shaping the next generation of internal audit in their organizations through:

- Improving assurance by increasing the focus on key risks
- Making processes more efficient through the use of advanced technologies (including robotic process automation)
- Providing more valuable insights on emerging risks

## Moderator



**Michael Thor**  
Managing Director  
Protiviti

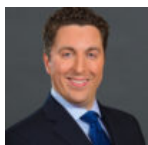
## Panelists



**Michael Bidun**  
Executive Director  
Morgan Stanley



**Arslan Khan**  
Senior Vice President, Head of Analytics  
State Street Corporation



**Vincent R. Pinelli**  
Managing Director, Deputy Chief Audit Executive for Internal Audit for the Americas (IAA)  
MUFG Union Bank, N.A.

**2:55pm – 3:15pm**

**Networking Break**

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**3:15pm – 4:05pm**

**Breakout Session: Operational Risk – Risk Perspective on Conference Focus Topics**

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This interactive roundtable discussion will examine the Risk perspective of some of the focus topics being presented at this year's conference such as Geopolitical Disruption, Blockchain, AI, Robotics and Cyber Threats.

## Moderator



**Richard Aiello**  
Vice President, Operational Risk Management  
E\*TRADE Financial Corporation

## Panelists



**Michael Beasley**  
Director, IT Risk Management  
E\*TRADE Financial Corporation

**P.J. Warwick**



Partner, Risk & Compliance Advisory Services  
CrossCountry Consulting

## **Breakout Session: Cybersecurity, Privacy and Data Protection: Assessing Risk Under GDPR, NYDFS, California Consumer Privacy Act and Other New Regimes**

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This session will provide an overview of cybersecurity and privacy risks to financial services entities under a changing regulatory environment, with a focus on litigation and reputational issues.

### **Speakers**



**Alan R. Friedman**  
Partner  
Kramer Levin



**Samuel B. Shepson**  
Associate  
Kramer Levin

**6:00pm – 9:00pm**

### **Networking Reception & Dinner**

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Nashville Underground delivers an intimate, authentic Nashville experience where you can Drink, Taste, and Hear Nashville. The 40,000-square foot live music venue, restaurant, bar, and event space, owned by brothers Joey DeGraw & Gavin DeGraw, showcases Nashville's world-famous music, cuisine, and spirits.

Sponsored by Deloitte

### **Location**

Nashville Underground, 105 Broadway, Nashville, TN 37201

**Wednesday November 7, 2018**

**8:15am – 8:55am**

### **Networking Breakfast**

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**8:55am – 11:00am**

### **General Session**

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## General Session Audio Visual Sponsored by EY

**8:55am – 9:00am**

### **Conference Chair's Opening Remarks**

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## **Speaker**



**Kristen Gantt**

GRC Leader - Regulatory & OpsRisk Advisory  
Deloitte  
2018 Annual Conference Chair

**9:00am – 10:00am**

### **Current Political Outlook**

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A.B. Stoddard offers a nonpartisan perspective of the political landscape of the day and our nation's upcoming elections. Frequently meeting with sources and politicians of all stripes, Stoddard has her finger on the pulse of Washington, DC, as she offers detailed and smart political and electoral analysis. In a talk as up-to-date as the day's headlines, she covers the five biggest stories in the news, the most up-to-date happenings between Congress and the White House, ongoing budget battles, and the electoral prospects for the two parties.

## **Speaker**



**A.B. Stoddard**

Associate Editor and Columnist  
RealClearPolitics

**10:00am – 11:00am**

### **Cyber Threats within Financial Services and What We Can Do to Protect Ourselves**

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This panel discussion will address emerging and viable cybersecurity threats within financial services and what is needed in addressing such threats. Panelists will review emerging cyber threats impacting financial services, recent publicized events, related control defects and lessons learned. Additional topics considered will include legal aspects, regulatory trends, disclosure requirements and internal interactions with the board of directors and the audit committee. Lastly, audit and risk management practices will also be included as part of the dialog.

## **Moderator**

**Annemarie Giblin, Esq.**





Senior Counsel - Cyber Liability Attorney, Global Legal  
Chubb

## Panelists



**Maria Filipakis**  
President  
Filipakis Consulting LLC



**Jeff Lunglhofer**  
Managing Director, CISO  
BNY Mellon



**Dr. Phyllis A. Schneck**  
Managing Director and Global Leader of Cyber Solutions  
Promontory, an IBM Company

**11:00am – 11:10am**

**Networking Break**

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**11:10am – 12:00pm**

**Audit Roundtable**

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This roundtable discussion will focus on hot topics faced by Internal Auditors and their departments. Topics to be discussed will consider for example: managing risk in a disruptive environment; use of analytics/AI and robotics; the relationship with other control functions (second line of defense); managing regulatory expectations; and staff development. This will be an interactive session led by experienced internal auditors from leading Financial Services Industry Firms with the participants encouraged to bring additional topics with them for discussion and to provide their perspective on the topics discussed.

## Moderators



**Martin Breheny**  
Managing Director, Internal Audit  
Guggenheim Partners, LLC



**Mitch Mantua**  
Executive Vice President, CAE Internal Audit  
Charles Schwab & Co.

**IT Audit and IT Risk Management Roundtable**

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Current challenges within IT Audit and IT Risk Management will be discussed, along with how the SLOD and TLOD engage and coordinate with each other.

## Moderators



**Michael Beasley**

Director, IT Risk Management  
E\*TRADE Financial Corporation



**Kevin Li**

Principal, Head of IT Audit  
Apollo Global Management, LLC

## Private Equity Roundtable

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- Risk Management Framework
- Regulatory forces and impact to audit practices
- Technology within the Private Equity audit service model

## Moderators



**Daniel Mutzig**

Managing Director and Chief Audit Executive  
The Carlyle Group



**Brian Wieber**

Chief Audit Executive, Internal Audit  
Kohlberg Kravis Roberts & Co. L.P.



### Eligible for up to 14 CPE Credits

Participants will learn the challenges of managing risk in a disruptive environment and share perspectives on how firms are addressing them.

### Fields of Study:

5 credits IT– Technical

3 credits Audit– Technical

6 credits Management Services (Risk)

**Program Level:** Intermediate

**Delivery Method:** Group Live

**Advance Preparation:** None

*For more information regarding refund, complaint, and/or program cancellation policies, please contact SIFMA at [egrimm@sifma.org](mailto:egrimm@sifma.org).*

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