

IAS 2017 ANNUAL CONFERENCE

THE EVOLVING ROLE OF INTERNAL AUDIT IN
A RAPIDLY CHANGING ENVIRONMENT

NOVEMBER 5-8, 2017 | WESTIN | FORT LAUDERDALE, FL

PROGRAM

Sunday
November 5, 2017

Monday
November 6, 2017

Tuesday
November 7, 2017

Wednesday
November 8, 2017

6:30PM - 8:00PM

Registration Desk Hours

Welcome Reception

Sunday
November 5, 2017

Monday
November 6, 2017

Tuesday
November 7, 2017

Wednesday
November 8, 2017

8:00AM - 9:00AM

—

Registration & Continental Breakfast

Sponsored by [Michael Page](#)

9:00AM - 9:05AM

+

President's Opening Remarks

PARTICIPANTS
Dan Ravetier

9:05AM - 9:10AM

+

Conference Chair's Opening Remarks

PARTICIPANTS
Stacey Mendoza

9:10AM - 10:00AM

+

Keynote Speaker: Lessons from the Intersection of Technology and Sports

PARTICIPANTS
Shane Battier

10:00AM - 10:50AM

+

Millennial Perspective: Insight into the Future of the Industry

This panel of Future Leaders from top Financial Services Firms will discuss, among other topics, a millennial perspective on the industry; talent development; recruitment; and culture. The attendees will receive...

PARTICIPANTS
Paul Jensen, Maya Barrow, Madelaine DeLuca, Bayzid Omam

10:50AM - 11:10AM

+

Networking Break

Sponsored by [CrossCountry Consulting](#)

11:10AM – 12:00PM		
+	Breakout Session: No Glass Ceilings Here, Thank You! This session will be a panel discussion where leaders in internal audit and risk at financial institutions will share their personal stories and experiences as well as address questions from...	PARTICIPANTS Stacey Mendoza, Suzanne Cosper, Erin Dunlap, Lisa Hershey
+	Breakout Session: Emerging Themes from the Recent Regulatory Exam Cycle This session will discuss themes and areas of focus from the recent regulatory examinations conducted by the various supervisors within the financial services industry. The discussion will focus on regulatory...	PARTICIPANTS Paul Jensen, Brian Portman
12:05PM – 12:55PM		
+	Anti-Money Laundering This AML presentation will discuss current and important topics prominent within AML and Financial Crimes. Topics will include coverage in areas such as emerging risks, compliance issues, surveillance challenges and...	PARTICIPANTS Michael Rufino
1:00PM – 2:15PM		
+	Networking Lunch Sponsored by KPMG LLP	
2:15PM – 3:05PM		
+	Breakout Session: RCSA – Bringing Risk and Internal Audit Together This session, RCSA – Bringing Risk and Internal Audit, together will provide participating Risk and Internal Audit professionals a cross discipline look at the challenges faced when evaluating risk with...	PARTICIPANTS Peter M. Brady, Richard Aiello, Lydia Miceli, Nicola Short, Patrick Simonnet
+	Breakout Session: Internal Audit Preparedness for MiFID This session discusses IA's role in preparing for and designing a program for independently assessing compliance with MiFID II requirements. In particular, participants will learn from Internal Audit panelists on...	PARTICIPANTS Jaren Mull
3:05PM – 3:25PM		
+	Networking Break Sponsored by Grant Thornton LLP	
3:25PM – 4:15PM		
+	Regulatory Panel As the regulatory landscape changes under the new administration and compliance programs become more mature within financial institutions, internal audit will need to be as vigilant as ever to assess...	PARTICIPANTS Daniel T. McIsaac, Carlo V. di Florio, John C. Mattimore, Sheila McKinney
5:30PM – 7:00PM		
+	Networking Reception Sponsored by PwC	

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8:00AM – 9:00AM	
—	Continental Breakfast Sponsored by Michael Page

9:00AM – 9:05AM		
+	Conference Chair’s Opening Remarks	PARTICIPANTS Bruce Goldberg
9:05AM – 2:30PM		
	General Session	
9:05AM – 10:05AM		
+	The Investigator of the Wolf of Wall Street This presentation will take you inside the actual FBI investigation of Jordan Belfort, the infamous “Wolf of Wall Street.” You’ll hear intimate details of Belfort’s rise to prominence and how...	PARTICIPANTS Gregory Coleman
10:05AM – 11:05AM		
+	Risk Culture – How Far Have We Come? A panel of senior practitioners from across the financial services industry will share their experiences on how they have evolved risk culture assessment and reporting practices within their organizations. The...	PARTICIPANTS Rehana Anait, Deb Anderson, Nancy Harrington Jones, Winston Maharaj
11:05AM – 11:25AM		
	Networking Break	
11:25AM – 12:15PM		
+	Innovation and Emerging Audit Techniques This panel will discuss those innovative techniques that internal audit functions are deploying as the expectations and requirements of their institutions and the industry evolve. Industry leaders will discuss what...	PARTICIPANTS Phil Andriyevsky, Erika Ray, Anthony Venezia
12:15PM – 1:15PM		
+	Networking Lunch Sponsored by Protiviti Inc.	
1:15PM – 2:30PM		
+	CAE Panel 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 Governance. This will include...	PARTICIPANTS Sandy Pundmann, Daniel J. Johnson, Steven LaBarbera, Mary McNiff, Daniel Mutzig
2:30PM – 3:20PM		
+	Breakout Session: Regulatory Compliance Oversight This session discusses IA’s role in independently assessing the design and execution of key controls related to regulatory compliance oversight, including monitoring trends and changes in regulations, developing and implementing...	PARTICIPANTS Stacey A. Guardino, Erwin Shilling
+	Breakout Session: Insights into Audit Issues, Emerging Risks, Trends and Challenges in the Financial Services Industry The audit executive in the financial services realm have many challenges as well as opportunities that shape the new risk landscape. Today’s discussion with distinguished financial services audit leaders will...	PARTICIPANTS Rick Magliozzi, Hania Abrous-McCarthy, Adam Losner, Jack McNamara
3:20PM – 3:50PM		
+	Networking Break Sponsored by ACA Compliance Group	

3:50PM – 4:40PM		
+	Breakout Session: Shining a Light on Taboo Topics This session will focus on topics that can generate anxiety when they appear on an audit plan or on a discussion agenda. Internal Audit departments serve many stakeholders, including senior...	PARTICIPANTS Erwin Shilling, Jim Spangler
+	Breakout Session: FINRA Annual Certification of Compliance and Supervisory Processes – Collaborating with Internal Audit FINRA rules 3120 and 3130 require annual testing of supervisory processes, and certification by the CEO that the supervisory system is reasonably designed and implemented. The certification is supported by...	PARTICIPANTS Steven P. Goldberg, Andrew Sorgan
6:30PM – 9:00PM		
+	Reception & Dinner Sponsored by Deloitte & Touche LLP	
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8:15AM – 8:55AM		
	Continental Breakfast	
8:55AM – 11:00AM		
	General Session	
8:55AM – 9:00AM		
+	Conference Chair’s Opening Remarks	PARTICIPANTS Maya Barrow
9:00AM – 10:00AM		
+	Operational Risk Keynote Presentation An Enterprise Wide View including Third Party Oversight and IT/Cybersecurity implications.	PARTICIPANTS Lisa E. Peternel
10:00AM – 11:00AM		
+	Emerging Cybersecurity Threats within Financial Services 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,...	PARTICIPANTS N. MacDonnell Ulsch, Ryan Crum, James P. O’Shea, Steven Silberstein, Keith Wojcieszek
11:10AM – 12:00PM		
+	IT Audit Roundtable The IT Audit Roundtable breakout session will focus on the future role of IT Audit as new risks emerge from changing technology, internet growth and social media popularity. The session...	PARTICIPANTS Steven Jacovetti, Kevin Li, Tim Ryan
+	CAE Roundtable This roundtable discussion will focus on hot topics faced by Chief Audit Executives (“CAE’s”) and their departments. Topics to be covered include: The use of analytics; integrated auditing; the relationship...	PARTICIPANTS Daniel J. Johnson, Dan Ravetier
+	Private Equity Roundtable This session will be an interactive roundtable discussion focused on hot topics private equity firms are facing in the industry today. Private equity firms and their portfolio companies are confronted...	PARTICIPANTS Regina Piscazzi, Martin Breheny
12:00PM – 12:00PM		
	Conference Adjourns	