



## PLATINUM

### General Session Audio Visual

Sponsored by



#### **EY is a leader in serving the financial services industry**

We understand the importance of asking great questions. It's how you innovate, transform and achieve a better working world. One that benefits our clients, our people and our communities. Finance fuels our lives. No other sector can touch so many people or shape so many futures. That's why globally we employ 26,000 people who focus on financial services and nothing else. Our connected financial services teams are dedicated to providing assurance, tax, transaction and advisory services to the banking and capital markets, insurance, and wealth and asset management sectors. It's our global connectivity and local knowledge that ensures we deliver the insights and quality services to help build trust and confidence in the capital markets and in economies the world over. By connecting people with the right mix of knowledge and insight, we are able to ask great questions. The better the question. The better the answer. The better the world works.

Contact: *Derrick Steele, Partner, Financial Services, EY, / [derrick.steele@ey.com](mailto:derrick.steele@ey.com) / 212-773-4753*

Learn more about [EY](#) (PDF)

### Networking Lunch

Sponsored by



KPMG provides audit, tax and advisory services and industry insight to help organizations negotiate risks and perform in today's dynamic and challenging environments. KPMG's advisory risk consulting professionals help organizations transform risk into enduring competitive advantage while navigating their most complex business issues. Our people offer deep knowledge and insightful opinions to help you enhance risk and create value in a dynamic environment in which outcomes must be managed strategically and with agility. KPMG's client focus, commitment to excellence, global mind-set, and consistent delivery build trusted relationships that are at the core of our business and reputation.

Contact: *Theodore J. Scallon, Partner, Advisory / [tscallon@kpmg.com](mailto:tscallon@kpmg.com) / 212-954-7059*

Learn more about [KPMG](#) (PDF)



## Attendee WiFi & Networking Breakfast

*Sponsored by*

# MetricStream

MetricStream is the independent market leader in enterprise cloud applications for governance, risk, compliance (GRC), and quality management. MetricStream apps and software solutions improve business performance by strengthening risk management, corporate governance, regulatory compliance, audit management, vendor governance, and quality management for organizations across industries, including banking and financial services, health care, life sciences, energy and utilities, consumer brands, government, technology, and manufacturing.

MetricStream's mission is to enable each customer to "Perform with Integrity™". Through our GRC platform, and services, we help enterprises drive exceptional business performance in a way that is aligned with their core values and mission.

MetricStream is headquartered in Palo Alto, California, with operations and GRC innovation center in Bengaluru, India, and sales and operations support in 12 other cities globally. ([www.metricstream.com](http://www.metricstream.com)).

## Networking Lunch

*Sponsored by*

# protiviti®

*Face the Future with Confidence*

Protiviti is a global consulting firm that helps companies solve problems in finance, technology, operations, governance, risk and internal audit. Through our network of more than 75 offices in over 27 countries, we have served more than 60 percent of FORTUNE 1000® and 35 percent of FORTUNE Global 500® companies. We also work with smaller, growing companies, including those looking to go public, as well as with government agencies.

Ranked 47 on the 2019 Fortune 100 Best Companies to Work For® list, Protiviti is a wholly owned subsidiary of Robert Half (NYSE: RHI). Founded in 1948, Robert Half is a member of the S&P 500 index.

*Contact: Michael Thor, Managing Director, North American Leader, Internal Audit and Financial Services Industry / 317-510-4685 / [Michael.thor@protiviti.com](mailto:Michael.thor@protiviti.com) / [www.protiviti.com](http://www.protiviti.com)*

Learn more about [Protiviti](#) (PDF)



## GOLD

### Cell Phone Re-Charge Zone

*Sponsored by*



ACA Compliance Group (ACA) is a leading provider of governance, risk, and compliance advisory services and technology solutions. We partner with our clients to help them mitigate the regulatory, operational, and reputational risks associated with their business functions. Our clients include leading investment advisers, private fund managers, commodity trading advisors, investment companies, broker-dealers, and domestic and international banks. ACA is based in New York City and has offices in London, Hong Kong, Malta, and other U.S. cities.

Contact: Roy Kim, Director, Banking Asset Manager, 1370 Broadway, New York, NY 10003  
[Rkim@acacompliancegroup.com](mailto:Rkim@acacompliancegroup.com) / <https://www.acacompliancegroup.com/>

Learn more about [ACA Compliance Group](#) (PDF)

### Networking Breakfast

*Sponsored by*



#### **Deloitte Risk and Financial Advisory Services - Lead. Navigate. Disrupt.**

Our Risk and Financial Advisory services professionals help organizations and internal audit functions effectively navigate business risks and opportunities—from strategic, reputation, and financial risks to operational, cyber, and regulatory risks—to gain competitive advantage. We apply our experience in ongoing business operations and corporate lifecycle events to help clients become stronger and more resilient. Our market-leading teams help clients embrace complexity to accelerate performance, disrupt through innovation, and lead in their industries.

Deloitte's internal audit team helps clients enhance the effectiveness, quality, and value received from their internal audit functions. We assist in process efficiency, fraud detection, operational quality, internal control, and regulatory compliance, and we help IA functions improve their performance and operating efficiency to bring greater value to their organizations.

Through modernization strategies, assessments and innovation (analytics; agile; robotics; automation; artificial intelligence; and other modernization initiatives) we advise on critical business issues and help clients anticipate risk.

Contact: Bruce K. Goldberg, Managing Director, Deloitte & Touche LLP, 30 Rockefeller Plaza, New York, NY 10112-0015 / [bkgoldberg@deloitte.com](mailto:bkgoldberg@deloitte.com) / 212.436.4567 office / 917.825.0750 mobile



## Hotel Room Key Cards

*Sponsored by*



For more than 160 years, PwC has been committed to one goal – helping our clients thrive. With more than 236,000 employees and offices in 158 countries, we help global organizations and individuals alike create value in the world by delivering quality advisory, audit, assurance, and tax services.

At PwC, we know that to succeed in a complex and rapidly changing environment, you need a nimble strategy and the right tools and technologies. We understand how to prepare for the unexpected and help our clients effectively and efficiently manage new regulatory challenges and risks when they emerge.

Our team of experienced consultants, former industry executives and senior regulators are innovative leaders with the insight, industry experience and regulatory knowledge to help your organization accelerate growth and sustain advantage in the marketplace.

Learn more about [PwC](#) (PDF)

---

## SILVER

---



Accume Partners is a trusted advisor that serves clients by delivering integrated Risk & Regulatory, Internal Audit, and Cybersecurity & Privacy solutions to help manage uncertainty and drive business value. Our fundamental goal is to contribute to our clients' successes. As a valued partner, we focus on the following:

- We help our clients protect their organizations against external threats.
- We help our clients to limit, detect and respond effectively to cybersecurity incidents.
- We help our clients comply with challenging and changing regulatory standards.
- We help our clients stay ahead of the curve and add value to their businesses.
- We help our clients avoid and correct regulatory issues.
- We offer our clients advice and direction on control remediation.
- We provide skilled resources to our clients through staff augmentation.

Learn more about [Accume Partners](#) (PDF)



## **Morning Networking Refreshment Break**

*Sponsored by*



CrossCountry Consulting is a trusted business advisory firm that provides customized finance, accounting, human capital management, risk, operations and technology consulting services to leading organizations facing complex change. We partner with our clients to help them navigate pressing business challenges and achieve goals related to improving operations, minimizing risks and enabling future growth.

*Contact: Nav Makol, CFA, FRM, Partner, Financial Services, CrossCountry Consulting, 1600 Tysons Blvd., Suite 1100, McLean, VA 22102 / 646-591-3031 / [nmakol@CrossCountry-Consulting.com](mailto:nmakol@CrossCountry-Consulting.com) / [www.crosscountry-consulting.com](http://www.crosscountry-consulting.com)*

Learn more about [CrossCountry Consulting](#) (PDF)

## **Pocket Guide & eGuide**

*Sponsored by*



Indelible Solutions is a Florida-based consulting firm specializing in governance, risk, and compliance advisory services. Our team consists of a diverse group of professionals who possess many years of public and private sector industry knowledge and experience. These professionals form the basis of our value proposition: we improve client performance through the strategic selection of engagement teams that present the greatest alignment with our client's cultural backgrounds and technical needs. In addition, Indelible has developed proprietary tools, processes, and other scalable resources to apply a standardized approach to assess risk and make recommendation that allow our clients to realize their intrinsic value. Our independent assessments of existing processes, systems, and control environments have resulted in the discovery and/or implementation of process improvements, enhanced risk and control methodologies, and management corrective actions. Indelible is a certified minority-owned business registered with the State of Florida's Office of Supplier Diversity.

Learn more about [Indelible Solutions](#) (PDF)



## **Fruit Infused Hydration Stations**

*Sponsored by*

**Michael Page**  
Professional Recruitment Specialists

Michael Page's Internal and Technology Audit team is a specialized division focused on recruiting the very best professionals for your organization. The world's top companies rely on Michael Page for their specialized Internal and Technology Audit needs. Michael Page recruits Internal Audit Professionals across all levels and provides solutions on a permanent or interim basis. Our service also includes recommendations on recruitment trends and challenges as well as information on human capital budgets and expected salary rates. The quality of our service is demonstrated by the fact that over 90% of our business comes from referrals and repeat clients.

Michael Page is one of the world's leading professional recruitment consultancies specializing in permanent, temporary and contract positions. Established in 1976, Michael Page is listed on the London Stock Exchange and employs over 5,500 employees in 154 offices globally. Michael Page has been voted the top executive recruitment firm in New York for the last 5 years.

Carly Kirschner, Associate Director / 212-672-6928 / [CKirschner@michaelpage.us.com](mailto:CKirschner@michaelpage.us.com)  
[www.MichaelPage.com](http://www.MichaelPage.com)

Learn more about [Michael Page](#) (PDF)

## **Attendee Badge Lanyard**

*Sponsored by*



RSM's purpose is to deliver the power of being understood to our clients, colleagues and communities through world-class audit, tax and consulting services focused on middle market businesses. The clients we serve are the engine of global commerce and economic growth, and we are focused on developing leading professionals and services to meet their evolving needs in today's ever-changing business environment.

RSM US LLP is the U.S. member of RSM International, a global network of independent, audit, tax and consulting firms with more than 41,000 people in over 116 countries. For more information, visit [rsmus.com](http://rsmus.com).

Contact: Howard Shain, Senior Director, Risk Advisory Services / [howard.shain@rsmus.com](mailto:howard.shain@rsmus.com) / 212-372-1937  
[rsmus.com](http://rsmus.com)



---

## CONTRIBUTOR

---



AuditBoard is the leading cloud-based platform transforming the way enterprises automate, collaborate and report in real-time on critical risk, audit, and compliance workflows. AuditBoard offers a full suite of easy-to-use audit management and compliance solutions for SOX, controls management, internal audit projects, and workflow management. AuditBoard's clients include industry-leading pre-IPO to Fortune 50 companies looking to streamline their accounting and audit functions. For more information: [www.auditboard.com](http://www.auditboard.com).

Contact: Angela Tanamachi, Sr. Events Manager, [atanamachi@auditboard.com](mailto:atanamachi@auditboard.com) / 877-769-5444 x725  
[www.auditboard.com](http://www.auditboard.com)

Learn more about [AuditBoard](#) (PDF)



The Bates Compliance team of experienced industry professionals, senior compliance staff and former regulators brings tailored consulting services and solutions to broker-dealer, registered investment adviser, and hybrid firms on an as-needed or ongoing basis. Our seasoned industry professionals and 165-plus subject matter experts support your internal audits by preparing and closely reviewing and testing the design and effectiveness of policies and procedures, supervisory and compliance processes, and the related practices involved in operating your business. We recommend changes and industry standards to supplement and enhance your compliance and supervisory systems, and remediate the results of regulatory, litigation, and internal audit findings and decisions.

Bates Compliance also works with firms to address supervision, risk, AML, internal audit functions, Reg BI implementation, regulatory changes, conflicts of interest, risk assessments, WSPs, annual compliance reviews, mock exams, and regulatory remediation.

Contact: Robert Lavigne, Managing Director, Bates Compliance / [rlavigne@batesgroup.com](mailto:rlavigne@batesgroup.com)

Contact: David Birnbaum, Managing Director / [dbirnbaum@batesgroup.com](mailto:dbirnbaum@batesgroup.com)

Learn more about [Bates Group](#) (PDF)



## SIAPARTNERS

Sia Partners is a leading global strategic and operational management consultancy and a pioneer of Consulting 4.0 with over 1,300 consultants across 23 offices globally. Sia Partners operates within twelve industry sectors, including: Financial Services, Insurance, Energy, Healthcare, Government, Manufacturing and Telecommunications & Media, among others. Our innovative approach has led us to welcome disruption through unique channels and automation tools such as AI, RPA and NLP. As a result, we continue to adapt to the market needs by investing deeper into our transformation strategies, especially our Data Science and automation capabilities. Sia Partners US is the coordinating entity for the Americas engaged primarily by major Financial Services, Technology and Energy clients operating in New York, Charlotte, San Francisco, Chicago, Boston, Houston, Seattle, Baltimore, Toronto and Montreal, Canada. Sia Partners champions high-quality customized client service through its experienced consultants and subject matter experts playing hands-on roles. Our range of services includes a specialty in long-term Strategic and short-term Tactical Advisory, Project Management, Automation through AI, RPA, et al, Regulatory & Compliance, Energy, Finance, Accounting, Operational & Market Risk Management and Governance & Control Environments.

*Contact: Christopher Pearson, Associate Partner, Sia Partners, 40 Rector Street, Suite 1111, New York, NY 10006 | 917.969.8457 | [christopher.pearson@sia-partners.com](mailto:christopher.pearson@sia-partners.com) | [www.sia-partners.com](http://www.sia-partners.com)*

Learn more about [Sia Partners](#) (PDF)