Monday | September 27, 2021                                                    9:00 – 10:00 a.m. EDT

Opening Keynote: Ask for Better

Robert Berry, CIA, CPA, CISA, CCEP
President and Chief Executive Officer
That Audit Guy

Session Description Coming Soon!

Robert Berry is the president of That Audit Guy, a consulting and training company. He helps improve people, who in turn improve processes, which improves profits. An international speaker, corporate trainer, and writer, he specializes in active listening, asking questions, making remote work more efficient, and better business writing. Berry is the author of three books, including Creating Wonderful Workpapers and Ask Better Questions, Get Better Answers, Perform Better Audits, along with 100+ articles on audit and life.

Monday | September 27, 2021                                                  10:30 – 11:30 a.m. EDT

CS 1-1: ESG Through The Risk Resiliency Lens – A Panel Discussion

Angela Jhanji
ESG Strategy Director
Grant Thornton

With ESG topics and interest gaining momentum over the past year, organizations are increasingly thinking through ESG as a matter of risk resilience. Baking ESG risk into the way organizations plan for the future is quickly becoming the normal operating procedure as markets navigate topics such as climate and diversity. Whether through creating stewardship policies, thinking about it from a third-line and internal audit function’s perspective or from the viewpoint of consumer interaction, reimagining your organization through the lens of ESG is imperative.

In this session, participants will:
- Hear how organizations are reimagining themselves through the lens of ESG.
- Describe an overview of the ESG landscape.
- Evaluate who is responsible for ESG risk.
- Identify trends and discuss best practices.
Angela Jhanji is a Director in Grant Thornton’s Sustainability and ESG practice. As a member of the firm’s Sustainability leadership team, she focuses on ESG strategy and provides performance and sustainability solutions to dynamic organizations ranging from the middle-market to the Fortune 500. Jhanji has served the financial services, private equity, healthcare, and consumer products industries for 15+ years. Passionate about partnering with clients to leverage ESG to drive transformative growth, she has worked to advance the sustainability agendas of numerous organizations, including the World Economic Forum, World Bank, and United Nations. Jhanji is skilled in creating inclusive environments as well as translating data into meaningful transformation plans and insights.

CS 1-2: Adding Value to Strategic Projects through Agile Auditing

Chester Yue, CIA, CISSP, PMP, CISA
Regional Head of Internal Audit, Asia Pacific
Reinsurance Group of America

Strategic projects are important but risky. The success rate is very low. Board and senior management expect internal audit to do more in this area. The ever-changing nature of strategic projects requires us to change the traditional way to audit and innovate. We can help by focusing on the top strategic and project management risks. By adapting an Agile mindset and framework, we can be more adaptable, customer-oriented, and efficient.

In this session, participants will:
- Articulate the top risks associated with strategic projects.
- Describe the principles and benefits of an Agile mindset and framework.
- Develop ideas for applying Agile concepts and framework to provide continuous and customized assurance over strategic projects.

Chester Yue is a transformational and innovative internal audit leader with 17 years of progressive and diverse Fortune 50 and public accounting audit experience across business functions, regions, and cultures. With a proven ability to establish and transform audit and control functions in changing business and regulatory environments globally, Yue has built a consistent track record of delivering strategic and value-added audit and advisory support to senior management through strong partnership, business acumen, and critical thinking. He is steadfastly focused on building high-performance teams through a culture of trust, candor, inclusion, ownership, proactivity, and innovation.
2021 FINANCIAL SERVICES EXCHANGE
Sept. 27–28, 2021
Washington, DC & Virtual

CS 1-3: Session Information Coming Soon!

Session Description Coming Soon!

Speaker Information Coming Soon!

Monday | September 27, 2021 12:30 p.m. – 1:30 p.m. EDT

General Session 2: CAE Panel

Kevin Ryan
Chief Risk Review Officer and General Auditor
KeyBank

Session Description Coming Soon!

Speaker Information Coming Soon!

Monday | September 27, 2021 1:45 p.m. – 2:45 p.m. EDT

CS 2-1: How to Protect Your Organization From Ransomware and Intrusion Attacks

Barb Bergmeier, CIA, CFSA, CRMA, CISA, CRISC, CPA
Enterprise Risk Consultant
EY Ernst & Young

Session Description Coming Soon!

Barb Bergmeier is a seasoned risk management consultant with 25+ years of internal audit and IT audit experience in financial services. She has held the roles of CAE, CCO, and CRO for large bank and financial services organizations and worked directly with insurance and banking regulators. While in a consulting role for EY over the past five years, Bergmeier has led forensic reviews and development of fraud analytics at numerous financial service organizations, including FinTechs and InsurTechs. She has served in governance roles for The IIA at both the national and local chapter levels and has been a speaker at several local and national events.
CS 2-2: Five Critical Elements of Quality Questions

Robert Berry, CIA, CPA, CISA, CCEP
President and Chief Executive Officer
That Audit Guy

Session Description Coming Soon!

Robert Berry is the president of That Audit Guy, a consulting and training company. He helps improve people, who in turn improve processes, which improves profits. An international speaker, corporate trainer, and writer, he specializes in active listening, asking questions, making remote work more efficient, and better business writing. Berry is the author of three books, including Creating Wonderful Workpapers and Ask Better Questions, Get Better Answers, Perform Better Audits, along with 100+ articles on audit and life.

CS 2-3: Transformational Leadership - Leading with Vision and Resilience

Angela Mahan
Chief Audit Director
Wells Fargo

Leaders from a top financial services organization will host a panel discussion outlining the internal audit function’s transformation, with a focus on people, processes, systems, and culture. The group will provide insights, strategies, and lessons learned on the journey, as well as share how diversity, equity, and inclusion practices played a critical role in advancing the transformation.

In this session, participants will:

- Understand how to set strategy and vision with actions.
- Gain insights into inspiring and motivating their team through confidence and optimism about the strategy.
- Learn how to adapt to change and pivot.
- Examine ways to realize and sustain winning outcomes.
Angela Mahan has 25 years of experience in financial services. As Executive Vice President, Chief Audit Director at Wells Fargo, she is responsible for leading a team of 130+ team members providing support for all of audit. Her teams include Strategy and Practices (covering methodology, policy, and plan management), Operations and Team Member Support (covering all front-line operations, including resource management, technology support, and team member engagement), and Innovation (covering data techniques and solutions for automating and innovating audit processes). Previously, she held executive leadership roles in audit functions at Bank of America and Capital One.

Monday | September 27, 2021 3:15 p.m. – 4:15 p.m. EDT

CS 3-1: Blockchain Technology: Audit & Risk Considerations

Courtney Wilgucki (Stehlin), CIA, CFE, CISA, ITIL, AWS Cloud Practitioner
Senior Manager
Vanguard

Blockchain is projected to continue its climb into prominence, adoption, and overall usage through 2021 and beyond. No longer solely relegated to conversations surrounding cryptocurrencies like Bitcoin, understanding blockchain’s impact on enterprise risk and control environments as adoption steadily increases is imperative. This presentation breaks down blockchain into more basic concepts and provides guidance and considerations to help better explain this emerging technology, associated risks, and impact on the audit function.

In this session, participants will:

• Understand blockchain technology and how it works.
• Describe the benefits and challenges of blockchain technology.
• Illustrate real-world use cases of blockchain in the financial services industry.
• Communicate key risk and mitigation considerations.

Courtney Wilgucki (Stehlin) started her auditing career in Ernst & Young’s assurance and advisory practice. Moving into internal audit at Sungard Data Systems, she focused on the financial and business operations audit team for domestic and international business units. Upon taking a corporate compliance role with Aramark, Wilgucki assisted in managing enterprisewide compliance initiatives and priorities and liaised with internal audit to implement an enterprisewide SOX program after the organization went public. Then, as consulting manager for Behunin & Associates, P.C., she focused on IT audit and advisory work, including cybersecurity. Currently, as an Internal Audit Senior Manager on Vanguard’s Business Systems and Technology team, Wilgucki manages the IT portion of integrated audits across the department.
CS 3-2: Session Information Coming Soon!

Session Description Coming Soon!

Speaker Information Coming Soon!

CS 3-3: Selecting and Developing Internal Audit Talent

Bradley Carroll, CIA, QIAL, CFSA, CRMA, CPA, CFF
Principal
Frazier & Deeter, CPAs & Advisors

Michael Fitzgerald
President
Fitzgerald MSI

This interview-style presentation will look at attributes needed for internal audit and how to recognize and develop that talent. Critical thinking, communication, micro aggressions, unconscious bias, certifications, business acumen, team building, self-assessment, training, and other topics will be discussed. In addition, different personality profile methods will be looked at to determine what a “good” profile may predict as being a fit for internal auditing (Talent Quest, HBDI, Hogan Business Reasoning, Myers-Briggs).

In this session, participants will:
- Establish characteristics/talents for internal audit selection.
- Assess talent profile indicators.
- Understand various traits and how to acknowledge the role they play in talent management.
- Get tips for developing staff individually to gain peak group performance.

Bradley Carroll began his career in internal audit with a $1 billion community bank. He served as AVP in internal audit at $72 billion Wachovia Bank and CAE at $5 billion State Bank, where he started the internal audit department. Carroll was also an internal auditor at Carter’s and spent 15 years in public accounting. He is currently a Principal in the Process, Risk, and Governance Department with Frazier & Deeter, CPAs as their Financial Services Practice Leader. He has served for several years on The IIA’s Financial Services Advisory Board and speaks frequently at local, national, and international IIA events on a wide variety of topics.
CS 4-1: Preparing Your Audit Program to Address Enhanced AML Standards

Edwige Sacco  
Principal, Financial Crimes  
KPMG, LLP

The National Defense Authorization Act for Fiscal Year 2021 (NDAA) was passed by Congress on January 1, 2021 to address various defense and national security matters, including what some describe as the most substantial and sweeping legislative reforms to US AML/CFT laws since the USA Patriot Act of 2001. This presentation will discuss provisions of the NDAA and Anti-Money Laundering Act of 2020 (AMLA) impacting internal audit coverage of financial crimes compliance and how internal audit should prepare to address new standards around beneficial ownership and technology testing.

In this session, participants will:
- Understand what internal audit needs to know about the NDAA and AMLA.
- Examine eew beneficial ownership reporting requirements and how they impact audits and FinCEN’s proposed rulemaking.
- Learn simple checks for making sure their audit coverage contemplates enhanced standards for testing FinCrimes technology.
Edwige Sacco is an Advisory Partner in KPMG’s Forensic Practice with 17 years of experience providing financial crimes compliance and internal audit services to global financial institutions. In this role, she works closely with senior management in areas such as financial crimes transformation and optimization, governance, risk and compliance, internal controls, issue remediation, and enterprise risk management across all three lines of defense. Edwige currently serves as the Financial Services Lead for Forensic nationally and leads KPMG’s Forensic network in Boston, MA. Previously, she worked in the Embassy Banking Division of Riggs Bank in Washington, DC.

CS 4-2: Adapting Agile Audit to your Small Audit Shop

Elizabeth McDowell, CPA
AVP Internal Audit
Elevations Credit Union

Adam Russell
Senior Internal Auditor
Elevations Credit Union

Brittany McKinley
Senior Internal Auditor
Elevations Credit Union

Can agile auditing be successfully implemented in a small internal audit shop? Absolutely! In this session, you will hear how a credit union’s four-person internal audit team adapted agile, including what worked well and what wasn’t as successful. Understand where they started as a brand-new team and how they successfully built the department into a lean, agile team. Learn about collaboration best practices, innovative reporting, and agile do’s and don’t’s.

In this session, participants will:

- Hear effective strategies for starting the transition to agile audit for a small audit function.
- Understand how to use agile to more effectively manage their audit engagements.
- Learn ways to increase collaboration and trust with key stakeholders in a small organization.
- Assess key agile artifacts for effective audit reporting.

Elizabeth McDowell leads the internal audit group at Elevations Credit Union in Broomfield, CO. She has 15+ years of audit experience and has worked in internal audit at Fidelity Investments and Xcel Energy, as well as external audit at Ernst & Young.
CS 5-1: COVID, Culture, Compliance

Jude Viator, CIA, CISA, CRISC
Associate Director
P&N

As COVID-19 forced modified plans to provide internal audit services in 2020, technology, communication, and audit tools had to be leveraged. Through effective communication, detailed inspection of system records, and an understanding of compliance and organizational requirements, the observation of a strange field entry in one specific audit uncovered a culture and compliance issue that led to employee terminations and removal of a BOD member.

In this session, participants will:
- Briefly outline the lessons learned and opportunities gained through use of technology and remote auditing.
- Describe the factors and components of the internal audit testing observation and unraveling of culture and compliance issues for a credit union.
- Discuss the value of trusted advisor relationships and effective communication skills.
- Hear an amazing story that evolved into considering international relationships, abuse of position(s), and a number of compliance violations and organizational failures.

Jude Viator has been providing co-sourced and outsourced internal audit services for 14 years as a member of P&N’s Control & Risk team. He has extensive experience conducting and managing internal controls based projects, IT and information systems security assessments, and operational and compliance internal audits, particularly for banks and credit unions in the financial institution industry. In addition, he has extensive experience conducting and managing SOC 1 and SOC 2 examinations. Viator currently serves as a liaison between The IIA and chapters in the South and West regions, as a District Advisor, and as a member of the Chapter Relations Committee.
CS 5-2: It's Not What You Think, It's How You Think

Chris Wiseman, CPA, CISA, CRISC
SVP & Deputy Chief Auditor
TIAA

Critical thinking has been a top auditor skill throughout history, but what does it really mean and how is it developed and used in the digital age? Humans are the only species to be both logical and illogical. Critical thinking is the art of harnessing these contradictory abilities to evaluate the world around us. Cultivating critical thinking is essential to an auditor’s success in an age where the volume and nature of data about our world is exploding.

In this session, participants will:

- Describe what we mean and want when hiring or developing critical thinking skills.
- Explore critical thinking frameworks and concepts upon which to build skills.
- Identify ways to develop and expand critical thinking in internal audit.

Chris Wiseman joined TIAA in 2019 as Senior Managing Director, Deputy Chief Auditor to lead the IT Audit team covering cybersecurity, production services and architecture/infrastructure, enterprise systems and applications, enterprise data services and digital experience across all businesses and functions of the TIAA organization. Previously, as Senior Managing Director of IT Audit at SunTrust Banks, Wiseman directed audits of technology, data management, and program and project management. Prior, as a Partner in the Risk Advisory Services practice at EY, he developed and directed IT audit and advisory services across financial services, retail, and manufacturing Fortune 500 clients.

CS 5-3: How to Hire Equitably; Diversity, inclusion and Creativity at Work

Nir Bashan
Author, Speaker & Consultant
The Creative Mindset

Session Description Coming Soon!

Speaker Information Coming Soon!
Next generation data governance is the overall management of the availability, usability, integrity, and security of data employed in an enterprise. This presentation will provide a high-level overview of the regulatory landscape around data governance, the data management control framework, and expectations from internal audit, including data management considerations through the risk-based audit cycle. It will also introduce next generation data governance initiatives that will help create clear, measurable goals linked to business drivers to improve audit efficiency.

In this session, participants will:
- Understand evolving regulatory drivers and data management expectations.
- Learn considerations for the enterprise data governance framework and the role enterprise culture plays.
- Evaluate the leading industry data framework and its adaptation into the data capabilities framework.
- Gain insight into recent developments for internal audit, the data management control framework, and relevant internal audit considerations.

Konstantin Grabovsky is a Managing Director in EY’s Financial Service Office Consulting practice with 21+ years of client service experience. He leads the Greater Washington Enterprise Risk - Internal Audit practice in providing strategic, operational, and compliance services to clients. Grabovsky’s career has focused on the capital markets and housing finance areas, and he has teamed with risk management, data analytics, and technology practices on numerous consulting risk engagements, developing strong expertise in multiple risk fields, including enterprise, market, liquidity, counterparty credit, operational, model, and valuation risk management. Over the last five years, Grabovsky has performed process, controls, and maturity assessments supporting data governance, business resiliency, and end-to-end payment processes.
CS 6-2: The World Beyond: Leveraging Emerging Technology to Advance Fraud Mitigation

Samantha Corvino, CPA, CISA  
Head of Internal Audit  
MSRB

Cloud, AI, blockchain, biometrics, and augmented/virtual reality have quickly become part of our everyday vernacular. Integrating these technologies as part of our risk and control portfolio is one thing, but how can we look to leverage the power and insights they bring to stop fraud not only in its tracks, but maybe even before it happens? Discover how to consider implementing these technologies in the world beyond operations to support organizational efforts in fraud mitigation.

In this session, participants will:

- Identify and differentiate the top emerging technologies relevant to fraud mitigation.
- Understand the pros/cons of emerging technology adoption across different industry sectors.
- Effectively compare emerging technologies for differing fraud perspectives.
- Grasp a high-level roadmap to adopting these types of technologies and identifying key stakeholder parties for each key milestone.

Samantha Corvino has 11+ years of experience in the commercial and government sectors, refining her skills in internal controls compliance. She is well-versed in guidance requirements from the AICPA, ISACA, and IIA, as well as seasoned in applying various compliance frameworks (NIST, COBIT, ISO, SOC 2, GDPR, Reg SCI, etc.) to build and/or refine an organization’s control environment. As head of internal audit at the Municipal Securities Rulemaking Board (MSRB), Corvino is responsible for oversight and execution of the MSRB’s internal audit department, including executing a comprehensive IT audit associated with the U.S. SEC’s Regulation Systems Compliance and Integrity.

CS 6-3: Auditing With Emotional Intelligence

Carrie Pokrefke  
Audit Manager  
BECU

As auditors, we need a variety of technical skills and competencies to be successful in our job; however, research indicates that emotional competence is also important for success. This presentation will highlight some ways you can increase your emotional intelligence to improve your skills as an auditor, especially during our ongoing pandemic.
In this session, participants will:
  - Learn the definition of emotional intelligence.
  - Gain tips for improving their emotional intelligence.
  - Discover how to use emotional intelligence during the ongoing pandemic.

Carrie Pokrefke has 20+ years of experience in financial services as both an internal auditor and as a state and federal regulator. An Audit Manager for BECU, the nation’s largest community credit union, she was recently selected to BECU’s 2021 Building Inclusion and Leveraging Differences Council. Pokrefke serves on the National Association of Federally-Insured Credit Unions’ Compliance/BSA/Risk Network Steering Committee and the Northwest Credit Union Association’s Awards Committee. In addition to public speaking, she enjoys building inclusive, high-performing teams through developing and mentoring employees, forging relationships, and connecting people.

Tuesday | September 28, 2021
3:15 p.m. – 4:15 p.m. EDT

CS 7-1: Session Information Coming Soon!

Session Description Coming Soon!

Speaker Information Coming Soon!

CS 7-2: Digital Program Assurance: Creating Safe Scale in Advanced Technology Environments

Neil White
Principal
Deloitte & Touche LLP

Mike Koppelmann
Senior Manager, Digital Internal Audit
Deloitte & Touche LLP

As advances in intelligent automation technologies continue to progress, organizations are increasingly exploring the automation of controls and controls testing. This presentation will discuss the evolving technology landscape and how intelligent automation is being applied to transform the controls landscape, significantly reducing testing efforts within internal audit and providing insights and value across the Three Lines Model.
In this session, participants will:

- Explore the landscape of advanced technologies and see how intelligent automation is being used to automate controls and controls testing in multiple scenarios.
- Understand how automation can be used across the Three Lines Model to optimize performance, productivity, profitability, and risk management while lowering cost of compliance.
- Learn practical approaches to getting started with intelligent automation within controls environments.

Neil White is the Global Leader for Internal Audit Analytics and a Principal in the Internal Audit practice of Deloitte & Touche LLP, leveraging his 25+ years of experience to run the Deloitte Global Center of Excellence for Digital Internal Audit and assist the firm’s largest national and multinational clients in transforming internal audit through data analytics, implementing analytics programs, and evaluating risk through a data-enabled approach. In addition to developing position papers on analytics in internal audit and predictive analytics applied to capital projects, White has authored articles for the *Wall Street Journal*, *Compliance Magazine*, and others, and he regularly speaks on internal audit, innovation, digital, and analytics.

CS 7-3: Our New Normal: Virtual Communications

Jessica Mazza, CIA, CISA, CFE, Series 6, 7, and 24 licenses
Senior Managing Director, Deputy Chief Auditor
TIAA

Given the new normal we have been operating in and the future hybrid model most firms will adopt, we need to establish norms and expectations specific to our internal audit teams. This session will explain the physiological reasons why virtual communication is challenging; offer tips on productivity, communication norms, and communication channel and video reminders; and explore specific considerations for new hires and why it matters for internal audit in particular.

In this session, participants will:

- Understand why virtual communications are challenging (physiologically).
- Establish virtual communication norms and expectations.
- Provide tips and suggestions for effective virtual communication.
- Explain why good virtual communication is important for future success.
Jessica Mazza joined TIAA in October 2015. In her current role, she leads a global team responsible for audit coverage of Nuveen and its subsidiaries. Mazza was previously with Calamos Investments, first as Head of Internal Audit, then as Chief Compliance Officer for two registered investment advisers, a broker-dealer, and a London-based investment manager. Prior, she worked for two different Morgan Stanley firms. Her early career roles included IT Internal Audit Manager for Van Kampen Investments, Financial/Operational Internal Audit Manager for Discover Financial Services, and Consultant in the Information Risk Management practice at KPMG, LLP.

Closing Keynote: Opportunity In Adversity: How to Use Creativity During COVID-19

Nir Bashan
Author, Speaker & Consultant
The Creative Mindset

Session Description Coming Soon!

Speaker Information Coming Soon!