Audit Trail

Volume 2011/2012, Issue #9

March 30, 2012

Montgomery Chapter of the Institute of Internal Auditors

Message from the President

Chapter Members & Guests,

Wow, can't believe the year is almost over! Next week's meeting will be our last monthly meeting of the year. I'm really looking forward to it and think it's one of the best ideas we have had. Thanks to Carrie Baker for the suggestion!

Don't forget about the Spring Seminar, May 3 & 4. I hope you find the topics chosen to be beneficial and the speaker to be entertaining. Be sure to register before the deadline.

Also, the Junior Achievement program will be gearing up soon, so if you have volunteered be on the look-out for upcoming training and preparation. And a special thank you to all that have graciously volunteered.

Hope to see you all next week or at the seminar!

Best Regards,

Melissa Jordan, CPA

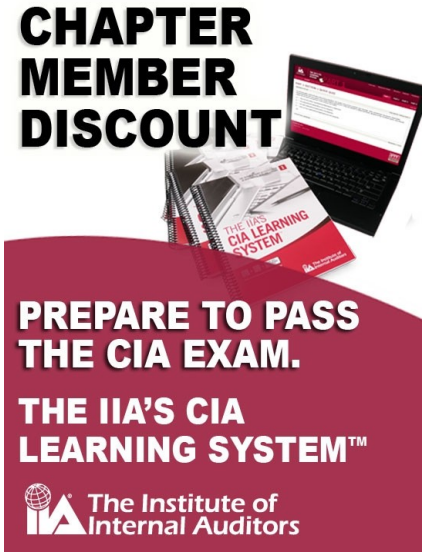
Alfa Insurance Companies

Montgomery IIA Chapter President

CHAPTER MEETING!

Meeting Information:

- WHEN: **Friday**, April 13, 2012
- WHERE: **YOUNG HOUSE, downtown Montgomery**
- TIME: 11:30am until 1:30pm
- GUEST SPEAKER: movie presentation
- TOPIC: "Chasing Madoff"
- **2 hours of CPE credit!!**
- DEADLINE to register for this meeting is noon Monday, April 9, 2012
- Register at our website:
    - http://www.theiia.org/chapters/montgomery
    - Then click "Events" at the top
    - "April Chapter Meeting"
    - "Register Me"



CIA Learning System

The IIA's CIA Learning System is a comprehensive training course designed to provide professionals with information and tools to master the global CIA exam. This premier quality program is aligned with the International Professional Practices Framework (IPPF) to ensure you stay current with the global internal auditing profession and are ready for the CIA exam. It combines printed text with online testing tools and online questions. Take advantage of the best prep materials out there by ordering yours today!

"Unless otherwise stated, registration after the deadline cannot be guaranteed but will be accommodated if a spot is available. Cancellation is required at least 48 hours prior to the event start time. If you fail to cancel, you are responsible for paying a $15 cancellation fee.

"Chasing Madoff"

Our next meeting for the Montgomery IIA Chapter will be on **Friday, April 13, 2012 from 11:30 am until 1:30 pm.**
We will have a 2 hour movie presentation at this month's meeting: "Chasing Madoff":

On Dec. 11, 2008, Bernard L. Madoff confessed to F.B.I. agents that he was running an immense Ponzi scheme, involving tens of billions of dollars from investors all around the world. That might have been a day of triumph for Harry Markopolos, the whistleblower who for years had tried to get the Securities and Exchange Commission, as well as several business publications, to investigate Mr. Madoff's activities. Instead, the arrest provided only momentary relief. As set out in the documentary "Chasing Madoff," Mr. Markopolos panicked, thinking it would be only a matter of time before embarrassed S.E.C. agents would break into his home in Whitman, Mass., seeking to erase his records of their incompetence. Of course, as with everything else in this case, the S.E.C. did nothing. Drawing heavily on "No One Would Listen," the book by Mr. Markopolos, "Chasing Madoff" lays out his story, a tale worth retelling.

Remember, this month's meeting will be worth 2 CPE hours!!

If you have any ideas, suggestions, or news you would like to add to the newsletter, please email me at njohnson@raycommedia.com

Montgomery IIA's Spring Seminar!

May 3-4, 2012 at Alfa Insurance Company

AGENDA:
May 3 (8 – 5) – Effective Audit Planning and Engagement Risk Assessments (8 hours A&A)
May 4 (8 - 12) – Practical Stats (4 hours A&A)
May 4 (1 - 5) – Optimized Critical Thinking (4 hours A&A)

FEATURED SPEAKER – Danny M. Goldberg, Professional Development, Sunera

REGISTRATION FEES:
Members - $275 (Or $150 for May 3 and $75 for each ½ day session on May 4)
Nonmembers - $325 (Or $180 for May 3 and $90 for each ½ session on May 4)

Lunch is included for those attending session on May 3 and for those attending both 4 hour sessions on May 4.

DEADLINE FOR REGISTRATION – April 20 (Late registration deadline – April 27, $15 late fee)
Payments not received by Friday, April 20, 2012 will incur a $15 late fee unless other payment arrangements are made in advance.

REGISTRATION ON-LINE – www.theiia.org/montgomery

Please make checks payable to: IIA Montgomery Chapter
Payment can be mailed to:

Carrie Baker
Alfa Audit Services,
2108 East South Blvd.
Montgomery, AL 36116

All cancellation notices must be received by 12:00 pm, Friday, April 27, 2012.
NO REFUNDS WILL BE GRANTED UNLESS CANCELLATIONS ARE MADE BY THE DEADLINE.

For questions, contact Melissa Jordan at mjordan@alfains.com, (334)613-4921 or Carrie Baker at cbaker@alfains.com, (334)612-5530.

MEET THE SPEAKER!

Danny M. Goldberg leads the Professional Development Practice at Sunera. Prior to joining Sunera in January 2011, Danny founded SOFT GRC, an advisory services and professional development firm. Danny has over 15 years of audit experience, including five as a CAE/Audit Director at two diverse companies. He has the rare experience of being an integral part/leading the Year One SOX Compliance efforts at three companies in the DFW area. Additionally, he has assisted in leading the establishment of three internal audit/SOX departments.

Prior to founding SOFT GRC, Danny was the Director of SOX Compliance and Corporate Audit at Dr Pepper Snapple Group, where he led the Year One SOX Compliance efforts. Prior to his tenure at Dr Pepper, Danny was the Chief Audit Executive and started the internal audit department at Tyler Technologies, a publicly traded technology company.

Danny has served on the board of directors of a non-profit organization and the audit committee of the Dallas Independent School District. Danny currently serves as the Chairman of the North Texas Leadership Council of the American Lung Association and is the IIA Dallas Company Programs Committee Co-Chairman for the 2011-2012 year.

Danny is accredited as the professional commentator on the publication *BNA Tax and Accounting Portfolio, Internal Auditing: Fundamental Principles* (Accounting Policy and Practice Series), which is authored by renowned audit scholars Curtis C. Verschoor and Mort A. Dittenhofer – co-author of **Sawyer's Internal Auditing**.

He has also published numerous articles in trade magazines over the past two years, including:

- ISACA Journal (General Auditing for the IT Auditor: An Overview, May 2011)
- The Audit Report (11 Hot Topics for 2011, March 2011)
- Dallas Business Journal (The Yes Man Phenomenon, January 2011)
- New Perspectives (*Sell Your Work:* How to Deliver Best Practice Audit Reports, December 2010)
- Internal Auditor (CAE's as A/C Members: It Just Makes Sense, October 2010)
- The Audit Report (Cover Article – How the Recession is Changing Internal Audit, June 2010)

Danny is a well-known speaker across the nation at numerous IIA and ISACA sponsored events. Mr. Goldberg has been recognized as a top speaker at numerous events in 2011, including:

- "Top Rated" (Excellent/Outstanding) Speaker – 20th Annual American Society for Quality (ASQ) Audit Division Conference (out of 44 presenters)
- Top 10 Presentation – 2011 IIA Midwest Regional (36 total concurrent sessions, 3.75 overall rating out of 4.0)
- Top 3 Ranked Speaker – Michigan CPA's Healthcare Conference 2011 (29 total speakers)
- Top 3 Ranked Speaker – ArkSarBen IIA 2011 District Conference (24 total sessions)
- 3.58/4.00 Rating – 2011 ACFE Annual North American Conference

Danny is one of less than 100 speakers worldwide invited to present at the 2012 IIA International Conference. Danny has also been invited to the 2012 Chicago IIA Annual Conference.

Danny is a Certified Public Accountant, Certified Internal Auditor, Certified Information Systems Auditor, Certified in the Governance of Enterprise Information Technology, Certified in Risk and Information Systems Control, Certified in Risk Management Assurance and has obtained his Certification in Control Self-Assessment.

CONGRATULATIONS!

March Member Anniversaries

Ashlee Holt 6 years

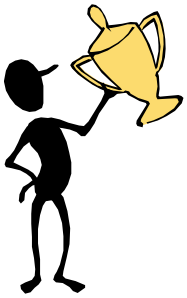
Carrie Jennings, CIA 17 years

Ron Lamb 34 years

Kevin Robinson, CIA 23 years

Scott Watson 1 year

Kelly Wise 3 years



We've earned 634.35 points for the 2011/2012 Chapter year so far!

CAP PERFORMANCE LEVELS

BRONZE—685 achievement credits

SILVER—1,060 achievement credits

GOLD—1,560 achievement credits

Switch internet providers? Move into a new house? Get a promotion or change jobs? Please be sure to update your profile on the IIA HQ website with any changes. This ensures that IIA HQ and our Chapter can keep in touch with you when there are changes.

Chapter Contest

Don't forget about the prizes that to be given out at the year-end social event!! Eligibility for these prizes is based on YOUR participation within the chapter. Points are accumulated during the year for the following categories –

- Committee Participation (such as Junior Achievement and Student Events)
- Monthly Meeting Perfect Attendance
- Special Event Program Attendance (such as the Spring Seminar)

Winners will be drawn from those that are eligible within each category.

If you have any ideas, suggestions, or news you would like to add to the newsletter, please email me at njohnson@raycommedia.com

2011/2012 Officers & Board of Governors

Melissa Jordan—President
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mjordan@alfains.com

Janice Thompson—Vice President
Alabama Department of Revenue
Janice.thompson@revenue.alabama.gov

Carrie Baker—Treasurer
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