Hello everyone! WOW—this year is flying by! The holidays are upon us already. The end of the year is right around the corner. If you hold any IIA professional designations (CIA, CRMA, etc.) don’t forget to submit your CPE completion attestation before year-end. If you have not yet earned your CIA designation, please consider adding that to your list of New Year Resolutions.

Last month, Zack Estes gave an excellent presentation on ChatGPT. We had a great turnout both in-person and online. It was great to see so many friendly faces at the October meeting. I’m also happy to say that we had 3 students join us for the meeting. Remember, if you know any students who might be interested in our CPE opportunities, please encourage them to join the IIA and our chapter, and register for our upcoming events.

We have some fantastic programming planned for you this month! Andy Lemon, AML Manager with Rush Street Interactive, will share his insights into online gaming operations, internal controls to prevent money laundering, and emerging trends in financial crime. This is sure to be a great session and Andy will share real life case studies with us.

Next month, Steve Haffner (magician and mentalist with experience as an IT professional, business analyst, and executive) will be demonstrate how the mental distortions that make magic tricks look real also affect how we think and decide in our work as professionals. This will be a fun, engaging, and thought-provoking event in December.

We are always happy to accept any feedback you have, and we’re always looking for new volunteers to help our Chapter. If you have any suggestions for new presentation topics or speakers, or if you’re interested in volunteer opportunities, please reach out to one of our Officers: Lesley Clark, Myhanh Pham, or Robert Stutsman.

Thank you!

Lesley Clark
President, Louisville IIA 2023-2024

The newsletter will be published monthly from September 2022 through May 2023. If you have a request for a submission please email the information to brimyers@republicbank.com and your submission will be included in the next month’s issue.

The IIA is no longer assigning points to activities but focusing on the completion of activities. Your continued participation in chapter activities will help us reach our goals. Some examples are attending monthly meetings and seminars for CPE, volunteering on a Chapter committee, attending social events, achieving certifications, and recruiting new members to the IIA.

One of the goals our Chapter needs to achieve is a 2% growth in member certifications. The IIA offers four certifications: Certified Internal Auditor (CIA), Certification in Risk Management Assurance (CRMA), Qualification in Internal Audit Leadership (QIAL), and Internal Audit Practitioner. If you are interested in taking steps toward any of these certifications, please refer to our newsletters for information on CIA training material discounts and the IIA website for instructions on how to become certified.
NOVEMBER MONTHLY MEETING — HYBRID

Date: Tuesday, November 14th, 2023
Meeting Time: 12:00 p.m. - 1:00 p.m.
Presenter(s): Andy Lemon
CPE credits: 1 hour

Cost: Member Virtual Price: $15
Member In-Person Price: $25
Non-Member Virtual Price: $20
Non-Member In-Person Price: $30
Student Virtual Price: $Free
Student In-Person Price: $10

Location: Virtual — Register below to receive call-in details
In-Person @ Dean Dorton (ShelbyHurst Campus)
435 N Whittington Pkwy Suite 400, Louisville, KY 40222

REGISTRATION: Here

PRESENTATION SUMMARY

Topic: iGaming Financial Crime: Kentucky’s Newest Risk
Description: Kentucky is off to a roaring start with the launch of mobile sports wagering. Learn how the online gaming industry navigates the complex World of international financial crime regulations. The session will provide insights into online gaming operations, internal controls to prevent money laundering, and emerging trends in financial crime. Real life case studies will be presented to illustrate concepts throughout the session.

Please register for this session by Monday November 13th.

PRESENTER PROFILE

Andy Lemon is the AML Manager for Rush Street Interactive which operates the BetRivers and PlaySugarHouse online sportsbook and iCasino in the US, Canada, Mexico, and Columbia. In this capacity, Andy is the acting MLRO and BSA Officer leading a team of international AML Analysts. He consults on financial crimes compliance throughout the company and has worked to implement frameworks for jurisdictional AML risk, third party risk management and customer risk modeling.

Prior to joining Rush Street Interactive, Andy worked at Churchill Downs Incorporated in Louisville, Kentucky. There he worked as the BSA Officer for the online casino, sports, and horse racing platforms. He also helped consult on AML Compliance across all of the Churchill Downs portfolio of casinos, retail sportsbooks, HRM facilities, and horse racing tracks. Andy has 15 years of experience in Compliance and Internal Audit across the casino, online gaming, banking, and financial services industries. He was a speaker at the Gaming & Hospitality Conference in Las Vegas, Indiana University, and events for the Institute of Internal Auditors.

Andy has served on the Indiana Council for Problem Gambling and various state and local boards covering municipal governance, historic preservation and economic development. He is a graduate from the University of Southern Indiana, a Certified Fraud Examiner (CFE), and 3x IIA Louisville speaker.
CAE ROUNDTABLE

Calling all CAEs and Audit Shop Leaders—reach out to Shawn Stevison to connect regarding resumption of the CAE Leader roundtable.

IIA ACADEMIC RELATIONS

Student Memberships

FREE IIA Student Memberships!
Students can register HERE for a Free Student Membership, then choose the Louisville Chapter once enrolled. Please continue to encourage your Interns and junior associates to join our IIA Chapter. IIA Student Memberships are now free of charge for any student enrolled in a minimum of 6 credit hours.

Student Membership Benefit
For the November meeting, students will have the opportunity to attend for the discount price of $10 if they choose to attend in person and FREE if they choose to attend virtually.

Academic Relations Volunteer Opportunities
Occasionally, we may reach out directly to our members to ask for volunteers to participate in various student events. Please consider participating in student events for any of our local Universities. Zack Estes is working with local Colleges and Universities to arrange for guest speakers. Please reach out to Zack if you would be interested in getting involved with these schools.

Internships
If your company has an open internship position, please share the following with your HR/Recruiting departments. The Universities require that internships be posted to their respective Career Services sites to satisfy their Equal Opportunity requirements. Handshake and Cardinal Careers are the sites used by the schools. Here’s the link for Cardinal Careers Employer Registration, which is used by UofL’s School of Business. Here’s the link for Handshake, which is used by both Bellarmine and IUS. Please forward any open internship postings to Zack Estes. We can help spread the word further about your internship by reaching out to faculty at the local universities.
## New Members & Anniversaries

### NEW MEMBERS
- Barbra Wysoske
- Wesley Christensen

### MEMBER ANNIVERSARY
- 5 Years
  - Christopher Boylan
- 15 Years
  - Todd Oberhausen
- 25 Years
  - Robert Aemmer
  - James Rose

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## Local IIA News

### Annual Certification Renewal Period is Now Open

Maintain Certified Internal Auditor credibility by staying active. The IIA requires certification holders to report CPEs by December 31st to maintain Active status. Failure to renew will result in moving to a Grace Period status and may result in the CIA designation being Revoked.

Please consult The IIA’s Annual Certification Renewal Policy for more information. The policy, renewals, and a list of eligible CPE opportunities are available on the [CCMS Resources page](https://www.theiia.org/en/certifications/new-to-certification/Pricing/).

### Certification Renewal Policy

With the new Certification Renewal Policy that took effect 1 SEP 2023, individuals in Expired or Grace status must reinstate their designations this year or risk losing them. Those currently in an Expired status will have an amnesty period from 01-SEP-2023 to 31-DEC-2023 to restore their designations to Active status. On 01-JAN-2024 any designation in an Expired status will be revoked and require holders of the CIA and CRMA to recertify.

Those holding CCSA, CFSA, CGAP and QIAL will not have the option to restore their designations since these programs are no longer supported.

Additionally, updated Certification Renewal pricing has been released. Please navigate to [https://www.theiia.org/en/certifications/new-to-certification/Pricing/](https://www.theiia.org/en/certifications/new-to-certification/Pricing/) to view the new pricing structure.

### 2023 CPE Reporting Changes

To achieve greater alignment with the credentialing industry’s best practices and continue to uphold the credibility of all IIA Certifications, The IIA’s global Professional Certifications Board (PCB) has approved changes to the CPE Reporting Policy. On 1 September 2023, the [Annual Certification Renewal Policy](https://www.theiia.org/en/certifications/new-to-certification/Pricing/) went into effect for all IIA certification holders and current candidates.

Among the changes is the name of the policy itself: The “CPE Reporting Policy” will soon be known as the “Annual Certification Renewal Policy.”

The most significant policy change is that once a certification is expired, it cannot be reinstated. The certification is revoked if the holder goes 3 years or longer without reporting CPE. If an individual with a revoked certification wishes to become certified again, they must reapply to the certification program and pass all required exams to recertify.

Additional changes include:

- Any surplus of CPE acquired during a calendar year may be used for the following calendar year reporting cycle (20 hours max for CIA and 10 hours for other IIA designations can be rolled over)
- Grace period increased from 1 year to 2 years.
  - If a certification holder enters into grace status, the holder may no longer use their designation. They may begin using the designation again when their status is returned to active.
Harding Shymanski is hiring for an Internal Auditor/Compliance Associate. See below for more information, and click here to apply.

**WE'RE HIRING**

**INTERNAL AUDITOR/COMPLIANCE ASSOCIATE**

**APPLY AT**

www.hscopa.com/careers

**DISCOVER THE NEXT STEP IN YOUR CAREER PATH**

Ready to jump into your next career opportunity? Join the team at Harding, Shymanski & Company, P.S.C.

Our mission is to help our clients, our people, and the firm be more successful. That’s why we offer a wide array of benefits and perks - from professional growth opportunities to 401(k) plans with company matching and profit-sharing opportunities.

You deserve a career that works for you - apply today!

**REQUIREMENTS:**

- 2-5 years of internal audit experience with banking policies, laws and regulations
- Bachelor’s degree in finance, accounting, or related field
- Strong communication, critical thinking, and organization skills
- Excellent attention to detail
- Develop and maintain productive relationships
- Data analysis
- Planning and project management skills

See the full description on our website.
### Officers and Committee Chairpersons

**President and Nominating Committee Chair**  
**Lesley Clark**  
Constellation Insurance, Inc

**Vice President & Program Chair**  
**Myhanh Pham**  
Synchrony

**Chapter Achievement Program (CAP) Chair**  
**Jenni Schelling**  
Louisville Water Company

**Treasurer**  
**Marcie Smitha**  
Park Community Credit Union

**Secretary**  
**Robert Stutsman**  
Credit First National Association (CFNA)

**Membership Chair**  
**Catie Knable**  
Caesars Entertainment

**Academic Relations**  
**Zack Estes**  
Republic Bank & Trust Company

**Advocacy/Diversity**  
**London Lopez**  
Humana, Inc.

**Audit Chair**  
**Brittany Myers**  
Republic Bank & Trust Company

**Certifications Chair**  
**Bob Aemmer**  
LG&E and KU Energy

**Chief Audit Executive (CAE)**  
**Shawn Stevison**  
Humana, Inc.

**Government Relations Chair**  
**May Porter**  
Louisville Metro Government

**Junior Achievement Chair**  
**Andrea Higgins**  
Robert Half Management Resources

**Newsletter Chair**  
**Brittany Myers**  
Republic Bank & Trust Company

**Seminar Chair**  
**Sonja Heath**  
Humana, Inc.

**Quality Assessment Review Chair**  
**Ann Bauer**  
Republic Bank & Trust Company

**Social Activities Chair**  
**Andrea Higgins**  
Robert Half Management Resources

**Webmaster**  
**Sonja Heath**  
Humana, Inc.

**Social Media**  
**London Lopez**  
Humana, Inc.

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### Board of Governors

**Elected Member Terms**  
**Chris Elmore**  (Thru 5/31/2024)  
Churchill Downs

**London Lopez**  (Thru 5/31/2024)  
Humana, Inc.

**Ariana Campbell**  (Thru 5/31/2025)  
Fannie Mae

**Zack Estes**  (Thru 5/31/2025)  
Republic Bank & Trust Company

**May Porter**  (Thru 5/31/2025)  
Louisville Metro Government

**Past Presidents Terms**  
**Catie Knable**  (Thru 5/31/2024)  
Caesars Entertainment

**Shawn Stevison**  
Humana, Inc.  (Thru 5/31/2025)

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### Advertisement Policy

Area employers are eligible for free recruitment postings on the Louisville IIA website and in the monthly newsletter, IF at least one employee is a member of the local chapter. Newsletter advertisement rates for employers without a local chapter member and executive search firms are: **$50 – ½ page; $100 – full page.** Paid advertisements also include posting of recruitment information on the chapter website for one month. Payments must be received prior to posting. For more information, please email the Louisville IIA Chapter President or Secretary.