

Let's be Frank

"By failing to prepare, you are preparing to fail."



Monday | September 19, 2022

9:00 – 10:30 AM ET

Opening Keynote: Creating Value Through ESG

Moderator:

Abhi Aggarwal
Partner
PwC

Panelists:

Diana Stoltzfus
Deputy Chief Accountant
U.S. Securities and Exchange Commission

Mani Sulur
Senior Vice President, Chief Risk Officer
USAA

Paul Ricci, CIA, CMIIA
Senior Executive Vice President, Chief Auditor, Internal Audit
Wells Fargo

Move from theory to action with a practical, purpose-led plan that will deliver sustained outcomes. Our panel of executives, including risk and compliance leaders and a regulator, will discuss tackling ESG risks and opportunities and take us through the ESG journeys faced by the three lines, including challenges faced and results and outcomes achieved.

In this session, participants will:

- Explore top emerging ESG considerations for internal audit and compliance functions.
- Understand the components of ESG – environmental, social, and governance – and compare with “sustainability” goals and objectives set by companies.
- Understand the SEC risk disclosure, what it means for companies, and what role internal audit can play to be a value-added partner.
- Discuss ways to hold their business accountable with metrics they can trust by using proven tactics and smarter technologies.

Let's be Frank

"By failing to prepare, you are preparing to fail."



Abhinav Aggarwal is PwC's FS Risk and Controls Leader based in New York and an Internal Audit Services partner with 18+ years of relevant experience. He has an extensive background in working with federal and state banking regulators while providing internal audit, compliance, and broader risk assurance services to alternative asset managers, banking, and capital markets clients. Aggarwal has managed multi-dimensional internal audit and compliance testing engagements for financial services firms, been on the forefront of internal audit and compliance testing thought leadership, and assisted numerous clients in transforming their testing program to align closely with regulatory and stakeholder expectations.

Diana Stoltzfus serves as Deputy Chief Accountant for the Professional Practice Group (PPG) in the SEC's Office of the Chief Accountant (OCA). In this role, she leads PPG activities, including supporting the Commission in overseeing the activities of the Public Company Accounting Oversight Board (PCAOB), managing rulemaking and the resolution of auditor independence matters, and monitoring and addressing matters related to requirements for internal control over financial reporting (ICFR) and the audit of the financial statements. Previously, as a partner at PwC, Stoltzfus performed integrated audits of financial statements, including matters related to ICFR audits, analyzing and applying PCAOB rules and standards, and analyzing complex accounting matters.

Mani Sular's Speaker Bio Being Finalized

Paul Ricci has 28+ years of financial services industry experience with a global focus on governance, internal controls, regulatory compliance, and risk management. He joined Wells Fargo in December 2019 as Chief Audit Director of Corporate Risk and Capital Management. Currently, he leads an Internal Audit organization of ~1,500 team members as Senior Executive Vice President and Chief Auditor. Ricci was previously the Managing Director, Chief Auditor of Risk Management and Capital Management at Citibank, and also served as the Chief Auditor for the Global Risk Management, Risk Technology, Investment Bank Finance and Human Resources Internal Audit Teams at JPMorgan.

NASBA: Specialty Knowledge | Learning Level: Basic | CPE Credit: 1.5

Let's be Frank

"By failing to prepare, you are preparing to fail."



Monday | September 19, 2022

11:00 AM – 12:00 PM ET

CS 1-1: Navigating the Coming Regulatory Tsunami

John Wheeler
Senior Advisor, Risk and Technology
AuditBoard

Navigating today's dynamic risk environment presents real challenges for organizations, and a coming wave of new regulations is set to add even more complexity for internal audit teams – especially those whose organizations are in the financial services space. This session will examine the current regulatory state of play and explore new regulations that are on the way, along the way providing actionable insights on how to successfully prepare for them.

In this session participants will...

- Gain an understanding of how today's risk environment is spurring new regulatory responses.
- Explore emerging risks and how they may impact the regulatory environment.
- Learn best practices for managing today's risks and preparing for the coming regulatory wave.

John A. Wheeler is the senior advisor of risk and technology for AuditBoard, and the founder and CEO of Wheelhouse Advisors, a global risk management strategy and technology advisory firm. Mr. Wheeler is a recognized expert, frequent speaker, and author on the effective use of risk management practices and technology in large and midsize businesses. His major areas of specialty include enterprise/operational risk management, integrated risk management (IRM) technology, executive leadership, and corporate governance. He has more than three decades of professional experience in a variety of roles spanning executive management, finance, risk management, audit, and IT.

NASBA: Specialty Knowledge | Learning Level: Basic | CPE Credit: 1.2



CS 1-2: A Layered Approach to Cyber Coverage

Vaibhav Sharma
Senior Vice President and Senior Audit Director
Bank of America

Rick Bristow
Senior Vice President and Audit Director, Cyber Risk
Bank of America

Get an overview of how Bank of America Audit's cyber coverage strategy – an approach that combines a business-centric model with a functional model – is supplemented by a threat centric strategy. Work is delivered via a hybrid point in time and continuous audit plan, and periodic reporting is used to aggregate results and drive management action.

In this session, participants will:

- Learn how to use a layered approach when auditing cyber to ensure that work is:
 - Sufficient end to end.
 - Focused on top risks and threats.
 - Responsive to emerging risks.
 - Producing meaningful and impactful results.

Vaibhav Sharma is responsible for global coverage of Bank of America's technology infrastructure. His duties include providing independent assessment of internal business controls and processes related to the bank's data centers, networks, servers, remote connectivity for employees, and cloud technology. His team also covers the validation of Technology-owned issues (regulatory and internal). Sharma has more than 20 years of experience in audit and information technology. He is a certified Six Sigma Master Black Belt and Certified Internal Controls Auditor.

Rick Bristow is responsible for global coverage of Bank of America's cyber risk and information security. His duties include providing an independent assessment of cyber defense, infrastructure, application, and front line unit controls. His team is also accountable for audit coverage of the second line's oversight of technology and risks associated with third parties who support the bank's technology. Bristow has more than



17 years of experience providing audit and technology process consulting, with seven years specifically covering cyber risk.

NASBA: Information Technology | Learning Level: Intermediate | CPE Credit: 1.2

CS 1-3: The Possibility of a Fully Automated Audit Function

Bill Chippendale, CIA, CPA
Senior Vice President and Chief Audit Executive
Discover Financial Services

Ling Cao
Director, Data Science Strategy Internal Audit
Discover Financial Services

There's a lot of talk about using data analytics, RPA, machine learning, and other technologies, but what would it look like if these were all employed in every aspect of internal audit? Is it possible, and is it being done? From department operations to audits, see examples of how Discover is already leveraging multiple advanced technologies in most aspects of the internal audit function, learn how new technology is being used to bring deep insights, and examine the company's plans and possibilities to automate even more.

In this session, participants will:

- See where Discover is currently using, is in the process of building, or has planned uses for technology and data to simplify the audit process and reduce work.
- Hear an overview of how Discover solved challenges by leveraging technology and bringing in the right skillsets.
- Explore Discover's present day and outlook into how the company will use data and technology to achieve maximum benefit.

William (Bill) Chippendale serves on the Management Committee, and has over 25 years of experience leading audit functions and providing strategic risk management advisory services to large- and mid-sized financial services companies. In his current role, Bill leads a group of 150 audit professionals, executing operational, compliance, reporting, and strategic risk audits across diverse business lines.



Prior to joining Discover in 2020, Bill was a deputy chief auditor at Capital One, having held varied audit leadership positions during his 10-year tenure there. Preceding this, he was part of the audit leadership of JPMorgan Chase and a Senior Manager at EY, focusing on risk management advisory for clients in financial services and other industries.

In the current role, **Ling** is responsible for developing and executing data science strategy with the application of advanced data analytics techniques to revolutionize the audit process into a near real time, continuous auditing, and proactive risk management function with seamless integration of traditional audit methodology. Ling joined Discover in August 2008 as a Sr. Associate. During her nearly 15 years of service, she has developed a broad range of experience and expertise across credit strategy, fraud strategy, analytics and modeling, network operations, model risk management, and most recently internal audit. Before Discover, Ling worked in loss forecasting for consumer lending at HSBC, North America.

NASBA: Auditing | Learning Level: Intermediate | CPE Credit: 1.2

Let's be Frank

"By failing to prepare, you are preparing to fail."



Monday | September 19, 2022

1:15 – 2:15 PM ET

CS 2-1: ESG In Financial Services and the Role of Internal Audit

Intiaz Hussain, CISM

Managing Director and Deputy Chief Auditor, Investment Management and Wealth Management

BNY Mellon

The session will highlight the importance of ESG in financial services organizations and illuminate internal audit's role in providing independent assurance on climate change and diversity, equity, and inclusion (DEI). The session will also showcase tools and techniques auditors could utilize to audit climate governance and the DEI ecosystem. Several polling questions will help ensure the audience understands the transverse nature of climate risk, such as physical risk and transition risk.

In this session, participants will:

- Develop greater awareness of ESG as a megatrend topic.
- Learn an approach to auditing climate risk and DEI.
- Gain insights into the role of internal audit and how internal audit should be prepared.

Intiaz Hussain is the Managing Director and Deputy Chief Auditor for Investment Management (IM) and Wealth Management (WM) at BNY Mellon. His primary responsibilities include the creation of IM and WM internal audit strategy and the risk-based annual audit plan; delivery of audit projects in a timely manner and within budget; and seamless operations of the audit function. Hussain also drives audit's Agile Transformation initiative, chairs the internal audit forum for ESG, and is a member of the Group of 25 (group of globally significant financial institutions) Internal Audit Working Group for ESG.

NASBA: Specialty Knowledge | Learning Level: Intermediate | CPE Credit: 1.2



CS 2-2: Analyzing Customer Complaints With NLP to Enhance Audit Decisions

Jim Tarantino, CISA
Director
RSM

Louis Castagliola, CPA
Data Analytics Manager
RSM

In today's regulated environment, banks are modernizing handling and monitoring procedures for customer complaints. Management monitors complaint data to identify operational issues and potential customer harm or non-compliance. Internal audit, as a third-line function, can leverage the same rich complaint database to inform updates to annual audit plans, drive more effective scoping of specific audit engagements, and provide effective challenge to first- and second-line customer complaint monitoring. Advances in text mining, particularly Natural Language Processing (NLP), are enabling internal audit departments to process large, rich text complaint datasets, simplify results delivery, and offer real value to audit decision-making.

In this session, participants will:

- Review an actual case study using NLP to mine large volumes of complaint text.
- Learn how to summarize detailed complaints into topics auditors can understand.
- Gain tips for generating meaningful statistics and trends on topics identified through text mining.
- Explore considerations for deploying NLP for audit planning and engagement planning.

Jim Tarantino is a Director in RSM's Financial Services Risk Advisory practice. He has 25+ years of experience in risk management and risk technology delivery and program execution, including AI/ML, automation, and data governance. He has a proven record of helping clients transition to analytical, data-based organizations for better risk management through delivering leading-edge technology and transforming risk and compliance functions. Tarantino's areas of specialization include data analytics platforms and tools for the Three Lines, model risk management, reporting and analytics (BI), Agile



and Lean delivery, target operating model and program management, and technology adoption and user enablement.

Louis Castagliola has over six years of experience in risk consulting. He works with clients to drive the efficiency and effectiveness of risk-mitigating controls through process automation, data analytics, and machine learning, delivering customized solutions based on the organization's technological infrastructure. His background encompasses traditional statistics, business and financial analytics, data science, and data engineering. Castagliola has led numerous projects at some of the largest financial institutions in the U.S., including projects involving development of machine learning models. He leverages Agile project management methodology for CI/CD and is adept at managing each phase of the development lifecycle, from data sourcing to feature engineering, algorithm evaluation, and model interpretation and tuning.

NASBA: Specialty Knowledge | Learning Level: Intermediate| CPE Credit: 1.2

CS 2-3: Auditing With Agility: Stop Wasting Time and Start Adding Value!

Clarissa Lucas, CIA, CISA, CIDA
Audit Director
Nationwide Insurance

Patrick Shanahan
Associate Vice President, Internal Audit
Nationwide Insurance

In today's constantly changing environment, where new risks emerge with incredible velocity and organizations are delivering products and business outcomes with increased speed and agility, how can internal auditors and other risk managers keep up and continue to deliver value? This session will answer that question by exploring what it means to audit with agility.

In this session, participants will:

- Gain an understanding of what it means to audit with agility, including the benefits of incorporating these practices into the audit process.

Let's be Frank

"By failing to prepare, you are preparing to fail."



- Learn from the presenters' real-life experiences in implementing agility into the audit process and transforming theory into practice.
- Gain actionable insights they can leverage and apply to their own agile auditing journey.

Clarissa Lucas leads the technology audit team at Nationwide Insurance. She is a thought leader for auditing with agility, having been published in industry periodicals and spoken at international technology and auditing industry conferences, including the 2020, 2021, and 2022 DevOps Enterprise Summits and ISACA's CACS Conference. During these conferences, she has been both a keynote and break-out speaker. Lucas has also spoken at her local IIA chapter on auditing with agility. Her passion for auditing has led her to obtain the following certifications: Certified Internal Auditor, Certified Information Systems Auditor, and Certified Investments and Derivatives Auditor.

Patrick Shanahan joined Nationwide Insurance's internal audit function in 2012 and leads the IT Audit and Data Analytics teams. In this capacity, he is accountable for execution of technology audits across the enterprise and driving increased analytics capability and analytics usage throughout internal audit. Shanahan was previously a member of Nationwide's IT organization for 20 years. Most recently, as the BSA Leader for Nationwide Securities LLC, Nationwide's retail broker/dealer, he was responsible for execution and implementation of IT projects for the Nationwide Financial Network (NFN) portfolio within Nationwide Financial.

NASBA: Auditing | Learning Level: Intermediate | CPE Credit: 1.2

Let's be Frank

"By failing to prepare, you are preparing to fail."



Monday | September 19, 2022

2:30 – 3:30 PM ET

CS 3-1: Environmental, Social, and Governance (ESG) Risk and Board Oversight

Lori Flaherty, CIA, CRMA, CFE
ERM Lead
Paychex

Bill Coller
Enterprise Risk and Internal Controls Manager
Paychex

Interest in ESG risks and performance continues to grow from investors, internal employees, and other stakeholders. Boards of public companies must exercise oversight and have ultimate responsibility for the attention to ESG components and the evolution of ESG-related performance and metrics. Specific to the environmental piece of ESG, governance is at the top of the four core elements of the Taskforce on Climate-related Financial Disclosures (TCFD). It is critical that firms disclose their ESG performance accurately, to avoid any concerns surrounding greenwashing or pinkwashing.

In this session, participants will:

- Learn why it is important to ensure all components of ESG are monitored.
- Contemplate new concepts to employ that can accelerate an ESG program.
- Discover how to measure performance and adjust strategy and tactics.

Lori Flaherty has 20+ years of experience in risk management, primarily in the financial services industry. She joined Paychex in 2018 and manages the company's ERM efforts. Additionally, she serves on the CSR (Corporate Social Responsibility) Committee responsible for leading ESG initiatives. Previously, Flaherty worked in the Risk Advisory group at Ernst & Young, managing multiple international client risk and control projects. She also was a lead investigator supporting a US government agency, responsible for investigations related to bank closings, including fraud, restitution, and claims. Flaherty is currently President-Elect for her local chapter of The IIA and has been an active board member for 10+ years.



Bill Collier has served in various risk management roles at Paychex. He has responsibility for enterprise risk management programs, such as risk assessments, reviews, and control testing. In previous roles, he was responsible for client tax discrepancies, the client product audit function, and oversight of external financial transactions. In addition, Collier works with the Ethics and CSR Steering Committee at Paychex.

NASBA: Specialty Knowledge | Learning Level: Intermediate | CPE Credit: 1.2

CS 3-2: Roadmap for Establishing IT Reliance Within M&A Transactions

Kent Trainor, CIA, CPA
Vice President, Internal Audit and Compliance
goeasy, Ltd.

Mandar Patel, CPA
Senior Manager, IT Audit
goeasy, Ltd.

M&A activity within the financial services industry continually challenges internal auditors to identify key applications within acquired organizations to ensure the IT reliance environment is quickly absorbed at a maturity consistent with the parent company.

In this session, participants will:

- Learn key tenets of an agile roadmap for in-scope applications, including managing access, operations, change, and rollout milestones.
- Benefit from practical experience and knowledge to elevate their assurance game during the initial post-acquisition phase.
- Examine how internal audit's participation in uplifting controls structure strengthens stakeholder relationships and enables better understanding of the IT landscape while performing assurance activities.

Kent Trainor has 15 years' experience leading internal audit departments across a diverse set of Canadian industries, including media and telecommunications, mining, financial institution regulation, and currently the financial services industry through his three years of employment at goeasy.



Mandar Patel has extensive international experience in consultancy, auditing, financial planning, reporting, and team management. With cross-functional competencies between business and IT, he has had the opportunity to lead and run projects in Asia, Europe, and North America to establish compliance programs, introduce IT audit and analytics capabilities, and implement ERP solutions. Currently, as a Senior Manager of IT Audit at goeasy Ltd., he manages IT audits and the IT general controls reliance portfolio for Canada's leading and TSX30 financial services provider.

NASBA: Information Technology | Learning Level: Intermediate | CPE Credit: 1.2

CS 3-3: Auditing Human Resources in 2022 and Beyond

Scott Baranowski, CIA
Principal
Wolf & Company, PC

Colleen Simonelli
Chief People Officer
Wolf & Company, PC

Talent and culture are now a top priority for many CEOs, boards of directors, and investors. Moving past the pandemic, leaders are questioning how to acquire skilled talent and create an organizational culture that will help them thrive. We will discuss evolving your internal audit plan's human resources coverage to better address people risk and the pitfalls of failing to do so.

In this session, participants will:

- Learn actionable strategies for evaluating their recruitment and retention process.
- Examine talent trends seen in human resources that leaders should be prepared for.
- Discover how to evaluate their institution's culture.

Scott is a Principal in Wolf's Advisory Group and the Director of the Firm's Internal Audit Team, where he utilizes state-of-the-art technologies to meet customized client needs in internal audit, risk management, and Sarbanes-Oxley Act (SOX) compliance. He has expertise in the operational and financial audits of banking including lending, wire



transfers, automated clearing house (ACH), and asset liability management. Scott also specializes in developing audit plans for institutions with outsourced and co-sourced audit departments, and utilizes his strong foundation of banking expertise to provide tailored solutions to a variety of industries.

Colleen has over 25 years of experience in human resources and is responsible for people strategy and talent programs. She aims to inspire an inclusive and diverse culture where employees can share their passions and thrive in their careers. Prior to joining Wolf in 2020, she led global culture and people programs to drive innovation and transformation across multiple industries including software, pharmaceuticals, accounting, and telecommunications. Colleen is a Board member of Pride in Our Workplace.

NASBA: Personnel/Human Resources | Learning Level: Basic| CPE Credit: 1.2

Let's be Frank

"By failing to prepare, you are preparing to fail."



Monday | September 19, 2022

4:00 – 5:00 PM ET

CS 4-1: Bringing Together Risk, Compliance, Audit, and Other Business Units

Dr. Paul Viancourt, CIA, CRCM, CAMS, CFE
Director, Training and Development
Ncontracts

Where does the responsibility of risk managers end and business unit managers, including compliance, begin? The answer is different at every financial institution, but there's one thing that's non-negotiable: The overlap ensures everyone has a part to play. During this session, we'll explore how to structure leadership to ensure different departments and business lines work together to aid risk management.

In this session, participants will:

- Learn about risk management's overlap with key areas, including compliance, IT, and marketing.
- Discover how to ensure the collection of all pertinent information to aid decision-making.
- Hear tips for balancing the push and pull of varying priorities.
- Gain strategies for working collaboratively, along with best practices for creating a risk management culture.

Dr. Paul Viancourt is the Director of Training and Development at Ncontracts. A former 20-year banker with certifications in internal audit, Bank Secrecy Act (BSA), fraud, and compliance, Dr. Viancourt is passionate about helping financial institutions leverage technology to lessen their regulatory risk, streamline cumbersome back-office processes, and generate useful risk data that allows them to excel in an increasingly competitive industry.

NASBA: Auditing | Learning Level: Basic | CPE Credit: 1.2



CS 4-2: Addressing the SEC Cybersecurity Disclosure Enhancement From an Audit Perspective

Moderator:

Keith Zielenski
Managing Director, Security and Privacy Services
Protiviti

Panelists:

Kristin Royster
Senior Vice President, External Engagement and Risk Governance, Global
Information Security
Bank of America

Mehul Shroff
Senior Audit Director, Cybersecurity & Technology Controls (CTC) and Global
Technology Infrastructure (GTI) Audit
JP Morgan Chase

Rich Rossignol
Managing Director
Protiviti

Once the SEC proposal goes final (the comment period ended May 9), what does it mean to our audit clients? The proposal's goal is to better inform investors about an organization's risk management, strategy, and governance and to provide timely notification of material cybersecurity incidents. This panel session will discuss the proposed increase in scope for cybersecurity audits.

In this session, participants will:

- Understand why a material cybersecurity incident must be defined.
- Learn about the importance of organizational cybersecurity/risk management policies and procedures, third-party risk management programs, and business continuity, contingency, and recovery plans.
- Gain insights into the process by which cybersecurity risks are considered as part of an organization's business strategy, financial planning, and capital allocation.



- Examine disclosure of board members’ oversight of cybersecurity risk as well as management’s role and expertise in assessing and managing cybersecurity risk and implementing cybersecurity policies and procedures.

Keith Zielenski has 25+ years of professional experience utilizing technical, managerial, and leadership skills, and 20+ years of management consulting experience, encompassing security strategy development, software security assurance program design, information system development, information system audit, security program management, security control reviews, security compliance assessments, risk analysis, contingency planning, system security plan development, and the development of security policies, procedures, and standards. He possesses solid analytical and problem solving skills as well as the ability to understand and incorporate business goals and priorities into enduring solutions.

Speaker Bios Being Finalized

Mehul Shroff has more than 20 years of experience in technology risk and controls and cybersecurity auditing within major global banking organizations. At present, Shroff is a Senior Audit Director within JP Morgan Chase’s Internal Audit department, leading the global Cybersecurity and Technology Infrastructure audit functions.

NASBA: Information Technology | Learning Level: Intermediate| CPE Credit: 1.2

CS 4-3: Building Stakeholder Trust in the ESG Imperative

Aila Pallera
Managing Director, Internal Audit and Enterprise Risk
KPMG LLP

Michael M. Sullivan
Principal
KPMG LLP

Steve Arnold,
Principal, Finance Transformation
KPMG LLP

Let's be Frank

"By failing to prepare, you are preparing to fail."



The world is going through immense change, driven by demands from the investor community, changing work habits, legislative and public policy actions at the federal and state levels, and differing global and U.S. regulatory standards and expectations. With the broad range of topics and rate of change, leading companies are preparing for proposals while driving forward sound data governance, metrics, and control frameworks.

In this session, participants will:

- Learn from KPMG professionals how financial services organizations are changing their strategies enterprisewide to align with the evolving ESG landscape.
- Examine the significant roles that data and data governance play in a financial services organization's ESG strategy.
- Discover what financial services organizations are doing to prepare for the SEC proposed rules and what prudential regulators are doing today to focus their efforts around ESG.
- Explore how internal audit and enterprise risk management teams are evolving their strategies to align with the changing risks associated with ESG.

Speaker Bios Being Finalized

Mike Sullivan is a Principal and National lead for the Markets Compliance solution within KPMG's Financial Services Regulatory and Compliance Risk practice. He is responsible for solution development, hiring and staffing considerations, and managing financial matters for the Markets Compliance solution. With 25 years of diverse industry experience working for or advising investment advisers, broker-dealers, credit rating agencies, regulators, self-regulatory organizations, banks, securities and futures exchanges, and investment companies, as well as FinTech and public companies, Sullivan has deep expertise and a unique perspective in financial services regulatory and compliance considerations. His work covers compliance and supervisory matters, governance, and risk and control frameworks.

NASBA: Specialty Knowledge | Learning Level: Intermediate | CPE Credit: 1.2

Let's be Frank

"By failing to prepare, you are preparing to fail."



Tuesday | September 20, 2022

9:00 – 10:15 AM ET

General Session 2: Futurenomics: The Economic Snapshot You Need to See Today

Commander Mary Kelly, US Navy (ret), PhD, CSP, CPAE

This program is an engaging and entertaining economic snapshot about what our teams and clients worry about, including inflation, GDP, housing, jobs, salaries, the stock market, and energy issues. Then retired Navy Commander Mary Kelly will provide leadership strategies and tactics for guiding people through any crisis, challenge, or change.

In this session, participants will:

- Understand current and future economic market forces impacting their organizations.
- Learn the six stages of any crisis, challenge, or change, and why so many people get stuck in the first four stages.
- Internalize the positive reactions that great leaders have when facing difficult circumstances to stay focused, productive, and motivated.
- Use the 12-Month Business Success and Accountability Planner to increase effectiveness, efficiency, and team engagement.
- Complete the Leader's Blind Spot Assessment to identify individual strengths and superpowers.

Commander Mary Kelly focuses on economic and leadership development. She helps leaders attract, recruit, retain, mentor, and develop the right people at the right time to get the right results. As a corporate strategist, she develops plans for personal and organizational growth. Kelly is a Naval Academy graduate who served 21 years on active duty in intelligence and logistics, mostly in Asia. With a PhD in economics, she taught at the Naval Academy, the Air Force Academy, SMU, and in the graduate school for CSU. Kelly is a best-selling author of 15 business and leadership books, including *The Five Minute Leadership Guide* and *Why Leaders Fail and the 7 Prescriptions for Success*.

NASBA: Specialty Knowledge | Learning Level: Basic | CPE Credit: 1.2

Let's be Frank

"By failing to prepare, you are preparing to fail."



Tuesday | September 20, 2022

10:45 – 11:45 AM ET

CS 5-1: Evaluating ESG Governance and Reporting: Assurance, Review, and Data Considerations

Yvette Connor
Strategic Risk Services Leader
Grant Thornton LLP

Organizations must establish policies, processes, and internal controls that generate reliable information for ESG reporting and ESG decision-making. Without a reasonable ESG framework built on a clear-eyed understanding of the issues, poorly executed sustainability reports and ESG strategies can quickly run afoul of regulatory compliance and astray of investor, customer, and workforce expectations.

In this session, participants will:

- Review ESG frameworks and U.S. SEC status as pertaining to scoping for ESG governance.
- Consider physical and transitional risk estimation and assessment of external risk factors.
- Discuss integrating ESG into existing enterprise risk assessments.

Yvette Connor has 25+ years of domestic and international risk management experience. As Grant Thornton's Strategic Risk Management Leader within Risk Advisory Services, she serves as an overall Client Relationship and Engagement Partner with ultimate responsibility for project accountability and project quality across her clients. Her background in ERM encompasses oversight of ESG risk and compliance frameworks, risk model development and testing, and implementation of risk assessment approaches that optimize risk management performance. Connor's recent experience includes building a governance and operational risk framework development project for a Fortune 100 financial services company. Prior to Grant Thornton, her roles included chief risk officer and head of analytics for large global organizations across the financial sector.

NASBA: Specialty Knowledge | Learning Level: Intermediate | CPE Credit: 1.2



CS 5-2: Real-time Assurance: Implementing Automation, Including Artificial Intelligence

Dr. Bhatt Vadlamani
Senior Technical Advisor to COO/CIO
Jackson Financial Inc.

Stacey Schabel, CIA, CPA
Chief Audit Executive
Jackson Financial Inc.

Artificial intelligence (AI) introduces new risks to an organization, which may be difficult to audit. Internal audit can add significant value by providing real-time assurance while AI is being implemented. This approach helps ensure activities are appropriately controlled from the outset, reducing organizational risk and supporting audit assessments.

In this session, participants will:

- Examine a practical framework to support implementation of appropriately controlled AI.
- Follow an example of how the framework was utilized to support successful AI implementation.
- Explore the benefits of real-time assurance around new initiatives such as AI.

Dr. Bhatt Vadlamani's Bio Being Finalized

Stacey Schabel is an experienced CAE with a 20+-year background in audit and risk management, leading successful public company teams in the financial services industry. She is responsible for JFI's Internal Audit team, which examines and evaluates key processes and controls supporting the operations of Jackson Financial Inc., including Jackson National Life Insurance Company. She also assists Board, Audit, and Risk Committee members in protecting the organization's assets, reputation, and sustainability by leading assessment and reporting on the overall effectiveness of GRC processes. Schabel recently served on The IIA's Global Financial Services Guidance Committee to help develop internal audit guidance for financial services auditors worldwide and



currently serves on the Content Advisory Council. She also regularly shares her perspectives and thought leadership at industry conferences and in periodicals.

NASBA: Technology | Learning Level: Intermediate | CPE Credit: 1.2

CS 5-3: External Fraud and Internal Audit

Amanda West, CIA, CISA, CAMS, CRISC
Senior Vice President and Deputy Chief Audit Executive
First Horizon Corporation

With external fraud schemes occurring at record levels, this session will educate internal auditors on how to assess external fraud risk within their own companies.

In this session, participants will:

- Learn how to identify external fraud within their company.
- Gain insights on leveraging internal and external data, statistics, and trends.
- Consider the breadth of financial crimes that affect fraud, including cyber and BSA/AML.
- Understand preventive controls, detective controls, and best practices for mitigating external fraud.

Amanda West is Senior Vice President and Deputy Chief Audit Executive for First Horizon Corporation. Her 23 years in the financial services industry include 14 years in internal auditing, and she has also served as Director of Financial Crimes, Corporate BSA/AML Officer, and Corporate Security Officer. West's broad background encompasses cyber and information security, crisis management, business resilience, fraud risk management, anti-money laundering, and bank operations and technology. Her accomplishments include leading crisis incidents such as COVID-19 pandemic and cyber threat response; implementing a broad financial crimes unit focused on BSA/AML, fraud, and cyber risks; designing a fraud strategy balancing fraud risk management and the customer experience; and implementing audit and GRC systems.

NASBA: Auditing | Learning Level: Intermediate | CPE Credit: 1.2

Let's be Frank

"By failing to prepare, you are preparing to fail."



Tuesday | September 20, 2022

11:45 AM – 12:15 PM ET

Lunch and Learn: How to Make DE&I Part of Your Strategy to Drive Systemic Change for the Future: PwC's Fireside Chat

Moderator:

Rehana Anait

**Partner, Cyber, Risk and Regulatory
PwC Consulting Services**

Panelists:

Andy L. Navarrete

**Executive Vice President, Head of External Affairs
Capital One Financial Corporation**

Dionne Wallace Oakley

**Senior Vice President, Chief Human Resources Officer
Freddie Mac**

Organizations can no longer take a back seat to diversity, equity, and inclusion (DE&I) and must lead, make commitments, and hold themselves accountable for achieving those commitments. These commitments bring purpose to one's business, ignite commitment to your people, and benefit our society. Grab your lunch and join us for a fireside chat with diversity leaders.

In this session, participants will:

- Gain insights and learnings from diversity leaders' DE&I journeys.
- Discuss challenges, successes, and opportunities to drive greater impact and outcomes for DE&I.
- Explore ways to accelerate their DE&I strategy.

Rehana Anait is a former regulator of the U.K.'s Financial Services Authority, where she was an examiner of capital markets institutions and assisted in developing the supervisory risk assessment framework. Upon joining PwC's London Banking and Capital Markets Practice, she led the delivery of large regulatory compliance, regulatory remediation, and conduct risk projects locally and across Europe. She has also been an



internal audit financial services practitioner for 15+ years. Currently, as a Principal in PwC New York's Cyber, Risk, and Regulatory Practice, she works with GSIBs and regional banks on high-profile regulatory remediation, culture and conduct, internal audit co-sourcing and external quality review, BCBS 239, and CARES Act projects. She leads PwC New York's Conduct and Culture Practice and is Global Relationship Partner for NASDAQ.

Andy Navarrete is Executive Vice President, Head of External Affairs, for Capital One Financial Corporation, overseeing strategic and supervisory engagements with federal and state regulatory agencies and legislators, enterprise communications and public relations, and community engagement. He is Chair of the Capital One Foundation and the Accountable Executive for ¡Hola!, supporting the development and recruitment of Hispanic and Latinx associates. Navarrete joined Capital One in 1999 and has served as Chief Counsel for each of the company's major business units. Earlier in his career, he was an attorney with Morgan Lewis, served in the International Section of the Legal Division of the Federal Reserve Board, worked for the House Banking Committee, and was a federal relations specialist for APCO Associates. Navarrete is an Adjunct Professor of Banking Law at Georgetown University Law School and a member of the Consumer Financial Protection Bureau's Consumer Advisory Board. He received his J.D. from Boston College.

Dionne Wallace Oakley is responsible for the human capital strategy and employee engagement efforts focused on growing talent for today and tomorrow. Prior to Freddie Mac, she spent more than two decades in the insurance industry, most recently as executive vice president, human resources and strategy at Erie Insurance. She serves as a board member of the HR Policy Association.

NASBA: Personnel/Human Resources | Learning Level: Intermediate | CPE Credit: 1.2

Let's be Frank

"By failing to prepare, you are preparing to fail."



Tuesday | September 20, 2022

2:00 – 3:00 PM ET

CS 6-1: Understanding Interest Rate Risk and Asset Liability Management in a Rising Rate Environment

Derek Fuzzell, CPA CMA CSCA

Chief Financial and Strategy Officer, PAHO/WHO Federal Credit Union

Global Board Member, Institute of Management Accountants (IMA)

This session will explore the fundamental components of asset liability management for financial institutions, including understanding the concepts of interest rate risk, net economic value, and net interest income, along with general best practices.

In this session, participants will:

- Examine the basic fundamentals of interest rate risk.
- Understand the calculations behind the simulations and outputs of net interest income and net economic value.
- Identify practices that can reduce interest rate risk for a rising or falling rate environment.
- Uncover some major issues related to banking/credit union regulators and the examination process.

Derek Fuzzell provides financial services to the global health community, Georgetown University, and the MedStar Healthcare System. In his role, he oversees finance, accounting, mortgage lending, human resources, business development, strategic planning, and wealth management services. Derek also serves on the Board of Directors for Vizo Financial Corporate Credit Union, as the Chair of the Volunteer Leadership Committee of the Global Board of Directors for the Institute of Management Accountants, and as Vice Chair of the D.C. Chapter Board of the Maryland/D.C. Credit Union Association.

NASBA: Specialty Knowledge | Learning Level: Intermediate | CPE Credit: 1.2



CS 6-2: Digital Assets and the Evolving Regulatory Landscape: How Can Internal Audit Add Value?

CJ Burke
Senior Consultant
Deloitte

Meher Grang
Senior Manager
Deloitte

Raquel Look
Digital Assets, Financial Services
Deloitte

The digital revolution has impacted almost every aspect of our lives, including the way value is created, stored, and exchanged. Blockchain and distributed ledger technologies are transforming the way we interact every day. Digital assets are becoming the new norm in managing tangible and intangible assets. Merchants are increasingly adopting the acceptance of cryptocurrencies. This session will offer a comprehensive overview of digital assets, the evolving regulatory environment, and special considerations for internal audit functions.

In this session, participants will:

- Gain an understanding of digital assets.
- Explore the digital assets regulatory landscape.
- Learn key risk management considerations associated with digital assets.
- Understand internal audit considerations for reviewing a blockchain-based system.

Speaker Bio's Being Finalized

NASBA: Specialty Knowledge | Learning Level: Intermediate | CPE Credit: 1.2



CS 6-3: Keeping Up With Evolving Fraud

Lee Williams
Senior Vice President
PNC Bank

This session will provide a basic definition of fraud, an explanation of various fraud pillars, and examples of internal fraud. It will also offer insights into typical programs/controls to analyze fraud risk and identify/mitigate/prevent fraud, including insider threat, behavior analysis, risk scoring, and training. Additionally, examples of external fraud, such as account takeover, ransomware, and ATM/credit card fraud, will be discussed. The presentation will explore the impact of technology, specifically digital channels enabling fraud, data analytics on the backend for fraud detection, and how automation facilitates reduced detection and reaction times.

In this session, participants will:

- Learn the speed at which fraud is evolving, enabled by digital/online/mobile banking.
- Understand the importance of transitioning from intensive manual processes to automation.
- Gain a full understanding of fraud prevention, including products/processes where fraud may occur and knowledge of upstream/parallel processes that could potentially enable fraud downstream.

Lee Williams has 26+ years of technology, audit, and consulting experience in the financial services and telecom industries. Presently, as an internal audit director for The PNC Financial Services Group, he leads the internal audit function for PNC's Technology Infrastructure Services and Cyber Security lines of business. Previously, in his 14.5 years at Bank of America, Williams served as Senior Vice President and Operational Risk Executive for the Chief Technology Organization, Operational Risk Executive for Global Information Security, Senior Audit Manager for Technology Infrastructure, and Technical Liaison for Offshoring IT Operations at Bank America Continuum Solutions. Earlier in his career, he was the CTO at Elite Outsourcing; an independent consultant at Groupe Telecom, Motorola, Verio Inc., and Bellsouth Cellular; a systems engineer for Alltel Information Services; and a programmer/analyst for GTE Data Services.

NASBA: Auditing | Learning Level: Basic | CPE Credit: 1.2

Let's be Frank

"By failing to prepare, you are preparing to fail."



Tuesday | September 20, 2022

3:30 – 5:30 PM ET

CS 7-1: Diversity, Equity and Inclusion- Why and Who Cares?

Part 1: Idea Session

Part 2: Idea Exchange Session

Kimberly Ellison Taylor, CPA, CGMA, CITP, CISA

Chief Executive Officer

KET Solutions, LLC

Economic uncertainty, the fast pace of change, and evolving customer expectations have invalidated traditional business as usual approaches. Further, heightened awareness of diversity, equity, and inclusion (DEI) has accelerated the need for transparency and accountability. As a result, financial services organizations must proactively determine where, when, and how they can ensure inclusive strategies that empower their team members and benefit a wide spectrum of clients, customers, and business partners. As trusted team members, internal auditors must not only understand the business case for DEI, but also help assess and report on the operations, finances, and overall performance of these initiatives.

In this session, participants will:

- Understand the business case for DEI.
- Identify key accountability areas and how to measure progress.
- Learn how to leverage inclusive leadership techniques to enhance team interactions and collaboration.

Kimberly Ellison-Taylor is Chief Executive Officer of KET Solutions, LLC, a consulting firm focused on business growth, innovation, strategy, transformation, and inclusive leadership. A sought-after keynote speaker, she has been named to Accounting Today's Top 100 Most Influential People in Accounting and CPA Practice Advisor's 25 Most Powerful Women in Accounting. She is also an adjunct professor for Carnegie Mellon University's Chief Information Officer Certificate program, and an independent board director. Previously, Ellison-Taylor served in global leadership roles for Oracle Corporation and held positions at Prince George's County Government, KPMG, Motorola,



and NASA Goddard Space Flight Center. She also has a long history in volunteer leadership positions with professional associations such as AICPA.

NASBA: Personnel/Human Resources | Learning Level: Intermediate | CPE Credit: 2.4

CS 7-2: Excellence in Execution

Part 1: Idea Session

Part 2: Idea Exchange Session

Ira Goldberg, J.D., CIA, QIAL, CMIIA

Chief Auditor, Legal, Compliance, and Financial Crimes

Citi Bank

Jayeeta Basu, CIA, CAMS

Chief Auditor, Personal Banking and Wealth Management Transformation

Citi Bank

Julie Moyers, CIA, CRMA, CFE, CAMS

Chief Auditor, US Personal Banking

Citi Bank

Sarah Miller, CAMS, CIA, CRCM

Chief Auditor, Consumer and Corporate Compliance

Citi Bank

In the new 'normal,' the stakes are higher than ever and our stakeholders are expecting more of internal audit. Achieving excellence in execution is not a 'nice to have;' rather it's the primary objective for internal audit teams. However, getting there is no easy feat in the face of disruption, a constantly changing landscape, and increased stakeholder expectations. Join us on a journey to excellence!

In these sessions, participants will:

- Explore what "excellence in execution" really means with regard to effective stakeholder management, fundamentals of audit execution, and people and culture.

Let's be Frank

"By failing to prepare, you are preparing to fail."



- Discuss how Citi's internal audit function has focused on "excellence in execution" given the size and scale of the organization, and while navigating and supporting significant enterprisewide transformation.
- Gain insight into peer practices, including challenges and successes as they relate to excellence in execution.

Ira Goldberg is a Managing Director and Chief Auditor at Citi, responsible for the audit of legal, compliance, and financial crimes. Previously, he was Global Head of Compliance Monitoring and Testing and Risk Assessments at J.P. Morgan, covering all lines of businesses. Prior, Goldberg was co-Head of Compliance for the J.P. Morgan Wealth Management and Private Bank business in the U.S. Earlier in his career, he held compliance and internal audit roles at Bear Stearns, Credit Suisse, and Goldman Sachs, and served as Deputy Director for FINRA's District 10 Regional Office. Additionally, Goldberg taught Broker Dealer Regulation as a visiting adjunct professor at Fordham Law School.

Jayeeta Basu started her Citi journey in India in 2004. She has spent the last 10 years with internal audit in Asia Pacific and North America and has audited Citi across 15+ countries. Previously, Basu was Audit Director for the US Cards businesses, US Consumer Digital, and US Consumer Analytics. Since early 2022, she has also been working as interim Head of Internal Audit Business Risk and Controls. In her current role as Chief Auditor for Personal Banking and Wealth Management Transformation, Basu is responsible for leading internal audit efforts to validate Citi's strategic firmwide transformation related to consumer banking.

Julie Moyers is Chief Auditor for US Personal Banking, leading strategy and execution of assurance activities across Citi's Retail Banking, Mortgage, Retail Services, and Branded Cards businesses. Previously, she covered Citi's Consumer Retail Bank and Mortgages businesses as Audit Director and served in multiple internal audit roles. Prior to Citi, Moyers held first line product, compliance, and credit risk management roles within telecommunication and financial services. She has an extensive background covering consumer enforcement action activities and regulatory mandates. With a passion for people and change initiatives, Moyers has been instrumental in developing internal audit best practices, curriculum development, recognition programs, and system productivity enhancements.



Sarah Miller is Chief Auditor for Consumer and Corporate Compliance at Citi, leading a team responsible for coverage of the second line compliance policy and framework; compliance programs for Consumer, Wealth, and Corporate functions; and horizontal coverage of key regulatory requirements. She joined Citi in 2016 and has executed horizontal audits of regulatory requirements such as Regulation Z, Regulation E, Home Mortgage Disclosure Act, Servicemembers Civil Relief Act, Flood Disaster Protection Act, and others. Miller also served as Director for US Retail Bank and Mortgage. Prior to Citi, she had responsibility for compliance-related risks, deposit products and small business banking products at Wells Fargo.

NASBA: Auditing | Learning Level: Intermediate | CPE Credit: 2.4

CS 7-3: Applying Automation and Innovation to Drive Audit's Impact

Part 1: Idea Session

Part 2: Idea Exchange Session

Duy Nguyen

**Audit Director, Enterprise Technology
Wells Fargo**

Erin Dunlap

**Chief Audit Director, Audit Practices
Wells Fargo**

Peter Kenow

**Audit Director, Innovation
Wells Fargo**

Leaders from both innovation audit and line of business audit teams will host a panel discussion on applying automation not only to audit execution, but also to your audit practices. The group will share how a data-driven approach will increase your impact and influence with business partners as well as with your audit leadership for “running the business” of audit.

In this session, participants will:

Let's be Frank

"By failing to prepare, you are preparing to fail."



- Gain insights for setting up innovation and automation as a key tenet of their division's priorities.
- Hear about tools and techniques being utilized to drive impact.
- Learn how tools can be applied in small-scale or large-scale audit divisions.
- Understand how data techniques can be applied to their audit practices.

Duy Nguyen is an Audit Director within Wells Fargo's Enterprise Technology Audit Group (ETAG) covering Chief Technology Office, Consumer Technologies, Wealth & Investment Technologies, and Digital Technology & Innovation and Cloud Technologies. Duy also manages ETAG's data analytics team and partners very closely with the Innovation Team to develop and implement data analytic solutions to support the ETAG team. Duy previously held leadership roles at JP Morgan, Moody's and Deloitte and is a subject matter expert in Cloud Technologies.

Erin Dunlap is Chief Audit Director for Audit Practices at Wells Fargo. Her teams include Practices (covering methodology, policy, and plan management), Innovation (covering data techniques and solutions for automating and innovating audit processes), Operations (including technology support, employee experience, and space planning), India Audit, and Quality Assurance. Previously, as a General Auditor at Bank of America, Dunlap covered CCAR, liquidity, and model risk audit as well as talent strategy. Prior, she held numerous leadership roles in audit at Capital One, was the General Auditor for Washington Mutual, and was the CAE for Federal Home Loan Bank of Seattle.

Peter Kenow is an Audit Director, guiding the Innovation team within the Audit Practices Group at Wells Fargo. He is responsible for leading the strategic direction for innovation, automation, and data analytics within audit, which is designed to bring innovative solutions to audit – driving effectiveness, efficiency, and focus on the right risk, right now. Kenow previously held leadership roles in audit covering wholesale banking, operations, and finance. He also worked at Ernst & Young in the assurance practice, serving various financial services clients.

NASBA: Technology | Learning Level: Intermediate| CPE Credit: 2.4