



**Sunday | March 12, 2023**

**8:00 a.m. – 12:00 p.m. CT**

**Pre-conference Workshop: Preparing Internal Audit for the Quality Road Ahead**

**Basil Woller, CIA, CRMA**  
**Principal and Owner**  
**Basil Woller & Associates, LLC**

**Christine Hovious**  
**Director, Professional Standards, Standards & Guidance**  
**The IIA Global Headquarters**

**Don Espersen, CIA, QIAL, CRMA**  
**Independent Internal Audit Advisor and Professional Trainer**

**Warren Hersh, CIA, CCSA, CPA, CISA, CFE**  
**Director, Quality Services**  
**The IIA Global Headquarters**

***Additional Registration and Fee Required to Attend***

In 2023, the IIA will be issuing a major update of the IPPF. According to the IPPF, an internal audit function is required to conduct a quality assessment every five years. Under the new IPPF Internal audit functions may face added challenges and opportunities with their quality assessment review requirement needed to maintain full conformance. This interactive workshop will prepare attendees with insight and best practices relative to how the new IPPF will impact future quality assessment reviews and how you can successfully meet the expectations of your stakeholders while continuing to improve the effectiveness and efficiency of internal audit operations.

**After attending the workshop, participants will:**

- Understand key updates to the proposed Standards in relation to quality assessment
- Recognize how the steps of a future quality assessment may differ and provide suggestions for conformance
- Identify effective strategies for conducting internal assessments
- Formulate strategies for the timing of performing quality assessments considering the effective date of the new IPPF
- Develop strategies for interacting with the governing board and audit committee



- Share experiences, insights, and views of best practices
- Suggest areas for future guidance and thought leadership

*The workshop will use several different learning approaches, including presentations, breakout sessions and whole-group discussion and brainstorming.*

**Basil Woller** has 40+ years of experience in internal auditing, risk assessment and management, corporate governance, and ethics and compliance. For the past 14 years, he has focused on providing quality services to a broad spectrum of organizations. He has personally conducted 500+ quality assessments during his career. Woller has presented frequently and authored several articles on internal audit quality, facilitates quality assessment training, and authored the latest version of The IIA's Quality Assessment Manual. He previously led Protiviti's global external quality assessment services practice and served as Chief Audit Executive at El Paso Corporation. Woller served on The IIA's board of directors as the International Treasurer and Chairman of the Global Finance Committee.

#### *Christine Hovious's Bio Being Finalized*

**Don Espersen** is an independent internal audit advisor and professional trainer who has worked with client groups in Africa, Asia, Canada, the Caribbean, Europe, Mexico, the Middle East, Oceania, South America, and the U.S. Prior to creating despersen & associate in 1999, he served in CAE, internal audit management, and staff positions in several financial services organizations. Espersen has facilitated 700+ seminars and customized training programs on internal auditing, risk management, and internal control topics, as well as led 50+ external quality assessments for internal audit groups in numerous industries, sectors, and international locations. He was a primary facilitator for The IIA's Vision University for 10+ years, developed 12+ seminars for The IIA, and was an author of The IIA's Quality Assessment Manual (2013).

**Warren Hersh** is Director of Quality Services for The IIA. He was previously Comptroller for the Central Florida Regional Transportation Authority (LYNX), Auditor General and interim CFO for New Jersey Transit, and Internal Audit Director at Jefferson Wells (now Experis) and BDO Seidman. With 40+ years of experience in internal auditing, risk management, fraud prevention/detection, project management, business process analysis/improvement, corporate governance, and IT, he has conducted external quality assessment reviews in many industries. Hersh is a member of The IIA's International Internal Audit Standards Board, International Public Sector



Guidance Committee, and Chapter Audit Committee. Hersh was previously President of IIA–Philadelphia. He presents frequently at industry conferences.

**NASBA: Auditing | Learning Level: Intermediate | CPE Credit: 4.2**



Sunday | March 12, 2023

1:00 – 3:00 p.m. CT

### CAE Forum – Social Café: Facilitated Networking Session

**Beth Finegan**  
Senior Strategic Sales Director, North America  
Datricks

***Additional Registration and Fee Required to Attend  
For Executive Members Only***

The Social Café will focus on communication, using questions and topics related to CAE best practices as the subject matter for small group discussions.

In this session, participants will:

- Recognize, develop, and integrate their own executive communication and listening style through active peer engagement.
- Learn how to listen and communicate with clarity and confidence by understanding the three levels of listening and how to pivot between them.
- Gain greater agency over their own intention when embarking into uncertain professional situations (i.e., how to drive business relationships for the introvert).
- Identify and comprehend CAE executive/leadership best practices.

**Beth Finegan** is the Strategic Sales Director for Datricks, a provider of AI-based, data-driven risk detection and monitoring software. Her unique professional history within the financial services and software industries includes 10 years on Wall Street as an executive coach. As a sales executive and learning event producer, Finegan worked with Lincoln Financial Distributors, JPMorgan, UBS, Merrill Lynch, and Morgan Stanley. Creating positive learning experiences for professionals and cross-functional teams that result in greater personal awareness, effectiveness and accountability is her true passion. Finegan is a Master Certified Social Worker, Certified Professional Coach, and Certified Inspired Learning Facilitator.

**NASBA: Personal Development | Learning Level: Intermediate | CPE Credit: 2.4**



Sunday | March 12, 2023

3:30 – 5:00 p.m. CT

### CAE Pulse – 2023 North American Pulse of Internal Audit

**Harold Silverman CIA, QIAL, CRMA**  
**Director, CAE and Corporate Governance Engagement**  
**The IIA Global Headquarters**

***Additional Registration and Fee Required to Attend***  
***For Executive Members Only***

The IIA has conducted the Pulse of Internal Audit survey every year since 2008. This interactive session will serve as the official release of the 2023 North American Pulse of Internal Audit. This report delivers valuable benchmarking data for internal audit leaders. Attendees will be provided with an overview of the annual survey results and have the opportunity to discuss report findings with other internal audit leaders.

In this session, participants will:

- Learn how peers see key risks in their organizations.
- Compare areas of focus in audit plans with other organizations.
- Benchmark many aspects of their internal audit function against others in the profession.
- Engage in discussion of survey results with peers.

**Harold Silverman** is the Director of CAE and Corporate Governance Engagement at The IIA. In this role, he provides thought leadership on emerging trends and leading practices to audit leaders and leads advocacy efforts for the profession with internal audits' stakeholders and the organizations that influence them. Silverman was previously Vice President of Internal Audit at The Wendy's Company. Prior to Wendy's, he was the Vice President of Internal Audit at Houghton Mifflin Harcourt Publishing Co. Silverman also held internal audit positions at Raytheon Co. and PwC.

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



Monday | March 13, 2023

8:15 – 9:30 a.m. CT

**Opening Keynote: State of the Internal Audit Profession**

**Anthony Pugliese, CIA, CPA, CGMA, CITP**  
**President and Chief Executive Officer**  
**The IIA Global Headquarters**

IIA President and CEO Anthony J. Pugliese will discuss issues currently shaping the internal audit profession, as well as provide updates on The IIA’s strategic plan and global operating model. He’ll share the latest developments on priority topics like ESG and cybersecurity, and explain what The IIA is doing to prepare practitioners and advance the profession’s interests in these areas. He’ll also provide a glimpse into the future of internal audit profession, explain how The IIA is helping to build that future, and outline the steps that internal auditors should take today to prepare themselves.

**Anthony J. Pugliese** is President and CEO of The IIA, focused on enhancing membership services, creating new approaches to learning and competency development programs, fulfilling The IIA’s multimillion-dollar digital transformation initiative, and enhancing the value of internal audit. Pugliese was previously President and CEO of the California Society of CPAs, where he led development of a Diversity, Equity, and Inclusion Committee to identify and address racial and other inequities in the accounting profession. Prior, he served in key leadership positions at what is now the Association of International Certified Professional Accountants. Pugliese has been repeatedly recognized as one of the most influential people in accounting, appearing most recently on the cover of *Accounting Today*.

**NASBA: Auditing | Learning Level: Basic | CPE Credit: 1.5**





Monday | March 13, 2023

10:45 a.m. – 12:00 p.m. CT

## GS 2: Lead Your Way Forward: Resilient Leadership for the New Economy

**Ryan Estis**

**Culture, Leadership, Business Performance Expert**

For an entire generation of business leaders, the actions they take now and in the months ahead will define them and their companies. Navigating this defining moment in the short term and preparing to capture opportunity in the long term will require a healthy mindset, critical decision making, and strong relationships. During this interactive virtual experience, Ryan Estis will leverage both his proprietary research and personal experience in leading a business through crisis and uncertainty. He will review lessons learned and provide very specific and actionable insight that participants can leverage to respond to short-term challenges and create momentum to capitalize over time.

In this session, participants will:

- Gain insights into downturn psychology and the window of opportunity.
- Assess the character traits of a “Futuremaker” and how to make the future happen.
- Hear about the coaching mindset, emotional resilience amid uncertainty, and the drivers of engagement and emotional commitment.
- Understand the “True North” leadership questions that create impact and discover the keys to effective leadership communication during a crisis.
- Receive a complimentary eBook, Adapt & Thrive.

**Ryan Estis** has more than 20 years of experience as a top-performing sales professional and leader. As the former Chief Strategy Officer for the McCann Worldgroup advertising agency, he brings a fresh perspective to business events. As a keynote speaker and consultant, Estis is known for his innovative ideas on leading change, improving sales effectiveness, and preparing for the future of work. He supports the world’s leading brands, such as AT&T, Motorola, MasterCard, Adobe, the National Basketball Association, the Mayo Clinic, Thomson Reuters, Ernst & Young, and Lowe’s. Estis is also the author of a popular blog on business performance. His writing has been featured in Inc., Forbes, Entrepreneur, and FastCompany magazines.

**NASBA: Personal Development | Learning Level: Intermediate | CPE Credit: 1.5**



**Monday | March 13, 2023**

**1:30 – 2:30 p.m. CT**

**CS 1-1: Assessing and Managing Fraud Risk in a Changing Environment: What Have We Learned and Where Are We Going?**

**Moderator:**

**Bruce Dorris, J.D., CFE, CPA**  
**President and Chief Executive Officer**  
**ACFE**

**Panelists:**

**Anne DeTraglia**  
**Executive Leader, Enterprise Risk and Assurance**  
**Whole Foods Market**

**James Rumph, CIA, CFE, CAMS, CPA**  
**Senior Director, Enterprise Anti-Fraud**  
**Nationwide**

**Jeff Kearney**  
**Executive Director, Enterprise Fraud, Security, and Investigations**  
**Ally Financial**

**Tasneem “Taz” Kalolwala, CIA, CRMA, CFE**  
**Executive Director, Internal Audit**  
**Bridgestone America**

The last few years have forced countless changes to the way most organizations do business, resulting in notable shifts in the fraud risk environment. This panel discussion will bring together executives from different parts of the business to discuss lessons learned and best practices for assessing and managing fraud risks as we move our organizations, our audits, and our fraud programs forward.

In this session, participants will:

- Gain insights into how they can best monitor emerging fraud risks and trends.
- Hear which tools and technologies are best for integration into fraud risk assessment and fraud risk management initiatives.





- Understand where using a formal framework to assess and manage fraud risks can help, and where it can hinder.
- Learn how to break down organizational silos and build a fully holistic approach to combatting fraud.

**Bruce Dorris** is President and CEO of the Association of Certified Fraud Examiners (ACFE) and an advisory member to the ACFE Board of Regents. In his 16-year ACFE tenure, he also served as Vice President and Program Director. Dorris has conducted anti-fraud training for the United Nations, World Food Programme, American Bankers Association, large accounting firms, and colleges and universities worldwide, as well as with the FBI, GAO, and other federal and state law enforcement agencies in the U.S. His expertise has been featured in interviews with CNBC's American Greed, ABC World News Tonight, BBC, The Wall Street Journal, The Economist, Fortune, Money Magazine, and The Atlantic. Previously, as a prosecutor in Louisiana, Dorris focused primarily on financial crime investigations.

**Anne DeTraglia** is a risk management professional with 30 years of experience building teams and capabilities across multiple disciplines, including retail operations, internal audit, and fraud risk management, at Fortune 500 companies such as Home Depot, Sears Holdings, Nike, and United Airlines. She is currently working at Whole Foods Market, evolving their enterprise risk management capability.

**James Rumph** currently leads Nationwide's Enterprise Anti-Fraud Team, with responsibility for fraud risk governance, risk assessment, consulting, and monitoring across the enterprise. He joined Nationwide at the beginning of 2016 with a wide range of training and experience spanning many industries and fraud types, having led fraud prevention, detection, investigation, and other risk management activities as both an FBI and private forensic accountant, insurance special investigations unit (SIU) investigator, and beyond. Rumph also serves the anti-fraud community as Co-Chair of the Coalition Against Insurance Fraud's Fraud Risk Management Task Force. He previously held various chapter leadership roles with ACFE.

**Taz Kalolwala** is an internal audit leader and risk management professional with 18+ years of experience leading teams and projects focused on internal audits, fraud risk assessments, internal controls development and assurance, and investigation assistance and compliance. She has a demonstrated history of working with key stakeholders in the automotive, telecommunications, utilities, and energy industries. Currently, as Executive Director of Internal Audit at Bridgestone Americas, Kalolwala manages a team of auditors in the United



States and Latin America who support enterprise initiatives and improve the organization's processes by adding to the bottom line. She is a longtime member of The IIA and ACFE.

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

### **CS 1-2: Sharpened Focus: AI Lets Your Data Speak**

**Greg Cole, CPA, CSM**  
**Principal Business Analyst**  
**UiPath**

**Rachel Kirkham**  
**Vice President, Product and Data Science**  
**MindBridge Ai**

Major advancements in AI systems are letting the data speak for itself, showing you the path to risk, anomalies, and potential fraud. The future of a common ADA and continuous monitoring platform, used across the three lines, isn't a fantasy. It's here today and smarter than ever before, with capabilities to reconcile, link, match, and assess risks across systems and processes.

In this session, participants will:

- Gain an understanding of how far AI systems have come to support a more agile approach to the second and third lines of defense.
- Take home a framework to plan an AI implementation for agile planning, risk assessment, and building a new level of assurance.
- Learn how to increase efficiencies in audit and continuous monitoring while increasing effectiveness of work effort.
- Ask experts in rolling out AI systems and hear feedback directly from a progressive leader.

**Greg Cole** is a Certified Public Accountant and Certified Scrum Master with several NetSuite certifications. After beginning his career at a public accounting firm in assurance services, he became a technology and management consultant focused on NetSuite implementations, finance transformation services, and ASC 606 implementations. Currently, as a Principal Business Analyst with UiPath, Cole partners with key finance stakeholders to enhance existing systems by driving automation and enhancements, with a more recent focus on implementing system controls to ensure SOX compliance. He also leads selections and



implementations of new software to deliver solutions for the ever-evolving business requirements at UiPath.

**Rachel Kirkham** joined MindBridge in January 2020 and delivers expertise at the intersection of data science and accounting. Previously, at the UK National Audit Office, she started as an Assistant Auditor and eventually rose to Head of Data Analytics Research. For 12+ years, Kirkham has bridged the gap between deep data analytics and complex market requirements, developing applications and visualizations that solve real problems in auditing and finance. She is an ACA-qualified chartered accountant, subject matter expert for the ICAEW, founding member of R-Ladies Global, and forum member of the Bank of England and FCA convened Artificial Intelligence Public Private Forum. Kirkham speaks often on the importance of diversity in STEM.

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

### **CS 1-3: Promoting Diversity, Equity, and Inclusion to Improve Employee Retention and Close the Talent Gap**

**Dolapo Adedeji**

**Managing Director, Internal Audit and Financial Advisory  
Protiviti**

**Shalim Matos, CIA, CRMA, CPA, CFE  
Vice President and Chief Audit Executive  
Serta Simmons Bedding**

This session will cover how promoting diversity, equity, and inclusion (DEI) is not only a good thing to do, but also how it is good for business. The session will include an overview of studies that have shown how diverse and DEI minded organizations are more successful and have better retention.

In this session, participants will:

- Define DEI.
- Hear the benefits of promoting DEI and understand its impact on people and business today.
- Learn how to leverage data to make the case for DEI and its benefits, including improving employee retention and closing the talent gap.



- Gain insights into how organizations and audit groups can promote, support, and celebrate DEI.

**Shalim Matos** is the Senior Director and Head of Internal Audit at Serta Simmons Bedding, and she also serves as CFO for The IIA’s Atlanta chapter. Matos started her professional career providing financial audit services at KPMG and in 2011, she transitioned to the internal audit field, joining Westrock, formerly Rocktenn. In 2020, Matos was selected to complete an Executive Leadership Program with Harvard Business School and received an “Excellence Through Leadership” award from IIA–Atlanta.

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

#### **CS 1-4: Lessons Learned Along the Road to ESG Assurance**

##### **Moderator:**

**Ruth Nouanesengsy, CIA, CFSA, CRMA, CPA, CGMA, COSO**  
**Senior Manager, Internal Audit**  
**Workiva**

##### **Panelists:**

**Melissa Clawson, CIA, CRMA**  
**Chief Audit Executive**  
**The Wendy's Company**

**Nancy Jordan**  
**Vice President, Internal Audit**  
**Cornerstone Building Brands**

**Tom Rams, CPA, CISA**  
**Senior Director, SOX and Internal Audit**  
**8X8, Inc.**

Hear from a panel of audit leaders about the challenges they’ve encountered and the lessons they’ve learned as they help their organizations navigate the ESG landscape at various levels of ESG maturity. Panelists will share the obstacles they’ve faced, how they were overcome, and the things they wish they’d known when they started.

In this session, participants will:



- Understand common challenges facing internal auditors as they assess ESG risks and begin the pathway to ESG assurance.
- Discover how other practitioners have worked through and overcome challenges to auditing the ESG programs in their organizations.
- Learn what’s working and what’s not in organizations at various levels of ESG maturity that are “down the road” on their journey to ESG assurance.

**Ruth Nouanesengsy** has been leading the Internal Audit department at Workiva since October 2019. She has more than 18 years of continuously progressive experience in internal audit with a variety of service and manufacturing companies, including insurance, automotive, food production, and technology. Her background has included compliance and operational audits, risk management, implementation of SOX and SOX-based programs, and process improvements for business and operational processes and internal audit processes.

**Melissa Clawson** is the CAE for Wendy’s and previously was at EY for 11 years in the Risk Advisory Services group. Her 16 years of internal audit experience has focused on SOX, financial, operational, and compliance audits across a wide variety of industries. An active member of The IIA, Clawson currently sits on the Central Ohio Chapter’s Board and previously served as the chapter’s Board Chair and President. She has also served on The IIA’s North American Learning Solutions Committee for five years.

**Nancy Jordan** has 30+ years of experience in internal audit, compliance, and risk management across various industries, including oil and gas, energy services, engineering and construction, and manufacturing. Prior to her current role as Vice President of Internal Audit at Cornerstone Building Brands, Jordan was responsible for worldwide internal audit activities for BHP Petroleum and auditing the global anti-corruption, business conduct, and trade sanctions processes. Previously, at PwC, she led internal audit co-sourcing and outsourcing engagements; assisted companies with Sarbanes-Oxley compliance; co-authored the annual PwC Internal Audit State of the Profession for 2009 and 2010; and helped develop the approach for the initial PwC Sarbanes-Oxley Management Guide in 2002.

**Tom Rams** is responsible for oversight of the SOX program, internal audits, and administration of the enterprise risk management program as Senior Director of SOX and Internal Audit at 8x8. He previously spent 11 years with PricewaterhouseCoopers LLP, providing assurance and advisory services. Rams is a Certified Public Accountant in Minnesota and a Certified Information Systems Auditor.

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





Monday | March 13, 2023

2:45 – 3:45 p.m. CDT

### CS 2-1: State of Crypto

**Varun Ebenezer, CISA**  
**Principal, Enterprise Risk Management - Technology**  
**Options Clearing Company**

This presentation will offer a brief introduction of what cryptocurrencies/blockchain are and aren't, as well as an examination of key risks – established, emerging, and geopolitical. A deep-dive into the FTX collapse will provide background, impact, and future implications. An overview of the cryptocurrency/blockchain environment, including key developments, and what the regulatory state looks like, will be complemented by a discussion on the outlook for cryptocurrencies and blockchain over both the short term and long term.

In this session, participants will:

- Obtain working knowledge of what cryptocurrencies/blockchain offer in terms of practical applications.
- Receive an overview of the most recent events (e.g., FTX), developments, and regulatory considerations.
- Gain the knowledge needed to debrief senior management and other stakeholders as applicable.

**Varun Ebenezer** is a Principal in the Enterprise Risk Management function of Options Clearing Corporation, where he focuses on cybersecurity and information technology. He previously led the IT audit function at Kemper Insurance, was a Director of Technology Governance at BMO Harris, and spent time in IT audit at the Federal Reserve Bank of Chicago. Ebenezer authored ISACA's Blockchain Preparation Audit Program and is a regular speaker on cryptocurrencies and blockchain. Some events he's spoken at include The IIA's Technology Trends Conference, IIA-Chicago's Annual Seminar, ISACA's North American CACS Conference, and IIA/ISACA Chicago's Annual Hacking Conference.

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





## CS 2-2: Risk Sensing: Leveraging Key Risk Indicators and Analytics to Inform Where and What to Audit

### **Moderator:**

**Mike Maali**

**US Internal Audit Solutions Leader**

**PwC**

### **Panelists:**

***Additional Panelists Being Finalized***

Modernize the way internal audit assesses risk, determines scope, and audits differently by leveraging key risk indicators and analytics to deliver greater coverage and value to key stakeholders.

In this session, participants will:

- Learn how to identify key risk indicators and explain how to use them as part of a risk assessment and planning process.
- Hear examples of analytics and key risk indicators that can be used to identify higher risk audit entities and inform scope of work based on higher risk.
- Gain insights into the process for modernizing historically manual execution of testing with data analytics and full population analysis.
- Understand how to leverage analytics to provide more in-depth insights in the reporting process.

**Mike Maali** is a Risk and Regulatory Partner at PwC with 30+ years of experience delivering risk management, external audit, and internal audit services to leading global and national organizations. His expertise includes: implementing and optimizing enterprisewide risk management programs and systems, performing risk assessments for organizations across industries; advising clients on standing up their internal audit, risk management, and compliance functions; and counseling companies on transforming their existing functions to be strategically aligned with the business and other risk prevention lines of defense. Maali also offers best practices to embed data analytics and advanced technology into all components of risk management and control, and leverages PwC's deep industry and technical capabilities for enhanced insights in planning, executing, and reporting internal audit projects, risk management programs, and compliance testing solutions.

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



## CS 2-3: The Ethical Internal Auditor: Keeping an Eye Out for Your Blind Spots

**Richard F. Chambers, CIA, QIAL, CCSA, CGAP, CRMA**  
**Senior Internal Audit Advisor**  
**AuditBoard**

Ethical resilience is often listed as one of the top attributes of high-performing internal auditors and audit leaders in organizations around the world. To earn and sustain trust in the organizations they serve, internal auditors must not only conform to the profession’s code of ethics, but they must also bring a strong moral compass to their role every day. Internal auditors must know and guard against “blind spots” – a temporary inability to see the ethical aspect of behavior or a decision that is being made.

In this session, participants will:

- Understand the concept of ethical behavior by audit professionals, as well as the inextricable link between culture and ethical behavior.
- Examine characteristics of ethical audit leaders, barriers to ethical behavior and the courage needed to overcome them, and blind spots that often compromise the ethical behavior of internal auditors.
- Explore how to identify and navigate blind spots and other challenges and opportunities awaiting internal auditors as they model ethical behavior in the organizations they serve.

**Richard Chambers** is the CEO of Richard F. Chambers & Associates, a global advisory firm for internal audit professionals, and also serves as Senior Internal Audit Advisor at AuditBoard. Previously, he served for over a decade as the President and CEO of The Institute of Internal Auditors (IIA), where he led the organization to record global membership and countless milestones. Prior, Chambers was National Practice Leader in Internal Audit Advisory Services at PwC and Vice President of The IIA’s Learning Center. He is a globally recognized blogger and award-winning author.

**NASBA: Behavioral Ethics | Learning Level: Basic | CPE Credit: 1.2**



## **CS 2-4: The Troika of Money Laundering, Sanctions, and Corruption: How Internal Audit Safeguards Global Commerce**

**Sven Stumbauer**

**Managing Director; Anti-Money Laundering and Sanctions Practice Leader  
Grant Thornton LLP**

Global commerce has been disrupted and roiled by a perfect storm of forces that have rapidly changed the environment for many worldwide financial institutions representing the core of transaction management behind global commerce. In this environment, financial institutions must become more risk agile and move from backwards-looking compliance measures to proactive risk management. Internal audit plays a significant role in safeguarding financial institutions as a top strategic partner of the board and C-suite.

In this session, participants will:

- Review the disruptive challenges global commerce is facing.
- Understand how increasing regulatory enforcement, geopolitical changes, and record-setting monetary fines have made adequate anti-money laundering (AML) risk management a significant obstacle for financial institutions globally.
- Discuss opportunities and immediate action items that financial institutions should consider to stay ahead of the curve and avoid regulatory criticism and potential sanctions.
- Receive actionable insights to effectuate immediate change within their organization.

**Sven Stumbauer** uses his extensive cryptocurrency, AML, sanctions and Foreign Corrupt Practices Act acumen as a senior financial crimes compliance professional and leader of Grant Thornton's AML and Sanctions practice. With 20+ years of financial crimes, AML, sanctions compliance, anti-bribery, and anti-corruption experience, he has led complex, high-profile regulatory investigations and remediation programs. Stumbauer has also advised financial institutions and global businesses in the United States and 60+ countries worldwide on strategic initiatives, leading and streamlining processes, assisting businesses to achieve strategic goals and effective compliance, and collaborating with C-level executives and board members to evaluate, propose, and deliver effective change and transformation. Additionally, he has served as an independent monitor in prominent enforcement actions around the world.

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

Updated Wednesday, January 18, 2023



## CS 2-5: Public Sector Roundtable

**Stephen D. Kirk, CIA, CGAP**  
**Director, Chief Internal Auditor**  
**Illinois Department of Transportation**

1. **Impact of COVID on the Internal Audit Function, as well as** - Where are we now? Discuss concerns, special changes, implemented to processes. How has the changes impacted the way you approach audits? Discuss positives and negatives that have come about because of COVID. Discuss timing of return to work. Discuss adoption of work-from-home plan or hybrid model of work-from-home and in-office. Discuss changes made with vendors and contractors. Changes to enhance electronic records, electronic signatures, etc.
2. **Audit Specific Risk Assessment and Audit Program Development** - Discuss various approaches for scoping your internal audits.
3. **Discussion Regarding Electronic Work Paper Systems** - Experiences with different software packages, pros and cons.
4. **Maintaining Auditor Independence** - Discuss ways auditors can ensure they are maintaining their independence throughout an audit engagement. What are ways to ensure even though you are inquisitive and skeptical, that you are remaining objective? What is the balance and when has the auditor crossed the line?
5. **Ensuring the Auditor Stays Within the Scope of the Audit** - Discuss avoiding going down a rabbit hole and conducting out-of-scope work vs. ensuring an issue brought to the attention of the auditor or discovered during the course of the audit is not overlooked. Keeping audits on track to finish in a timely manner yet retain quality.
6. **Business Continuity** - Discuss audit's role in ensuring appropriate business continuity and related controls.
7. **Discuss Ideas for Tracking Internal Audit Finding** - Discuss how you track open findings. What do you use?
8. **Audit Management** - Discuss audit time tracking ideas, time budgets, and accomplishing audit plans. What are others doing or experiencing? Ideas for keeping the audit on track and working towards accomplishing the audit plan.



9. **Finding Talented Staff** - How to find good auditors, even good staff who are non-traditional auditors. Discuss recruiting ideas. Engagement with audit associations.
10. **Data Analytics** - How can we use data analytics as one of our tools? Discuss its uses and examples. Include a discussion of specific software.
11. **ERM and Control Environment** - Discuss how we can get management to move forward with ERM and realize it is their responsibility. How can internal audit be part of an impactful program? How does it fit within our responsibility for assessing controls? What is our role to ensure adequate controls are implemented for new processes? Discuss successful approaches or ways to engage.
12. **Gaining Input From Auditees** - Discuss methods used by internal audit to gain feedback such as satisfaction surveys or other methods. Discuss ideas and pros and cons. What do we believe is important to our understanding?
  - Was the auditor professional?
  - Did the audit address the needs of management?
  - Was there adequate communication during the course of the audit?
  - Were they given a good understanding of the process?
13. **Discuss External Audit Coordination/Audit Liaison Work**
14. **Information Technology Related Discussion**
  - A. **Concerns Over Cloud Computing and Data Storage** - Discuss pros and cons of this emerging trend, both systems operating in the cloud and storing data in the cloud. What controls should internal audit ensure are in place. What assurances are needed over the security of the data? What should be implemented to ensure your agency has the ability to retrieve its data should the cloud storage vendor go under? Typically, the agency would only have a relationship with the software vendor, not the cloud storage provider. They usually don't know your agency. How do we overcome this issue?
  - B. **Questions Related to Third-Party Vendors That May Require a SOC Report Review** - Agencies may not have identified the vendor(s) that are relied on to the extent of needing to review a SOC report.
    - Who in the agency is responsible for reviewing the third-party SOC reports?



- Is there a SOC review operating procedure defined for the organization?
  - What is the criteria used to determine if a vendor's SOC should be requested for review? What is the criteria for "reliance"?
  - Right to Audit Clause in Contracts - What should be included to ensure SOC report reviews are specifically stated in the procurement process and extended to subcontractors?
  - What about sub-contractors of IT vendors that would require SOC report reviews? Discuss when this is required.
- C. Many government entities are moving towards a centralized information technology group. Discuss how this has affected your audit approach.

**Stephen Kirk** has 35+ years of government auditing and compliance experience. He has worked for the State of Illinois since 1987, serving as Director of the Office of Internal Audit and Chief Internal Auditor for the Illinois Department of Transportation since 2010. Kirk has served on various industry-related associations and boards and held various leadership roles within those organizations, including the American Association of State Highway and Transportation Officials (AASHTO) and State of Illinois Internal Audit Advisory Board. He was a member of the Board of Governors for The IIA's Springfield chapter 22 years, having previously served as Chapter President, First Vice-President, Second Vice-President, Program Chair, and member of the Board.

**NASBA: | Learning Level: | CPE Credit: 1.2**





Monday | March 13, 2023

4:30 – 5:30 p.m. CT

### CS 3-1: Cyber Risk Excellence: Going Beyond Frameworks and Requirements

**Brenda Bjerke, CISSP, CIPP**  
**Senior Director, Cybersecurity**  
**Target Corporation**

The last few years have proven to be an extreme test for organizations as they quickly pivoted to a digital-first environment and faced new operational realities, including acceleration of cyber threats. This session will explore how to support evolving business priorities and create a risk-aware culture across the enterprise. Enabling strong collaboration between cyber risk and threat intelligence practices creates a meaningful, ongoing conversation about risk tolerance, program governance, and policy alignment to deliver on management expectations.

In this session, participants will:

- Discover how to develop a threat-focused cyber risk program.
- Hear tips for building a high-performing team with deep subject matter expertise and well-informed professional judgment.
- Understand how to create a risk-aware culture across the enterprise and enable the business to drive growth.

**Brenda Bjerke** is a Senior Director of Cybersecurity at Target, where she leads the Cyber Risk team and is responsible for the Cybersecurity Management Office, Information Security Policy, Training & Awareness, Vendor Security, Business Information Security Office, and Payments & Compliance (PCI, GLBA, SOX, HIPAA) teams for the enterprise. She joined Target in 2003. After Target’s data security incident in 2013, Bjerke played an important role in transforming Target’s security culture. She serves on the Executive Leadership Team for Target tech’s Diversity Action Committee to help ensure a culture of open dialogue, diversity, inclusion, and respect. Additionally, she serves as the Executive Women’s Forum (EWF) champion to advance women in security initiatives at Target and mentors several women in the tech industry. Recently, Bjerke has taken on a leadership role as an Ambassador to Cyversity to support the growth of a diverse workforce within cybersecurity.

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

Updated Wednesday, January 18, 2023



## **CS 3-2: Continuous Assurance: Strengthening the First and Second Lines**

**David Malcom, CISA**  
**Senior Vice President, Managing Director, Digital and Data Analytics Lead**  
**Northern Trust**

**Dennis Bichsel**  
**Director, IT Audit Services**  
**Northern Trust**

**Jeffrey Johnson**  
**Senior Vice President**  
**Northern Trust**

**Joseph Gonski**  
**Senior Vice President, Data Analytics Program Lead, Audit Services**  
**Northern Trust**

With the advancement of technology, the role of the traditional internal audit function is changing. Hear how the Northern Trust audit team partnered with the first and second lines of defense to establish a continuous assurance model over system access. Through rules-based analytics, business intelligence, and predictive analytics, key applications are monitored regularly. This enables the first and second lines to achieve risk-based coverage over system access and ensure compliance with external regulatory oversight.

In this session, participants will:

- Examine internal audit's opportunities to partner with the business to achieve continuous assurance in lieu of sample-driven testing after the fact.
- Understand how audit and the first and second lines of defense can work together to achieve mutual objectives.
- Learn how various analytical techniques can be combined to offer a comprehensive risk profile.
- Discover how data analytics can be utilized to shift traditional control monitoring procedures into a continuous assurance framework.

**David Malcom** has 22 years of technology audit and risk consulting experience. Upon joining Northern Trust in August 2021 in the new role of Senior Vice President and Managing Director of Audit Services, he was tasked to build out a team with the skills and



experience needed to assess risk and audit digital transformation programs and the emerging technologies underpinning these efforts. Previously, as a Managing Director at Accenture for 15+ years, Malcom led the Global IT Audit and Data Analytics team and played a key role in transforming the Internal Audit department to become digital and data driven. Earlier in his career, he served as Chief Information Security Officer for a global hospitality company and spent several years with the Big 4.

*Dennis Bichsel's Bio Being Finalized*

*Jeffrey Johnson's Bio Being Finalized*

**Joe Gonski's** career includes experience in both audit and data/technology settings. Starting as an external auditor with KPMG, he eventually became the internal audit data analytics lead for Accenture, developing their analytics capability from scratch. Gonski was recognized as the 2021 IIA-Chicago Innovator of the Year for the cutting-edge program developed at Accenture, which embedded data analytics into all phases of the internal audit cycle. Currently, he leads the data analytics function for Northern Trust Internal Audit.

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

### **CS 3-3: Team Engagement: Creating Connection and Driving Results**

**Stacey Schabel, CIA, CPA**  
**Chief Audit Executive**  
**Jackson Financial, Incorporated**

In today's environment, team engagement is more important than ever. Whether your team is fully remote, hybrid, or in the office, creating connection is key to driving team retention, happiness, and results. This presentation will highlight time-tested techniques to ensure your team is more connected than ever and has fun delivering superior results.

In this session, participants will:

- Examine practical ways to create connections across their team, no matter their work locations, driving team engagement and results.
- Hear from team members on the results realized from using these techniques.
- Examine ways to assess team engagement and solidify action plans.



**Stacey Schabel** has 20+ years of audit and risk management experience, leading successful public company teams in the financial services industry. She oversees the JFI Internal Audit team in examining and evaluating key processes and controls supporting the operations of Jackson Financial Inc. (JUN), including Jackson National Life Insurance Company. Schabel 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 risk management, control, and governance processes. Passionate about furthering the internal audit profession and supporting the development of future leaders, she served for four years on The IIA’s Global Financial Services Guidance Committee and currently serves on The IIA’s Content Advisory Council.

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

### **CS 3-4: When Cash Is King: Risks in Cash-intensive Industries Like Cannabis**

**Chris Jeffrey, CPA**  
**Partner, Risk Advisory**  
**Baker Tilly**

**Jason Meneses**  
**Vice President, Internal Audit**  
**Jushi Holdings Incorporated**

**Joe Shusko, PMP, CISA**  
**Principal, IT and Cyber Risk**  
**Baker Tilly**

**Mumta Taneja, CRMA**  
**Senior Manager, Risk Advisory**  
**Baker Tilly**

This session takes a deep dive into the top risks facing cash-heavy industries like cannabis and gaming. We will deliver insights and mitigation strategies, including firsthand experiences from a cannabis audit executive, into how to approach the challenges of cash, fraud, HR, regulatory, and cyber/IT risks and controls. You will walk away with a better understanding of how to address hazards that could be lurking in the blind spots of your growing business!



In this session, participants will:

- Gain an understanding of key risks facing companies in cash-intensive and highly regulated industries.
- Hear about tools, techniques, and leading practice strategies to address those key risks.
- Discuss internal audit's role in supporting leadership and evaluating and addressing those key risks across the organization.

**Chris Jeffrey** leads Baker Tilly's firmwide cannabis practice and the Illinois risk advisory practice. He has 20+ years of experience providing industry-specialized services in large and complex organizations across 20+ countries on four continents. His technical practice areas include Sarbanes-Oxley (SOX) compliance, co-sourced and outsourced internal audit, risk assessment, financial and operational risk management, internal controls, and organizational governance. Jeffrey has held multiple leadership positions within Baker Tilly, helping stand up numerous service lines, including outsourced internal audit, co-sourced internal audit, SOX compliance, and ESG. He speaks and writes regularly on topics related to risk management and the cannabis industry.

#### *Jason Meneses's Bio Being Finalized*

**Joe Shusko** is a Principal in Baker Tilly's Risk Advisory practice, based in its significantly expanding Chicago market. He has more than 20 years of team building and decision-making experience with a proven track record of reputable performance. As demonstrated throughout his career as a U.S. Marine Corps infantry officer, cybersecurity and information technology (IT) specialist, Shusko helps clients evaluate and mitigate their key cybersecurity risks, bringing significant expertise in IT audit, cybersecurity, IT SOX, and ERP control assessments.

**Mumta Taneja** is a Senior Manager in Baker Tilly's Risk Advisory practice with 18 years of experience delivering risk advisory, Sarbanes-Oxley (SOX) compliance and internal controls, consulting, and internal audit services. She has a diverse industry background across cannabis, manufacturing and distribution, software and technology, and food and beverage organizations. Her expertise includes conducting enterprise risk assessments, auditing business processes, performing data analytics, determining SOX readiness, and implementing and evaluating SOX compliance.

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



**Tuesday | March 14, 2023**

**8:45 – 9:45 a.m. CT**

**GS 3: The New *Standards*: Elevating the Internal Audit Profession for the Future**

**Dr. Lily Bi, CIA, CRMA, CISA**  
**Executive Vice President, Standards, Guidance, and Global Certifications**  
**The IIA Global Headquarters**

**J. Michael “Mike” Peppers, CIA, QIAL, CRMA, CPA**  
**Senior Advisor to the Standards**  
**Chief Audit Executive**  
**The University of Texas System**

**Paul Sobel, CIA, QIAL, CRMA**  
**Senior Advisor to the Standards**  
**Chairman Emeritus**  
**Committee of Sponsoring Organizations of the Treadway Commission (COSO)**

Today’s rapidly evolving global landscape makes clear the need to revise the International Professional Practices Framework (IPPF) to better serve and elevate the internal audit profession globally. The IIA has undertaken an unprecedented project to review and revamp the IPPF and change the *Standards*. Through the new *Standards*, The IIA aims to transform the internal audit profession, ensure the professional practice of internal auditing, and evaluate internal audit’s impact on the organization and its stakeholders.

In this session, participants will:

- Hear about the progress of the IPPF Evolution project and how the IPPF is being simplified and streamlined.
- Gain insights on how the *Standards* are developed to stay current and relevant.
- Learn key changes to the new *Standards* as well as how to comment on the changes and implement the new *Standards*.
- Understand the impact of new *Standards* on professional practices and internal audit’s role in enhancing the organization’s sustainable value creation and protection.

**Dr. Lily Bi** has 30 years of experience in internal audit, risk management, IT, strategic management, and global credentialing in the United States, Japan, Singapore, and China. As





Executive Vice President of Standards, Guidance, and Global Certifications at The IIA, she leads international standards and guidance setting for the global internal audit profession, as well as the organization’s unprecedented project to review and revamp the International Professional Practices Framework. Dr. Bi also oversees all of The IIA’s global certifications and provides strategic direction to certification programs impacting 300,000+ candidates and certified individuals worldwide. She received her Doctor in Business Administration degree from the University of South Florida.

**J. Michael “Mike” Peppers** is Chief Audit Executive for The University of Texas System in Austin. His 30-year career began in public accounting and has included serving as CAE at U.T. MD Anderson Cancer Center and U.T. Medical Branch. Peppers was The IIA’s 2017–18 Chairman of the Global Board and 2012–13 Chairman of the North American Board; he currently chairs the International Internal Audit Standards Board, and has been President of the Houston and Florida West Coast Chapters. Peppers has written and co-authored auditing articles and speaks often on internal audit-related topics. He has been recognized as a Distinguished Faculty Member in The IIA’s volunteer faculty program, was inducted into the American Hall of Distinguished Audit Practitioners in 2019, and received the Victor Z. Brink Award for Distinguished Service in 2021.

**Paul Sobel** is Chairman Emeritus of COSO, having served as Chairman from February 2018 through December 2022. He retired from Georgia-Pacific in 2020, having served as Vice President/Chief Risk Officer and CAE. Sobel authored or co-authored *Managing Risk in Uncertain Times*; *Auditor’s Risk Management Guide: Integrating Auditing and ERM*; *Internal Auditing: Assurance and Advisory Services*; and *Enterprise Risk Management: Achieving and Sustaining Success*. He was The IIA’s Chairman of the Board in 2013–14 and held other IIA leadership roles. Sobel’s accolades include being named to *Treasury & Risk Magazine’s* 100 Most Influential People in Finance as well as being inducted into The IIA’s American Hall of Distinguished Audit Practitioners and receiving the Bradford Cadmus Memorial Award and Victor Z. Brink Award.

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



**Tuesday | March 14, 2023**

**8:45 – 9:45 a.m. CT**

**CS 4-1: Internal Controls Over Sustainability Reporting**

**Lucia Wind**  
**Board Chair**  
**COSO**

**Brad Monterio**  
**Executive Vice President**  
**Member Competency and Learning**  
**The IIA Global Headquarters**

*Session Information Being Finalized*

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

**CS 4-2: The Internal Auditor of the Future**

**Dawnella Johnson, CPA**  
**Internal Audit Services Leader**  
**Crowe LLP**

**Moshmee Kalamkar**  
**Director, Operations, System Audit Office**  
**The University of Texas System**

Internal audit is in need of new innovation. The businesses we serve have changed radically – and are still changing. That means we need to change too. We’re proposing a totally new way of doing internal audit, which we believe will become the way of the future in as few as three years. This presentation will reveal the four “Pillars of the Future” that have transformed Crowe’s internal audit business. You’ll discover tangible ways to make your practice more human centered, leverage technology and data to improve your processes, and position yourself as a frontrunner in the new age of internal audit. The presentation, based on a popular webinar of the same name presented to The IIA last fall, will address questions and concerns around how to communicate the new approach to leadership and formulate an action plan.



In this session, participants will:

- Discover tangible ways to make their internal audit practice more human-centered.
- Take away steps to align project and process goals to the organization's strategic roadmap to support a sharper business advocacy approach.
- Consider how data and technology can be leveraged to ensure continuous improvement and standardized activities.
- Identify ways to incorporate experience checkpoints at every stage of an internal audit and learn from best practices.
- Understand how to find insights and refine the internal audit methodology to improve outcomes.

**Dawnella Johnson** is a driving force in creating a culture of excellence, innovation, and inclusion. She has helped develop technologies and solutions that empower organizations to be more productive and profitable. Johnson was named to the 2022 Most Powerful Women in Accounting by the AICPA and CPA Practice Advisor. As one of the top leaders in the accounting profession, her leadership has had a demonstrable effect upon the accomplishments of her organization. A mentor, sponsor, and role model, Johnson encourages those around her to thrive and flourish.

*Moshmee Kalamkar's Bio Being Finalized*

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

### **CS 4-3: Internal Audit and Raising Awareness for DEI**

**Chris Caldwell**  
**Risk and Financial Advisory Manager**  
**Deloitte & Touche LLP**

**Lauren Shaw**  
**Senior Manager**  
**Deloitte & Touche LLP**

With DEI awareness rising worldwide, organizations that nurture a fair workplace will thrive. Internal audit has the skill set to help organizations track their DEI goals, advise on tackling cognitive biases, and accelerate building an all-inclusive culture. This session will focus on topics covered in the recently published series produced jointly by Deloitte, the



Internal Audit Foundation, and The IIA on internal audit’s opportunity and obligation to nurture an inclusive culture by starting within its own function.

In this session, participants will:

- Learn more about the current DEI landscape.
- Discover how internal auditors can leverage their skills to support DEI initiatives within their organization.
- Understand how to continue fostering DEI within their own function.

**Christopher Caldwell** is a Manager within Deloitte Advisory with more than five years of risk advisory experience in the areas of Service Organization Control (SOC)/SSAE18 reporting, information systems, and Sarbanes-Oxley (SOX) readiness and compliance. He has served on SOX co-sourcing engagements, SOC 1 readiness assessments, SOC 1 and SOC 2/2+ assessments, and ITGC discovery engagements at consumer products, financial services, and technology, media, and telecommunications companies. Caldwell was also a firm DEI champion for “Diversity, Equity, and Inclusion (DEI) 101: Internal Audit’s Invaluable Role in Creating a Sense of Belonging at Work,” authored and published in collaboration with The IIA.

**Lauren Shaw** has been with Deloitte for more than 13 years, specializing in delivering risk and internal audit services in the health care industry. For the past five-plus years, she has worked to develop the “Future of Internal Audit” conceptual framework and led the implementation and transformation for internal audit departments. As part of her role in internal audit innovation, Shaw has focused on the concept of internal audit and the intangibles around topics such as ESG, culture risk, and diversity, equity, and inclusion (DEI). Recently, she co-authored Deloitte’s DEI placemat, “Internal Audit’s Role in Diversity and Inclusion,” which was published in The Wall Street Journal. Shaw is a frequent speaker on this topic, having presented at IIA meetings and industry events for internal auditors.

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



## CS 4-4: Internal Audit’s Role in Avoiding the Perfect ESG Storm

**Jim Pelletier**  
**Senior Product Manager**  
**Wolters Kluwer TeamMate**

**Michelle Hurley, CSPO**  
**Senior Product Marketing Specialist**  
**Wolters Kluwer TeamMate**

A “perfect storm” is a particularly bad or critical situation, arising from a number of adverse and unpredictable factors. Savvy organizations recognize the potential disruption and impact that weather-related events and more broadly, ESG risks, can have on their businesses – employee safety, supply chain, sales/revenue, business continuity, and more. There is a need for internal auditors to understand and have a clear direction on how to identify, measure, report, and mitigate ESG-related risks.

In this session, participants will:

- Examine the scope of ESG, including key drivers, risk considerations, and how the risk landscape is rapidly evolving.
- Hear about the cause and impact of perfect storm scenarios and real-life examples.
- Explore skills and tools internal auditors need to identify and address ESG risk.

**Jim Pelletier** has 20+ years of internal auditing experience in the public and private sectors. Currently, as a Senior Product Manager with TeamMate Audit Solutions, he works to continuously improve audit productivity while delivering strategic insights via TeamMate’s best-in-class solution. Pelletier previously served in a number of leadership roles at The IIA, including Learning Portfolio Strategy, Standards and Professional Knowledge, Professional Guidance, the Audit Executive Center, the Financial Services Audit Center, the Public Sector Audit Center, the Environmental, Health and Safety Audit Center, Ia Magazine, North American and Global Advocacy, and IIA Quality Services LLC. His earlier experience included City Auditor for the city of Palo Alto, CA; Chief of Audits for the County of San Diego, CA; and internal auditing roles at the California State University System, PETCO Animal Supplies, Inc., State Street Corporation, and General Electric.

**Michelle Hurley** is a Senior Product Marketing Specialist for Wolters Kluwer TeamMate, where she develops and drives engaging marketing, customer outreach, and sales enablement programs. She uses her experience working with audit departments to



influence the product roadmap and gauge the value of TeamMate+ to help audit departments overcome the challenges facing their industry. Throughout her career, Hurley has held several senior roles in channel marketing and digital product marketing. She is a Certified Scrum Product Owner.

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





Tuesday | March 14, 2023

12:45 – 1:45 p.m. CT

### **CS 5-1: ESG Assurance Readiness- Preparing for Verification**

**Douglas Hileman, CPEA, CRMA, FSA**  
**President and Founder**  
**Douglas Hileman Consulting LLC**

**Edward Olson**  
**Partner, National Leader, Environmental, Social & Governance**  
**MNP LLP**

Mandatory sustainability reporting is upon us. Companies are expected to include disclosures on ESG topics in reporting to capital markets, including business-to-business disclosures within the enterprise value chain. Those who rely on these disclosures expect completeness and accuracy to make critical decisions, as they do with financial statement disclosures. Learn to help your organization through conducting a readiness assessment to evaluate systems, processes, and controls, including the underlying data. Find gaps and help your organization mature its sustainability maturity and reporting before an independent third party issues a qualified report that could damage your organization's reputation.

In this session, participants will:

- Confirm the appropriate standards, frameworks, and disclosures for a sample of identified topics (e.g., DEI, GHG, Health & Safety).
- Discuss expected design of controls for sustainability topics and what the internal auditor needs to keep in mind that is different from financial statement disclosures.
- Gain insights into gaining comfort over the completeness, accuracy, and verifiability of ESG topics related to operational effectiveness testing.
- Hear about common gaps to keep in mind.
- Explore current/proposed guidance for assurance engagements other than audits of historic financial information, including what external verifiers will be considering in their audit of an organization's sustainability disclosures.

**Douglas Hileman** helps clients with risk management, compliance, capacity building, and audits in the ESG space. He often provides ESG subject matter expertise to law firms, accounting firms, and IT and management consultancies. He draws on 40+ years of experience, including in industry, "second line auditing" (environmental, safety),



supporting internal audit and external assurance. Hileman was the senior environmental management and environmental auditing specialist on the Volkswagen Monitor Team. He worked at PwC for six years, beginning just as Sarbanes-Oxley was passed. He supported advisory and assurance engagements as sustainability SME. He has contributed ESG content at chapter, regional, and national conferences. Hileman is on a core team updating a report linking the COSO Internal Controls Framework to ESG – scheduled for release in early 2023.

**Edward Olson** is a Partner and the National Leader, Environmental, Social, and Governance with MNP LLP, where he assists clients with ESG sustainability awareness and adoption as well as provides ERM, internal audit, corporate governance, regulatory compliance, process efficiency, performance improvement, and value for money audits, working with executive leadership teams, boards, internal audit and compliance departments, and industry regulators. Olson previously led a Canadian public accounting firm’s Advisory Services practice, served as chief audit executive at a Canadian electric power and gas distribution/retail company, guided the transformation of an alternative energy company, and was a partner in a firm where he worked as an outsourced CAE for financial services clients.

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

## **CS 5-2: Digital Internal Audit: The Upside and Risks of Extended Reality and Metaverse**

**Michael Smith**  
**Internal Audit and Enterprise Risk Partner**  
**KPMG**

**Nana Amonoo-Neizer, CISA, CISM**  
**Director, Technology Risk**  
**KPMG**

**Stephanie Kim**  
**Senior Director**  
**KPMG**

Extended reality (XR) refers to all real-and-virtual combined environments that enable tech-enabled interactions. The promise of XR is fueling predictions for once-unthinkable possibilities within the fast-emerging metaverse. By 2030, we could be spending more time in the metaverse than in the real world. However, as organizations race to embed these



technologies into their business functions, there are many risk-related challenges they must consider. Internal audit will be charged by stakeholders to identify and help respond to risks and make progress managing this emerging technology. There is a need for a comprehensive framework and crypto-specific capabilities to support this transformation and prepare for a changed future.

In this session, participants will:

- Be introduced to the metaverse and XR.
- Understand opportunities for organizations to harness the benefits of XR to drive business forward.
- Learn about potential upsides and risks regarding XR, steps organizations can take to turn risks into opportunities, and how to manage the risks to build stakeholder trust.
- Examine the internal audit function's role in XR, including what we've learned from other technologies that internal audit can apply to this wave of innovation and how internal audit can know when to make bets in this space.

**Michael Smith** is an Internal Audit and Enterprise Risk Partner in KPMG's Advisory business with 25+ years of experience leading audit, risk, and compliance programs. He leads a dedicated innovation team that works across the KPMG network to help clients execute against their core internal audit and SOX needs, drive risk management improvement, and advance core internal audit capabilities. His approach focuses on connecting the enterprise and internal audit agendas – across culture, people, technology, and process – to create a more valuable and resilient internal audit team. Smith serves as the U.S. Solution Lead for Internal Audit and previously served as the U.S. Lead of KPMG's Intelligent Automation for Internal Audit and ICOFR Team.

**Nana Amonoo-Neizer** is a Director in KPMG's Technology Risk (TR), focused on technology governance, risk, and controls engagements. He currently leads the KPMG TR Emerging Technology Risks Center of Excellence (COE) team in performing extensive external and internal technology research, partnering with industry thought leaders, and gathering lessons learned from various projects to enable the firm's professionals to assist clients in addressing current and emerging risks on deployed technology solutions.

*Stephanie Kim's Bio Being Finalized*

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



## CS 5-3: Internal Audit’s Role in Organizational Trust 5x5: Insights and Actions

**Geoff Kovesdy**

**Principal**

**Deloitte and Touche LLP**

**Michael Bondar**

**Principal, Risk and Financial Advisory**

**Deloitte and Touche LLP**

Trust is not just an abstract concept to define and better understand; it has become a tangible and strategic priority for organizations across sectors and industries all over the globe. Simply put, we have entered a “Trust Age” – where a wide range of stakeholders hold organizations accountable for being trustworthy. Internal audit can play a critical role in helping bring the topic of trust into focus.

In this session, participants will:

- Learn about the impact of trust on organizational performance.
- Uncover the various factors influencing trust for organizations.
- Discover actions that organizations can take to better manage trust and build “trust equity” to improve performance, generate value, and build resilience.
- Gain perspective on the role internal audit can play in helping organizations manage trust.

**Geoff Kovesdy** leads risk assessment capabilities for Deloitte, bringing more than 17 years of experience in modernizing and transforming risk management activities across the three lines through digital capabilities. This includes developing and implementing strategy, facilitating workshops, and identifying and developing use cases. Kovesdy specializes in enhancing end-to-end risk management activities and programs.

**Michael Bondar** is a Principal in the Risk & Financial Advisory business, leading Deloitte’s Enterprise Trust offering. He focuses on helping clients improve organizational performance by building, protecting, and enhancing levels of trust for companies across a wide range of stakeholder groups. Bondar spent the first decade of his career leading business process transformation and ERP implementation programs for global clients in the consumer, life sciences, healthcare, technology, media, and telecom industries. Then, after spending time as a technology executive at a leading software company, he returned to Deloitte to lead Global Innovation efforts focused on developing, scaling, and commercializing the firm’s technology-based solutions.



**NASBA: Behavioral Ethics | Learning Level: Intermediate | CPE Credit: 1.2**

### **CS 5-4: Crypto Hacks, Scandals, and Headlines: Governance in Emerging Technology**

**Dana Lawrence, CIA, CRMA, CFSA, CAMS, CRVPM**  
**Chief Compliance Officer and Advisor**  
**Fideseo**

More and more, we are reading news headlines about crypto hacks, fintech fraud related to PPP loans, and emerging technology that ultimately causes harm to everyday people. In this session, participants will walk through case studies of key headlines to explore control breakdowns. We will discuss the top ways internal auditors can stay at the intersection of emerging risk, technology, and strong internal controls.

In this session, participants will:

- Walk through notable cases studies related to the crypto and fintech industry to identify control issues.
- Learn the fundamental risks associated with cryptocurrency and fintech.
- Identify best practices to ensure appropriate internal controls in emerging technology.

**Dana Lawrence** is the Director of Fintech Compliance at Pacific West Bank and Advisor for Fideseo. She is a recognized expert and leader in complex compliance, ERM, internal audit, and governance program creation, scaling, and remediation. Lawrence's career in technology and financial services spans mortgage, community banking, large U.S. and global banks, open banking partners, and fintech, including Umpqua, Bank of the Cascades, BBVA, and others, from \$2B to \$660B in assets. She's held senior leadership roles, working directly with banking regulators and internal/external auditors. Lawrence is a committed volunteer and thought leader, serving various groups such as The IIA and speaking at local, national, and global events with up to 40,000 participants.

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





**Tuesday | March 14, 2023**

**2:00 – 3:00 p.m. CT**

**CS 6-1: Ethical Dilemmas and Privacy Rights With the Use of Artificial Intelligence and Machine Learning Over Big Data for Chief Audit Executives**

**David Helberg, CIA, CRMA, CFE**  
**Director, Internal Audit; Corporate Ethics and Privacy Officer**  
**Cameco**

Privacy, security, and trust are increasingly vital and intertwined in our data-driven society. The use of artificial intelligence and machine learning has become increasingly widespread in our work. While an employee has a right to privacy in the workplace, that right is not absolute, as it must be balanced with the right of the employer to protect legitimate business interests. The difficulty in this is that our organizations face a growing patchwork of new data protection and privacy laws to navigate.

In this session, participants will:

- Review the privacy and data protection landscape.
- Discuss the convergence of big data and technological advances.
- Study the intersection of privacy, big data, and technological advances in conducting internal audit and anti-fraud procedures.

**David Helberg** is a widely recognized and respected senior governance, risk, and audit leader. He has been a coach, mentor, and trusted business advisor to numerous professionals and a frequent lecturer on internal audit, ethics, and compliance. Along with an broad background in providing assurance and advisory services with a world-leading professional services firm and with large publicly traded organizations, Helberg has several years of marketing management experience. He is the Director of Internal Audit and the Corporate Ethics and Privacy Officer (Chief Internal Audit Services) at Canadian-based mining company, Cameco, and is a member of The IIA's North American Board. Helberg specializes in governance, corporate privacy, corporate strategy and marketing, operational excellence, internal audit and controls, enterprise risk management, and leadership.

**NASBA: Behavioral Ethics | Learning Level: Intermediate | CPE Credit: 1.2**





## **CS 6-2: Forging a Cutting-edge Compliance Program**

**Mischa Lewis**  
**Director Central controls and Compliance**  
**Microsoft**

*Session Information Being Finalized*

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

## **CS 6-3: Case Study: Creating a Culture of Compliance – Why Compliance and Internal Audit Need to Partner**

**Benjamin Bard**  
**Vice President, Global Chief Compliance Officer, and Chief Audit Executive**  
**ADM**

**Traci Toohill, CIA, CRMA, CFE**  
**Assistant Director, Internal Audit**  
**ADM**

Increasing expectations require internal audit functions to innovate, collaborate, and more closely align with business strategy – without compromising independence. Internal audit and compliance functions can provide heightened value to the organization by optimizing their collective talent, resources, competencies, risk insights, and institutional knowledge. This case study will provide practical, real-world examples of how the two functions can successfully partner together.

In this session, participants will:

- Examine how joint development of data analytics models can increase the effectiveness of compliance monitoring, fraud detection, and internal investigations support.
- Gain insights into aligning human capital strategy to upskill and cross-train compliance and internal audit professionals to deliver high performance within and across functional lines.
- Discover how to leverage common tools and platforms to deliver risk-informed training, communications, and awareness to foster a culture of compliance and a stronger control environment.



**Benjamin Bard** has 20+ years of legal, compliance, and risk management experience. He leads ADM’s worldwide compliance and internal audit functions as Vice President, Global Chief Compliance Officer, and Chief Audit Executive. Previously, as Senior Anti-corruption and Trade Sanctions Compliance Counsel at The Coca-Cola Company, Bard was responsible for managing global ethics and compliance programs. Prior, he held various corporate compliance and risk management roles in the financial services industry. Bard serves on the board of directors for the Ethics & Compliance Association and is a guest lecturer at Chicago-area law schools. He was named a Top Mind by Compliance Week in 2018. He received his J.D. from Case Western Reserve University School of Law.

**Traci Toohill** has 22+ years of experience as an internal auditor. As Assistant Director for the Global Internal Audit function at ADM, she serves on the ADM Internal Audit leadership and strategy team and partners with the Carbohydrate Solutions business. Previously, as Sarbanes-Oxley and External Audit Coordinator for ADM Internal Audit, Toohill was responsible for preparation and execution of the Global annual audit plan. She has worked on audit projects relating to financial, operational, and Sarbanes-Oxley at multiple Global ADM locations. In 2022, Toohill was elected as an IIA Chapter Relations Committee District Representative for the Central #2 region. She served twice as President of The IIA’s Central Illinois Chapter and on the Chapter Board of Governors for many years.

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

#### **CS 6-4: Current Market Conditions and Inflation**

**James Gannon**  
**Managing Director**  
EY

**Karl Erhardt**  
**Managing Director**  
EY

Current market conditions are impacting enterprise strategy, governance, and business decisions. A perfect storm led to extreme volatility in 2022. Pandemic, supply chain, fuel supply, war, fiscal policy, and other risks impacted global economic uncertainty. We will highlight how to support the enterprise and mitigate these risks, as well as where to provide assurance during these challenging times. Areas where internal audit can help include governance, models, expenses, product pricing, and communications.



In this session, participants will:

- Gain perspective on current market conditions and inflation.
- Understand and discuss key impacts to the banking capital markets and insurance sectors, including enterprise strategy, governance forums, and external reporting.
- Explore internal audit's impact and how internal audit should plan for enhanced coverage.

**Jim Gannon** is a Managing Director in the Consulting Services practice of Ernst & Young LLP. He has more than 20 years of experience in the financial services industry, specializing in internal controls, quality reviews, enterprise risk management (ERM), model risk, risk culture, risk conduct, risk appetite, and corporate governance. His background includes extensive work with banks, government sponsored entities (GSEs), depositories, exchanges, clearing houses, investment banks, investment advisors, and broker-dealers.

**Karl Erhardt** is a New York area based Managing Director in the Financial Services Organization's Business Consulting service line of Ernst & Young LLP. He is a leader in the enterprise risk management and internal audit competencies, with a focus on the insurance sector. Erhardt joined EY in January 2021 after a multi-decade career serving as Chief Auditor and a C-suite executive for a Fortune 50 leading global provider of insurance protection, retirement, and savings solutions. Additionally, he led a global data project to synthesize data governance and data management practices.

**NASBA: Economics | Learning Level: Intermediate | CPE Credit: 1.2**



Tuesday | March 14, 2023

3:30 – 4:30 p.m. CT

## CS 7-1: Future of Internal Audit Data Analytics: Artificial Intelligence, Machine Learning, and RPA

**Ajay Kumar, CPCU, CISSP, TOGAF, CISA, CRISC, CGEIT, ITIL**  
**Director, IT Internal Audit**  
**Citizens Property Insurance Corporation**

**Francisco Aristiguieta, CIA**  
**Manager, Data Analytics**  
**Citizens Property Insurance Corporation**

This session will present an overview of data analytics within internal audit data, as well as examine both the current state and future of audit data analytics. It will explore the value derived from artificial intelligence (AI), machine learning (ML), and robotic process automation (RPA), and provide live examples of AI, ML, and RPA.

In this session, participants will:

- Understand how data analytics is impacting the internal audit profession.
- Distinguish emerging technologies, such as AI, ML, and RPA, and the value derived from their use in internal audit.
- Develop ideas for AI, ML and RPA use cases in internal audit.
- Visualize AI, ML, and RPA in action.

**Ajay Kumar** is a Director of IT Internal Audit with Citizens Property Insurance Corporation, where he leads a highly skilled and passionate team focused on IT internal audit and data analytics, including AI/ML. As a thought leader with 20+ years of progressive experience in IT, internal audit, information security, enterprise architecture, and IT governance, Kumar has worked in various industries, including management consultancy, financial services, and insurance. He has created data analytics strategies at various organizations and led teams to implement the strategies since their inception. Kumar frequently speaks at conferences and local chapter meetings about IT, internal audit, and data analytics.

**Francisco Aristiguieta** is a strategic and innovative leader at Citizens Property Insurance where he is currently responsible for internal audit data analytics. Proficient in key data analytics tools for ETL, visualization, and RPA, Aristiguieta has supported professional



associations and user groups by giving presentations on the design and implementation of data analytics programs. In addition, he has shared his vision for internal audit analytics in multiple Internal Auditor magazine articles and IIA blog posts.

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

### **CS 7-2: Adding Big Value With Small Audit Teams**

**Sarah Duckwitz**  
**Director, Internal Audit**  
**CrossFirst Bank**

Small audit departments can add value to their companies while still providing assurance. This session will share strategies and examples for how audit teams can be a competitive advantage for their company, even with limited resources. Included will be a discussion on leveraging technology in small audit teams for assurance and advisory.

In this session, participants will:

- Discover how to effectively combine advisory into their assurance engagements.
- Learn how to identify and plan for special projects as well as how to showcase results and impact when complete.
- Gain insights into leveraging technology for value-add projects and audit coverage.

**Sarah Duckwitz** is Director of Internal Audit at CrossFirst Bank, a publicly traded bank with over \$7 billion in assets. In addition to leading internal audit departments at two other financial institutions, she has worked in numerous industries, including retail, energy, architecture, construction, and consulting. With 20+ years of experience in small internal audit departments, Duckwitz knows the meaning of “small but mighty” and has developed a solid reputation for building strong relationships across departments, including finance, operations, information technology, and compliance. Whether building risk strategies or providing information and insights to key stakeholders in small or large firms, she has leveraged small teams to accomplish big objectives. Duckwitz is also a longtime volunteer with The IIA’s Kansas City Chapter.

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



## **CS 7-3: The 10 Characteristics of Exceptional Internal Audit Leaders**

**Sue Ulrey, CIA, QIAL, CRMA, CFE, CRISC**  
**Executive Director, Risk Advisory Services**  
**Morgan Franklin Consulting**

Internal audit functions with highly effective leadership perform better and add greater value to their businesses. Most research supports this claim. Our session will explore what effective leadership looks like and why it makes such a difference. In addition to identifying the top 10 key characteristics that the most effective internal audit leaders exhibit, we will evaluate how these characteristics correlate to internal audit's ability to add more value and drive enhanced performance.

In this session, participants will:

- Describe and understand the characteristics of exceptional internal audit leadership.
- Identify opportunities to enhance internal audit value by leveraging these traits within their own organization.
- Develop a framework and action steps to deliver improved performance in their own organization.

**Sue Ulrey** serves as Executive Director in Risk Advisory Services at MorganFranklin Consulting, focused on serving the financial services and healthcare markets. Since joining the firm in 2021, she has led the Quality Assessment Reviews practice. Ulrey also oversees client service delivery and business and people development efforts, drawing on her 20+ years of experience in internal audit, ERM, and external QARs, and contract, regulatory, and SOX compliance. She has presented at 65+ professional and industry conferences. Ulrey currently serves on The IIA's Professional Certifications Board and North American Nominating Committee. Prior IIA roles included Exam Development Committee Chair, Global Nominating Committee member, Research Foundation Trustee, and Board of Research Advisors Chair.

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





## **CS 7-4: Auditing the Public Sector Like a Business: The Role of Internal Audit in Public Sector Governance**

**Elizabeth Sullivan**

**Vice President, Chief Risk and Audit Officer  
Washington Metro Area Transportation Authority**

**Mike Fucilli**

**Audit Director  
Washington Metro Area Transportation Authority**

Public sector auditing can be described as a systematic process of objectively obtaining and evaluating evidence to determine whether information or actual conditions conform to established criteria. Public sector auditing helps create suitable conditions and reinforce the expectation that public sector entities and public servants will perform their functions effectively, efficiently, ethically, and in accordance with applicable laws and regulations. Private corporations strive for profit; in government, we strive for a balanced budget while maintaining the public trust.

In this session, participants will:

- Understand how to help government organizations achieve accountability and integrity and improve operations through elimination of bureaucracy.
- Learn how to provide invaluable credibility and confidence to their organizations' customers/clients and stakeholders.
- Discuss how to address the current shake-up in audit regulation resulting from the failure of some auditors to spot either material misstatements in published accounts or signs of imminent financial failure.

**Elizabeth Sullivan** is the Vice President of Internal Audit and Compliance for Washington Metro, one of the top five transit properties in North America. She also serves on The IIA's North American Board.

**Michael J. Fucilli** has 40+ years of internal auditing experience in the public and private sector, including financial services. He was Auditor General at Metropolitan Transportation Authority, the largest public sector transit authority in North America, with operating revenues in excess of \$15 billion and a capital program of \$5 billion. Fucilli is currently Audit Director for the Washington Metro Area Transportation Authority, overseeing GRC, Technology, Forensic Auditing, and SOX Reporting. He has managed a staff of 85



professionals. Fucilli has served on The IIA's North American and Global Boards and is a frequent speaker and presenter for The IIA.

**NASBA: | Learning Level: | CPE Credit: 1.2**



Tuesday | March 14, 2023

4:45 – 5:45 p.m. CT

**CS 8-1: Session Information Being Finalized**

**NASBA: | Learning Level: | CPE Credit: 1.2**

**CS 8-2: Using Data to Perform Corporate Risk Assessments**

**Ben Getz, CIA, CPA, CFE, CISA, CISSP, CPCU**  
**Director, Internal Audit Services**  
**RLI Corp.**

**Pat Ferrell, CIA, CRMA, CISA, CFE, CPCU**  
**Vice President, Internal Audit Services**  
**RLI Corp.**

This presentation will examine a case study of how a macro-risk assessment process was enhanced by using data, which enabled the internal audit function to be more objective when risk-ranking auditable entities for audit coverage.

In this session, participants will:

- Explore how using data can help identify key risk indicators.
- Understand how to create and maintain a corporate risk assessment.
- Discover how a new risk assessment can be used to set up the annual audit plan.

**Ben Getz** is a Director of Internal Audit Services at RLI Corp. He has been with RLI since 2011 and has served as RLI's lead IT auditor since 2015. Prior to RLI, he worked as an external auditor in public accounting. Getz has achieved numerous designations to further his professional career.

**Pat Ferrell** has 24 years of audit experience. As Vice President of Internal Audit Services at RLI Corp., he oversees the assurance and advisory audit function and also holds responsibility for Sarbanes-Oxley administration. Prior to RLI, Ferrell worked in audit and claims at State Farm Insurance. He has presented at numerous conferences, including The IIA's Financial Services Exchange, IIAG, MIS SuperStrategies, MIS AuditWorld, and ISACA's CACS. He currently serves as a board member for The IIA's Central Illinois chapter. Ferrell



also has served on a number of local nonprofit boards, including Heart of Illinois Big Brothers Big Sisters and Neighborhood House.

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

### **CS 8-3: The Neurodiverse Leader: The Power of Emotional Intelligence in Leadership**

**Nancy Yuen**

**Director, Global SOX and Audit Compliance**

**SoFi Technologies**

A misconception exists where neurodivergent individuals (e.g., those with autism, ADHD, learning disabilities) can't be leaders. We see this misconception shattered when we learn the origin stories of leaders such as Bill Gates (ADHD), Barbara Corcoran (dyslexia), Bill “Bond King” Gross (Asperger’s), and Elon Musk (autism spectrum). So how do neurodivergent individuals rise from individual contributors to leaders? The key to effective leaders lies in their emotional intelligence. Please join Ms. Nancy Yuen for an inspiring session on neurodiversity, leadership, and the superpower of emotional intelligence.”

In this session, participants will:

- Understand how to communicate effectively in the field of accounting and audit.
- Learn about the use of software and applications that accommodate shortcomings of having Asperger’s and OCD.
- Gain insights into applying the abstract thinking and detail-oriented strengths that come with having autism as an accountant and auditor.

**Nancy Yuen** has more than 25 years of experience in audit, accounting, and SOX. She is a Director of Global SOX and Audit Compliance at SoFi Technologies and was previously Senior Manager of Revenue Accounting and Compliance at Google, with a start at KPMG. Yuen is also an adjunct professor in the Graduate Accounting Program at Saint Mary’s College.

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

### **CS 8-4: Session Information Being Finalized**

**NASBA: | Learning Level: | CPE Credit: 1.2**



Wednesday | March 15, 2023

8:30 – 9:45 a.m. CT

#### **GS 4: RETHINK. REBOOT. REINVENT. An Innovative Framework to Navigate Volatile Times**

**Josh Linkner**  
**Creative Troublemaker**

Over the past few years, the world as we knew it was turned upside down. From the COVID pandemic to the war in Ukraine to inflation, the resulting shock waves have ushered in a new era of accelerated transformation impacting the global economy, supply chain, and workforce. Successful models of the past have been rendered obsolete, requiring leaders to rethink their strategy. Five-time tech entrepreneur, New York Times bestselling author, venture capitalist, and world-renowned innovation expert Josh Linkner will help leaders respond to volatility with an elevated capacity for inventive thinking and creative problem-solving through his battle-tested Reinvention Framework.

In this session, participants will:

- Hear about the core mindsets, habits, and tactics of the most innovative leaders on the planet.
- Be reenergized and fueled with inspiration and energy to forge ahead in uncertain times.
- Be reequipped and armed with a proven framework and specific tools to reinvent a new future.
- Be ready and emboldened to meet the challenges of the day and drive sustainable success.

**Josh Linkner** is a creative troublemaker. He started his career as a jazz guitarist and then went on to become the founder and CEO of five tech companies, which sold for a combined value of more than \$200 million. He is also a deeply experienced business leader, venture capitalist, top-rated keynote speaker, New York Times bestselling author, and professional jazz guitarist. He is a world-renowned expert on innovation, disruption, and hyper-growth leadership.

**NASBA: Personal Development | Learning Level: Basic | CPE Credit: 1.5**



Wednesday | March 15, 2023

10:15 – 11:15 a.m. CT

### **Closing Keynote: Cyber Risks and Threats in 2023: How to Prepare and Respond**

**Rachel Wilson**

**Director, Cybersecurity**

**Morgan Stanley Wealth Management**

In her riveting keynote, Rachel Wilson will describe the current cybersecurity threats facing companies, institutions, and individuals from nation-states like North Korea and Iran, from cyber organized crime syndicates, and from individual hackers looking to make money or create mayhem. With advanced hacking tools now widely available, she will show how cyber actors target companies, institutions, and individuals in an opportunistic way and then work to monetize their access. Wilson will discuss the impact of the pandemic on the cyber risk landscape, including the threats presented by IT phone scams and social engineering, and the “Three R’s” of Russia, ransomware, and resilience that are dominating the headlines today. Drawing from her experience at the NSA and in the financial sector, she will describe what auditors can do to be prepared for and respond to risks in the current cyber risk environment and provide pragmatic advice on how individuals can raise the waterline on their own cybersecurity and better protect their companies and their loved ones.

In this session, participants will:

- Learn about the biggest cyber threats facing their firms and industries today.
- Understand the right questions to ask their risk and technology teams to determine the adequacy and efficacy of their control environment.
- Gain insights into the best and most effective ways to protect their personal data and identity.

**Rachel Wilson** became the first head of cybersecurity for Morgan Stanley Wealth Management in the spring of 2017. As Director, she leverages her experience in attacking and defending high-consequence systems to protect the firm and its clients from cyber actors. Previously, she spent 15 years at the National Security Agency (NSA), where she ran counterterrorism operations, worked cybersecurity threats to the 2012 Summer Olympics in London, and led the cyber exploitation operations mission. As the senior committing official for NSA’s hacking mission, Wilson oversaw the planning and execution of thousands of cyber operations against America’s adversaries.





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