1. **Corporate Governance and Business Ethics**

**Description:**
Corporate governance requirements continue to be of increasing importance in these unsettled times of blurred legislative directives, global business boundaries and increased regulatory oversight. Business ethics apply to all aspects of business conduct and is relevant to the conduct of individuals and entire organizations. This session examines the roles of boards, corporate management and employees in in various governance structures and the ethical principles and moral and ethical problems that arise in a business environment.

**Learning Objectives:**

**Upon completion of this course program, students will be able to:**

- Understand key legal and regulatory obligations imposed on corporations;
- Interpret the accountability hierarchy from a corporate governance perspective;
- Review issues involved in addressing litigation risks in corporate governance and regulatory contexts;
- Use ethical theories and frameworks to analyze ethical dilemmas in business and resolve practical problems;
- Identify different stakeholders and understand why they may hold differing perspectives on ethical issues.

2. **Preventing Elder Investment Fraud: Identifying Vulnerability to Financial Exploitation and Taking Action**

**Description:**
The presenter will go over a case study and present some general information regarding how to prevent and identify financial exploitation of the elderly. He will also provide tips on how to deal with exploitation once it is discovered and resources for victims and families of victims.
Learning Objectives
Attendees should be able to…
• List key factors that increase an older person’s vulnerability to elder investment fraud and financial exploitation
• Describe common financial exploitation schemes and practices
• Describe when to and where to refer high risk individuals to appropriate sources of assistance

3. Cyber Threats: Managing The Risk

Description: Organizations in all industries, both public and private sector, rely and depend on information technology to successfully perform and carry out their business functions. Information systems and the use of emerging technologies are inherently subject to numerous threats and vulnerabilities which can have an adverse effect on company operations, assets, individuals, systems and data.

This presentation will provide insight on current cybersecurity threats and how they can impact business operations and the confidentiality, integrity and availability of systems and data. In addition, discussions will include methods for assessing cybersecurity threats based on business impact and strategies to safeguard against those threats. Throughout the presentation, attendees will be exposed to real-world examples and statistics related to cybersecurity breaches.

Learning Objectives:
• Recognize current cybersecurity threats
• Identify threat sources and actions
• Correlate threats to potential business impact
• Acquire information on performing a cybersecurity risk assessment
• Understand basic risk mitigation strategies
• Identify control frameworks and compliance standards for addressing cyber risk
4. **Risk of Co-Sourcing Internal Audits**

**Description:** This presentation will discuss the benefits of co-sourcing areas of expertise such as Internal Audit, Compliance, and Information Technology. However, the focus of the discussion will be on the benefits of co-sourcing Internal Audit and how an organization can get the most value from Internal Audit. The presentation will include discussion on areas such as the best organizational tasks to consider co-sourcing, techniques for managing co-sourcing relationships, the primary role of internal audit, and corporate governance.

**Learning Objectives:** Following are the learning objectives for this presentation.

- The best areas of an organization to consider for co-sourcing
- Techniques for managing co-sourcing relationships
- The primary role of internal audit
- Understanding Risk Management in your organization
- Determining the quality of an organizations internal controls
- The importance of an organization’s Corporate Governance
- Determining an organization’s susceptibility to loss or fraud

5. **AML/BSA**

**Description:**
This presentation provides an overview of one judicial districts use of the new BSAR and other BSA data. The Middle District of Pennsylvania has a multi-agency SAR Review working group consisting of Federal and State agencies. Since October, we have been using a new screening tool to help ‘triage’ the hundreds of SARs received in a month in accordance with each agencies interests and priorities. By increasing submitting institutions understanding of the Review Process, we hope to further improve the effectiveness of the BSA process.

**Learning Objectives:**
- To understand the scope of the Middle District’s financial SAR Review process.
• To present one judicial district’s SAR review criteria.
• To develop awareness of the review and selection process used agencies to determine SARs of investigative value.
• To improve the communications between providers and users of the BSA products.