



Florida West Coast Chapter

December Virtual Seminar

Wednesday and Thursday, December 8 and 9, 2021, 8:00 am – 12:00 pm

Cost: \$99 per person members / \$129 per person non-members

Touchless payment by PayPal

Group discount: Register 10 people and the 11th registration is free! (Email chapter89@iia chapters.org for discount code after 10 paid registrations)

NASBA CPE*: up to 8

Join the **IIA** Florida West Coast Chapter and the **ISACA** West Florida Chapter for its December Fraud and Securities Seminar. We welcome three incredible speakers over two half days to facilitate the December seminar. This seminar will cover three distinct topics. Each speaker is unique in his own right. Jonathan Marks is presenting "Fraud Risk Assessments." Jason Mefford is presenting "It's All About Emotional Intelligence." And, in a four-hour segment, Dr. Toby Groves is presenting "The New Psychology of Fraud."

\$10 of your registration fee goes to Toys for Tots in the Tampa Bay area! Last year, this seminar raised more than \$1,000.

We hope you will join us for this December seminar. Registration with payment is required prior to receiving the log-in link.

Program Details:

Part One: Fraud Risk Assessments
Part Two: It's All About Emotional Intelligence
Part Three: The New Psychology of Fraud

Field of Study (part 1): Auditing
Field of Study (part 2): Personal Development
Field of Study (part 3): Specialized Knowledge and Applications

Program Level: Basic
Prerequisite: None



Florida West Coast Chapter

Session Overview:

Part One - Fraud Risk Assessments

Risk assessments are part of the discipline of risk management, where enhanced frameworks and techniques have emerged. Risk management comprises the identification, assessment, and prioritization of risks followed by the coordinated and efficient use of resources to monitor, minimize, and otherwise control the impact of the risks on the organization.

Risks arise in many forms and can range from uncertainty in financial markets, operational failures, natural disasters, and pandemics, to legal liabilities and reputational harms.

This session will focus on fraud risk assessment and how to conduct the assessment and how to use it effectively.

After this session, participants will be able to:

- Understand a best in class methodology for conducting a fraud risk assessment.
- Understand how to use the fraud risk assessment to enhance your ethics training.
- Identify common pitfalls in the fraud risk assessment process.

Part Two - It's All About Emotional Intelligence

Stress levels are on the rise, leading to turnover, absenteeism and health conditions. To succeed in leading diverse, healthy and dynamic teams, internal auditors must understand how to be mindful and emotionally intelligent in their interactions with employees and stakeholders. Using techniques from science, psychology, and emotional intelligence this session will show how simple changes in style can create large increases in productivity, retention and engagement. In addition, you will learn how to develop a more mindful culture in work teams, understand and develop the key attributes of an emotionally intelligent leader, embrace diversity as a way to create stronger teams, and improve communication between team members. This is an introductory course on the basics of emotional intelligence as it applies to internal auditors.

After this session, participants will be able to:

- Identify and manage emotions in yourself and others.
- Understand techniques for motivating and influencing yourself and others.
- Move up and down the emotional spectrum and re-program your subconscious brain to be in your desired emotional state.

Part Three - The New Psychology of Fraud

This session features the latest behavioral science and the speakers first hand research and experiences to disrupt everything you thought you knew about fraud. It will spur you to challenge "sacred cows" of the industry and help you develop better thinking approaches to detect, deter, or investigate fraud, waste and abuse. Learn why many of our basic assumptions about fraud are flawed, why some widely accepted investigative practices are more harmful than helpful, and how auditors and investigators sometimes unwittingly assist fraud schemes.

Major Subjects:

Florida West Coast Chapter

- How we unwittingly assist in the production of misleading information
- The neuroscience of psychopathy
- Behavioral profiling
- The new psychology of skepticism
- Cognitive errors including attribution and overgeneralization
- How experience, intuition and assumptions can cause cognitive errors

After this session, participants will be able to:

- Identify at least three cognitive biases commonly committed in fraud investigations.
- Identify at least one psychological theory that should be used in fraud investigations.
- Identify three characteristics of skepticism that should be employed in fraud investigations.
- Identify one outdated economic theory that has underpinned fraud investigations and how to avoid it.

About the Presenters:

Jonathan Marks is the Partner and Global Leader of the fraud investigations, compliance, and integrity services practice for Baker Tilly. Jonathan specializes in global/complex corporate &



government investigations (White Collar Crime) & other investigations. He has over 35 years of experience working closely with clients, their board, audit committee, special litigation committee, management, internal audit, compliance, legal & outside law firms on global/domestic fraud, misconduct, antitrust, corporate espionage, cyber incidents, bribery, disputes, false claims, money laundering, qui tam, terrorism, tax fraud, whistleblower, and retaliation matters. He investigates (10A, books & records, cross-border, FCPA, regulatory, etc.), and documents the findings. In some matters, Jonathan has determined economic damages, performed root cause analysis, developed remedial procedures, & designed governance, risk management, & compliance systems along with internal controls & policies & procedures, & monitoring tactics to mitigate future potential issues.

Jonathan has provided expert testimony on accounting, damages/lost profits, financial and internal control issues in commercial litigation matters. He's appeared before the United States Securities & Exchange Commission (SEC), Financial Industry Regulation Authority (FINRA), and the United States Department of Justice (DOJ) to present findings. He has served as a trial consultant helping frame strategy around complex issues, like revenue recognition.

Florida West Coast Chapter

About the Presenters, continued:

Jason Mefford is a Rock Star in internal audit, risk management and compliance. He typically works with Chief Audit Executives and professionals in audit, risk and compliance with the technical and soft-skills needed to navigate the land mines of organizations. He takes complicated, confusing & hard things, makes them practical, proactive & simple to improve learning and transformation.

Jason is an executive coach, professional speaker, trainer and podcast host. He serves the internal audit community through his companies Mefford Associates, cRisk Academy (the largest video on-demand training and certification organization for internal auditors), Mefford CIA Review Course, and the Jamming with Jason Podcast.

He is also the author of several books including: Risk-Based Internal Auditor, Sawyer's Internal Auditing, OCEG GRC Capability Model, and Masters of Success with Brian Tracy.

Dr. Toby Groves is a researcher, speaker and writer on thinking quality. He created the personal thinking management system, using targeted cognitive strategies to improve the quality of our thinking and our lives. Toby also produces and hosts educational events tackling important socio-psychological challenges of our time.

Toby's thinking strategies are used by thousands of decision-makers charged with making some of the most important decisions in our society. Toby has a Ph.D. in psychology and studied forensic and organizational psychology. Previous clients include Prudential, Deloitte, Ecolab, Time Warner, Credit Suisse, KPMG, Baker and McKenzie, LLP., Federal and State government agencies, and many more.





Florida West Coast Chapter

*Schedule**:*

Wednesday, December 8

8:00 am – 8:10 am	Welcome / Announcements
8:10 am – 9:50 am	Fraud Risk Assessments
9:50 am – 10:05 am	Break
10:05 am – 10:15 am	Announcements
10:15 am – 11:55 am	It's All About Emotional Intelligence
11:55 am – 12:00 pm	Wrap Up, Day 1

Thursday, December 9

8:00 am – 8:10 am	Announcements
8:10 am – 9:55 am	The New Psychology of Fraud
9:55 am – 10:10 am	Break
10:10 am – 11:55 am	<i>Continued:</i> The New Psychology of Fraud
11:55 am – 12:00 pm	Wrap Up, Seminar

*CPE: Attendance is tracked in Zoom. You must be in attendance for the entire segment and answer 75% of the polling questions to earn a CPE certificate. If you qualify for CPE, a certificate will be emailed to you 2-3 weeks after the seminar.

**Schedule subject to change.