Contents in this issue:

- President’s Message
- Upcoming Conferences (*September 13*th Conference Details!!) (*Others Programs - in Development!*)
- Conference Registration & Pricing
- New Event Registration System: Aventri (what you need to know!)
- CIA Exam Prep & Employment
- 2019 Chapter Officers & Board of Governors Employment

### UPCOMING CONFERENCES

<table>
<thead>
<tr>
<th>Date</th>
<th>Event</th>
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| September 13th | **Best Practices**  
Big, Small, Soft, &  
“Your Journey on the  
Yellow Brick Road!”  
Hot Topics, Auditing & Consultation  
Data governance, analytics big & small  
Act big with a small department  
Report Rating & Agile  
QAIP & IPPF  
Business Intelligence Analytics  
Keynote Speaker: Jerry Posner! |
| October 11th | **Next Wave Technology**  
More details & speakers to follow! |
| November 8th | **Ethics & Regulatory**  
More details & speakers to follow! |
| February 7th | **Fraud Conference**  
More details & speakers to follow! |
| March 13th  | **IT Conference**  
More details & speakers to follow! |
| April 17th  | **Annual Conference**  
(Leadership & Negotiation)  
*(without Authority)*  
Be a Connector for Success  
Keynote: Jay Gubrud (car enthusiast)  
More Details to follow! |
Hello everyone, I’m very excited to kick-off the 2019/2020 Long Island IIA Chapter year. One of my goals for this year is for our conferences to hit on some of the high-impact areas of focus affecting the internal audit profession. I’m hoping that this year’s set of programs provide you with a variety of topics that help increase your exposure and acumen, add to your audit tool-belt, and motivate you to take on the challenges of tomorrow.

These challenges present themselves in many different ways and are always changing. We must constantly think about how we become better, faster, and smarter in how we think, plan, and execute in our role. We must think about how we maximize our resources within big and small audit departments, constantly up-skilling our technology and regulatory awareness and readiness, while promoting ethical leadership against fraud. Internal auditors need to be equipped with the right level of business acumen and soft skills to provide assurance and consultative advice to maximize impact within our organizations. These are just some of the topics I want to tackle in the current year.

We have a great line-up of speakers and topics in the upcoming year. It will all begin with our annual kick-off conference on September 13th, which will focus on a range of topics that will help big and small audit departments across different industries. There will be discussions, demonstrations, examples, and techniques that you can take back with you, consider, and apply to your audit functions and daily activities. Demonstrations and examples from Chapter members and Tableau Software representatives will expose you to the range of simple and complex tasks in data wrangling, driving insights, and storytelling to your internal clients. Our fantastic Keynote Speaker (Jerry Posner!) will be joining us to educate, entertain, and inspire us to increase the likelihood of positive results at work ... and in life.

Our October conference will focus on Next Wave Technology, in order to continue to build your acumen and awareness on current and upcoming technology topics. In November, we will shift gears to our Ethics, Regulation, and Risk Management Conference. Following the holidays and New Year, we will resume our conferences in February with our annual fraud conference contemplating what-if scenarios, followed by our IT Conference in March and Annual Conference in April with content and keynote speaker (Jay Gubard!) about leadership and negotiation. Our conferences will be filled with great speakers and relevant topics! Stay tuned for more speakers and information on these conferences in our upcoming newsletters!

As a reminder, all of our programs are held on Fridays at the Marriott located in Melville, New York. We look forward to seeing you all at these upcoming conferences. Should you have any questions, please do not hesitate to reach me at our Chapter email address; Chapter241@iiachapters.org.

Kind regards,

J. Speed

Jeffrey A. Speed, CPA, CISA

IIA President, Long Island Chapter 2019/2020
The Institute of Internal Auditors Long Island Chapter is pleased to continue its tradition of offering high-quality, low-cost educational events to our members. These seminars provide relevant, current content and provide a high degree of value to attendees. Our 2019-2020 schedule includes coverage of key issues and relevant skills presented by recognized experts and professional speakers in an informative and relaxed setting.

- Full-day seminars - 8 CPE/CPD credits each
- 6 seminars available (48 credits total)
  1. Friday, September 13th 2019
  2. Friday, October 11th 2019
  3. Friday November 8th 2019
  4. Friday, February 7th 2020
  5. Friday, March 13th 2020
  6. Friday April 17th 2020
- Location: Melville Marriott (Light breakfast & lunch served)

**Rates per Program Session:**

- **Subscription:** $163* (19%/35% discount compared to member/non-member rates)
- **Member:** $200
- **Non-Member:** $250
- **Pass the CIA Exam:** Free Session – if passed between May 2019 - April 2020, inquire within
- **Be a Presenter:** Free Session – if you’d like to present a particular topic, project, or best practice at our conference, inquire within and earn a free session.
- **Displaced Members:** Special rates apply, inquire within
- **Host your own event:** Special rates if you’re hosting your own conference & would like to receive CPE Sponsorship from the LI IIA Chapter, inquire within
- **Program Sponsor:** Become a Silver, Gold, or Diamond Sponsor of one of our events, inquire within

* Subscription must be purchased as a whole (includes all 6 sessions) and may be shared among employees from the same Company. Subscription credits can be used to fit your busy schedule so that if a session is missed, you can make up for it in future sessions within the program year. Sessions do not carry over year-over-year. Upon subscription payment, discount code will be e-mailed to you.

**Purchase Subscription Payment Options:** Payment Questions E-mail: LI.IIA.Treasury@gmail.com

  - Pay via Credit Card, Pay-Pal – Preferred Method
  - Pay via check (see payment instructions below)
- Purchase Subscription via Mail/Manual Check-Mail (if necessary):
  1. Fill-out ‘Manual Payment Subscription Form’ section below & include Check & Subscription Form
  2. Check payable to: IIA Long Island Chapter
  3. Mail Check & Form: IIA - Long Island Chapter c/o Lauren Agunzo, P.O. Box 442, 25 Route 111, Smithtown, NY 11787

**Manual Payment Subscription Form**

Name: ___________________________ E-mail: ___________________________

Organization: ___________________________ Department: ___________________________

Number of Subscriptions: _______ @ $975 each (6 sessions*$163=$975)= Total Cost:______________
BEST PRACTICES (Big, Small, Soft, & Motivational)

Agenda: (subject to change)

- 8:00am – light breakfast served
- 8:30am (10 min) – Opening Remarks (Jeff Speed – Chapter President)
- 8:40am (1 hr) – Business Intelligence with data – demo for big & small shops – (Tableau)
- 9:40am (40min) – Consultation and working as a big & small function all in one (Canon U.S.A., Inc.)
- **10:20am (10min) – Break**
- 10:30am (30min) – Getting QAIP ready & aligning to the IPPF – (Canon U.S.A., Inc.)
- 11:00am (30min) – Best practices with limited resources (Tom Comiskey, TFCU)
- 11:30am (30min) – Agile & Report Ratings – (Rita Thakkar, Celgene)
- **Noon (1hr) – Lunch**
  - Jerry Posner – Keynote Presentation – “Our Journey on The Yellow Brick Road ... Hey, where exactly is the Emerald City?”
  - Tools, techniques and strategies for positive outcomes at work ... and in Life!
- 1:00pm (45min) – Miracles, Luck, and the Butterfly Effect
- 1:45pm (45min) – The Art and Science of Keeping Your Cool
- **2:30pm (15min) – Break**
- 2:45pm (45min) – Client Service Solutions
- 3:30pm (1hr) – The Practical Power of Gratitude
- **4:30 - End**

KEY NOTE SPEAKER: **JERRY POSNER**

Your Journey on the Yellow Brick Road!

Jerry’s ongoing mission is to educate, entertain and inspire his audiences to increase the likelihood of positive results in the areas of business and life that are important to them.

Not just great ideas, but how and why to apply them!

Why come listen to Jerry?

- “Concrete, strategic, inspirational advice ... and hugely entertaining!”
- “He creates positive, emotionally memorable experiences.”
- “His joy and enthusiasm is contagious!”
- “He presents complex concepts in a straightforward and understandable fashion.”
- “He was so positive and enjoyable to listen to.”
- “He radiates intelligence, humor and emotion.”
- “Good for the bottom line ... and great for the soul!”

SAVE THE DATE!

September 13th 2019
Conference Line-up

NEWSLETTER | LONG ISLAND IIA (CHAPTER #241) | VOLUME 27 | AUGUST 2019 | 4 | Page
Speaker Bios:

• 8:30am (10 min) – Opening Remarks (Jeff Speed – Chapter President)
  o Jeff Speed is serving the 2019/2020 Year as the IIA Long Island Chapter President. Jeff has been attending LI IIA Chapter events for 9 years and has previously served as the Treasurer & Secretary roles on the LI IIA BOG. Jeff is currently the Audit Director of the Audit & Business Consultation Department of Canon, U.S.A., Inc., leading a team of 19 auditors covering the Canon America’s entities. Prior to Canon, Jeff spent 8 years at the Long Island Office of Ernst & Young, LLP serving a variety of clients in the public, private, retail, insurance, and distribution industries.

• 8:40am (1 hr) – Business Intelligence with data – demo for big & small shops – (Tableau Representatives)
  o Tableau is business intelligence software that helps people see and understand their data. The Long Island Chapter mission is to promote the audit profession and provide exposure, best practices, and ideas on how our members can more effectively perform our audits activities. During this session, you will be exposed to different ways audit functions can leverage software to drive business intelligence and how this could make an impact to your auditors, internal customers, and organization by enhancing the value of audit departments. Representatives from Tableau will demonstrate the range of capabilities, focusing on how to wrangle data without being a data expert. You’ll listen and hear about some best practices and concepts that could be applied to both small and bigger audit departments alike.

• 9:40am (40min) – Consultation and working as a big & small function all in one (Canon U.S.A., Inc.)
  o Auditors from Canon U.S.A., Inc. will provide an inside view of their department activities and how they are driving consultation to their internal customers, leveraging analytics big and small. They will demonstrate how their department has improved their analytics maturity but still doing simple things that have a big impact in how they visualize, analyze, and present their value. Members of this department will also demonstrate how they are driving business intelligence back to the business units while satisfying their audit & assurance responsibilities as a ‘win-win’. You’ll listen and hear about some best practices and concepts that could be applied to both small and bigger audit departments alike.

• 10:30am (30min) – Getting QAIP ready & aligning to the IPPF best practices – (Canon U.S.A., Inc.)
  o Auditors from Canon U.S.A., Inc. will present on what they are doing as it relates to QAIP (building from what was presented in prior year by the LI IIA). In addition, Canon auditors will also present and share materials as to what they are doing to demonstrate alignment to the organizational strategy and the IPPF as a best practice that both big and small audit departments can consider. You’ll listen and hear about some best practices and concepts that could be applied to both small and bigger audit departments alike.

• 11:00am (30mim) – Best practices with limited resources (Tom Comiskey, TFCU)
  o Tom Comiskey is currently the Director of Internal Audit at Teachers Federal Credit Union based in Hauppauge, New York. He has over 27 years of experience in the financial services sector, primarily within internal audit, as well as assurance and risk management. His experiences range from domestic retail and capital markets to international banking with global audit responsibilities. He holds professional certifications as a Certified Anti-Money Laundering Specialist and a Certified Investment Derivatives Auditor. He also holds a Bachelors of Business Administration - Accounting from Dowling College and a Masters of Business Administration-Finance from Long Island University C.W. Post. Tom is currently serving as the Vice President & Secretary of the Long Island Chapter IIA.

• 11:30am (30mim) – Agile & Report Ratings –
  o Speaker: Rita Thakkar, Chief Audit Executive, Celgene
  o Speaker: Rozina Daruwalla, Managing Director, Advisory Services Practice, Ernst & Young LLP
o **Rita Thakkar** is a finance executive, proven leader and business partner. She has held a number of finance roles, at global publicly traded organizations within the healthcare, and technology sectors. Currently, Rita is the Chief Audit Executive at Celgene Corporation. Previously she has held audit leadership roles at CA Technologies, McKesson Corporation and Kendle International. She began her career at PricewaterhouseCoopers and continued to develop a diverse financial background in Internal Audit, Enterprise Risk Management (ERM), and business process optimization; controllership; financial planning and analysis; and investor relations. Beyond her professional experience, Rita is active in several not-for-profit organizations. She currently serves on the Board of Trustees for Family and Children’s Association in the NYC-area. Additionally, she hosts a Chief Audit Executive roundtable as part of her board service for Long Island’s Institute of Internal Auditors. Rita is a Certified Public Accountant (CPA), Chartered Professional Accountant (Canada), and a Certified Internal Auditor (CIA). She has authored governance, risk and control thought leadership for the internal audit profession. Rita earned her BA, Chartered Accountancy degree from the University of Waterloo in Canada and has completed University of Pennsylvania’s Executive Leadership Program at the Wharton School of Business and the McKesson Leadership Program at the Global Institute of Leadership Development.

o **Rozina Daruwalla** is a Managing Director in the Advisory Services practice of Ernst & Young LLP. Rozina is an experienced internal audit practitioner, advising clients on compliance and risk management practices to improve their internal control environment. Rozina has over 15+ years of experience serving clients on Sarbanes-Oxley (SOX) implementation, internal audit services and reporting on controls at a service organization (SOC1). Prior to serving EY clients in an advisor capacity, she served in the role of an external auditor, leading external audit engagements in the technology sector. Rozina leads large and complex engagements, often leading multi-disciplinary teams for addressing client issues. Her experiences in accounting, business and IT allows her to bring holistic solutions to her clients in addressing upstream and downstream risks. Rozina’s experiences include addressing process and control risks resulting from unique business scenarios such as mergers and acquisitions, IPO readiness, system implementation and new accounting standards. Rozina has been a speaker at many of EY’s firm sponsored events and is a contributing author, presenting EY’s point-of-view and thought leadership on areas such as future of internal audit, COSO framework, robotics, SOX controls optimization, internal audit risk assessments, revenue recognition and specialty audits. She frequently facilitates CAE roundtables in the New Jersey market, bringing different organizational perspectives and practices together for driving continued excellence in risk management.

- 1:00pm – Jerry Posner – Keynote Presentation – “Our Journey on The Yellow Brick Road ... Hey, where exactly is the Emerald City?” Tools, techniques and strategies for positive outcomes at work ... and in Life!
Jerry’s Program Details (sneak peek):

“Our Journey on The Yellow Brick Road ... Hey, where exactly is the Emerald City?”

*Using your brain, heart and courage for the positive outcomes you most desire!*

**Part One:**

**MIRACLES, LUCK, and the BUTTERFLY EFFECT**

In our business and in our lives, can seemingly insignificant decisions and events turn out to be the causal factors for significant, or even destiny-changing future outcomes?

Are there practical ways to increase the likelihood of “good luck?”

Can “miracles” happen, and if so, how can you create a few of your own?

In this session you’ll explore some theories of “causes and effects,” and learn some practical, powerful tools and techniques to help you stack the odds in your favor for the positive outcomes you desire — at work ... and in life!

**Part Two:**

**THE ART AND SCIENCE OF KEEPING YOUR COOL**

Personally and professionally, the ability to keep a positive mood is vitally important! Understanding the science behind stress, frustration, anger and “losing your cool” can be life-changing!

This entertaining and very practical presentation will help you understand stress-triggers and anger-triggers in others ... and perhaps in yourself! You’ll learn to use some tools, techniques and strategies for successfully “keeping your cool!”

Since “one size does not fit all” — you’ll be offered an “all-you-can-eat buffet” of relevant information, empowering practices and really good ideas! Even just one good idea APPLIED, can make for meaningful improvements at work, home and in every relationship!

**Topics include:** • Basic neuroscience you need to know. • Good stress and bad stress. • Why do people freak out? • What to do when the pressure is on. • The magic is in the pause! • Managing your own stress responses.
Short Break

Part Three:

CLIENT SERVICE SOLUTIONS

This session provides a “client service tune-up” and practical, valuable reminders for meaningful and harmonious relationships with the people you serve. You’ll learn some proven strategies that you can use right away to better solve your clients’ problems and exceed their expectations.

Topics include:  • Ways to create positive emotional connections with your clients.  • One client, one choice, one kind word … can make all the difference — “the power of one”  • Emotions are contagious—what you need to know about positive psychology.  • You’re not an order taker… you’re an experience maker!  • Evaluating feedback without becoming defensive  • Learning to listen, and to hear!

Part Four:

THE PRACTICAL POWER OF GRATITUDE

“Don’t it always seem to go that you don’t know what you’ve got ‘till it’s gone.” Joni Mitchell

Is it possible and helpful to develop a “gratitude bias?”

Clearly, life and work can be challenging. Modern science suggests that a little extra focus on “the good stuff” can have significant positive results over time. In this practical program, you’ll learn to use “grati-tools” (intentional gratitude practices) for increased happiness, decreased stress, improved relationships, and a more positive perspective … to help you navigate the sometimes choppy waters of life with greater ease!

Topics include:  • Keys to effective practice.  • Selective perception and intentional blindness.  • The ‘happiness set-point’ — and ways to raise it.  • Acknowledging those who help and support you.  • Expressing appreciation.  • The practical power of the ‘gratitude journal’  • Ways to take a ‘gratitude break!’
Purpose: To more align with the IIA Headquarters and leverage their low-cost tools & technologies, the Long Island Chapter (#241) will be utilizing ‘Aventri’ as our event management tool.

Troubleshooting within the website, please contact: 24/7 help via email support@etouches.com

For additional questions, please refer to the Chapter: Chapter241@iiachapters.org

We appreciate your patience & support as we transition to the new event management system!

You are currently testing this event

Best Practices (Big, Small, Soft & Motivational)

09/13/2019 8:00 am - 09/13/2019 5:00 pm

Event Details
Melville Marriott
Melville,
8 CPE Hours

Field of Study: Auditing
Knowledge Level: Basic
Course Prerequisites:

New Registration  Modify Registration
CIA Certification Preparation Materials: visit the following website; https://na.theiia.org/certification/Pages/Certification.aspx

Certify & Training

Drive Your Career Forward

Earning a professional internal audit credential is a critical step to being distinguished from your peers and will:

- Sharpen skills and proficiencies.
- Enhance credibility and respect.
- Increase advancement and earning potential.
- Demonstrate understanding and commitment.

Wherever your journey takes you, there’s an IIA credential that moves you faster through your internal audit career roadmap.

Certified Internal Auditor (CIA)

As The IIA’s premier designation for more than 40 years, the CIA sets the standard for excellence within the profession. Earning the CIA is an important step toward demonstrating your core internal audit skills and knowledge.

The updated CIA exam is now available in English. Learn more and access the schedule for additional languages.
Employment Opportunities:

- If you are in a job posting or interested in posting a job, please contact:
  - Russ Safirstein at Russell.Safirstein@anchin.com, or
  - Joe Horowitz, IIA Long Island Webmaster, at jmh11187018@gmail.com, or
  - Visit the ‘Careers’ Page: https://chapters.theiia.org/long-island/Careers/Pages/default.aspx
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<th>Executive Board</th>
<th>Title</th>
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<tbody>
<tr>
<td>1</td>
<td>Jeff Speed</td>
<td>President</td>
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<tr>
<td>2</td>
<td>Lauren Agunzo</td>
<td>EVP &amp; Treasurer</td>
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<td>3</td>
<td>Dawn Scala</td>
<td>VP &amp; Asst. Treasurer</td>
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<td>4</td>
<td>Carolyn Leahy</td>
<td>VP &amp; Chief Information Officer</td>
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<td>5</td>
<td>Joseph Horowitz (2021)</td>
<td>VP &amp; Asst. CIO &amp; Web Administrator</td>
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<td>6</td>
<td>Anthony Cervoni</td>
<td>EVP &amp; Operations Officer</td>
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<td>7</td>
<td>Ellen Caravella</td>
<td>EVP &amp; Operations Officer &amp; Programs</td>
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<td>8</td>
<td>Larry Karp</td>
<td>VP &amp; Membership</td>
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<td>9</td>
<td>Brian Austin</td>
<td>VP &amp; Membership 2nd</td>
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<td>10</td>
<td>Biju Beejum</td>
<td>Certification Officer</td>
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<td>11</td>
<td>Thomas Comiskey</td>
<td>VP &amp; Secretary</td>
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<tr>
<td>12</td>
<td>Rocky Shankar</td>
<td>CAP Administrator</td>
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**Board of Governors (term ending)**

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<tr>
<td>13</td>
<td>Vincent Colletti (2022)</td>
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<tr>
<td>14</td>
<td>Michael Lanning (2022)</td>
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<td>Jessica Rodgers (2022)</td>
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<td>16</td>
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<td>Prabhat Kumar (2020)</td>
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<td>Pinak Guha (2020)</td>
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<td>Maria Michaelson (2020)</td>
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<td>Joel Lanz (2020)</td>
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<td>Russ Safirstein (2020)</td>
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<td>27</td>
<td>Alice Seoylemezian (2020)</td>
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<tr>
<td>28</td>
<td>Rita Thakhar (2020)</td>
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**District Representatives**

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<thead>
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<tbody>
<tr>
<td>Raquel Marin-Oquendo</td>
<td>District Representative</td>
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<tr>
<td>Mary Peck</td>
<td>District Advisor</td>
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<tr>
<td>Artem Mulitsa</td>
<td>District IIA Staff</td>
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