Dear Members:

First, let me wish everyone a happy Holiday season!

We have a very busy December and January event schedule planned. Registration is open now for our December 20th workshop on AML Trends, Innovation and Data Analytics, and Cybersecurity/Insider Threats (see page 3). We will also be opening up registration shortly for our January 11th workshop on Artificial Intelligence with Machine Learning, and Trends in Audit Practice and QA Functions. So please save the date as the 11th will be here in no time!

The 8th Annual Government Audit Conference is also scheduled for the 25th of January, where two renowned audit leaders will speak: Naohiro Mouri, Global IIA Chairman and William Michalisin, EVP & COO of the IIA. This year’s topics have great general value and interest, and not particular to Government auditing. See page 4 for details - all are welcome!

Let me thank all our volunteers for the many events we sponsored in the last several weeks, including two successful events: a Friday workshop on Disruptive Changes and Emerging Risks, and a December CAE roundtable with Jenitha John, Global IIA Vice Chairman, and Chief Audit Executive, FirstRand Bank (South Africa). She led an extremely interesting discussion on KPIs and better ways to measure internal audit’s value.

We have started planning a half day CAE summit for June 7, 2019. If you have ideas or topics for engaging more CAE involvement with the Chapter, feel free to speak with me.

Lastly, please reach out to any of the Executive Committee members (Ellen, Mike, Elena, Carlos, Angelina or me) with any other suggestions and we hope to see you at the December and January event!

Wish you all a Happy New Year too!

Sincerely,

Uday Gulvadi

Uday Gulvadi
NY Chapter President - Institute of Internal Auditors
## Upcoming 2019 Workshop and Luncheon Schedule – Save the DATES!

<table>
<thead>
<tr>
<th>Date</th>
<th>Where</th>
<th>Day</th>
<th>Workshop Topic</th>
<th>Luncheon Topic</th>
<th>Presenting Companies</th>
</tr>
</thead>
<tbody>
<tr>
<td>Jan 11</td>
<td>Baruch College</td>
<td>Friday</td>
<td>Artificial Intelligence with Machine Learning (AM) Trends in Audit Practice and QA (PM)</td>
<td>Cloud Computing</td>
<td>Workshop: JP Morgan, Goldman Sachs, Citi Lunch: JPMorgan</td>
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<tr>
<td>Feb 22</td>
<td>Baruch College</td>
<td>Friday</td>
<td>Emotional Intelligence (AM) Agile Internal Audit (PM)</td>
<td>Auditing Ethics and Culture</td>
<td>Workshop: Deloitte Lunch: Goldman Sachs</td>
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<tr>
<td>Mar 15</td>
<td>Baruch College</td>
<td>Friday</td>
<td>Fighting Bribery, Fraud and Corruption</td>
<td>Fraud Examiner Perspective</td>
<td>Workshop: John Hall Lunch: Citi</td>
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<tr>
<td>Apr 5</td>
<td>Baruch College</td>
<td>Friday</td>
<td>ERM and Crisis Management (PM)</td>
<td>Auditing Analytic Models</td>
<td>Workshop: Protiviti, John Gatto Lunch: Protiviti</td>
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For more information, see NYIIA Website Questions? contact: Elena Dobinda at elena.dobinda@lbusa.com Laura Richards at Laura.Richard@ey.com

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Explore Hours of Around-the-Clock Options to Earn CPE/CPD and Retain Your IIA Certification(s).

If you haven’t earned all the CPE/CPDs required, including the new Ethics requirement, for end-of-year reporting to keep your IIA certification(s) active, there’s still plenty of time and options.

- **LEARN** – In-person, online, On Demand, and group training options to fit your schedule and meet all your needs.
- **EARN** – From one-hour webinars to 32-credit seminars, it’s easy to earn your CPE/CPD requirements to keep your certification(s) active.
- **REPORT** – Don’t forget to report your CPE/CPDs by Dec. 31, 2018, to keep your IIA certification(s) in good standing.
- **RETAIN** – You’ve worked hard to earn your IIA certification(s), so it’s important to keep them active and stand out from your peers.

*All your credit-earning opportunities and reporting requirements can be accessed here.*
### December 20, 2018 Workshop:
**AML Best Practices and Challenges; Innovation & Data Analytics; Cybersecurity & Insider Threats**
Baruch College – 55 Lexington Ave., Room 14-220

<table>
<thead>
<tr>
<th>Time</th>
<th>Topic</th>
<th>Speaker</th>
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<tbody>
<tr>
<td>8:00 – 8:30</td>
<td>Registration and breakfast</td>
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<tr>
<td>8:30 – 8:35 am</td>
<td>Welcome</td>
<td>Elena Dobinda, Head of Audit, Lloyds Bank</td>
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<tr>
<td>8:35 – 9:15 am</td>
<td>Importance of data governance and data management in AML</td>
<td>Dan Collins, Managing Director, ACA Telavance</td>
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<tr>
<td>9:15 – 10:30 am</td>
<td>Hot topics in Audit of AML and Financial Crimes Compliance</td>
<td>Panel discussion hosted by ACA Telavance</td>
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<td>• Mark Scarmozzino, Managing Director, ACA Telavance</td>
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<td>• Eric Small, Managing Director, Global Head of Legal/Compliance/AML Audit</td>
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<td>• Andrew McAdams Deputy Head of Financial Crimes Compliance at Agricultural Bank of China</td>
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<td>10:30- 11:30 am</td>
<td>Electronic Communication Surveillance</td>
<td>John Jacobs, Senior Principal Consultant, ACA Compliance Group</td>
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<td>11:30 – 12:15</td>
<td>Lunch</td>
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<tr>
<td>12:15 – 1:15 pm</td>
<td>Innovation in Internal Audit and data analytics</td>
<td>Marc Sabino, Chief Auditor - Head of Innovation, Citigroup</td>
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<td>1:15 – 2:15 pm</td>
<td>Cybersecurity</td>
<td>Tim Ryan, Managing Director, Adherence</td>
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<td>2:15 – 2:30</td>
<td>Break</td>
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<tr>
<td>2:30 – 4:30 pm</td>
<td>Why insider risk control is as critical as outsider threat mitigation for enterprises</td>
<td>Thomas Maclsaac, Vice President, SSH</td>
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Our morning session will be of interest to AML and audit professionals that are facing rapidly evolving regulations, technology and developments in their area.

Our lunch speaker will address innovation in the internal audit profession and the use of leading tools and practices, including data analytics and models, to build a premiere function in the industry.

The afternoon session of the workshop will explore various aspects of cybersecurity risks, including insider threats.

CPE credits: 7 hours
Knowledge Level: Intermediate
Field of Study: Auditing

8th Annual Government Audit Conference

Hotel Pennsylvania
401 7th Avenue, New York, NY 18th Floor
January 25, 2019
8:30-9:30 am

Keynote Speaker

Interview with Naohiro Mouri, Global IIA Chairman
William Michalisin, EVP & COO, IIA

9:45-10:45
Robotic Process Automation & Artificial Intelligence
Thomas Sanglier, Raytheon

11:00 -12:00
Does Auditing Governance Mean Auditing Culture?
Alan Siegfried

1:15-2:30 pm
Audit Reporting to Get Action and Attention
Robert Smythe, Los Angeles County, Chief, Audit Division

2:45-4:30
On December 10th, Jenitha John (far right in photo above), Global IIA Vice Chairman, and Chief Audit Executive, FirstRand Bank (South Africa) visited the NYIIA CAE roundtable meeting.

She led a very relevant and extremely interesting discussion on KPIs and ways to measure internal audit’s value. There are still challenges in using the best ones to satisfy our stakeholders’ needs while demonstrating our value proposition – Internal Audit positioning influences selection.

If you are interested in volunteer roles for the IIA, please contact: angelina.fridman@pwc.com