Dear Members:

Registration for the 2016 IIA International Conference is now open. The conference will be held at the Javits Convention Center in NYC featuring over 100 speakers from around the world, over 70 sessions in 10 educational tracks and the keynote speaker will be Rudolph Giuliani, former New York City mayor. Special discount rates will be available to NY Chapter members who register early. Please see page 16 for a link to the International Conference website and more detailed information about early bird discounts, IIA 75th anniversary gala events, and program schedule descriptions.

Our October 16th workshop was hosted at Baruch College, over 95 individuals attended the event and it was very well received. Once again thanks to our volunteers for their dedication and hard work in ensuring the success of our monthly workshops events. Significant discounts offered thorough our workshop subscription plans are still available. Please see page 22 for our 2015/16 subscription plan information and the link to pay by credit card if you prefer.

We are currently working to develop a new mobile technology that will provide our members the flexibility to interact with Chapter more efficiently from anywhere at any time. Stay tuned for more information about the NY Chapter app and how to obtain a free download.

Our next workshop is scheduled for November 13th at Baruch College. During the morning session GRC Training Institute will be presenting GRC / ETHICS and CONTINUOUS MONITORING, the luncheon session will be presented by Quality Plus Associates and in the afternoon session IA RISK ASSESSMENTS will be presented by McGladrey. Please see page 4 for a complete schedule of 2015/2016 workshops and luncheons. Also on pages 6-8 you will find information about SAP Risk Management, SAP Control and Security Optimization, and Client Panel Discussion hosted by the Westchester Chapter.
I am looking forward to seeing you at our upcoming events and thank you for your patronage.

Juan H. Perez, CIA, CPA
President, The IIA New York Chapter
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### 2015 -2016 NYIIA Workshop Luncheon Schedule

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<tr>
<td>September 18, 2015</td>
<td>• Eisner Amper (M) - COSO 2013, IT Trends, Vendor Management</td>
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<tr>
<td>Hard Rock Café Times Square</td>
<td>• Protiviti (L) – Predictive Analysis</td>
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<td>• Protiviti (A) – Consideration for Cybersecurity</td>
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<td>October 16, 2015</td>
<td>• Deloitte (M) – “Internal Audit and Technology: How we harness it, leverage it, and control it”</td>
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<td>Baruch</td>
<td>• Jim Wistman (L) – Best Practices in GRC</td>
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<td></td>
<td>• Telavance (A) – BSA/AML Risk Assessment, Advanced Analytics in Suspicious Activity Detection</td>
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<tr>
<td>November 13, 2015</td>
<td>• GRC Training Institute (M) – GRC &amp; Ethics, Continuous Monitoring</td>
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<tr>
<td>Baruch</td>
<td>• Quality Plus Associates (L) - QAR – A Strategic Assessment</td>
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<td></td>
<td>• McGladrey (A) – IA Risk Assessments</td>
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<tr>
<td>December 11, 2015</td>
<td>• Tom Palczewski (M) – Operational Auditing</td>
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<tr>
<td>Baruch</td>
<td>• NYRA (L) – Audit Committee Reporting</td>
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<td>• Digital4nx Group, Ltd (A) – Digital Forensics</td>
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<td>January 15, 2016</td>
<td>• Baker Tilly (M) – Hot Topics in IA, Branding your IA Function</td>
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<td>Baruch</td>
<td>• Tom Palczewski (L) – Writing Skills - Dev of Audit Concerns</td>
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<td>• Navigant (A) – Fraud Prevention and Detection</td>
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<td>February 12, 2016</td>
<td>• Dr. Glenn Sumners (M) – Risk Assessment and ERM</td>
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<tr>
<td>Hard Rock Café Times Square</td>
<td>• Dr. Glenn Sumners (L) – Risk Assessment and ERM</td>
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<tr>
<td></td>
<td>• Dr. Glenn Sumners (A) – Risk Assessment and ERM</td>
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<td>March 11, 2016</td>
<td>• McGladrey (M) – Cybersecurity</td>
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<td>Baruch</td>
<td>• KPMG (L) – IA Quality Assurance Practices</td>
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<td>• BDO (A) – Internal Controls and Risk, Internal Investigations and Fraud Risks</td>
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<td>April 15, 2016</td>
<td>• PwC (M) – Healthcare auditing</td>
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<td>Baruch</td>
<td>• EY (L) – (Topic TBD)</td>
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<td>• Experis (A) – (Topic TBD)</td>
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<td>May 13, 2016</td>
<td>• ConEd (M) – IA and Change Management</td>
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<tr>
<td>Baruch</td>
<td>• KPMG (L) – Data Analytics</td>
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<td>• Crowe Horwath (A) – Control Sustainability and Optimization, Effectively Managing Interactions and Relationships</td>
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For more information contact VP of Professional Development Uday Gulvadi at uday@televance.com
“True Security Countermeasures and Audit’s Virtual Vector”

**Date:** Tuesday, October 27 & Wednesday, October 28th, 2015

On behalf of the Chicago Chapter of Institute of Internal Auditors (IIA) and Chicago Chapter of ISACA, we invite you to our upcoming 2nd Annual IT Hacking conference.

**Location:** Summit West, 500 West Madison Street (inside the Ogilvie Train Station)

**Cost:** ISACA or IIA Member: $350.00, ISACA AND IIA Member: $325.00, Non-Member: $375.00

By the end of this course, you will have a significantly greater appreciation for the IT security landscape and how it impacts your organization. The combination of professional practice information technology experts and the broad landscape of IT vulnerabilities presented at this conference will increase the operational, financial and IT auditor’s skill sets to integrate not only information technology auditing technique, as well as, develop awareness of one of the most significant changes in the risk profile of businesses today.

**Total CPE Development Hours:** 16

**Areas of Development:** Auditing: 9, Computer Science: 4, Specialized Knowledge & Applications: 3

For more details regarding this event or to register, [click here](https://www.eiseverywhere.com/ereg/index.php?eventid=138169&eb=222570)
November 5, 2015 Event Announcement
SAP Hot Topics

SAP Risk Management, SAP Control and Security Optimization, and Client Panel Discussion

6 CPE Credits Offered

WHEN: Thursday, November 5, 2015
8:30AM – 9:00AM Breakfast and Registration
9:00AM - 10:30AM SAP Project Risk Management
10:30AM - 10:45AM Break
10:45AM - 12:15PM SAP Control Optimization Roadmap
12:15PM - 1:00PM Lunch
1:00PM - 2:30PM SAP Security Optimization Roadmap
2:30PM - 2:45PM Break
2:45PM - 4:15PM SAP Client Panel Discussion

WHERE: Protiviti Inc.
888 Seventh Avenue, 13th Floor | New York, NY 10019

FEE: $175 for Members of each chapter - $225 for Non-Members; Students may attend free of charge on a space available basis

REGISTRATION: Use this link http://www.cvent.com/events/sap-hot-topics/event-summary-c90027a9494d42a59b90e75ea61d845e.aspx

PRESENTER(s):

1. SAP Project Risk Management – John Folk, ERP Director
2. SAP Control Optimization Roadmap – Steve Toshkoff, ERP Senior Manager
3. SAP Security Optimization Roadmap – Kyle Wechsler, ERP Associate Director
4. SAP Client Panel Discussion – moderated by Toni Lastella, ERP Director, Protiviti, Inc.

This informative and interactive, full-day session offering 7 CPE credits, will cover key concepts, roadmap planning considerations and recommendations to improve your SAP compliance and control environment. Breakfast and lunch are included. Highlights of the presentations are listed below:

**SAP Project Risk Management**

Objectives: Provide the audience with an understanding of key SAP project risks and how to mitigate and manage them. Key discussion points include:

- Overview of SAP Risk Universe
- Common symptoms, root causes, and approaches to mitigate project risks, including: project management and governance, business involvement, system testing, data conversion, partnering with system integrators.
- Case study example on managing SAP project risks
SAP Control Optimization Roadmap
Objective: Provide the audience an understanding on how to assess current state of SAP financial controls and develop plans to improve control automation and compliance processes. Key discussion points include:
• Key elements for successful financial compliance management
• Assessing current state of SAP controls and defining a comprehensive roadmap for improvement
• Overview of SAP solutions to automate compliance management (SAP Process Control)
• Case study example on control automation (Issue, solution and benefits)

SAP Security Optimization Roadmap
Objective: Provide the audience different viewpoints on how to improve processes to manage SAP security risks. Key discussion points include
• Key elements to develop a successful SAP Security program, including: Framework to manage security risks, security design approaches, provisioning and monitoring
• Overview and roadmap to implement SAP solutions to manage access risks (Access Control and Access Violation Management)
• Case study example on security optimization (Issue, solution and benefits)

SAP Client Panel Presentation
Objective: Provide the audience the opportunity to ask questions to executives that have gone through SAP optimization projects. Key panel discussion points include:
• Project Overview
• Key Lessons Learned

Biographies of Presenters
John Folk
John is a Director in Protiviti’s IT consulting practice. He has extensive experience in the leadership and implementation of ERP systems and other large business change programs. Over the course of his 25 year career he has served a number of Fortune 500 companies in a variety of capacities, including complex program management initiatives, process reengineering efforts, and merger & integration activities. As an executive at a “big four” consulting firm, he was responsible for delivery of ERP and SAP implementation projects in the highly regulated chemical and pharmaceutical industries. At Protiviti, he has leveraged that implementation background to assist clients with managing various aspects of ERP governance, risk, and compliance. He is a certified Project Management Professional (PMP).

Steve Toshkoff
Steve is a Senior Manager in the ERP SAP Solutions practice in New York. He has extensive experience in SAP business process design and optimization, SOX compliance and audit-related projects. He has also led multiple projects around SAP security and controls design including reviews of automated controls, manual controls, segregation of duties (SOD) conflicts, and security access issues. Steve also specializes in end-to-end implementations of SAP Access Control and Process Control, helping companies automate the monitoring, remediation and analysis of SODs and automate the management, testing and tracking of internal controls. Steve is also part of Protiviti’s leadership team that focuses on SAP Control Optimization, he is responsible for defining SAP training programs and methodologies to help clients improve and automate business processes and controls.
Kyle Wechsler

Kyle Wechsler: Kyle is an Associate Director in the ERP Solutions SAP practice in our Metro New York office. He has over 11 years of leading SAP related projects, including Sarbanes Oxley compliance, pre and post implementation configurable control reviews, security remediation, and quantitative transactional testing. Through his engagements he has been heavily exposed to the SAP methodology as well as the SAP security authorization concept. During this period he has fulfilled business and functional analysis.

Kyle’s past experience included SAP training focusing on the FI/CO, SD, and MM modules as well as SAP Access Control, SAP Process Control and Approva. Kyle has also had internal audit experience where he analyzed job procedures and processes to discover opportunities for increasing quality and accuracy. He also formulated strategies to improve individual job and company procedures.

Toni Lastella

Toni is a Director in our Information Consulting and ERP Solutions practice in New York. She has extensive knowledge in leading IT Audit and ERP related projects, including Sarbanes Oxley compliance, pre and post implementation reviews, and the implementation and deployment of GRC solutions. During these reviews, Toni has managed the development of Risk and Control Matrices, policies and procedures for IT management, including security administration, change management, computer operations, and participated in the development and execution of remediation plans to optimize control environments.

Toni has 14 years of business experience most recently with a global retail company where she was responsible for leading the internal control design for the first two phases of their SAP implementation. Additionally, she managed the establishment of the segregation of duty rule set within the SAP GRC solution to enable continuous monitoring of their security environment and continues to work closely with them to lay out a roadmap for implementing a comprehensive GRC solution.

Carol Raimo

Carol Raimo is a Managing Director leading Protiviti’s Global ERP Solutions Practice. She has over twenty five years of experience helping clients manage large ERP implementation risks. Her experience includes leading teams in delivering projects related to large ERP implementations. Carol has served numerous Global 1000, multi-national clients in both consulting and IT audit. She is responsible for building Protiviti’s ERP Solutions Consulting Practice globally, including setting the strategy, hiring and retaining talent with specific functional, technical, audit and consulting skill sets, developing internal training programs, building alliance relationships with strategic partners, and developing repeatable methodologies. She has also delivered numerous ERP audit and consulting services focused on managing ERP risk. Specific engagements include: Designing and Optimizing ERP controls, GRC Implementation services; SOD security remediation; Optimization of Automated Controls; and analysis of transactional data.
November Workshop

Date: Friday, November 13, 2015
Time: 8:30 AM – 4:30 PM
Location: Baruch College
55 Lexington Ave, Room 14-220,
New York, NY 10010,
CPE: 7 credits will be awarded for the full day workshop
3 credits will be awarded for half-day workshop

*********Registration is Open*********

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<th>Members: $175</th>
<th>Non-Members: $195</th>
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<tr>
<td>Luncheon Only (Members)</td>
<td>$60</td>
<td>Luncheon Only (Non-Members): $70</td>
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<tr>
<td>½ day with Lunch (Member):</td>
<td>$90</td>
<td>½ with Lunch (Non-Member): $100</td>
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<td>½ day without Lunch (Member):</td>
<td>$80</td>
<td>½ day without Lunch (Non-Member): $90</td>
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AM 8:30 am - 11:30am (3 CPE)

Presentation Topics:
Topic 1 - GRC and Ethics
Topic 2- Transforming Technologies & IIA Survey How IA is using Technology

Presented By: Sanjay Anand – GRC Institute and Michael P. Cangemi – Author and Former C Level Executive

This session will cover technology trends, such as BIG DATA, SaaS and cloud that are transforming business, finance and GRC practices using analytics and monitoring. He will report on the recent IIA worldwide survey of internal audit use of technology based on a paper he authored in 2015 and briefly on the results of the research project the Benefits of CM published by Financial Executives Research Foundation.

Mr. Cangemi will discuss the expansion of continuous monitoring (CM) in many aspects of society and the significant role the GRC community has played in the furtherance of Continuous Assurance and CM. Michael presents a C Level view of how company managers are benefiting from new technologies, with business process improvements, and the role the audit and GRC should be playing, to expand the implementation of CM for the benefit of the business, customer satisfaction, as well as, control improvement.

The presentation will close with a brief look into the future trends in analytics and tech in general.
Sanjay Anand (a.k.a. “Mr. Sarbanes Oxley”)

Sanjay Anand is the Chairperson of SOX, GRC and CMP Institutes at the Sarbanes Oxley Group LLC, where he has served in that capacity since the group's inception in 2003. Prior to that, he worked at J.D. Edwards for almost six years where he received numerous awards including Pioneer, Consultant of the Year, Valuable Teamwork Award, Special Achievement, and Outstanding Performance. His expertise is sought out by the Fortune 500 and Global 2000 companies in the US and overseas, and he has provided his research, education, advisory, consulting, speaking, writing and related services to companies on all five continents. His wealth of knowledge and expertise, coupled with his global perspectives and a firm grounding in academia as well as industry make him a Thought Leader that gets the attention of media, industries and organizations around the globe. He has been published in magazines and (peer-reviewed) journals, and he has written books for McGraw-Hill, Wiley, VHP (legal), Prentice-Hall and BookSurge, with Forewords by such notables as Ed McVaney, the Founder and CEO of J.D. Edwards, and Michael Cangemi, the ex-CEO of Etienne Aigner and past-President of Financial Executives International (FEI).

Sanjay holds about a dozen honorary/grandfathered credentials from IIA, ACFE, ISACA, NACD, IOD etc. He completed most of his higher education full-time while working full-time including his Masters in Computer Science [summa cum laude] from BITS Pilani (often referred to as the “MIT of India” due to their affiliation), and his MBA [magna cum laude] and an MS in Finance [maxima cum laude] from Boston College. His alma mater, BITS Pilani, has recognized him as one of the top 50 BITSians to ever graduate from BITS since its inception 50 years ago, alongside Founders of Hotmail, FoodKing, Bharat Forge, MapmyIndia, Onida, TheFind, VarshaJal, and BIC.

Michael P. Cangemi,

Michael is a past IIA NY Chapter President, an author and business advisor, is a former CFO and President, CEO and Director of Etienne Aigner Inc. and Financial Executives International. He is a Senior Fellow of the Rutgers University Continuous Assurance LAB and serves on the FEI Committee on Finance & Technology and has also served on the FASB & IASB advisory boards and is the author of Managing the Audit Function, 3rd Edition (Wiley).

*Please note: Lunch is between 11:30am and 12:30pm*

Luncheon Workshop: 12:30pm – 1:30pm (1CPE)

Presentation Topic: QAR - A Strategic Assessment.

The session will focus on how a QAR can be used to strategically assess the overall effectiveness of an IAD by determining not only the department’s compliance with the Standards, but also assessing if and how the IA provides value to the organization.

Presenters – Nick DiMola and Paul Flora

Nicholas DiMola, CPA – Mr. DiMola is the co-founder and a Principal at Quality Plus & Associates (QP&A), an internal audit service firm. QP&A was established in 2007 and the firm specializes in providing reviews of internal audit functions and activities, as well as provides internal audit training. Mr. DiMola has over 35 years of financial and internal audit experience in the transportation and government sector. He served six years as Vice President and CFO for the MTA Long Island Rail Road where he was responsible for directing the LIRR’s Controller, Budget, Treasury, Pension, and Process Re-engineering departments. He was also the Railroad’s Internal Control Officers. Mr. DiMola also served over 20 years as Auditor General for the NY Metropolitan Transportation Authority (MTA).
As Auditor General, Mr. DiMola was given the responsibility for first consolidating the multi-agency internal audit departments and then directing the agency-wide, 100 person, internal audit function. In this capacity Mr. DiMola was responsible for directing financial, operational, construction, contract and technology audits of MTA’s operations and capital program. Mr. DiMola received his B.B.A. in Accounting from Baruch College in NYC and his MBA in Finance from St. John’s University. Nick is a member of the AICPA and the Institute of Internal Auditors (IIA). He was a past President of the IIA NY Chapter and has been a member of the Chapter’s Board of Governors since 1998. Nick also remains active with the IIA where he is currently a member of its International Conference Committee. Nick was part of the leadership team that hosted the IIA’s North East Regional Conference in Brooklyn, in September 2014, and he will also serve as Co-Chair for the IIA’s 2016 International Conference that will be held in New York City to celebrate the IIA’s 75th anniversary. In March 2014, Nick was inducted into the IIA’s North American Hall of Distinguished Audit Practitioners. Mr. DiMola co-developed a construction audit course that he teaches for the IIA and is a frequent speaker at workshop, seminars and conferences.

Mr. Paul Flora, principal and co-founder of Quality Plus & Associates, began his career as a staff auditor in 1971 with Bankers Trust Co. During his thirteen years at Bankers Trust, Paul rose to the position of Vice President and Deputy Auditor, specializing in audits of the trust and securities businesses. In 1984, Paul joined National Westminster Bank as Vice President and Deputy Auditor. At NatWest his responsibilities included: Director of Professional Practices and Vice President in charge of all financial auditing for both the domestic bank and the parent bank’s subsidiaries in North America. Paul joined AXA Financial (formerly, Equitable) in December of 1993 as Deputy Auditor, was promoted to Chief Auditor in July 1994 and Senior Vice President in March of 1996. He retired from AXA Financial in September 2007. Mr. Flora is a Certified Fraud Examiner, Certified Trust Auditor, Certified Bank Auditor, Certified Financial Services Auditor, and Certified Construction Auditor. Throughout his career Paul has been active in several professional associations. He was an original member of the Board of Directors of the National Society of Chartered Bank Auditors (NSCBA) and served as President of the Society from 1987 through 1992. He served as a Board member of Bank Administration Institute’s New York Chapter for seven years and Chapter President for two years. He is a member of the Institute of Internal Auditors (IIA), Past President of the New York Chapter, has served on the Chapter’s Board of Governors for 15 years. He has also been a member of the IIA’s Financial Services Advisory Board, and Learning Solutions Committee for a number of years. Paul is a member of the Association of Certified Fraud Examiners, and the Insurance Internal Audit Group. He also has served as a member of the Audit Committee for the American Nurses Association. He recently co-chaired the IIA’s Northeastern Regional Conference, and will co-chair the IIA’s International Conference in New York in 2016. Mr. Flora has a BS degree from Hofstra University in New York and is a retired Lieutenant Colonel in the U.S. Army Reserve.

PM: 1:30pm – 4:30PM (3 CPE)

Presentation Topics: IA Risk Assessments

Presented by: McGladrey

A look at a number of different approaches to risk assessment, and using a case study approach, participants will explore a structured process for identifying the factors that drive the business forward, the corresponding key business risks facing an organization, and how these combine with our understanding of the inherent risk associated with business units and processes to arrive at a dynamic risk based plan. Using a hands on case study, we will discuss a number of related areas that Chief Audit Executives and their teams grapple with - working in a three lines of defense model, how other parts of an organization can contribute to an effective risk assessment, best practices for risk convergence and using collaboration technologies effectively as part of the risk assessments.

Presenters: Prasad Tare, Manager, Risk Advisory Services, McGladrey LLP

Prasad Tare brings nearly 15 years of accounting and financial experience to the team in a variety of industries and capacities. Prasad has served both public and private companies in a variety of industries. As an assurance and risk advisory professional, Prasad helps companies assess their financial reporting and operational risks, and provide recommendations to improve effectiveness of the internal control environment. Prasad has also managed audits of public companies, where he has assisted organizations in executing the internal controls requirements of Section 404 of the Sarbanes-Oxley Act of 2002.
Omar Soriano, Manager, Risk Advisory Services, McGladrey LLP
Omar Soriano is a manager in the New York City region risk advisory practice, and is part of the core enterprise governance, risk and compliance (eGRC) management team for the firm, responsible for assisting with the ongoing framework and methodology development and client support. He brings more than 20 years of diverse experience through internal audit positions in internal audit, Sarbanes Oxley, mergers and acquisitions, and risk management. Prior to joining McGladrey, he worked as an internal auditor in the Enterprise Risk Management division for a Big 4 Accounting firm and as an internal auditor for various Fortune 500 companies in the publishing, advertising and spirits industries.

Evan Trip, Supervisor
Evan is a Supervisor in the New York Risk Advisory practice of McGladrey focusing on commercial clients. He has five years of experience working for McGladrey. Significant engagements include:

- Led the team responsible for the assessment and remediation of financial controls for an entity set up to administer the processing and payment of a multi-billion dollar claim settlement program

- Led the team responsible for executing the operational audits of manufacturing and warehouse facilities owned by a Fortune 500 Consumer Goods company

For more information, follow links below:

**Invitation**
http://www.cvent.com/d/kfq7hf/1Q

**Registration**
http://www.cvent.com/d/kfq7hf/4W
IIA New York Chapter
5th Annual Government Audit Conference
Hotel Pennsylvania
401 7th Avenue, New York, NY 18th Floor
January 29, 2016
Keynote Speaker
8:30-9:30
Invest in Yourself
Larry Harrington, Chairman, IIA

10:00-12:00
Interactions for Positive Change – Saying it Right When the Stakes are High
Marjorie Bastolla

Afternoon Sessions

1:00-2:00
Lamond Kearse, Corporate Compliance Officer, MTA

2:00-4:30
Forward Thinking – The Path to the Future
Marjorie Bastolla

IIA Member Attendee: $60 Non-Member Attendee: $70
Register at:
https://chapters.theiia.org/new-york
The IIA's 2016 International Conference

Join us as we celebrate The IIA's 75th anniversary at the 2016 International Conference, July 17 -20 in New York, NY. You'll embark on an educational journey rich with insights for internal auditors at every level.

Expand your network with 2,000+ peers from more than 100 countries, deepen your knowledge of internal auditing, and experience the sights and multicultural offerings of New York City as we celebrate “Internal Audit Rising...75 Years of Progress Through Sharing.”

Additional details will be available soon. In the meantime you are invited to contact us with any questions at international.conference@thelia.org.

Rudolph W. Giuliani

Former Mayor of New York City

Under Mayor Giuliani’s leadership, New York became the safest large city in America according to the FBI. Following the terrorist attacks on Sept. 11, 2001, Mayor Giuliani led the recovery of the city as it faced its darkest hour. He was named “Person of the Year” by TIME magazine, knighted by the Queen of England, dubbed “Rudy the Rock” by French President Jacques Chirac, and former first lady Nancy Reagan presented him with the Ronald Reagan Freedom Award.

See Next Pages for more details
What is the International Conference?

The IIA’s International Conference is the premier training and networking event for internal audit professionals worldwide. The IIA and your conference host, IIA–New York, are planning an unforgettable program that will exceed the expectations of an anticipated 2,000 delegates from around the world.

What do you need to know?

Hotel & Travel
Learn more about special room rates and additional discounts (/Pages/Hotel-and-Travel.aspx) when you book at one of our conference hotels.

Sessions & Workshops
The conference team is developing a world-class program, featuring 10 educational tracks and keynote sessions led by industry leaders. Please check back frequently for updates.

Events
Join us for the 75th Anniversary Gala, Welcome Reception, and additional networking opportunities. Please check back frequently for updates.

Countries represented
100+ including: Belgium, Canada, France, Germany, Ghana, Japan, Mexico, Netherlands, Republic of Korea, South Africa, Switzerland, United Arab Emirates, United States.
Why should I attend?

1. Network with like-minded colleagues from public and private sector organizations.

2. Earn up to 18 CPE in support of your IIA certifications. Additional CPEs are available when you participate in the pre-conference workshops.

3. Share and discuss ideas and concepts with recognized thought leaders, speakers, and practitioners from around the world.

4. Participate in sessions on pressing topics such as emerging trends, public sector issues, technology, ethics and governance, fraud prevention, financial services, risk, and CAE insights. The program will also include a Spanish Speaking track.

5. Engage with leading edge product and service providers with innovative offerings to help you succeed.

6. Experience the city that never sleeps and celebrate The IIA’s 75th anniversary in its birthplace — New York, NY, USA.

Click the following for IIA International Conference Registration link and more information —> 2016 IIA International Conference registration
General Auditors Roundtable
IIA NYC CHAPTER AUDIT DIRECTORS’ ROUNDTABLE
Hosted by Paulette Mullings-Bradnock - BNY Mellon

MARK YOUR CALENDAR

Thursday, September 17, 2015
Wednesday, October 21, 2015
November – No Meeting
Thursday, December 17, 2015
January 2016 – TBA
Thursday, February 18, 2016
Thursday, March 17, 2016
Thursday, April 21, 2016
Thursday, May 19, 2016

****

BNY Mellon
2:00pm to 4:00pm

*Additional information and meeting agenda will be sent in advance of each roundtable

If you are a CAE and are not receiving emails on these events, contact EVP – Alex Cacanando at alex.cacanando@protiviti.com
Manager/Directors’ Roundtable

Calling all interested Audit Manager/Directors to participate.

Committee goals

- Roundtable discussions with mid-level audit staff to discuss relevant and timely topics
- Hold four Roundtables meetings
- Invite guests to speak on topics of interest at some of these roundtables

Please look for additional announcements coming shortly on the chapter website.

For more information contact EVP - Alex Cacanando at alex.cacanando@protiviti.com
Certification Corner

IIA Self-Study Program

Click here for more information on purchasing The IIA CIA learning system. For additional questions or inquiries, please reach out to the VP & Secretary – Jennifer Morris at jmorris@iona.edu

Prepare To Pass the 3-Part CIA Exam
On Your Own or With an Expert

The IIA's CIA Learning System® is an interactive self-study program that teaches and reinforces the entire global CIA exam syllabus in a flexible, on-demand format. For additional structure, support, and discussion, enroll in a live or online facilitator-led course.

Why Study On Your Own?

- Develop an individualized study plan based on your strengths and weaknesses.
- Study when and where your schedule allows.
- Complete the course at your own pace with printed and e-book reading materials and interactive online study tools.
- Avoid travel expenses and time away from work.

Why Enroll in a Facilitator-Led Course?

- Learn from an experienced and certified facilitator.
- Discuss topics with peers from diverse backgrounds.
- Stay on track and motivated to complete the CIA exams.
- Grow your professional network.
- Take advantage of your employer's tuition reimbursement program.
Certified Internal Auditor (CIA) Exam Prep

Earn the most sought-after credential in the Global Internal Audit Profession!

There is no better way to prepare for the 3-part CIA Exam than with Pace University’s Certified Internal Auditor (CIA) Exam Prep Course. This course combines expert classroom instruction with The Institute of Internal Auditors (IIA) New CIA Learning System (version 4.0) print and online course components.

This course will expand your internal audit knowledge and prepare you for the Certified Internal Auditor® (CIA®) exam.

Earn Your CPE Credits!
Each class qualifies for Continuing Professional Education (CPE) credits.

Fall 2015 COURSE SCHEDULE

<table>
<thead>
<tr>
<th>Course</th>
<th>Course #</th>
<th>Schedule</th>
<th>Tuition Fees</th>
</tr>
</thead>
<tbody>
<tr>
<td>Part I: Internal Audit Basics</td>
<td>90049</td>
<td>3-Saturdays September 19, 26 &amp; October 3, 2015</td>
<td>$675</td>
</tr>
<tr>
<td></td>
<td></td>
<td>9:00 am-5:00 pm</td>
<td>$725</td>
</tr>
<tr>
<td>Part II: Internal Audit Practice</td>
<td>90022</td>
<td>3-Saturdays October 17, 24 &amp; 31, 2015</td>
<td>$675</td>
</tr>
<tr>
<td></td>
<td></td>
<td>9:00 am-5:00 pm</td>
<td>$725</td>
</tr>
<tr>
<td>Part III: Internal Audit Knowledge Elements</td>
<td>90023</td>
<td>4-Saturdays November 14 &amp; 21; December 5 &amp; 12, 2015</td>
<td>$875</td>
</tr>
<tr>
<td></td>
<td></td>
<td>9:00 am-5:00 pm</td>
<td>$925</td>
</tr>
</tbody>
</table>

* Use discount code DISC50 when registering online

SPECIAL OFFER!
Register for all 3 Parts & Take $75 Off!

These courses will be held exclusively at:
Pace University Midtown
551 Fifth Avenue (at 45th Street)
New York, NY

Register Online at www.pace.edu/CIA
Contact us at (212) 346-1186 or ContinuingEd@pace.edu
Internal Audit Practitioner Designation Now Offered for

New and Rotational Auditors

To support new and rotational auditors as they begin a career or enter a new career phase in auditing, The IIA is pleased to announce the Internal Audit Practitioner designation.

This new designation provides recognition for those who have taken the first step toward CIA certification, which is taking and passing Part One of the Certified Internal Auditor® (CIA®) exam. Upon passing the exam part, candidates can submit an application to obtain the Internal Audit Practitioner designation through social badging.

For new auditors, obtaining the designation after passing Part One of the CIA exam demonstrates their knowledge and aptitude of internal audit basics, and they may choose to continue the path to full CIA certification by passing exam Parts Two and Three to establish a comprehensive internal audit foundation. For those navigating through a temporary or rotational role in auditing, the Internal Audit Practitioner designation provides fundamental knowledge to make the most of the experience and offers credibility within the field.

In addition, the Internal Audit Practitioner designation offers audit managers and executives a practical and effective way to build stronger teams by establishing a common foundation of basic auditing skills and knowledge for their entire auditing staff.

For more information, please visit the CIA webpage or click the following link

https://na.theiia.org/certification/CIA-Certification
The New York Chapter of the Institute of Internal Auditors is pleased to announce the workshop/luncheon program for the upcoming chapter year. The Chapter is offering nine full-day workshops, and nine luncheon meetings. We have seven left for the rest of the chapter year. We are planning to hold these workshops and luncheons in either Baruch College or The Hard Rock Café. *Because we will be hosting the International Audit Seminar this year, we will be substituting the Annual Audit Seminar with 1 Standard Workshop.*

Please see the enclosed calendar of luncheon and workshop topics that have been scheduled to provide 63 CPE credits on a range of subjects to both new and experienced auditors. Registration is open to members and non-members of The Institute of Internal Auditors.

Subscription Plans and Registration Fees:

In an effort to achieve our objective of providing quality, affordable training and education programs, the Chapter is once again offering discounted subscription plans. In addition to discounted rates, subscription plans provide flexibility. Subscription tickets are interchangeable among members of your organization and there is no limit to how many can be used for a single workshop or luncheon meeting. For this chapter year, we are offering the following subscription plan options at the following rates:

<table>
<thead>
<tr>
<th>Plan</th>
<th>Cost of Subscription Plan</th>
<th>Discount Rate (off Regular Purchase Price)</th>
</tr>
</thead>
<tbody>
<tr>
<td>9 Workshops</td>
<td>$1,140</td>
<td>28%</td>
</tr>
<tr>
<td>6 Workshops</td>
<td>$860</td>
<td>18%</td>
</tr>
<tr>
<td>4 Workshops</td>
<td>$600</td>
<td>14%</td>
</tr>
<tr>
<td>9 Luncheons</td>
<td>$390</td>
<td>28%</td>
</tr>
<tr>
<td>4 Luncheons</td>
<td>$200</td>
<td>17%</td>
</tr>
</tbody>
</table>

Subscription tickets must be used at any training session during the September 2015 - May 2016 Chapter year and attendees from your organization can differ for each workshop and/or luncheon meeting attended. *There will be no refunds for tickets not used by the May 2016 workshop.*

For those unable to commit to our subscription plan, the Chapter is offering the following affordable rates for individually purchased tickets for IIA members*
Individual Event Registration Fees:

<table>
<thead>
<tr>
<th>Workshop/ Luncheon/ Annual</th>
<th>2015 - 2016 IIA Member* Rates</th>
</tr>
</thead>
<tbody>
<tr>
<td>Monthly Workshop - Full Day</td>
<td>$ 175</td>
</tr>
<tr>
<td>Monthly Workshop – Lunch Only</td>
<td>$ 60</td>
</tr>
</tbody>
</table>

* Must be a current IIA Member. Slightly higher pricing applies to non-members.

* Link to pay by credit card: [http://www.cvent.com/events/nyiia-2015-16-subscriptions/fees-35177c22ac74442183bf74deae0f6d22.aspx](http://www.cvent.com/events/nyiia-2015-16-subscriptions/fees-35177c22ac74442183bf74deae0f6d22.aspx)

Subscriptions provide quality training, flexibility, and savings of up to 28% off the regular individual registration price! To purchase subscriptions for your organization, please complete the attached Group Subscription Plan - Order Form and e-mail, fax, or mail them to:

Bill Morello - IIA New York Chapter
New York Life Insurance Company
51 Madison Avenue – Room 706
New York, NY 10010

E-MAIL: William_Morello@newyorklife.com
FAX: 212-589-4447

Please make all checks or money orders payable to the following and mail them to the above address.

The Institute of Internal Auditors - New York Chapter

Alternatively you may purchase Subscriptions via Cvent using the link below:

IIA 2015/2016 Subscriptions
Information on CRMA Certification

Certification in Risk Management Assurance (CRMA)

Be a Key Advisor to the Audit Committee and Executive Management for Risk Management

Job analysis and stakeholder surveys have indicated a key element to unlocking internal audit’s full potential can be found in a professional’s ability to provide advice and assurance on risk management to audit committees and executive management. In response, The IIA developed the CRMA designation.

The standard CRMA Core Exam will be a 100-question, multiple-choice exam, with a seat time of two hours. These exams will be instantly scored like all of the other IIA exams, and will be administered at Pearson VUE testing centers around the world. All Certification in Risk Management Assurance® (CRMA®) eligibility requirements will apply.

The CRMA: Your Key to Career Success

The CRMA is designed for internal auditors and risk management professionals with responsibility for and experience in providing risk assurance, governance processes, quality assurance, or control self-assessment (CSA). It demonstrates an individual’s ability to evaluate the dynamic components that comprise an organization’s governance and enterprise risk management program and provide advice and assurance around these issues.

The CRMA is one more mark of professional distinction for internal audit practitioners. Earning the CRMA will assist you in demonstrating your ability to:

- Provide assurance on core business processes in risk management and governance.
- Educate management and the audit committee on risk and risk management concepts.
- Focus on strategic organizational risks.
- Add value for your organization.

Register Now
Discount on CIA Learning System

Certified Internal Auditor (CIA) Exam® Practice Questions
See link for further details:


Order your copy today!
Member News

Employment Opportunities
If you are looking for a new opportunity, we currently have new job postings in our website https://chapters.theiia.org/new-york/Careers. The following are just some examples of the companies offering Career Opportunities.

<table>
<thead>
<tr>
<th>Position</th>
<th>Company</th>
<th>Location</th>
</tr>
</thead>
<tbody>
<tr>
<td>Senior Audit Manager</td>
<td>Professional Practices Group – TIAA-CREF</td>
<td>New York</td>
</tr>
<tr>
<td>IT Internal Auditor</td>
<td>TIAA CREF</td>
<td>New York</td>
</tr>
<tr>
<td>Senior Manager</td>
<td>AXA Equitable</td>
<td>Jersey City, NJ</td>
</tr>
<tr>
<td>Internal Auditor/Operational</td>
<td>AXA Equitable</td>
<td>Jersey City, NY</td>
</tr>
<tr>
<td>Senior IT Auditor</td>
<td>Signature Bank</td>
<td>New York, NY</td>
</tr>
<tr>
<td>Senior Auditor</td>
<td>Signature Bank</td>
<td>New York, NY</td>
</tr>
<tr>
<td>SOX Compliance Manager</td>
<td>Risk Management</td>
<td>Signature Bank – New York, NY</td>
</tr>
</tbody>
</table>

Individuals or organizations interested in posting job opportunities should submit a condensed job description to our VP of Professional Services, Kathleen Rennert at Kathleen.Rennert@yahoo.com

Internship Opportunities
If your organization is interested in hiring interns from a local school, please contact our EVP Alex Cacanando alex.cacanando@protiviti.com Alex would be happy to connect you with our students.
### Member Certifications

In this section of the IIA NY chapter newsletter, we would like to highlight the members of our chapter who have achieved new IIA certifications.

#### IIA NY Chapter New Certified Members

Congratulations to the following members who have completed the requirements for the certifications listed between June and September 2015:

<table>
<thead>
<tr>
<th>Certification in Risk Management Assurance (CRMA)</th>
<th>Certified Financial Services Auditor (CFSA)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Irene Awuah</td>
<td>Michael Tetro</td>
</tr>
<tr>
<td>Adam Daley</td>
<td></td>
</tr>
<tr>
<td>Fiona Ho</td>
<td></td>
</tr>
<tr>
<td>Yunhao Li</td>
<td></td>
</tr>
<tr>
<td>Ali Rehman</td>
<td></td>
</tr>
<tr>
<td>Maria Tecza</td>
<td></td>
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<tr>
<td>Shih Wei Wang</td>
<td></td>
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<tr>
<td>Weimin Zhao</td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>Certification in Control Self Assessment (CCSA)</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Ruchi Tandon</td>
<td></td>
</tr>
</tbody>
</table>

If you have any questions, please reach out to our Certification Committee Chair Jennifer Morris at JMorris@iona.edu
2015 – 2016 IIA NY Chapter Officers

President
Juan Perez
New York Life Insurance Company
212-576-7984
juan_h_perez@newyorklife.com

Executive Vice President
Alex Cacanando
Protiviti
917-853-6369
alex.cacanando@protiviti.com

Vice President of Professional Development
Uday Gulvadi
Telavance
646-359-3146
uday@telavance.com

Vice President of Professional Services
Kathleen Rennert
Arch Capital Services Inc.
201-743-4066
kathleen.rennert@yahoo.com

Vice President & Secretary
Jennifer Morris
Iona College
914-633-2643
jmorris@iona.edu

Vice President & Treasurer
Khalid Wasti
Deloitte & Touche
212-436-5156
kwasti@deloitte.com

Immediate Past President (2014-2015 Chapter Year)
Raquel Marin Oquendo
Columbia University Medical Center
212-305-9622
rmarin2@optonline.net
2015 – 2016 IIA NY Chapter Committees

**Officer**

- Juan Perez  
  President

- Alex Cacanando  
  Executive Vice President

- Uday Gulvadi  
  Vice President of Professional Development

**Committees**

- CAP Reporting  
  Linda Tan & Aleksandra Terzano

- Audit  
  Brian Mannix

- Academic Relations

- Student Events  
  Lena Pertsovski & Walker Poppert

- Student Dinner  
  Lena Pertsovski & Walker Poppert

- IAEP  
  IA Education Partnership  
  Rachel Bond & Nick Dimola

- General Auditors' Roundtables  
  Paulette Mullings-Bradnock

- Workshops  
  Jim McCabe, Walker Poppert, Ines Jansen & Christopher Cariello

- Volunteers  
  Iryna Seagal & Clare Dempsey

- Nominating  
  Raquel Marin-Oquendo

- B&I and Special Events  
  Stacey Guardino, Rich Marinello, Manish Goswami & Steven Mezzio

- Government Audit Conference  
  Ellen Isaacs

- Long Range Planning  
  Paul Flora, Nick Dimola & Laura Lowenhaupt

- Manager/Director Roundtable  
  Christina Ostran, Chris Decker & Ines Janssen

- Luncheons  
  Alex Cacanando
## 2015 – 2016 IIA NY Chapter Committees

### Officer
- **Kathleen Rennert**
  - Vice President
  - Professional Services
- **Jennifer Morris**
  - Vice President & Secretary
- **Khalid Wasti**
  - Vice President & Treasurer

### Committees
- **Newsletter**
  - Alma Ceballos
- **LinkedIn**
  - Andrew Goldberg
- **Website Administration**
  - Christopher Cariello
- **Group Subscriptions**
  - William Morello
- **Diversity**
  - Christina Ostran
- **Social Media**
  - Christina Faris
- **Certifications**
  - Michael Fucilli
- **Employment Advertising**
  - Uday Gulvadi
- **Social Committee**
  - Coryse Farris
- **History**
  - Richard Dapcic, Adam Stumer
- **Awards Event**
  - TBD
- **Budget & Finance**
  - Christopher Cariello
- **Membership**
  - TBD
- **Outreach**
  - TBD

If you are interested in volunteering, please contact the Volunteers Committee team, Iryna Seagal or Clare Dempsey @ [iryna_seagal@newyorklife.com](mailto:iryna_seagal@newyorklife.com) and [clare_dempsey@newyorklife.com](mailto:clare_dempsey@newyorklife.com)