A MESSAGE FROM OUR PRESIDENT

Dear Members: First, I’d like to wish everyone a Happy Holiday season! We have a very busy January event schedule planned. We have opened registration for our January 10th workshop on Leveraging Artificial Intelligence and Data Analytics in Internal Audit with the luncheon speaker covering Process Mining. Please save the date as the 10th is right around the corner and register here at this link: https://www.eiseverywhere.com/512826.

In addition, the 9th Annual Government Audit Conference will be held on the 31st of January. Benito Ybarra, Chairman of the IIA North American Board and Chief Audit and Compliance Officer of the Texas Department of Transportation in Austin will kick off the conference by talking about the importance of auditing, accountability, and leadership in the public sector. This year’s topics have great general value and interest for all auditors. See page 5 for details - all are welcome! Don’t miss out on the special discounted rate of $75 for IIA members - registration is now open at the following link: https://www.eiseverywhere.com/ehome/500740/1001635/.

Other upcoming special interest events are the March 13th Financial Services Conference and the May 8th Annual Audit Conference. Specifically, the Banking/Financial Services (BFS) industry is experiencing disruptive innovation at an unprecedented level. Recognizing the need for specialized training and content for our members in the BFS industry, the Chapter is pleased to present our inaugural NY Financial Services Conference bringing together top experts from industry with diverse perspectives. Our speakers include leading Chief Audit Executives, Chief Risk Officers, Chief Information Officers, Model Risk, Cybersecurity and Financial Crimes and Fraud experts from organizations such as Wells Fargo, Citi, BNY Mellon, HSBC, Standard Chartered, Commerzbank, QBE etc. See Page 7 for further details. Registration will open soon.

Lastly, please reach out to any of the Executive Committee members (Mike, Laura, Angelina, Prashant, Anna, Stephanie, Randy or me) with any other suggestions and we hope to see you at the upcoming events! Wishing you a Happy New Year!

Sincerely,
Ellen Isaacs
NY Chapter President - Institute of Internal Auditors

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SAVE THE DATES! 2020 WORKSHOP TOPICS & SCHEDULE

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<td>Leveraging Artificial Intelligence and Data Analytics in Internal Audit</td>
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<td>Emotional Intelligence and Resilience in Internal Audit</td>
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<td>3/13/2020</td>
<td>Financial Services Conference</td>
<td>Technology Risk and Internal Audit</td>
<td>Wells Fargo, Bank of China, Citi, HSBC and more</td>
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<td>4/17/2020</td>
<td>The Internal Auditor’s Role in Fighting Fraud, Bribery and Corruption</td>
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For More Information, contact
Laura Richard at Laura.Richard@ey.com
Min Kim at minkkim@gmail.com

Disclaimer: These preliminary topics and presenters are subject to change.

MISSING CPEs?
If you recently attended a NY IIA event and did not receive your CPE certificate, or you misplaced a prior one and would like it to be re-issued, please contact Laura Richard (laura.richard@ey.com) or Min Kim (MKim@nyrainc.com)

CPE REPORTING
CPE Reporting Window Open:
All certified individuals must report annual continuing professional education (CPE) credit hours by December 31st. This lets you display your certification credential(s) and makes you eligible to be included in The IIA Certification Registry.

CERTIFICATION LAPSED?
Re-certify & Re-join
Members who have allowed their certification to lapse, and are currently non-members can re-certify and re-join – restate your CIA and become a member today.

SAVE THE DATE
May 8th, 2020
United Federation of Teachers
52 Broadway - NYC

ANNUAL AUDIT CONFERENCE
EVENT RE-CAP:

WOMEN IN INTERNAL AUDIT

Our Chapter hosted the Women in Internal Audit Summit Workshop on November 15th with over 100 attendees. There was a great array of speakers, including Winnie Tam, Managing Director at Goldman Sachs who discussed the importance of women in business and internal audit, emphasizing the importance of the 3 “C’s”: communication, competence and composure, followed by a CAE Panel Discussion on Navigating Through Complexity, where Eleonora Pechenik, CAE Citi, Ana Alonso, Head of Audit and AML Compliance at MUFG Union Bank, Rebekah Edwards, IA Director at Blue Apron and Erica McManaman, CAE at Signature Bank, discussed changes to the IA landscape, including digital transformation and ESG and highlighted the importance of bringing your authentic self to work, showing vulnerability and expressing empathy. They also talked about taking risks and going outside of one’s comfort zone. The importance of mentorship and sponsorship was also discussed, including the establishment of guidelines for the achievement of goals (what are the available opportunities and how does one go about getting them?). They also cited a study which showed that women tend to think that they are not qualified for certain positions while men think they are qualified even if they don’t have all of the relevant experience. Finally, they expressed the importance of the tone at the top and women “finding their voice.”

Hania Abrous-McCarthy, MD at Gladclif LLC, Huey Kein Tan, CAE at Signature Bank, Gigi Pantelidis, Audit Director, AML Compliance at Citi and Susan Panzer, Head of IA Americas at Commerzbank AG, led a panel discussion on Successful Negotiations. They all agreed to wear red for the holidays (see pictures)! They recommended the book Women Don’t Ask: The High Cost of Avoiding Negotiation - and Positive Strategies for Change by Linda Babcock and Sara Laschever and mentioned that the book talks about how women tend to be good at advocating for others but not for themselves both at work and in their personal lives. They extrapolated this to negotiating with audit clients on audit issues, reports and grading and emphasized the importance of the “human touch” and in-person meetings with stakeholders.

After lunch, Jeanne Stafford, professional Speaker and Communications Trainer, led the group in exercises around developing advanced competencies in communication. She went over “The 4 Pillars of Being Stuck” which she said include judgment, cynicism, fear and sarcasm as well as “The 4 Pillars of Momentum” which consist of intention, discipline, practice and patience. She communicated the need for love, support and to model what it looks like to receive love and support in our daily lives, both privately and professionally. The session was very interactive!

The final sessions included a discussion on closing the “Confidence Gap” led by Lorna Stark, national Sector Leader, Government and May Boucherak, MD from KPMG, and Strategic Thinking by Jaclyn Bonano, Senior Manager at DHG, Elrene Perez, Manger, Prudential Financial and Jennie Wallace, EVP at NYC Economic Development Corp. The day ended with intimate mentoring sessions and a cocktail networking reception.
Congratulations to: Kevin Williams, Stephen Ogbebor, Kevin McCord, Jude Nwaololo, Donna LaRocca, Faith Khan, Hyoungkun Cho, Nicolas Gatti, Sajan Abraham, Elvira Spika, Manna Zhen, Amicah Bullen, Masahi Hirata, Patrick Abby, Donna Wong, Ryan Xu, Jimmy Koo, Samantha Guarnero, and Anna Walters for obtaining the Certified Internal Auditor (CIA) Certification! What an amazing milestone!

Congratulations are also in order for Sasha Brayboy for completing the Certification in Risk Management Assurance (CRMA), Jonguk Sung for obtaining the Certified Government Auditing Professional (CGAP) certification and Michael Mikulski for obtaining the Certification in Control Self-Assessment (CCSA).

Continued “thank-you’s” to Dorian Fryson for your dedication to quality content and timely submission of our newsletter, Diana Barros for all things volunteer related and Sue Mortensen for your hard work helping to put together our great workshops and ensuring they run smoothly!

HOSTING A CHAPTER EVENT AROUND THE HOLIDAYS? A top recruiting opportunity! Engage non-member attendees and let them know they can save 20% off an individual professional membership using promo code CHE19 through 12/31/2019.

BEGINNING-OF-YEAR-CAMPAIGN - From 1/1/2020-2/28/2020, all new professional members will receive a 20% discount.

MEMBERSHIP CHALLENGE - Last, but not least, we have been participating in the “Chapter Challenge” coordinated by Headquarters, and as of December, we’re happy to report that our member numbers have increased! Please be sure to reach out to friends and colleagues encouraging them to become members of our NY Chapter!
IIA New York Chapter

9th Annual Government Audit Conference

Hotel Pennsylvania
401 7th Avenue, New York, NY 18th Floor

January 31, 2020
8:30-9:30

Keynote Speaker

Benito Ybarra
Chairman of the North American Board, IIA

The Importance of Public Sector Auditing, Accountability, and Leadership

9:45-10:45

Nancy Haig
Your Personal Brand

11:00-12:00

Patty Miller
Professional Skepticism & Critical Thinking

1:15-2:45

Harjot Sidhu
Robotics: The Evolution of Data Analytics

3:00-4:30

Daniel Samson
Immediate Ways to Add Value for Audit Customers

IIA Member Attendee: $75 Non-Member Attendee: $85
Register at: https://www.eiseverywhere.com/ehome/500740/1001635/
DATA ANALYTICS AT ST. JOHN’S

St. John’s University, one of nine IIA Centers for Internal Audit Excellence world-wide, offers both an undergraduate and graduate course on the Principles of Internal Auditing, taught by Professor Ellen Isaacs, President, NY IIA and Professor David Chan, PhD. The courses strive to emphasize the critical skills that are essential for being a successful internal auditor, one of which is the ability to analyze data to provide meaningful results. On October 30th, Devan Ng, Account Executive with Galvanize and Jason Hoo-Fatt, Senior Auditor, Weill Cornell Medicine held a session on data analytics for students of both St. John’s classes. They provided real-life examples of how Galvanize’s data analytics product, ACL Robotics, has effectively helped audit departments identify inappropriate and fraudulent activities and provided vital evidence needed to pursue the nefarious individuals involved. They explained how ACL Robotics has built-in user interface features that enable users to easily start using this tool in the practical application of data analytics. The session was very well received and kindled genuine interest in many students who expressed a desire to further study data analytic techniques, such as becoming an ACL Certified Data Analyst (ACDA). If you would also like further information on pursuing this credential, please go to the following link:

https://academy.wegalvanize.com/acda-certification

For information on St. John’s University’s Internal Audit focused degree program, please follow this link:


ST. JOHN’S UNIVERSITY SPRING 2020 CIA EXAMINATION PREPARATION CLASS OFFERINGS

St. John’s University will be starting Part 1 of its Spring 2020 Saturday series of CIA examination preparation classes on February 1, 2020.

This premier CIA Exam preparation program is the only IIA-partnered, instructor-led program in the New York metropolitan area, and is based on the IIA’s CIA Learning System. It delivers the global CIA exam syllabus in a blended learning format of customized workbooks and web-based learning software (provided with the registration fee). It is also CPE eligible.

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<td>Spring 2020:</td>
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<tr>
<td>Part 1: Internal Audit Basics: February 1, 22, and 29</td>
<td>Part 1</td>
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St. John’s is now also offering a custom version of our multi-session CIA examination preparation class, delivered on site at client organizations (assuming sufficient participant scale). This will afford participants and companies more flexibility and can be tailored to the company’s and CAE’s learning objectives and staff time availability. St. John’s has already delivered this for a major financial institution with great success.

Interested parties can contact Herb Chain at (718) 990-3974 or chainh@stjohns.edu.
IIA NEW YORK CHAPTER
FINANCIAL SERVICES CONFERENCE 2020
MARCH 13, 2020

Topics include:
• Emerging Risks & Internal Audit
  • Culture and Conduct
  • Digital Disruption
  • Cybersecurity
• Technology Innovation
• Model Risk Management
• Financial Crimes and Fraud

SAVE THE DATE. REGISTRATION WILL OPEN SOON.
IIA Headquarters Events

Register here.

April 7-10, 2020 - MicroTek Training Facility NYC

Members Register by February 14, 2020

and Save up to $200!

- April 7-8, 2020: Fundamentals of Risk-based Auditing
- April 7-8, 2020: Financial Auditing for Internal Auditors
- April 7-10, 2020: Tools & Techniques II: Lead Auditor
- April 7-10, 2020: Tools & Techniques I: New Internal Auditor
- April 7-10, 2020: Tools & Techniques III: Audit Manager
- April 8-10, 2020: COSO Internal Control Certificate
- April 9–10, 2020: Advanced Risk-based Auditing
FEATURED ARTICLES

Is The Three Lines Of Defense Model Outdated?

Where, exactly, does responsibility lie in a modern corporation for ensuring that risks are being identified and managed? It may seem like a simple question, but the answer is far more complex. In fact, a long-used model to define such responsibilities, the “Three Lines of Defense” model, is in the process of getting a makeover. Read the article here.

Internal Audit and the Game of Trust – read Jim Pelletier’s blog.

Note: Internal Auditor’s blogs reflect the personal views and opinions of the authors. These views may differ from policies and official statements of The Institute of Internal Auditors and its committees and from opinions endorsed by the bloggers’ employers or the editors of Internal Auditor.

Ten Things Every New Internal Auditor Should Know

As a newly appointed internal auditor, you might find yourself a tad lost. It’s not an easy job. But follow these tips and embrace the profession and you will find that you will love being an internal auditor and will thrive at it. More
CALL FOR VOLUNTEERS

We are always seeking volunteers for workshops and conferences, academic relations, and social events. Please contact Anna Walters at anna.walters@scotiabank.com and/or Diana Barros at diana.barros@scotiabank.com if you are interested.

IIA BOOKSTORE HIGHLIGHTS

IIA MEMBERS CAN RECEIVE UP TO 20% OFF SELECTED PRODUCTS.

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Been involved in a recent activity, have a success story you would like to share, or want to recognize someone? Email: dorian.fryson@scotiabank.com