

# Session Description & Speaker Bio

## ▶ The Future of Fraud Risk Management

The session will focus on the key components of a fraud risk management program and discuss what the board and senior management expect today and might expect in the near future. The discussion will then provide practical insights on what skills might be required yesterday, today, and tomorrow and then delve into how internal audit can enhance its value to the organization through experience and training. Lastly, the discussion will highlight the trends in the ever expanding digital era and how internal audit can stay ahead of internal and external changes through the on-going evaluation of risks.



*Jonathan Marks CPA, CGMA, CFF, CITP, CFE*

Jonathan is a forensic accountant and a partner with an international accounting and consulting firm with more than 30 years of experience working closely with clients, their board, senior management, internal audit, compliance, legal & outside law firm on global/domestic fraud, misconduct, cyber incidents, bribery & whistleblower matters and when appropriate conducting a forensic investigation, then when possible performing root cause analysis in order to develop remedial procedures, and design or enhance governance, global risk management, and compliance systems along with internal controls and policies & procedures to mitigate future potential issues. Jonathan has educated & advised some of the world's largest companies in these & other areas.

## ▶ Agile Internal Auditing: Getting Comfortable with Being Uncomfortable!

An Agile Internal Audit approach can help the Internal Audit function elevate its value to the organization and its delivery of assurance, advisory, and risk anticipation services. We will hear the success stories and lessons learned from the Speakers who have adopted and matured the Agile Auditing framework for Internal Audit function.



*Aditi Jain, Sr. Manager & Agile Specialist | Deloitte*

Aditi is a Senior Manager with Deloitte Risk and Financial Advisory bringing 14 years of technology and risk experience to help financial services firms test and optimize risk and financial controls design. Aditi is also a certified Agile SCRUM Master and has assisted her client in transforming business processes to get more efficient and productive. Aditi brings her strong product development background and specialized focus on transforming business needs with use of smart automation technologies and analytics to rationalize cost savings and gain operational efficiencies for her clients.



*Matt Pearman, Head of Tech. and Ops. & Agile Internal Audit Lead | Barclays*

Matt has over 20 years of risk and control experience specializing in Technology and Operations. He joined Barclays Internal Audit (BIA) as a senior Director in April 2014, based in London, covering Global Infrastructure and Cyber. In July 2015, he was appointed as the Americas Head of Technology and Operations (COO) based in New York. Matt is a member of both the BIA Americas and BIA COO leadership teams and represents BIA COO at the Americas Board Audit Committee. Matt has been a consultant with KPMG and PwC implementing IT systems at global companies, and has held numerous leadership roles in Audit at Barclays, Citi and Lloyds Bank.

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## ▶ GRC Technology Enablement

An overview of GRC Technology Enablement including a review of the technology landscape. As well as a walkthrough of the Audit Management solution in the technology platform RSA Archer.



*Kate Wingerter, Director | PwC*

Kate is a Director out of the New York Metro GRC Technology Practice specializing in GRC Technology enablement. She has six years industry experience in life sciences pharmaceutical company with extensive experience developing, implementing and facilitating internal Compliance training, translating risk tolerance, policies and procedures. She has five years of experience in Enterprise Governance, Risk, and Compliance (eGRC) tool, RSA Archer. She has successfully led, managed and delivered large scale GRC implementations across the various RSA Archer solution verticals including Compliance Management, Vendor Management, Risk Management and Business Continuity Management. She conducts interviews with business stakeholders, identifies as-is GRC process, helps optimize the process, and maps existing policies, risk procedures and controls to eGRC out of box process flow. She develops solution requirements and low-level design documents for integration into RSA Archer and configures out of the box and custom Archer solutions.

## ▶ Digital Transformation - Is Internal Audit Ready to Engage The Business and Disrupt itself?

The rapid speed of disruptive innovations and new technologies, and resistance to change are two of the biggest risks today. A forward-looking audit function should provide insight, oversight and foresight around the organization's current and future risks and controls, including those related to the changing digital world. Internal audit must form an opinion on how effectively risks surrounding digitalization are being managed. In this session, we will discuss a number of ways internal audit teams typically get involved in digital transformation initiatives.



*Andrew Struthers-Kennedy, Managing Director | Protiviti*

Andrew is a Managing Director focusing on Internal Audit and IT Audit services and serves as the lead of Protiviti's Global IT Audit practice. Andrew is a leader in "Next Gen" auditing and works with clients on emerging topics such as Cloud Security, Robotics, Digital Maturity Assessments, Data Mining and Analytics. Andrew works with clients on organizational change, information security, project assurance, governance and risk management. Andrew is also on the Board of the IIA Baltimore Chapter.

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## ▶ Blockchain Auditing

This presentation will address what is a blockchain and the reasons why it will directly impact IIA's members today and into the future. As the amount of digitized data grows exponentially, the ability to verify and secure the enormous number of transactions has become one of the leading concerns for all organizations throughout the world. In parallel, blockchain technology has moved beyond just managing and securing the vast number of cryptocurrency transactions. As a result, blockchain technology is now being leveraged in a variety of verticals and markets that may impact you already.

### *Richard Plotka, CEO | Appatura*



Richard Plotka is the CEO of Appatura, an IT company that specializes in granular content management services and solutions. A senior leader in the IT field for more than two decades, Richard also serves as a professor and the Associate Director of the ITWS program at Rensselaer Polytechnic Institute (RPI) in upstate New York, which has been rated the number-one Information Technology and Web Science program in the US. As a consultant, he has helped companies in a wide range of industries including Legal, Finance, Retail and Manufacturing. Professor Plotka has dedicated his career to focusing on how businesses can add efficiency and cost effectiveness by using technology in smart ways. His current areas of research are mainly in Data

Analytics, Cybersecurity and Blockchain technologies.

## ▶ The Impact of Social Media in Auditing

Given the inevitability of social media and its usage, organizations need to ensure that they can protect their reputation, sensitive business information and intellectual property in the 'hyper-connected' world. Internal Audit plays an indispensable role in assessing, reviewing and measuring the organization's social media policies and practices through the lens of managing the risks to the organization. This session will discuss those key considerations Internal Audit needs to focus on as an organization identifies the key risks, governance, programs and strategies related to social media.

### *Chris Imperatrice, Sr. Manager | EY*



Chris is a Senior Manager in EY's Process and Controls practice in NYC with more than 15 years of combined internal audit and accounting experience concentrating on financial services institutions. He serves as a key lead for EY clients in the community and regional banking industry and has led several internal audit assessment, transformational and co-sourcing/outourcing engagements. He is an alumni of Montclair State University, where his concentration was Accounting, and is a Certified Internal Auditor.

### *David Kahan, Sr. Manager | EY*



Dave is a Senior Manager within EY's technology risk management practice in NYC. During his 14 years with the firm, he has regularly focused on both the people risk and social aspects of business and technology audits; most recently the impacts of automation on the current processes and workforce from a cultural perspective. He has also spent considerable time focused on how cyber security drives change of behavior organizationally; particularly from a proactive risk conscious standpoint.

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## ► Costs and Complexity of GDPR and Data-Privacy Compliance

The EU's General Data Protection Requirement (GDPR) is a sweeping new law meant to safeguard personal data of EU residents. Most U.S. companies may be hard-pressed to comply with these new data-privacy requirements for ownership, storage, access rights, and transmission practices. Complicating matters, customer data often flows through cloud servers spread across global geographies, which often have disparate requirements for data privacy. Companies that don't address the privacy guidelines set forth by GDPR face stiff regulatory fines, reputational damage, and loss of shareholder value. Join CohnReznick's Cybersecurity and Privacy leaders as they discuss key GDPR requirements for U.S. companies, developing a roadmap to become GDPR compliant, and the need for a privacy framework focused on both data and people.



*Shahryar Shaghaghi, Principal | CohnReznick*

Shahryar Shaghaghi, a principal with CohnReznick Advisory and national leader of our Cybersecurity and Privacy Practice, is focused on helping clients with their cybersecurity strategy and transformation programs. By leveraging his extensive technology and risk management leadership experience garnered from his tenure with major consulting and financial services companies and his solid track record with complex and global implementations, Shahryar has successfully helped chief technology, risk, compliance, legal, finance, operations, and security officers achieve their goals and optimize their critical and strategic programs.



*Bhavesh Vadhani, Principal | CohnReznick*

Bhavesh Vadhani is a principal with CohnReznick Advisory and leader of the Technology Risk and Compliance practice with nearly 20 years of experience in the field of information risk management. He has led and managed such engagements as privacy assessments, information technology (IT) controls assessments, vendor security assessments, SSAE 16/SOC 1 (formerly SAS 70) and SOC 2 attestations, IT risk assessments, information security consulting, information assurance, IT strategy, IT portfolio management, and project management and quality assurance reviews. Bhavesh is intimately familiar with regulatory requirements and standards, including, but not limited to, GDPR, NYDFS, DFARS, Sarbanes-Oxley 404 (SOX), OMB A-123, PCI-DSS, 201-CMR 17, Red Flags, FedRAMP and FISMA.

## ► Data Analytics: What Internal Auditors Need to Know

Data and analytics have added a new dimension to Internal Audit, offering more comprehensive and valuable insights into organizations and helping to anticipate what's on the horizon. This session provides an overview of how data analytics can play an important role in identifying emerging risks, enhancing continuous monitoring, and automating aspects of fieldwork.



*Aleksandr Lembrikov, Partner | KPMG*

Aleksandr Lembrikov is a Partner in KPMG's Risk Consulting - IT Advisory & Assurance practice in NYC with over 23 years of hands-on business process controls, banking regulations, communications consulting and information systems auditing experience, including in depth use of the COBIT, ITIL, and COSO frameworks, primarily in financial services, including banking and insurance. Aleks' experience includes developing strategy and building IT governance and regulatory compliance and defining policies and procedures for operations and technology for leading global and domestic banking and financial services companies. He also has four years of combined experience in accounting and financial application implementation and database architecture design and administration. Aleks holds several professional certifications: CPA, CISA, CISM and CRISC.

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*Samer Yassmin, Director | KPMG*

Samer Yassmin is a Director in KPMG's Risk Consulting - IT Advisory & Assurance practice in NYC with 11 years of IT attestation, advisory, and audit experience. He has managed global and small SSAE 18 (SOC1 & SOC2), financial statement audits (SOX), internal audit, consulting, and agreed-upon procedures engagements. Sam focuses on the financial services industry including credit card and electronic payment services, and customer loyalty services. He collaborates with practices across KPMG to deliver GRC, cloud, BC&DR, and data & analytics solutions and industry insights. Sam also has experience with network assessments, business process reviews, and risk analysis, and a strong background in networking and programming.



*Stephanie Scalera, Manager | KPMG*

Stephanie Scalera is a Manager in KPMG's Risk Consulting - IT Advisory & Assurance practice in NYC. She has over six years of experience providing operations and technology attestation and audit services. Stephanie primarily focuses on the financial services industry and has significant IT internal audit, IT attestation (SOC1), and Sarbanes-Oxley (SOX) experience. She has a strong background in understanding business process and IT flows, performing risk assessments, identifying automated, business process, general information technology controls (access management, change management, SDLC, and computer operations), and information security / cybersecurity controls.

## ► **Release the Robots** - How Robotic Technologies are Reshaping our Business and Audit Cycles

This session will focus on how automation presents opportunities to amplify control testing efficiency, process review quality, and identify cash savings. A variety of case study examples will be reviewed to highlight initial steps to advanced approaches to maximizing this new technology.



*Rich Lanza, Managing Director | Grant Thornton*

Rich is a Managing Director in the Innovation Team, where he uses his 25+ years of audit analytic experience to improve the effectiveness and efficiency of the firm's risk analysis, audit, and inspection approach. Prior to joining Grant Thornton, Rich managed his own firm for over 12 years, working directly with internal audit departments, advisory practices and cost recovery firms to integrate his designed analytic systems into their business processes. Rich is the author or co-author of 20 publications and training courses with over 50 articles written for audit and accounting publications.



*Vivek Rodrigues, Sr. Manager | Grant Thornton*

Vivek advises global institutions on process re-engineering, automation, cost optimization, change management, and operational risk. He is one of the firm's leaders within the Robotic Process Automation practice (RPA). Vivek is currently working with multiple clients in deploying RPA within different divisions of those firms and is also leading multiple engagements in deploying RPA internally for Grant Thornton. He has extensive experience working with firms in multiple industries and has performed numerous cost and efficiency studies. In addition to consulting, Vivek has worked directly for several global Fortune 100 companies focusing on process improvement and efficiency optimization.

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## ▶ Leadership Lessons that Can Enhance Culture and Conduct in your Company

This session will focus on how Leaders can help create an effective “Tone at the Top” and throughout an organization that reflects a strong commitment to ethical values. Drawing on his years of Leadership experience, the speaker will share examples of both good and bad leadership practices and traits and explain their impact on organizational culture over time. Specific topics to be addressed include: The Importance of Listening, Effective Decision Making, Leading By Example, Having High Standards and the notion that Leadership is a Privilege, among others.



### *Jerry Maginnis*

Jerry spent 36 years with KPMG in Philadelphia, retiring on September 30, 2015. He served as the Managing Partner of the Firm’s Philadelphia Office from 2006 through 2015. Previously, he spent 5 years as the Partner in Charge of the Firm’s Audit practice in Pennsylvania, overseeing operations in KPMG’s Philadelphia, Harrisburg and Pittsburgh offices. Jerry is a Certified Public Accountant (CPA) and a graduate of Saint Joseph’s University.

Since retiring from KPMG, Jerry has joined the Boards of Cohen & Steers Mutual Funds based in New York City. Cohen & Steers is a global investment manager specializing in liquid real assets. The twenty two Funds’ Assets under Management approximate \$32 Billion as of October 31, 2017. He is also a Board Member of the Faith in the Future Foundation and the Foundations of both the American and Pennsylvania Institutes of Certified Public Accountants. Jerry continues to serve on the Pennsylvania Early Learning Investment Commission. Jerry also serves as an Executive in Residence at Rowan University in Southern New Jersey where he chairs the University’s Accounting Advisory Board.