



# NEW YORK REPORTS

PLATINUM AWARD CHAPTER

April 2010



## ***Knowledge Through Sharing and Learning***

Hello!! I hope you're enjoying the nice spring weather.

The news stories and headlines in the last few years have been filled with fraud allegations. Consequently, our membership survey listed fraud as the most popular and desired training topic. The chapter will continue to look for dynamic sessions on fraud for our upcoming workshops and next year's Annual Audit Seminar.

Furthermore on this topic, I had the great honor to discuss fraud awareness and the internal audit profession to Baruch's spring semester internal audit class. It was great to see how interested they were on how fraud impacts an organization and what role the Internal Audit profession plays in preventing it.

During that same week, at our April 16th workshop, Crowe Horwath presented the GTAG Series and GAIT, followed by an afternoon session on "Cloud Computing" presented by Ram Engira. At lunch, nearly 100 attendees participated in a discussion of "Auditing through Enterprise Change" presented by Paulette Mullings Bradnock, Director of Internal Audit at Chartis Insurance.

Additionally, in April, our Academic Relations Committee hosted a dinner with senior internal audit professionals, college students and faculty to have one-on-one conversation about our profession. We hope this ongoing dialogue continues into the future.

For May, we have some great upcoming events and important happenings, so please mark your calendars.

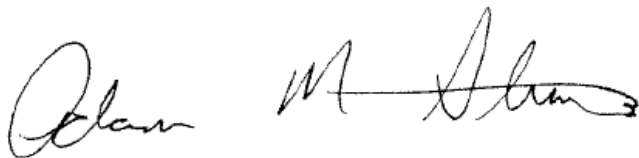
- Mark Arning will be hosting the General Auditors Roundtable on May 27th at New York Life, which provides a forum for Chief Audit Executives to discuss relevant topics in an informal setting. If you're interested, please contact Diane Napolitano ([dnapolit@nyl.com](mailto:dnapolit@nyl.com)) for details.
- Our May 21st workshop will be presented by PricewaterhouseCoopers. In the morning, PwC will present "Emerging Risks in the Financial Services Sector and the Proposed Financial Services Regulations." In the afternoon, PwC will take an in-depth look at internal audit concerns for HR with a focus on compensation, benefits, payroll and vendor management, and the importance of considering these risks in your audit work. All attendees will receive 7 CPE credits. Time: 8:00 AM to 4:00.
- The IIA's International Conference will be held in Atlanta, Georgia on June 6th – 9th.
- On June 4th, we'll host our Annual Awards dinner at SPQR's in Little Italy. This is great time to unwind after a successful chapter year, wish success to the new President, Diane Napolitano, and thank all the volunteers for doing such a great job.
- We will shortly post revised Chapter bylaws. The bylaws provides our fundamental governance structure. Chapter members will have the opportunity to discuss and vote on it at our Organizational meeting in June.

Please be aware that planning has started for the 2010/11 chapter year. If you are interested in giving back to the profession by volunteering, please contact Diane Napolitano.

Please do not hesitate to visit our website at ([www.nyjia.org](http://www.nyjia.org)) for more information about the chapter's programs and activities.

See you out there!

Adam M. Stumer, President  
IIA New York Chapter

A handwritten signature in black ink, appearing to read "Adam M. Stumer". The signature is written in a cursive style with a horizontal line extending from the end.

**Adam M. Stumer, President**  
**IIA New York Chapter**

## ***IIA NY Chapter Pictures***

President *Adam M. Stumer (center)* and Vice President of Professional Services Brian Mannix (far right) with the newly CIA certified members.

**Congratulations!!!**



Paulette Mullings Bradnock, Director of Internal Audit at Chartis Insurance, presented "Auditing through Enterprise Change" at the April luncheon.



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# 2009 – 2010 Chapter Officers

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## **Immediate Past President (2008-2009 Chapter Year)**

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# 2009 – 2010 Committees

**CAP Reporting**

Officer: Adam Stumer  
Chair: Linda Tan

**Audit:**

Officer: Adam Stumer  
Chair: Raquel Marin-Oquendo

**Nominating:**

Officer: Adam Stumer  
Chair: Carol McFarlane

**Volunteer:**

Officer: Adam Stumer  
Chair: Debra Soumare

**Long Range Planning:**

Officer: Diane Napolitano  
Chairs: Paul Flora, Nick Dimola

**General Auditors' Roundtable:**

Officer: Diane Napolitano  
Chair: Mark Arning

**Business and Industry:**

Officer: Diane Napolitano  
Chairs: Stacey Guardino, Uday Gulvadi, Patrick Glenn

**Special Events:**

Officer: Diane Napolitano  
Chairs: Stacey Guardino, Uday Gulvadi, Patrick Glenn

**History:**

Officer: Diane Napolitano  
Chairs: Pat Murtha, Victoria Innocente, Steven Hsieh

**Academic Relations:**

Officer: John Fitzpatrick  
Chairs: Lara Killanin, Mary Wei, Jennifer Morris

**Annual Audit Seminar:**

Officer: John Fitzpatrick  
Chairs: Raquel Marin-Oquendo, Kathy Birn, Frank Campisi, Kathleen Rennert

**Workshops:**

Officer: John Fitzpatrick  
Support Team: Lisa Whitehead, Carlos Garcia, Andrew Ko, Tasmiyah Sapp, Carmen Caceda

**Luncheon:**

Officer: John Fitzpatrick  
Chair: Carmen Caceda

**Newsletter:**

Officer: Brian Mannix  
Chairs: Michael Schor, Dainora Mazeika

**Advanced Technology:**

Officer: Brian Mannix  
Chairs: Vicente De La Cruz, Juan Perez, Harsh Mody

**Public Relations, Advertising and Employment:**

Officer: Brian Mannix  
Chair: Andrew Goldberg

**Subscription:**

Officer: Brian Mannix  
Chair: Bill Morello

**CIA Exam:**

Officer: Julie Connors  
Chair: Juan Perez

**Membership:**

Officer: Julie Connors  
Chairs: Patrick Zacchini, Angie Toney

**Outreach:**

Officer: Julie Connors  
Chairs: Rich Dapcic, Sarah Adams

**Awards Dinner:**

Officer: Julie Connors  
Chairs: Eleonora Pechenik, Judy Beckford

**Diversity:**

Officer: Julie Connors  
Chairs: Junny Rivera, Cheryl Callender

**Budget and Finance:**

Officer/Chair: Scott Lewis

**Awards and Gifts:**

Officer: Scott Lewis  
Chair: Carmen Caceda

# UPCOMING TRAINING

**Date:** Friday May 21<sup>st</sup>, 2010

**Training Time:** 8:30 AM – 4:30PM (check-in 8:00 – 8:30am)

**Location:** NYU- Kimmel Center

**CPE:** 7 credits will be awarded for the full day workshop

**Members: \$175      Non-Members: \$185**

**Luncheon Only (Members): \$60      Luncheon Only (Non-Members): \$70**

**VISIT OUR WEBSITE TO REGISTER ([www.nyiaa.org](http://www.nyiaa.org))**

Training Topic: [Emerging Risks in Financial Services/ Internal Audits of Human Resources](#)

*Morning presentation* - Rich Reynolds, Partner, and Carmine Spinelli, Managing Director, of PricewaterhouseCoopers (PwC) will discuss:

- Emerging Risks in the Financial Services Sector
- Discussion on the Proposed Financial Services Regulations

*Afternoon presentation* - Mike Boro, Partner in PwC's Global HR Services Group) will:

- Take an in-depth look at internal audit concerns for HR with a focus on compensation, benefits, payroll and vendor management, and the importance of considering these risks in your audit work.
- Included in the presentation is a detailed discussion of the key elements that should be present in an organization's review as well as examples and experiences from recent engagements.

Luncheon Topic: [Awards Presentation](#)

At Lunch, the NYIIA Chapter President will present awards to volunteers during the Chapter year

 THE INSTITUTE OF INTERNAL AUDITORS  
**INTERNATIONAL CONFERENCE**  
ATLANTA, GEORGIA, USA / JUNE 6-9, 2010 

AUDITING THROUGH LEADERSHIP

**Atlanta is the place to be in 2010!** The IIA is bringing a world-class conference program to the spectacular Georgia World Congress Center for the 2010 International Conference. The event features recognized keynote speakers including *The Economist's* US Economics Editor Zanny Minton-Beddoes, and The Home Depot's Chief Financial Officer and Executive Vice President of Corporate Services Carol B. Tomé. The conference will also feature program tracks with sessions covering Governance, Risk Management, Fraud Prevention and Detection, Emerging Global Issues, and more. Visit [www.iaa2010atl.org](http://www.iaa2010atl.org) for program details that will have you saying, "Atlanta At Last!"

**IIA Members, register by January 31  
and save more than US \$500 off the regular member rate!**



Visit [www.iaa2010atl.org](http://www.iaa2010atl.org) for details and to register!

© 2009 Atlanta IIA

***Register Now to Receive Early Bird Pricing!***  
<https://www.iaa2010atl.org/registration.conference.html>

# *IIA NY Chapter 2009 – 2010*

## **WORKSHOPS**

### **September 16, 2009 - MSG**

#### **Board Advisory Services**

- Fraud and Ethics in the Financial Crisis

### **October 9, 2009 - MSG**

#### **American Express**

- Managing a Team of Professionals during Challenging Times

#### **Jefferson Wells**

- E-Discovery
- Business Continuity Planning

### **November 4, 2009 – NYU Kimmel Center**

#### **Deloitte**

- Risk Management (General, Fraud, IT)

### **December 11, 2009 - MSG**

#### **Protiviti**

- Hot Topics, Current Trends and Regulatory Issues affecting Internal Audit

### **January 15, 2010 – NYU Kimmel Center**

#### **KPMG**

- Continuous Auditing and Continuous Monitoring and its Relationship to Governance, Risk, and Compliance
- Auditing External Business Relationships
- Going Green- Sustainability

### **February 5, 2010 - MSG**

#### **Quality Plus & Associates (Nick DiMola and Paul Flora)**

- Construction Activity Auditing Strategies

### **March 19, 2010 - MSG**

#### **Annual Audit Seminar**

### **April 16, 2010 – NYU Kimmel Center Crowe Horwath**

- The Advanced Technology Committee of the IIA and the GTAG Series
- Guide to the Assessment of IT General Controls Scope Based on Risk (GAIT)

#### **ACL**

- Practical Deployment of Continuous Monitoring
- Fraud Detection with Data Analysis

### **May 21, 2010 – NYU Kimmel Center**

#### **PwC**

- Emerging Risks in Financial Services/ Internal Audits of Human Resources

***For More Information Visit our Website at <http://www.nyiaa.org/>***

# IIA NY Chapter 2009 – 2010

## LUNCHEONS

**September 16, 2009 - MSG**

**Seton Hall Men's Basketball Head Coach – Bobby Gonzalez**

- Motivation and Teamwork

**October 9, 2009 - MSG**

**Deloitte**

- Foreign Corrupt Practices Act

**November 4, 2009 – NYU Kimmel Center**

**Deloitte**

- Spreadsheet and End User Controls

**December 11, 2009 - MSG**

**Protiviti**

- Current Trends in Information Security and Data Privacy

**January 15, 2010 – NYU Kimmel Center**

**Richard Chambers & Tom Warga**

- Update on the North American Board of the IIA

**February 5, 2010 - MSG**

**KPMG**

- The American Reinvestment and Recovery Act (Stimulus Program)

**March 19, 2010 - MSG**

**Annual Audit Seminar Luncheon**

**Speaker: William Bratton**

**April 16, 2010 – NYU Kimmel Center**

**Liberty Mutual**

- Managing SOX over International Subsidiaries

**May 21, 2010 – NYU Kimmel Center**

**Awards Presentation**

**For More Information Visit our Website at <http://www.nyiaa.org/>**



*IIA New York Chapter  
Presents  
Feast of Italy  
Annual Awards Dinner*

*Please join us as we recognize our hard working volunteers for a job well done this chapter year and present Robert A. Meadus with the Thomas A. Johnson Lifetime Achievement Award for his support of the NY Chapter and long history of accomplishments within the audit profession.*

*S.P.Q.R. (Little Italy)  
133 Mulberry Street  
New York, NY 10013  
Friday, June 4, 2010  
6:30 p.m. to 11:00 p.m.*

*DJ  and Dancing*

*This year's Awards Dinner will include a buffet-style cocktail hour and a sit down 3 course dinner*

*Menu also includes unlimited wine, beer, soda & coffee  
\$25 per Person. \$200 Corporate Table\* (10 Seats)*

*Seating is Limited*

*For Reservations contact Brian Mannix on (212) 576-5928  
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