



# NEW YORK REPORTS

PLATINUM AWARD CHAPTER

July 2010

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

Hello everyone!

I am excited to start our new chapter year and want to thank last year's President, Adam Stumer, for doing such a wonderful job! He helped guide us and achieve Platinum status again! Our website was redesigned; college contacts expanded; and fees reduced for our workshops, while still providing pertinent training for our members.

I want to thank the Board of Governors and our members for their efforts in keeping this a Platinum chapter. You help us provide wonderful training and networking through our workshops and special events. In addition, many are advocates for the Profession and as such are involved with colleges, training for certifications, and attendance at job fairs.

One of our main goals this year is to continue to expose college students to our profession. We want to explain what an internal audit career means to us and can do so through continued presence at our local colleges, paying for student memberships, and inviting students to our workshops. Many colleges still don't emphasize internal audit, so I ask that not only the Board, but our members advocate the profession.

In addition, we need to reach out to companies and increase our membership and our volunteers. It is important that such a large chapter exhibit a strong presence in the metropolitan area. We are also hosting the International Conference in 2016 which will be a wonderful experience for our members. A conference of this size will require extensive support.

Fees will remain the same this year to continue to help our members whose training budgets were reduced. We are happy to announce that most of our workshops will be at Baruch College this year. This venue is centrally located, has more space for our monthly workshops, and allows Baruch students to easily attend some workshops.

If you haven't done so, please attend one of our many activities to see why we are a "Platinum" Chapter. Most of all, this chapter appreciates the support of all its members and their organizations. From all of the Board of Governors, Executive Committee and I, we look forward to a great year!

Diane Napolitano, President  
IIA New York Chapter

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# **2010 – 2011 IIA NY Chapter Officers**

## **President**

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## **Vice President & Treasurer**

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E-mail: [carmen.caceda@ChartisInsurance.com](mailto:carmen.caceda@ChartisInsurance.com)

## **Immediate Past President (2009-2010 Chapter Year)**

**ADAM STUMER**  
NYSE Euronext  
(212) 656-4687  
E-Mail: [astumer@nyx.com](mailto:astumer@nyx.com)

# 2010 – 2011 IIA NY Chapter Committees

**CAP Reporting**

Officer: Diane Napolitano  
Chair: Linda Tan

**Audit:**

Officer: Diane Napolitano  
Chair: Dainora Mazeika

**Nominating:**

Officer: Diane Napolitano  
Chair: Adam Stumer

**Volunteer:**

Officer: Diane Napolitano  
Chair: Debra Soumare

**Long Range Planning:**

Officer: John Fitzpatrick  
Chairs: Paul Flora, Nick DiMola

**General Auditors'****Roundtable:**

Officer: John Fitzpatrick  
Chair: Mark Arning

**Business and****Industry:**

Officer: John Fitzpatrick  
Chairs: Stacey Guardino, Uday Gulvadi, Patrick Glenn, Tracey Thomas

**Special Events:**

Officer: John Fitzpatrick  
Chairs: Stacey Guardino, Uday Gulvadi, Patrick Glenn, Jennifer Morris

**History:**

Officer: John Fitzpatrick  
Chairs: Alexander Tsuryan

**Academic Relations:**

Officer: John Fitzpatrick  
Chairs: Lisa Whitehead, Kedrick Carr, Jennifer Morris

**Annual Audit Seminar:**

Officer: Brian Mannix  
Chairs: Carlos Garcia, Jim McCabe, Uday Gulvadi, Erin Morrow, Kathy Birn, Frank Campisi

**Workshops:**

Officer: Brian Mannix  
Support Team: Mary Wei, Cheryl Lovell, Adeline Monteau, Juan Perez, Andrew Ko, Jim McCabe

**Luncheon:**

Officer: Brian Mannix

**Newsletter:**

Officer: Scott Kenney  
Chairs: Michael Schor, Dainora Mazeika

**Advanced****Technology:**

Officer: Scott Kenney  
Chairs: Vicente De La Cruz, Harsh Mody, Jennifer Neuenhoff

**Public Relations, Advertising and Employment:**

Officer: Scott Kenney  
Chair: Andrew Goldberg

**Subscription:**

Officer: Scott Kenney  
Chair: Bill Morello

**CIA Exam:**

Officer: Raquel Oquendo  
Chair: Juan Perez

**Membership:**

Officer: Raquel Oquendo  
Chairs: Patrick Zacchini, Angie Toney

**Outreach:**

Officer: Raquel Oquendo  
Chairs: Rich Dapcic, Olga Davis

**Awards Dinner:**

Officer: Raquel Oquendo  
Chairs: Mariaelena Deloux, Kathy Rennert

**Diversity:**

Officer: Raquel Oquendo  
Chairs: Junny Rivera, Toan Nguyen

**Budget and Finance:**

Officer/Chair: Carmen Caceda

**Awards and Gifts:**

Officer: Carmen Caceda  
Chair: Kathy Rennert

# 2009 -2010 IIA NY Chapter Awards Dinner



*The 2010 Awards Dinner was held June 4, 2010 in Little Italy. Thank you to all that came out to celebrate – it was a wonderful time!*

## 2009-2010 Chapter Year Accomplishments

Maintained Platinum Chapter status



### Services Provided to Members

- Increased chapter **Membership** by 127
- **CIA Review** Courses offered at Pace University (over 200 parts taken)
- 72 **CIA Certifications** were issued
- Nine **Workshops** and Luncheons were conducted
- Eight **General Auditors** Round Table Meetings were held
- Three **Business and Industry** Events were held
- Two **Special Events** were held
- Issued over 7,000 **CPEs**
- 11 monthly **Newsletters** were created for our members
- Established a **LinkedIn** Group that has grown to over 70 members.

### Services Provided to the Profession

- Two **Scholarships** for \$1,500 each were provided to students
- \$10,000 in **Education** and Research donations were made
- 17 Presentations and Activities were held at **Local Colleges**
- Held our first ever **academic** roundtable with internal audit professionals, professors and students
- 14 Chapter members served on **international** committees

***The following awards were presented:***

**Thomas A. Johnson Lifetime Achievement Award**

Robert Meadus

**President's Award**

John Fitzpatrick and Brian Mannix

**Special Recognition Awards:**

Mark Arning  
Dainora Mazeika  
Linda Tan

Raquel Marin-Oquendo  
Bill Morello  
Jeff Super

**Outstanding Contributor Award:**

Judy Beckford  
Carmen Caceda  
Rich Dapcic  
Olga Davis  
Vicente De La Cruz  
Nick DiMola  
Paul Flora  
Patrick Glenn  
Andrew Goldberg  
Stacey Guardino  
Uday Gulvadi  
Steven Hsieh

Carol McFarlane  
Harsh Mody  
Jennifer Morris  
Eleanora Pechenik  
Juan Perez  
Kathy Rennert  
Junny Rivera  
Michael Schor  
Mary Wei  
Lisa Whitehead  
Patrick Zacchini

**Contributor Award:**

Kathy Birn  
Antonio Brasse  
Frank Campisi  
Jaime Flomenbaum  
Carlos Garcia  
Annette Phang

Andrew Ko  
Jim McCabe  
Eli Mehrnia  
Adeline Monteau  
Melissa Teti

# ***IIA NY Chapter Upcoming Training***

## ***NYIIA's Panel Discussion followed by a New York Mets Game***

- Date:** Thursday August 12<sup>th</sup>, 2010
- Times:** 8:30AM-11:00AM (Breakfast and Panel Discussion)  
12:10PM (New York Mets Game-Optional)
- Location:** Credit Agricole CIB- Auditorium  
1301 Avenue of the Americas (6<sup>th</sup> Ave)  
New York, New York 10019
- CPE:** 2 CPE Credits will be awarded for the Panel Discussion

### ***IA Members:***

*Panel Discussion and NY Mets Game: \$30  
Panel Discussion Only: \$20*

### ***Non-Members:***

*Panel Discussion and NY Mets Game: \$35  
Panel Discussion Only: \$20*

### **Training Topic: *Internal Audit Reporting- Enhancing Value to Stakeholders***

Stakeholder's expectations from their Internal Audit functions have continued to increase in recent years, especially as a response to the economic crisis. As Internal Audit groups aim to enhance the value delivered to their various stakeholders, they are introducing innovative reporting practices that go beyond merely reporting audit findings to sharing leading practices, process and control enhancements, and recommending practical solutions to business risk exposures.

***Don't miss this exciting professional development and CPE opportunity***

Our panelists will share their diverse perspectives and practical experience in an interactive panel discussion that will cover:

1. Internal Audit Reporting to Stakeholders - structure, content and frequency
2. Stakeholders' expectations from Internal Audit reporting (Audit Committees, regulators, and business leaders)
3. Going beyond audit findings / observations to share process, internal control and risk mitigation leading practices and recommendations across the organization
4. Measuring / quantifying value delivered

### **Our Distinguished Panelists:**

1. **David Gerstenschlager:** Goldman Sachs, Chief of Staff, Internal Audit
2. **Nick DiMola:** Quality Plus & Associates and former CFO of the MTA
3. **Andrew Raftis:** AXA Equitable, Senior Vice President, Internal Audit
4. **Michael Tumino:** Signature Bank, Chief Audit Executive
5. **Tracey Thomas:** AXA Equitable (Moderator)

**Afternoon: *Followed by a New York Mets Game (optional)***

### ***For Registration Information:***

Call Patrick Glenn at 212-261-3284 to register by phone. All checks should be made payable to the "NY Chapter of the IIA" and mailed to the following address:

***Patrick A. Glenn  
Internal Audit, 14<sup>th</sup> floor  
Credit Agricole Corporate and Investment Bank  
1301 Avenue of the Americas  
New York, NY 10019***

Or visit our website [www.nyiaa.org](http://www.nyiaa.org) and complete the registration form and e-mail it to [patrick.glenn@CA-CIB.com](mailto:patrick.glenn@CA-CIB.com)

# ***IIA Upcoming Webinar***

*Membership means* **more.**



The Institute of Internal Auditors (IIA) invites you to its next offering of the “2010 Members Only Webinar Series” on Tuesday, July 27, 2010. This monthly complimentary series of educational webinars were designed with our members in mind, and as a member you have exclusive access to them as part of your membership investment. This is one more way that IIA Membership means more in 2010. Here’s what you need to know:

**Title:** **Transforming an Audit Function to World Class**

**Presenter:** Don Robitaille, CIA, CFSA, CPA, CISA, CCP  
Retired Senior Vice President and General Auditor  
MassMutual Financial Group

**Date:** Tuesday, July 27, 2010

**Time:** 1:00 – 2:00 p.m. EDT

**Cost:** **FREE** to IIA Members

**CPE:** **One (1) CPE (NASBA Eligible\*)**

- Hear how two Fortune 100 internal audit functions were transformed to world class.
- Learn about best practices for organization/independence; staff training; audit committee reporting; risk assessment; audit planning; executive reporting; solving the IT pre-implementation audit puzzle; and effective coordination with enterprise risk management.
- Find out how to implement an "end-result audit process" that ensures effective controls are in place and working.
- Discover how internal audit can lead the implementation of an enterprise wide controls certification program, an essential component of strong governance, risk, and compliance.

***Don't miss this exciting professional development and CPE opportunity***

# ***IIA NY Chapter 2010 – 2011 Workshops***

## **September 17, 2010**

**Joan Pastor – JPA International, Inc.**

- *Conflict Management and Negotiation Skills for Internal Auditors*

## **October 15, 2010**

**Crowe Horwath**

- *Fraud and the Foreign Corrupt Practices Act: What Internal Auditors Need to Know*

## **November 19, 2010**

**Bob Kodzis – Flight of Ideas**

- *Creativity, Embracing Change, and Running Effective Meetings*

## **December 17, 2010**

**Jefferson Wells**

- *Contract Compliance and Cost Recovery Audits*
- *Enhancing your audits with subject matter experts*
- *Future of Internal Audit*
- *Managing Privileged Access Risk*
- *Data Loss Prevention*

## **January 21, 2011**

**Eisner**

- *Morning – Privacy & Data Security Compliance, PCI – Credit Card Payment Compliance, and SAS 70 Compliance*

## **Automation Services**

- *Afternoon – Data Analysis, Data Mining, Fraud Detection, & Continuous Monitoring*

## **February 11, 2011**

**Protiviti**

- *Hot Topics and Trends within Internal Audit: IT internal audit, Fraud, Regulatory, IT Security, and Staffing*

## **March 25, 2011- MSG**

**Annual Audit Seminar**

## **April 8, 2011**

**PricewaterhouseCoopers**

- *TBD*

## **May 13, 2011**

**Mike Fucilli and Ben Lonner**

- *Best Practices in Internal Auditing Today*

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

# IIA NY Chapter 2010 – 2011 LUNCHEONS

## September 17, 2010

Joan Pastor – JPA International, Inc.

- *The Relationship Between Leadership and Emotional Intelligence for Internal Auditors*

## October 15, 2010

Crowe Horwath

- *Business Practices & Ethics in Today's Environment*

## November 19, 2010

Bob Kodzis – Flight of Ideas

- *Work/Life Balance*

## December 17, 2010

Right Management

- *Enhancing Personal Skills*

## January 21, 2011

Deloitte

- TBD

## February 11, 2011

Protiviti

- *Trends in Enterprise Risk Management*

## March 25, 2011- MSG *Annual Audit Seminar*

## April 8, 2011

PricewaterhouseCoopers

- TBD

## May 13, 2011

Mike Fucilli and Ben Lonner

- *Awards Presentation*

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