



NEW YORK REPORTS

PLATINUM AWARD CHAPTER

October 2009



Knowledge Through Sharing and Learning

Hello!

No question about it, the fall is here to stay; with the onset of the crisp cool temperatures, fall foliage, Halloween decorations, and the Yankees advancing to the ALCS. Yet, chapter volunteers continue to work even harder to ensure we have a successful year.

Our October 9th workshop and luncheon was a great success. Jefferson Wells started the morning with a discussion on eDiscovery and Privacy. At lunch, Deloitte educated us about the Foreign Corrupt Practices Act, which seems to be one of our profession's hot topics. American Express ended the day by presenting "Managing a Team of Professionals during Challenging Times" and "Risk and Controls within a Credit Card/ Payments Company".

Please mark your calendars for some of the upcoming events.

- Our next workshop "Risk Management" at New York University's Kimmel Center is on November 4th, 2009. Join us as speakers from Deloitte present "Risk Intelligence"; a discussion that will include an overview of Risk Intelligence, conducting an Enterprise Risk Assessment, Anti-Fraud Programs & Controls, and conducting an IT Risk Assessment. At lunch, Deloitte will also discuss "Spreadsheet and End User Controls". All workshop attendees receive 7 CPE credits. Hope to see you there!
- The Institute of Internal Auditors (IIA) and Pace University have joined forces to offer a comprehensive instructor-led course based on the IIA's CIA Learning System. This program is designed primarily for individuals interested in preparing for the CIA exam, achieving professional advancement, and building confidence for addressing today's internal audit challenges. For information on the next courses please see page 9 for details.
- Mark Arning will be hosting the General Auditors Roundtable on December 10 at New York Life. These meetings provide 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) for details.
- This is the last month to purchase discount subscription plans to our monthly training sessions. To help organizations with reduced training budgets, this year the chapter has reduced the costs by 10-25% for all subscription plans. If you're interested in a subscription plan, please contact Bill Morello at 212-576-7745.

On a personal note, I attended the IIA's Eastern Regional conference in Philadelphia from October 12-14th. This 2 ½ day conference was planned, organized and managed by the Philadelphia Chapter of the IIA. This significant effort took a couple of years to do. It's great to see how the hard work of so many volunteers resulted in such a great and professional conference.

From our chapter, I want to highlight the significant contributions of the Workshop Chairs Carmen Caceda, Carlos Garcia, Andrew Ko, Tasmiyah Sapp, and Lisa Whitehead. To plan, organize and manage eight monthly workshops requires a significant commitment of these volunteers' personal time. However, these outstanding professionals do it for the service of the chapter, the networking opportunities, but most of all their desire to give something back to the profession. I would like to say thanks for a job well done! If you're interested in volunteering, please contact any of the chapter's Executive Officers.

There are other ways you can help the chapter. If you've written any professional articles or presented on any internal audit topic (e.g., controls, risk, fraud), please let us know. We would like to highlight some of these achievements in our monthly newsletter.

Please do not hesitate to visit our website at (www.nyiaa.org) for more information about the chapter's programs and activities.

See you out there!



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

Pictures from the October Workshop and Luncheon



In This Issue

	Page
President's Message	1
Chapter Information	
2009/2010 Chapter Officers	4
2009/2010 Committee Chairs	5
Newly Certified Members	6
Upcoming Events and Workshops	
Upcoming Training – November 4	7
International Conference	8
CIA Review Course Flyer	9
IIA Member Reminders	10
CIA Prep Materials – Chapter Competition	11
2009/2010 Workshops	12
2009/2010 Luncheons	13
Subscription Order Form	14

2009 – 2010 Chapter Officers

President

ADAM STUMER

NYSE Euronext

(212) 656-4687

E-Mail: astumer@nyx.com

Executive Vice President

DIANE NAPOLITANO

New York Life Insurance Company

(914) 846-3878

E-Mail: dnapolit@nyl.com

Vice President-Professional Development

JOHN FITZPATRICK

(516) 376-9527

E-Mail: JFitzpatrick@accumepartners.com

Vice President - Professional Services

BRIAN MANNIX

New York Life Insurance Company

(212) 576-5928

E-Mail: bmannix@nyl.com

Vice President – Secretary

JULIE CONNORS

Deloitte & Touche LLP

(973) 602-6098

E-Mail: jconnors@deloitte.com

Vice President & Treasurer

SCOTT LEWIS

Metlife

(212) 553-4740

E-Mail: Slewis@metlife.com

Immediate Past President (2008-2009 Chapter Year)

CAROL MCFARLANE

MetLife

(212) 578-5351

E-mail: cmcfarlane2@metlife.com

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: Sarah Fedele, Michael Schor

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

CONGRATULATIONS!!

Congratulations to our newly certified members

CIA

Brandon Keith Daniel
Jacqueline Spence
Amanda K. Talley
Eurike Carmen Gollnow
Ajay Jyotishi
Edward Wong
Michie Kojima
Rima Mehta
Piyush J. Vora
Khadhya Taylor
Tzipora Schindel

CCSA

Patricia Kidwingira

CFSA

Eurike Carmen Gollnow
Paul Lowenberg



UPCOMING TRAINING

Date: Wednesday, November 4, 2009

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

Location: New York University's Kimmel Center– 60 Washington Square South, New York, NY

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.nyjia.org)

Training Topic:

Risk Management & Spreadsheet and End User Controls

Associates from Deloitte will discuss various aspects of Risk Management including identification, assessment, and prioritization as well as strategies to manage risk. General risk management will be discussed along with Fraud and IT risk management. At lunch, Deloitte will discuss "Spreadsheet and End User Controls". End-user computing generally involves the use of department-developed spreadsheets and databases, which are frequently used as tools in performing daily work. To the extent these spreadsheets are in place, they are an extension of the IT environment and results generated from them may, in assessing their impact, have an effect on the company's financial statements and/or management reporting. The presentation will address the identification, location, the risk associated with them, access controls around them and available methods of control (manual and automated).



2010 IIA International Conference “Auditing Through Leadership”

Atlanta is the place to be in 2010! The IIA is bringing a world-class conference to the spectacular Georgia World Congress Center and you will definitely want to be part of the action. Guaranteed to be the year’s largest gathering of internal auditing practitioners, the 2010 International Conference will focus on “Auditing Through Leadership (ATL).”

It features an unprecedented number of concurrent sessions on today’s current issues, industry best practices, and unique challenges to help you add value to your organization; 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 who will educate and entertain you; a hands-on exhibit hall filled with the latest tools, techniques, products, and services that will make you more successful at your job; sightseeing galore including the Georgia Aquarium, Inside CNN Atlanta, and the Centennial Olympic Park, all of which are within walking distance of the Omni Hotel at CNN Center (the official Conference hotel); and receptions and networking opportunities that will keep your ATL experience memorable for many years to come. **The 2010 International Conference, Atlanta, At Last!**

Register Now to Receive Early Bird Pricing!

<https://www.iaa2010atl.org/registration.conference.html>

BECOME A CERTIFIED INTERNAL AUDITOR!

Introducing The IIA's CIA Learning System™ Course at Pace University



Earn the most sought-after credential in the global internal audit profession! The Institute of Internal Auditors (IIA) and Pace University have joined forces to offer a comprehensive instructor-led course based on The IIA's CIA Learning System. This course will expand your internal audit knowledge and prepare you for the Certified Internal Auditor® (CIA®) exam.

This program is designed primarily for individuals interested in preparing for the CIA exam, achieving professional advancement, and building confidence for addressing today's internal audit challenges.

Course Materials: The IIA's CIA Learning System

This course is based on The IIA's **CIA Learning System**, a premier-quality CIA exam preparation tool, designed by subject matter experts to teach the entire global CIA exam syllabus. The IIA's CIA Learning System program is delivered in a blended learning format of printed workbooks and Web-based learning software. To take a demo of these materials, go to www.LearnCIA.com. These tools are augmented by the expertise of an experienced instructor. The classroom environment allows for interaction with your peers and the instructor, and also provides structure to keep you on track to meet your goals. **Each class qualifies for 8 CPE credits.**

Course Instructor: Xenia Parker, CIA is a highly regarded and respected lecturer. Her participant pass rates on the CIA Exam are one of the highest in region! Ms. Parker has extensive work experience within the internal auditing world and is currently employed as a Senior Director of Audit Control at Marsh & McLennan Co.

The following courses are available at Pace University for the FALL 2009:

Course	Course #	Schedule	Tuition Fees	
			IIA Member	Non Member
Part I: The Internal Audit Activity's Role in Governance, Risk, & Control	IA101	2-Saturdays Sept. 26 & Oct. 3 9:00 am – 5:00 pm	\$475	\$525
Part II: Conducting the Internal Audit Engagement	IA102	2-Saturdays Oct. 17 & 24 9:00 am – 5:00 pm	\$475	\$525
Part III: Business Analysis and Information Technology	IA103	3-Saturdays Nov. 7, 14, & 21 9:00 am – 5:00 pm	\$575	\$625
Part IV: Business Management Skills	IA104	1-Saturday Dec. 5 9:00 am – 5:00 pm	\$275	\$325

REGISTER FOR ALL 4 PARTS and TAKE \$100 off!

The CIA Learning System Course will be held exclusively at:

Pace University's Midtown Campus
551 Fifth Avenue at 45th
New York, NY

To Register: Contact C. Pagano at
(914) 773-3714 or cpagano@pace.edu

www.pace.edu/cpe

IIA Member Reminders

- ✓ **The NYIIA accepts credit card payments on-line.**
- ✓ **Not receiving Chapter e-mails and Workshop notifications? Update your IIA Member Profile. Use your IIA Member ID and Password to update your Profile on www.theiia.org. After logging in, select "Update Your Profile".**

Attention CIA Candidates!!

Save on Premier-Quality Prep Materials

The Institute of Internal Auditors (IIA) developed The IIA's CIA Learning System™ to expand your internal audit knowledge and skills and prepare you for the Certified Internal Auditor® (CIA®) exam.

Now, you can save up to \$100 off the regular IIA CIA Learning System price while supporting The IIA NY chapter in a nationwide chapter competition. Simply place your order at www.learnkia.com/chapters to qualify.

The IIA's CIA Learning System is a comprehensive and flexible training program that offers:

- Interactive print and Web-based study tools that teach the entire global CIA exam syllabus.
- Up-to-date content that has been aligned with the [2009 International Professional Practices Framework \(IPPF\)](#).
- [My CIA Review Plan](#) - a free, online tool to help you set a customized and realistic study plan.
- Web-based test questions to help prepare you for the computer-based CIA exam.
- CIA Practice Exam that simulates the Pearson VUE CBT testing software to build exam confidence.

Begin your CIA preparations today with the help of The IIA NY chapter. All chapter members can purchase the Learning System for \$745 (plus taxes & shipping) – that's a savings of up to \$100!

Please visit www.learnkia.com/chapters to take advantage of the discounted IIA chapter member price.



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

Quality Plus & Associates (Nick DiMola and Paul Flora)

- Construction Activity Auditing Strategies

February 5, 2010 - MSG

KPMG

- Continuous Auditing/ Continuous Monitoring
- Auditing External Business Relationships
- Going Green - Sustainability

March 19, 2010 - MSG

Annual Audit Seminar

April 16, 2010 – NYU Kimmel Center

Crowe Chizek

- 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

- Topic to be determined

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
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: Boomer Esiason

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/>



THE INSTITUTE OF INTERNAL AUDITORS
NEW YORK CHAPTER
2009 - 2010 GROUP SUBSCRIPTION PLAN
ORDER FORM & INVOICE

PLEASE PRINT

NAME: _____

ORGANIZATION: _____

ADDRESS: _____

PHONE NUMBER: _____ FAX NUMBER: _____

E-MAIL ADDRESS: _____

SUBSCRIPTION PURCHASED		NUMBER		PRICE		TOTALS
<u>LUNCHEONS ONLY</u>	(9 Luncheons)	_____	@	\$ 400.00	EACH =	_____
	(4 Luncheons)	_____	@	\$ 200.00	EACH =	_____
<u>WORKSHOPS</u>	(INCLUDES THE LUNCHEONS)					
With Annual Seminar	(8 Workshops)	_____	@	\$ 1,000.00	EACH =	_____
With Annual Seminar	(4 Workshops)	_____	@	\$ 700.00	EACH =	_____
Without Annual Seminar	(4 Workshops)	_____	@	\$ 550.00	EACH =	_____
 <u>ADDITIONAL TICKET PURCHASES</u>						
Annual Audit Seminar Member		_____	@	\$ 220.00	EACH =	_____
<i>(Order by 12/31/2009 to get the discounted price of \$220.)</i>						
						AMOUNT DUE _____

TICKETS WILL BE MAILED TO ABOVE ADDRESS UPON RECEIPT OF ORDER

MAKE CHECKS PAYABLE TO - THE INSTITUTE OF INTERNAL AUDITORS--NEW YORK CHAPTER
AND MAIL THEM TO:

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NEW YORK LIFE INSURANCE COMPANY
51 MADISON AVENUE – ROOM 706
NEW YORK, NEW YORK 10010

TELEPHONE: 212 576-7745 FAX: 212 589-4447 E-mail: wmorello@newyorklife.com

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