

# 2022 Financial Services Exchange

Save the Date for the 2022 Financial Services Exchange | Sept. 19–20, 2022 | Washington, DC

## Sunday, September 18

<b>2:00 – 6:00 p.m. ET</b> <a href="#">Meeting Room</a>	<b>Registration and Customer Relations</b>	<a href="#">West Registration</a>
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## Monday, September 19

<b>8:00 a.m. – 5:00 p.m. ET</b> <a href="#">Meeting Room</a>	<b>Registration and Customer Relations</b>			<a href="#">West Registration</a>
<b>8:00 – 9:00 a.m. ET</b> <a href="#">Meeting Room</a>	<b>Continental Breakfast and Networking</b>			<a href="#">Ambassador Ballroom</a>
<b>9:00 – 10:30 a.m. ET</b> <b>75-minute Presentation</b>  <b>1.5 CPE</b>	<b>Opening Keynote</b> <b>Creating Value Through ESG</b>  <b>Moderator:</b> Abhi Aggarwal Partner PWC  <b>Panelists:</b> Diana Stoltzfus Deputy Chief Accountant U.S. Securities and Exchange Commission  Mani Sulur Senior Vice President, Chief Risk Officer USAA  Paul Ricci Senior Executive Vice President, Chief Auditor, Internal Audit Wells Fargo			
<a href="#">Meeting Room</a> NASBA Learning Field <a href="#">Learning Level</a>				<a href="#">Regency Ballroom</a> Specialty Knowledge Basic
<b>10:30 – 11:00 a.m. ET</b> <a href="#">Meeting Room</a>	<b>Networking Break</b>			<a href="#">Ambassador Ballroom</a>
<b>TRACKS</b>	<b>Governance, Risk, and Regulation</b>	<b>Innovation and Emerging Tech</b>	<b>Internal Audit, Leadership, and Data</b>	
<b>11:00 a.m. – 12:00 p.m. ET</b>  <b>1.2 CPE</b>	<b>CS 1-1</b>  <b>Navigating the Coming Regulatory Tsunami</b>  John Wheeler Senior Advisor, Risk and Technology AuditBoard  <a href="#">Empire Ballroom</a> Specialty Knowledge Basic	<b>CS 1-2</b>  <b>A Layered Approach to Cyber Coverage</b>  Vaibhav Sharma Senior Vice President and Senior Audit Director Bank of America  Rick Bristow Senior Vice President and Audit Director, Cyber Risk Bank of America  <a href="#">Diplomat Ballroom</a> Information Technology Intermediate	<b>CS 1-3</b>  <b>The Possibility of a Fully Automated Audit Function</b>  Bill Chippendale, CIA, CPA Senior Vice President and Chief Audit Executive Discover Financial Services  Ling Cao Director, Data Science Strategy Internal Audit Discover Financial Services  <a href="#">Palladian Ballroom</a> Auditing Intermediate	
<a href="#">Meeting Room</a> NASBA Learning Field <a href="#">Learning Level</a>			<a href="#">Regency Ballroom</a>	
<b>12:00 – 1:15 p.m. ET</b> <a href="#">Meeting Room</a>	<b>Lunch followed by dessert</b>			<a href="#">Regency Ballroom</a>

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TRACKS	Governance, Risk, and Regulation	Innovation and Emerging Tech	Internal Audit, Leadership, and Data
<p><b>1:15 – 2:15 p.m. ET</b></p> <p><b>1.2 CPE</b></p> <p><b>ESG in Financial Services and the Role of Internal Audit</b></p> <p>Imtiaz Hussain Managing Director and Deputy Chief Auditor BNY Mellon</p> <p>Meeting Room NASBA Learning Field Learning Level</p>	<p><b>CS 2-1</b></p> <p><b>Diplomat Ballroom</b> Specialty Knowledge Intermediate</p>	<p><b>CS 2-2</b></p> <p><b>Analyzing Customer Complaints With NLP to Enhance Audit Decisions</b></p> <p>Jim Tarantino, CISA Director RSM</p> <p>Lou Castagliola, CPA Data Analytics Manager RSM</p> <p><b>Empire Ballroom</b> Specialty Knowledge Intermediate</p>	<p><b>CS 2-3</b></p> <p><b>Auditing With Agility: Stop Wasting Time and Start Adding Value!</b></p> <p>Clarissa Lucas, CIA, CISA, CIDA IT Audit Director Nationwide Insurance</p> <p>Patrick Shanahan Associate Vice President, Internal Audit Nationwide Insurance</p> <p><b>Palladian Ballroom</b> Auditing Intermediate</p>
<b>2:15 – 2:30 p.m. ET</b>			
TRACKS	Governance, Risk, and Regulation	Innovation and Emerging Tech	Internal Audit, Leadership, and Data
<p><b>2:30 – 3:30 p.m. ET</b></p> <p><b>1.2 CPE</b></p> <p><b>Environmental, Social, and Governance (ESG) Risk and Board Oversight</b></p> <p>Bill Coller Enterprise Risk and Internal Controls Manager Paychex</p> <p>Lori Flaherty, CIA, CRMA, CFE ERM Lead Paychex</p> <p>Meeting Room NASBA Learning Field Learning Level</p>	<p><b>CS 3-1</b></p> <p><b>Palladian Ballroom</b> Specialty Knowledge Intermediate</p>	<p><b>CS 3-2</b></p> <p><b>Roadmap for Establishing IT Reliance Within M&amp;A Transactions</b></p> <p>Kent Trainor, CIA, CPA Vice President, Internal Audit and Compliance goeasy, Ltd.</p> <p>Mandar Patel, CPA Senior Manager, IT Audit goeasy, Ltd.</p> <p><b>Empire Ballroom</b> Information Technology Intermediate</p>	<p><b>CS 3-3</b></p> <p><b>Auditing Human Resources in 2022 and Beyond</b></p> <p>Scott Baranowski Director, Internal Audit Wolf &amp; Company, PC</p> <p>Colleen Simonelli Chief People Officer Wolf &amp; Company, PC</p> <p><b>Diplomat Ballroom</b> Personnel/Human Resources Basic</p>
<b>3:30 – 4:00 p.m. ET</b>			
<b>Networking Break</b>			<b>Ambassador Ballroom</b>
TRACKS	Governance, Risk, and Regulation	Innovation and Emerging Tech	Internal Audit, Leadership, and Data
<p><b>4:00 – 5:00 p.m. ET</b></p> <p><b>1.2 CPE</b></p> <p><b>Bringing Together Risk, Compliance, Audit, and Other Business Units</b></p> <p>Dr. Paul Viancourt, CIA, CRCM, CAMS, CFE Director, Training &amp; Development Ncontracts</p> <p>Meeting Room NASBA Learning Field Learning Level</p>	<p><b>CS 4-1</b></p> <p><b>Empire Ballroom</b> Auditing Basic</p>	<p><b>CS 4-2</b></p> <p><b>Addressing the SEC Cybersecurity Disclosure Enhancement From an Audit Perspective</b></p> <p><b>Moderator:</b> Keith Zielenski, CISA Managing Director Protiviti</p> <p><b>Panelists:</b> Kristin Royster Senior Vice President, External Engagement and Risk Governance, Global Information Security Bank of America</p> <p>Mehul Shroff Senior Audit Director, Cybersecurity &amp; Technology Controls (CTC) and Global Technology Infrastructure (GTI) Audit JP Morgan Chase</p> <p>Rich Rossignol Managing Director Protiviti</p> <p><b>Palladian Ballroom</b> Information Technology Intermediate</p>	<p><b>CS 4-3</b></p> <p><b>Building Stakeholder Trust in the ESG Imperative</b></p> <p>Aila Pallera Managing Director, Internal Audit and Enterprise Risk KPMG LLP</p> <p>Michael M. Sullivan Principal KPMG LLP</p> <p>Steve Arnold, Principal, Finance Transformation KPMG LLP</p> <p><b>Diplomat Ballroom</b> Specialty Knowledge Intermediate</p>

**Monday, September 19**

5:00 – 6:00 p.m. ET Meeting Room	Welcome Reception Empire Patio (outside, weather permitting)
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**Tuesday, September 20**

8:00 a.m. – 5:00 p.m. ET Meeting Room	Registration and Customer Relations West Registration		
8:00 – 9:00 a.m. ET Meeting Room	Continental Breakfast and Networking Ambassador Ballroom		
9:00 – 10:15 a.m. ET 60-minute Presentation  1.2 CPE  Meeting Room NASBA Learning Field Learning Level	General Session 2 Futurenomics: The Economic Snapshot You Need to See Today Commander Mary Kelly, US Navy (ret), PhD, CSP, CPAE Regency Ballroom Specialty Knowledge Basic		
10:15 – 10:45 a.m. ET Meeting Room	Networking Break Ambassador Ballroom		
<b>TRACKS</b>	<b>Governance, Risk, and Regulation</b>	<b>Innovation and Emerging Tech</b>	<b>Internal Audit, Leadership, and Data</b>
10:45 – 11:45 a.m. ET  1.2 CPE  Meeting Room NASBA Learning Field Learning Level	CS 5-1 <b>Evaluating ESG Governance and Reporting – Assurance, Review, and Data Considerations</b> Yvette Conner Strategic Risk Services Leader Grant Thornton LLP Empire Ballroom Specialty Knowledge Intermediate	CS 5-2 <b>Real-time Assurance: Implementing Automation, including Artificial Intelligence.</b> Dr. Bhatt Vadlamani Senior Technical Advisor to COO/CIO Jackson Financial Inc. Stacey Schabel, CIA, CPA Chief Audit Executive Jackson Financial Inc. Palladian Ballroom Technology Intermediate	CS 5-3 <b>External Fraud and Internal Audit</b> Amanda West, CIA, CISA, CAMS, CRISC Senior Vice President and Deputy Chief Audit Executive First Horizon Corporation Diplomat Ballroom Auditing Intermediate
11:45 a.m. – 1:15 p.m. ET  1.2 CPE  Meeting Room NASBA Learning Field Learning Level	Lunch With Sponsored Keynote Lunch and Learn 12:15 - 1:15 p.m. How to Make DE&I Part of Your Strategy to Drive Systemic Change for the Future: PwC's Fireside Chat <b>Moderator:</b> Rehana Anait Partner, Cyber, Risk & Regulatory PwC Consulting Services <b>Panelists:</b> Andy L. Navarrete Executive Vice President, Head of External Affairs Capital One Financial Corporation Dionne Wallace Oakley Senior Vice President, Chief Human Resources Officer Freddie Mac Regency Ballroom Personnel/Human Resources Intermediate		
1:15 – 2:00 p.m. ET Meeting Room	Coffee & Dessert Ambassador Ballroom		

Tuesday, September 20

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TRACKS	Governance, Risk, and Regulation	Innovation and Emerging Tech	Internal Audit, Leadership, and Data
<p><b>2:00 – 3:00 p.m. ET</b></p> <p><b>1.2 CPE</b></p> <p><b>Understanding Interest Rate Risk and Asset Liability Management in a Rising Rate Environment</b></p> <p>Derek Fuzzell, CPA, CMA, CSCA Chief Financial and Strategy Officer, PAHO/WHO Federal Credit Union Global Board Member, Institute of Management Accountants (IMA)</p> <p><b>Meeting Room</b> NASBA Learning Field Learning Level</p>	<p><b>CS 6-1</b></p> <p><b>Understanding Interest Rate Risk and Asset Liability Management in a Rising Rate Environment</b></p> <p>Derek Fuzzell, CPA, CMA, CSCA Chief Financial and Strategy Officer, PAHO/WHO Federal Credit Union Global Board Member, Institute of Management Accountants (IMA)</p> <p align="center"><b>Palladian Ballroom</b> Specialty Knowledge Intermediate</p>	<p><b>CS 6-2</b></p> <p><b>Digital Assets and the Evolving Regulatory Landscape: How Can Internal Audit Add Value?</b></p> <p>CJ Burke Senior Consultant Deloitte</p> <p>Meher Grang Senior Manager Deloitte</p> <p>Raquel Look Digital Assets, Financial Services Deloitte</p> <p align="center"><b>Diplomat Ballroom</b> Specialty Knowledge Intermediate</p>	<p><b>CS 6-3</b></p> <p><b>Keeping Up With Evolving Fraud</b></p> <p>Lee Williams Senior Vice President PNC Bank</p> <p align="center"><b>Empire Ballroom</b> Auditing Basic</p>
<p><b>3:00 – 3:30 p.m. ET</b></p> <p><b>Meeting Room</b></p>	<p align="center"><b>Networking Break in Exhibit Hall</b></p> <p align="right"><b>Ambassador Ballroom</b></p>		
TRACKS	Idea Session		
<p><b>3:30 – 5:30 p.m. ET</b></p> <p><b>2.4 CPE</b></p>	<p><b>CS 7-1: Part 1</b></p> <p><b>Diversity, Equity and Inclusion- Why and Who Cares?</b></p>	<p><b>CS 7-2: Part 1</b></p> <p><b>Excellence of Execution</b></p>	<p><b>CS 7-3: Part 1</b></p> <p><b>Applying Automation and Innovation to Drive Audit's Impact</b></p>
	<p align="center"><b>Idea Exchange</b></p>		
<p><b>Meeting Room</b> NASBA Learning Field Learning Level</p> <p><b>Total CPE: 13.5</b></p>	<p><b>CS 7-1: Part 2</b></p> <p><b>Diversity, Equity and Inclusion- Why and Who Cares?</b></p> <p>Kimberly Ellison Taylor, CPA, CGMA, CITP, CISA Chief Executive Officer KET Solutions, LLC</p> <p align="center"><b>Diplomat Ballroom</b> Personnel/Human Resources Intermediate</p>	<p><b>CS 7-2: Part 2</b></p> <p><b>Excellence of Execution</b></p> <p>Ira Goldberg, J.D., CIA, QIAL, CMIIA Chief Auditor, Legal, Compliance, and Financial Crimes Citi Bank</p> <p>Jayeeta Basu, CIA, CAMS Chief Auditor, Personal Banking and Wealth Management Transformation Citi Bank</p> <p>Julie Moyers, CIA, CRMA, CFE, CAMS Chief Auditor, US Personal Banking Citi Bank</p> <p>Sarah Miller, CAMS, CIA, CRCM Chief Auditor, Consumer and Corporate Compliance Citi Bank</p> <p align="center"><b>Empire Ballroom</b> Auditing Intermediate</p>	<p><b>CS 7-3: Part 2</b></p> <p><b>Applying Automation and Innovation to Drive Audit's Impact</b></p> <p>Duy Nguyen Audit Director Wells Fargo</p> <p>Erin Dunlap Chief Audit Director for Audit Practices Wells Fargo</p> <p>Peter Kenow Audit Director, Innovation Wells Fargo</p> <p align="center"><b>Palladian Ballroom</b> Technology Intermediate</p>