

Audit Masters

— 5th Annual Internal Audit Forum — **2017** —



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**Learn from Mark Carawan how to
adapt to upcoming regulations**

- ✓ **Regulatory reform and the role of internal audit**
- ✓ **Challenges of the ever changing regulatory environment**
- ✓ **Lessons learned from the past**
- ✓ **Future forecast**

Mark Carawan

Chief Auditor
Citigroup, Inc.

United States of America

Industry 4.0

AML and KYC

COSO/ERM

Cybersecurity

Continuous auditing

Quality Assessment

Third Party Risk Management

11-12 May 2017

Crowne Plaza Berlin-Potsdamer Platz, Berlin - Germany

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Key Takeaways

- **Regulatory reforms**
Learn how to adapt to the upcoming regulations
- **Industry 4.0**
Get an overview about digital transformation
- **CyberSecurity**
Get know where internal audit can help
- **AML & KYC**
Hear about the challenges and opportunities
- **Fraud Risk Management**
Discover the key objectives
- **Continuous auditing**
Gain insight about the implementation
- **COSO/ERM**
Find out more about the ERM model
- **Information Technology Audit**
Explore the core of IT Audit

Among the Speakers



in the Chair

Gijs Borghouts
Chief Auditor, Risk & Finance
Royal Bank of Scotland,
Internal Audit
United Kingdom



John Bree
Former Managing Director
COO Corporate Services | Global
Procurement
Deutsche Bank
United States of America



Mark Carawan
Chief Auditor
Citigroup, Inc.
United States of America



Nanna Huld Aradottir
Chief Audit Executive
Central Bank of Iceland
Iceland



Christian Schleicher
Vice President Internal Audit
UniCredit Bank AG
Germany



Michael Lerch
Chief Audit Executive
HSN Nordbank AG
Germany



Duarte Pitta Ferraz
Professor
NOVA School of Business
& Economics
Portugal



Csaba Hatvani
Senior Auditor, CIA
European Court of Auditors
Luxembourg



Jana Báčová
Executive Director of General
Secretariat and Secretary to the Board
Czech National Bank
Czech Republic



Tolga Aksoy
Director Expense Management
GarantiBank International NV
The Netherlands



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Exclusive Speaker Line-up



in the Chair

Gijs Borghouts

Chief Auditor, Risk & Finance
Royal Bank of Scotland, Internal Audit
United Kingdom



John Bree

Former Managing Director
COO Corporate Services | Global Procurement
Deutsche Bank
United States of America



Mark Carawan

Chief Auditor
Citigroup, Inc.
United States of America



Csaba Hatvani

Senior Auditor, CIA
European Court of Auditors
Luxembourg



Christian Schleicher

Vice President Internal Audit
UniCredit Bank AG
Germany



Michael Lerch

Chief Audit Executive
HSH Nordbank AG
Germany



Duarte Pitta Ferraz

Professor
NOVA School of Business & Economics
Portugal



Jana Báčová

Executive Director of General Secretariat and Secretary to the Board
Czech National Bank
Czech Republic



Nanna Huld Aradottir

Chief Audit Executive
Central Bank of Iceland
Iceland



Tolga Aksoy

Director Expense Management
GarantiBank International NV
The Netherlands



Cihan Vural

Executive Vice President Internal Systems
Burgan Bank A.S.
Turkey



Willem Jan Megens

Global Audit Division Head
CAS- Wholesale Banking
ING
The Netherlands



Dr. Zoltan Tompa CIA, CISA

Head of Internal Audit
Bank of China
Hungary



Dr. Andrzej S. Kulik

Head of Internal Audit
mBank
Poland



Linda Post

Global Audit Division Head IT Audit
ING Bank
The Netherlands



Martin Schmitt

Divisional Head of Group Audit Risk & Finance
Commerzbank AG
Germany



Prestigious Advisors



Nuno Castanheira

Group Head of Internal Audit
Portuguese Mutual Guarantee System (SPGM)
Portugal



John Bree

Managing Director COO Corporate Services | Global Procurement
Deutsche Bank - United States of America



Norbert Kouwenberg

Director Group Audit
ABN AMRO - The Netherlands



Ramazan Isik

Chief Audit Executive
Denizbank (Sberbank Group) - Turkey



Erhan Yazgan

Chief Auditor
Central Bank of Turkey - Turkey



Thorsten Schmidt

Director | Head of Quality Assurance
Deutsche Bank AG - Group Audit - Germany



Cheung Alan

Director
AIG Internal Audit Division
United States of America



Tomas Kjerf

Senior Advisor
ESV - Sweden



Gijs Borghouts

Chief Auditor, Risk & Finance
Royal Bank of Scotland, Internal Audit
United Kingdom

Media Partners





Past Delegates





DAY 1

08:30 Welcome Coffee and Registration



08:55 Greetings from the Project Lead and GLC Icebreaker Session

09:05 Opening Remarks from the Chair

Gijs Borghouts

Chief Auditor, Risk & Finance

Royal Bank of Scotland, Internal Audit - **United Kingdom**

09:10 Regulatory reform and the role of internal audit

- Challenges of the ever changing regulatory environment
- How to adapt the upcoming regulations?
- Lessons learned from the past
- Future forecast

Q & A Session

Mark Carawan

Chief Auditor

Citigroup, Inc. - **United States of America**

09:50 Challenges auditing Risk and Compliance functions

- How to keep Internal Auditors 'Fit [& Proper]' in their role
- Technical challenges of Risk and Compliance
- Ethical dilemmas of the 4th Line-of-Defence

Q & A Session

Duarte Pitta Ferraz

Professor

NOVA School of Business & Economics - **Portugal**

10:30 Auditing capital and stress testing

- Why does it matter and where do you start...?
- What are the roles of the first, the second and the third line of defence in stress testing?
- How to audit models?
- What does a good audit plan look like?

Q & A Session

Gijs Borghouts

Chief Auditor, Risk & Finance

Royal Bank of Scotland, Internal Audit

United Kingdom

11:10 Tea, Coffee, Networking & Exhibits



11:40 Industry 4.0 vs Internal Audit

Q & A Session

Cihan Vural

Executive Vice President Internal Systems

Burgan Bank A.S. - **Turkey**

12:20 Auditing CyberSecurity

Q & A Session

Linda Post

Global Audit Division Head IT Audit

ING Bank - **The Netherlands**

13:00 Luncheon & Networking



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Luncheon together with Speakers, Panelists,
& Delegates with an exclusive Buffet Lunch spread

14:00 How does COSO/ERM fit in your methodology?

- The ERM model
- Internal Auditing and ERM: Fitting in and Adding Value
- Effectiveness and Limitations
- Compliance with applicable laws and regulations
- Roles and Responsibilities

Q & A Session

Dr. Andrzej S. Kulik, CFA, PRM

Head of Internal Audit - **mBank - Poland**

14:40 Auditing, monitoring, and follow-up

- Performance Audit Methodology
- Why recommendations matter
- How to follow-up corrective actions

Q & A Session

Csaba Hatvani

Senior Auditor, CIA

European Court of Auditors - **Luxembourg**

15:20 Tea, Coffee, Networking & Exhibits



15:40 OPEN PANEL DISCUSSION: The challenge of auditing culture

- How to plan, implement and evaluate
- Effective strategies and practical considerations

16:20 Improving Risk Assurance & Audit Efficiency implementing Continuous Auditing

- Defining CA and objectives in a traditional audit function
- Leveraging on data analysis
- Focusing on Key Audit Indicators
- Challenges for a successful implementation

Q & A Session

Christian Schleicher

Vice President Internal Audit

UniCredit Bank AG - **Germany**

17:00 Effective stakeholder management

- Internal Audits' Stakeholders
- Key Principles for Stakeholder Management
- Effectiveness and Efficiency
- Benefit and Value

Q & A Session

Michael Lerch

Chief Audit Executive

HSB Nordbank AG - **Germany**

17:40 Closing Remarks from the Chair & Networking

18:00 End of Day 1

DAY2

08:30 Tea, Coffee & Networking

09:00 Opening Remarks from the Chair

Gijs Borghouts

Chief Auditor, Risk & Finance

Royal Bank of Scotland, Internal Audit - United Kingdom

09:10 Internal Audit and Corporate Governance

- Internal Audit Role in Corporate Governance and 2017 IPPF
- Stakeholders Expectation
- Enhancing corporate governance through auditing

Q & A Session

Jana Báčová

Executive Director of General Secretariat and Secretary to the Board

Czech National Bank - Czech Republic

09:50 Investigation Methodology in Today's Banking Environment

- The rapid increase in transaction velocity
- Outcomes of the previous tried and true methods
- Importance of the use of predictive analytics

Q & A Session

John Bree

Former Managing Director

COO Corporate Services | Global Procurement

Deutsche Bank - United States of America

10:30 Importance of risk management and internal control in corporate governance

- Why are Risk Management and Internal Control important?
- Establishing effective systems
- Monitoring and control activities
- Questions to consider
- The emerging superstardom of the CROs

Q & A Session

Dr. Zoltan Tompa CIA, CISA

Head of Internal Audit

Bank of China - Hungary

11:10 Tea, Coffee, Networking & Exhibits

11:40 Auditing AML and KYC

- Importance of an effective AML/KYC Program
- Key components
- AML Audit report flow
- Challenges and Opportunities

Q & A Session

Willem Jan Megens

Global Audit Division Head CAS— Wholesale Banking

ING - The Netherlands

12:20 Challenges of a Small Audit Function facing Quality Assessment

- Challenges and opportunities of a Small Audit Function
- Importance of following the Standards. Does one size fit all?
- Importance of efficiency and effectiveness
- Continuous improvement – Doing more with limited resources

Q & A Session

Nanna Huld Aradottir

Chief Audit Executive

Central Bank of Iceland

Iceland

13:00 Luncheon & Networking

Luncheon together with Speakers, Panelists,
& Delegates with an exclusive Buffet Lunch spread

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14:00 OPEN PANEL DISCUSSION: Internal pressures - challenge for internal auditors' objectivity

- Is internal pressure a pervasive threat on internal auditors' objectivity?
- How to avoid pressure from management?
- Effective ways to identify the threat and its significance
- Safeguards

14:40 Third Party Risk Management

- Selection
- Due Diligence and Risk Assessment
- Contracting
- Monitoring and Auditing
- Termination

Q & A Session

Tolga Aksoy

Director Expense Management

GarantiBank International NV - The Netherlands

15:20 Tea, Coffee, Networking & Exhibits

15:50 Is Strategy Audit part of your portfolio?

- What is Strategy Audit?
- What is the importance of Strategy audit?
- How to audit your business strategy
- Clarify crucial areas

Q & A Session

Martin Schmitt

Divisional Head of Group Audit Risk & Finance

Commerzbank AG - Germany

16:30 The concept of the "four lines of defence" model in Banks

- Weaknesses and past failures of three-lines-of-defence model
- Relationship between functions of the third and fourth line of defence
- How to optimize?
- Roles and responsibilities

Q & A Session

17:10 Closing Remarks from the Chair & Farewell Networking

17:45 End of Day 2



➤ Upcoming Conferences

BANKING, INSURANCE & FINANCE

- 3rd Annual Credit Risk Management Forum March 2017
- 5th Banking & Insurance Internal Audit Forum May 2017
- 5th Annual Retail Banking Forum May 2017
- IFRS9 Implementation MasterClass May 2017
- Internal Audit for Banks Workshop & MasterClass May 2017
- Cyber Security for Banks Workshop & MasterClass May 2017
- MiFID II Workshop & MasterClass May 2017
- 6th Annual Collateral Management Forum June 2017
- 7th Annual Risk Management Forum September 2017
- 4th Annual European Payment Forum September 2017
- 5th Annual Back Office Operations Forum November 2017
- Operational Risk Management Forum November 2017
- 5th Annual Corporate Banking Forum November 2017

PHARMACEUTICAL

- 5th Annual Pharmacovigilance Forum March 2017
- PP&R 6.0 (6th Annual Pharma Pricing & Reimbursement Forum) September 2017
- PP&L 6.0 (6th Annual Pharma Packaging & Labelling Convention) November 2017

HUMAN RESOURCES

- 7th HR Minds Forum June 2017

ENERGY

- REFIP 6.0 (6th Annual Renewable Energy Finance in Practice Forum) September 2017

➤ Who will you meet

Members of the Board • Chief Audit Executives
Chief Auditors • Chief Internal Executives
Chief Internal Auditors • Audit Committee Members
Chief Risk Officers • Chief Financial Officers

As well as

Senior Vice Presidents (SVP), FVPs, EVPs, Vice Presidents,
Managing Directors, Executive Directors, Directors, Leads,
Heads, General Managers & Senior Managers

OF:

AML • Audit • Audit Methodologies • Audit Processes
Audit program • Compliance • Compliance and Conduct Risk
Compliance Risk • Control • Corporate Audit • Corporate Security
Corporate Security • Financial Crime • Fraud
Fraud Investigation • Fraud Prevention and Detection
Governance • Governance and Integration • Group Conduct
Information Management • Internal Audit • Investigations
IT Audit • Law Enforcement • Money Laundering Reporting
Quality Assurance • Regulation • Regulation and Compliance
Regulatory Compliance • Risk • Security
Security and Investigations • Standards
and many more...

➤ Video References

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7. Any terms and conditions contained in the client's acceptance which contradict or are different from the terms and conditions shall not become part of the contract unless individually negotiated with GLC and expressly accepted by GLC.

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