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 Compliance Officer
Citigroup, Inc.
United States of America

Industry 4.0
COSO/ERM
Continuous auditing
Cybersecurity

11-12 May 2017
Crowne Plaza Berlin-Potsdamer Platz, Berlin - Germany
Key Takeaways

- **Regulatory reforms**
  Learn how to adapt to upcoming regulations

- **Industry 4.0**
  Get an overview about digital transformation

- **CyberSecurity**
  Get know where internal audit can help

- **Emerging Risk**
  Hear about the impact on audit coverage

- **Auditing culture**
  Discover effective strategies and practical considerations

- **Continuous auditing**
  Gain insight about the implementation

- **COSO/ERM**
  Find out more about the ERM model

- **Auditing capital**
  Explore the impact of stress testing

---

**Among the Speakers**

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

- **Nick Woods**
  Managing Director, Internal Audit
  Barclays
  United Kingdom

- **Mark Carawan**
  Chief Compliance Officer
  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
  HSH Nordbank AG
  Germany

- **Duarte Pitta Ferraz**
  Professor of Finance & Governance
  Nova School of Business & Economics
  Non-Executive Director
  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

- **Jan Wapperom**
  Head of Audit Missions 2 Division
  European Central Bank
  Germany

---

**Contact Us**

To attend the event please contact:
Reservations on +36 1 848 05 31
or booking@glceurope.com

Chris Troy – Senior Sales & Business Development Director on +36 1 848 0515
or chris.troy@glceurope.com

If you intend to sponsor the event please contact:
Leo Ashton – Senior Business Development Manager
on +36 1 848 0743
or leo.ashton@glceurope.com

Aletta Lemak
Conference Producer
Tel.: +36 1 848 0541
E-mail: aletta.lemak@glceurope.com

For any other inquiries please visit
www.glceurope.com
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 to upcoming regulations?
- Lessons learned from the past
- Future forecast
Q & A Session

Mark Carawan
Chief Compliance Officer
Citigroup, Inc. - United States of America

09:50 Internal Audit impact on governance and reputation
- The shifting paradigm for Internal Auditors
- Impact on the banks' strategy and tactics
- Change of the Business Model
- Leveraging the NED – Non-Executive Directors
Q & A Session

Duarte Pita Ferraz
Professor of Finance & Governance
NOVA School of Business & Economics - Portugal

10:30 Auditing capital and stress testing
- Why is auditing a bank’s capital important?
- How does stress testing impact capital?
- Which audits can make an impact?
Q & A Session

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

11:00 Tea, Coffee, Networking

11:40 Industry 4.0 vs Internal Audit
- New risks, threads and opportunities driven by Innovation – Disruptive Innovation
- Expectations from Internal Audit in the future
- Are we ready as Internal Audit for Industry 4.0?
- Adding value audits
- Big Data-Data Analytics and use of technology in Audit
Q & A Session

Cihan Vural
Executive Vice President Internal Systems
Burgan Bank A.S. - Turkey

12:20 Implementing Audit Management Software – A Practical Approach
Q & A Session

Gert Strausz
Audit Expert - Erste Group Bank AG - Austria

13:00 Luncheon & Networking

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

14:00 Cybersecurity
- Challenges
- Threats and risks
- Modus Operandi cyber attacks
- Control and audit frameworks
Q & A Session

Jon Wapferom
Head of Audit Missions 2 Division
European Central Bank - Germany

14:40 Auditing CyberSecurity
Q & A Session

Linda Post
Global Head IT Audit
ING - The Netherlands

15:20 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

16:00 Tea, Coffee, Networking

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

Q & A Session

Christian Schleicher
Vice President Internal Audit
UniCredit Bank AG - Germany

17:00 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
Q & A Session

Dr. Andrzej S. Kulik, CFA, PRM
Head of Internal Audit - mBank - Poland

17:40 Effective stakeholder management
- Internal Auditors’ Stakeholders
- Key Principles for Stakeholder Management
- Effectiveness and Efficiency
- Benefit and Value
Q & A Session

Michael Lerch
Chief Audit Executive
HSH Nordbank AG - Germany

18:20 Closing Remarks from the Chair

18:30 End of Day 1

After the event GLC invites all participants to join a 2 hour sightseeing walking tour.
08:30 Tea, Coffee & Networking

08:50 Opening Remarks from the Chair
Gijs Borghouts
Chief Auditor, Risk & Finance
Royal Bank of Scotland, Internal Audit - United Kingdom

09:00 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

09:40 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

10:20 Risk management and internal control system from internal audit perspective
- Where are the limits of our abilities to identify risks?
- Why do we really need controls?
- Questions to consider
- On the way to the effective internal control system
Q & A Session
Dr. Zoltan Tompa CIA, CISA
Head of Internal Audit
Bank of China - Hungary

11:00 Tea, Coffee, Networking

11:20 What keeps us awake at night: Emerging risks & their impact on audit coverage
- Who's job is it to identify emerging risks?
- How do we identify emerging risks?
- What do we do once we have identified them?
Q & A Session
Nick Woods
Managing Director, Internal Audit
Barclays - United Kingdom

12:00 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

12:40 Luncheon & Networking
Luncheon together with Speakers, Panelists, & Delegates with an exclusive Buffet Lunch spread

13:30 OPEN PANEL DISCUSSION: The challenge of auditing culture
- How to plan, implement and evaluate
- Effective strategies and practical considerations

Moderator:
Nick Woods
Managing Director, Internal Audit
Barclays - United Kingdom

Panellists:
Willem Jan Megens
Global Audit Division Head CAS—Wholesale Banking
ING - The Netherlands

Csaba Hatvani
Senior Auditor, CIA
European Court of Auditors
Luxembourg

Dr. Zoltan Tompa
Head of Internal Audit
Bank of China - Hungary

Duarte Pitta Ferraz
Professor of Finance & Governance
NOVA School of Business & Economics - Portugal

14:10 The profound transformation in Group Audit for Zurich Insurance Group
CASE STUDY
- The main challenges and achievements in the construction of a modern and fully vertically integrated function
Q & A Session
Cesar Souza
Group Audit Chief Operating Officer
Zurich Insurance Group - Switzerland

14:50 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

15:30 Tea, Coffee, Networking

15:50 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

16:30 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

17:10 Closing Remarks from the Chair & Farewell Networking

17:45 End of Day 2
5th Annual Internal Audit Forum
11-12 May 2017
Crowne Plaza Berlin-Potsdamer Platz, Berlin - Germany

Upcoming Conferences

**BANKING, INSURANCE & FINANCE**

- 5th Annual Retail Banking Forum - May 2017
- IFRS9 Implementation MasterClass - May 2017
- Internal Audit MasterClass - May 2017
- Cyber Security MasterClass - May 2017
- MiFID II MasterClass - May 2017
- 6th Annual Collateral Management Forum - June 2017
- 7th Annual Risk Management Forum - September 2017
- 4th Annual European Payments Forum - September 2017
- IFRS9 Implementation MasterClass - September 2017
- Blockchain MasterClass - September 2017
- OTC Derivatives, Collateral & EMIR Masterclass - September 2017
- 5th Annual Back Office Operations Forum - November 2017
- Operational Risk Management Forum - November 2017
- 5th Annual Corporate Banking Forum - November 2017

**PHARMACEUTICAL**

- 6th Annual Pharma Pricing & Reimbursement Forum - September 2017
- 6th Annual Pharma Packaging & Labelling Forum - November 2017

**HUMAN RESOURCES**

- 7th HR Minds Forum - June 2017
- 8th HR Minds Forum - September 2017
- Gamification MasterClass - September 2017

**HEALTH AND SAFETY**

- European HSE Management 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...