

Internal Audit ~ Investments/ Bank Operations



July 20, 2020

SHAZAM Education Center
CBAI Headquarters
Springfield, IL

Course Introduction

This course gives you a greater understanding of the processes in these areas and teaches the importance of these functions and the risk to your financial institution. Using a sample bank's information, you utilize actual control process walkthroughs and conduct an internal audit of the significant processes in these areas. The objectives of this seminar are to:

1. Understand the risks that relate to the following:
 - a. Investments
 - b. Bank Operations – loan and deposits
2. Assessment of risk of these areas based on a basic internal audit risk assessment and audit plan
3. Practical application of the internal audit through use of internal audit programs and toolkits

Who Should Attend?

Auditors with at least one year's experience benefit from attending.

Key Topics

- Investment knowledge – from held to sale to trading
- Operations department – structure and staffing
- Risks – from financial to fraud and assessing the level of risk
- Conducting the internal audit – from preparing to reporting



About the Presenters

Janice Harden is an internal audit manager in Wipfli LLP's risk advisory services practice, with a focus on financial institutions and other regulated industries. She has 15 years of internal and external audit experience in public and private organizations and works with financial institutions to perform internal audits, evaluate operational controls, and help to mitigate risk. Harden is also able to perform external quality assurance reviews. Her practical approach to internal auditing provides efficient internal audit services to her clients.

John R. Schroeder is an internal audit manager at Wipfli LLP responsible for leading outsourced and co-sourced internal audit engagements, including planning, executing, and reporting internal audit projects, risk assessments, Sarbanes-Oxley and Federal Deposit Insurance Corporation Improvement Act (FDICIA) compliance projects. He has worked to help clients meet their internal control requirements by designing, implementing and overseeing testing for all key financial processes. Schroeder also has experience in a wide variety of industries including financial services, manufacturing, construction, insurance and consumer products.

Registration Fees

Fees include hand-out materials, refreshment breaks and lunch. An income-tax deduction may be allowed for educational expenses undertaken to maintain or improve professional skills.

Cancellation Policy

Registrants cancelling two days prior to each seminar receive 100% refund; one day prior, 50%; the day of the seminar, no refund. **All cancellations must be made in writing prior to the seminar day. Invoices and training materials will be sent to all "no shows."**

CBAI MEMBER

First Registration.....	\$265
Each Additional Person.....	\$245

****PROSPECTIVE-MEMBER**

First Registration.....	\$465
Each Additional Person.....	\$445

CDD members receive a 10% discount.

****Only financial institutions/firms eligible for CBAI membership.**

“CBAI is monitoring the COVID-19 situation and will make any changes to in-person sessions as necessary to comply with state and federal mandates and orders.”

Registration Form

INTERNAL AUDIT - INVESTMENTS/BANK OPERATIONS

JULY 20, 2020

Please Print

Name of Bank _____

Address _____

City, State, Zip _____

Tel. No. _____

Name/Title _____

E-Mail _____

(E-mail addresses are required for registration)

Name/Title _____

E-Mail _____

(E-mail addresses are required for registration)

I have special needs, please contact me before the seminar.

Please select your payment method.

Check Enclosed

Check in Mail

Pay at Door

Credit Card*

****If you are paying by credit card, please fill out the following information. (Visa, MasterCard & Discover accepted).***

Name as It Reads on Card _____

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CBAI Education Department
901 Community Drive
Springfield, IL 62703-5184



Fax it in:
(217) 585-8738



Call it in:
(800) 736-2224
(217) 529-2265

Date and Location

July 20, 2020

SHAZAM Education Center
CBAI Headquarters
901 Community Drive
Springfield, IL 62703
217/529-2265

Agenda

Registration begins at 8:30 a.m. The seminar runs from 9 a.m. to approximately 4 p.m. A Continental breakfast and lunch are provided.

Continuing Education

CBAI is a registered Public Accounting Continuing Professional Education (CPE) provider by the Illinois Dept. of Financial and Professional Regulation.

For More Information

Tracy McQuinn, Senior Vice President
Melinda McClelland, Vice President
Jennifer Nika, Vice President
Kim Harden,
Administrative Assistant
Tina Horner,
Administrative Assistant
Department of Education
& Special Events
800/736-2224 217/529-2265
Fax: 217/585-8738
Terry Griffin,
Vice President Chicago Area
773/209-2260

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