



# ACUIA Region 5 Meeting

October 3 -4, 2011

SEFCU, Albany, NY

## AGENDA

### Monday, October 3, 2011

**7:30 am - 8:30 am** Registration & Continental Breakfast

**8:30 am – 8:45 am** Welcome & Announcements

**(1) 8:45 am – 10:15 am**

**TOPIC:** *Auditing Human Resources*

Auditing the HR Function will focus on the risks related to payroll, employee benefits, and fringe benefits.

**Speaker:** **Dean Rohne, LarsonAllen**

Dean is a principal with the LarsonAllen Financial Institutions Group serving clients for 15 years.

*10:15 am – 10:30 am -- Break*

**(2) 10:30 am – 11:45 am**

**TOPIC:** *ERM*

Enterprise Risk Management - What it uniquely means to your Credit Union, and your role in its implementation

**Speaker:** **Rod Sigurdson, VSECU**

Rod currently leads the internal audit function at Vermont State Employees Credit Union.

*11:45 am – 12:45 pm NETWORKING LUNCH*

**(3) 12:45 pm – 2:00 pm**

**TOPIC:** *Social Media Concerns*

The benefits and hazards of social networking. Key points will be: how to use social networks to communicate with members and potential members; the threats to information security; how identity theft and other frauds are facilitated by social networking; how social engineers use social networks to gather information; protecting the credit union and the credit union's data; curbing employee misuse of social networks

**Speaker:** **Dan Juneau, Security Compliance Associates**

Dan is EVP and one of the founders of Security Compliance Associates.



## ACUIA Region 5 Meeting

October 3 -4, 2011

SEFCU, Albany, NY

**(4) 2:00 pm – 3:30 pm**

**TOPIC:** *Auditing Vendor Management*

This presentation will discuss the key aspects of a successful Vendor Management program that allows credit unions to manage third-party risk.

**Speaker:** **Jay Bowman, Accume Partners**

Jay Bowman serves as Director at Accume Partners, a leading provider of internal audit and business advisory services to financial institutions.

*3:30 pm – 3:45 pm -- Break*

**(5) 3:45 pm – 5:00 pm**

**TOPIC:** *Auditing Investments*

This presentation places an external auditor's perspective on auditing the investment portfolio and provides an overview of the auditing process that internal auditors can apply to their credit unions.

**Speaker:** **James Flynn, CPA, Firley, Moran, Freer & Eassa, P.C**

Jim is a Senior Manager with Firley, Moran, Freer & Eassa, P.C. and is a Certified Public Accountant with 18 years of public accounting experience providing auditing, accounting, consulting, tax and forensic services to clients.



# ACUIA Region 5 Meeting

October 3 -4, 2011

SEFCU, Albany, NY

**Tuesday, October 4, 2011**

**7:30 am - 8:30 am** Continental Breakfast

**(6) 8:30 am – 10:00 am**

**TOPIC: NCUA Update**

The presentation will include statistical information on credit unions and the economy; NCUA Exam Topics; Material Loss Reviews – Causes for failures and some steps to detect; upcoming NCUA regulatory changes; recent NCUA Letters; and Call Report Changes. As always – bring your questions!

**Speaker: Matilda (Tilly) Mastroianni, NCUA**

Tilly is currently working in the field for NCUA as a Principal Examiner and as an IS&T Specialist in the Albany area.

*10:00 am – 10:15 am -- Break*

**(7) 10:15 am – 11:45 am**

**TOPIC: Regulatory Compliance Update**

This session will provide an overview of the regulatory changes over the last year, including changes implemented per the Dodd-Frank Act.

**Speaker: Michael Carter, Director of Compliance, CUANY**

Michael joined CUANY in 2001 and has served as Director of Compliance since 2009. The Compliance Department provides affiliated credit unions with information and guidance regarding the laws and regulations that affect daily operations.

**(8) 11:45 am – 12:00 pm**

ACUIA update  
Wrap-up



# ACUIA Region 5 Meeting

October 3 -4, 2011

SEFCU, Albany, NY

## GENERAL INFORMATION

### How to Register

Registrations will be accepted on the official registration form only. Photocopies of the form are acceptable. Acceptable methods of payment are check, money order, Discover, MasterCard, or VISA.

### Fax

If you are paying for your registration with a credit card, fax the registration with payment information to (703) 683-0295.

### Mail

Send your completed registration form with payment to:

ACUIA  
815 King St., Suite 308  
Alexandria, VA 22314

### Continuing Professional Education Credits

ACUIA is registered with the National Association of State Boards of Accountancy (NASBA) as a sponsor of continuing professional education on the National Registry of CPE Sponsors. State boards of accountancy have final authority on the acceptance of individual courses for CPE credit. Complaints regarding registered sponsors may be addressed to the National Registry of CPE Sponsors, 150 Fourth Avenue North, Nashville, TN 37219-2417 or [www.nasba.org](http://www.nasba.org). No prerequisite courses, advance preparation or experience is required for admittance to the meeting.

CPE Credits Available – 17.5

### Cancellation, Substitution & Refund Policy

Registration cancellations prior to September 26, 2011 will incur no penalty. Cancellations from September 26 – 30 are subject to a \$50 cancellation fee. Cancellation notices must be sent in writing to the ACUIA Executive Office. No refunds will be made on cancellations made after September 30, 2011 due to committed funds and forfeited fees cannot be applied to future meetings due to IRS reporting requirements.

Substitutions from within the same organization are permitted at no additional cost if received by September 26. All substitutions must be in writing and accompanied by a completed registration form.

### Attire

Attire for this educational meeting is business casual. As with most events, the temperature in different meeting rooms tends to vary. We recommend that you dress in layers to accommodate the variance in temperatures.

### Americans with Disabilities Act

SEFCU complies with the provisions of ADA. If you need additional assistance, please contact the ACUIA at least 14 days in advance.

### Smoking

In consideration of others, we ask that you refrain from smoking during meeting functions and throughout the meeting area.



# ACUIA Region 5 Meeting

October 3 -4, 2011

SEFCU, Albany, NY

## MEETING LOCATION

SEFCU  
700 Patroon Creek Blvd  
Albany, NY 12206-1067  
(518) 452-8234

## DRIVING DIRECTIONS

### From the North

Head south on I-87 S toward Albany; Take the I-90 E / I-87 S / I-90W exit- Exit 1- toward Albany/Boston/New York Thruway; Merge onto I-90 E via Exit 1E on the left toward Albany/Boston; (Portions toll); Take the RT-85 exit- Exit 4- toward Slingerlands/Voorheesville; Merge right onto NY-85 S; Take the first exit ramp on right toward Washington Ave State Offices; Stay in right lane to enter SEFCU parking lot; SEFCU HQ Building is a three-story red brick building.

### From the East

From I-90 W toward Albany; Take the RT-85 exit- Exit 4- toward Slingerlands/Voorheesville; Merge right onto NY-85 S; Take the first exit ramp on right toward Washington Ave State Offices; Stay in right lane to enter SEFCU parking lot; SEFCU HQ Building is a three-story red brick building.

### From the South:

Head north on I-87 N/New York State Thruway N toward Albany (Portions toll); Merge onto I-90 E via Exit 24 toward Albany/Montreal (Portions toll); Take the RT-85 exit- Exit 4- toward Slingerlands/Voorheesville; Merge right onto NY-85 S; Take the first exit ramp on right toward Washington Ave State Offices; Stay in right lane to enter SEFCU parking lot; SEFCU HQ Building is a three-story red brick building.

### From the West

From I-90 E/New York State Thruway E toward Albany (Portions toll); Keep left to take I-90 E via Exit 24 toward I-87 N/Albany/Montreal (Portions toll); Take the RT-85 exit- Exit 4- toward Slingerlands/Voorheesville; Merge right onto NY-85 S; Take the first exit ramp on right toward Washington Ave State Offices; Stay in right lane to enter SEFCU parking lot; SEFCU HQ Building is a three-story red brick building.

## HOTEL OPTIONS

The following are hotel options with proximity to **SEFCU** for your consideration.

### Hilton Garden Inn Albany SUNY

1381 Washington Avenue  
Albany, NY 12206  
Reservations: (866) 539-0036  
Hotel: (518) 453-1300  
[www.hiltongardeninn.com](http://www.hiltongardeninn.com)

### Fairfield Inn Albany SUNY

1383 Washington Avenue  
Albany, NY 12206  
[www.marriott.com/fairfield-inn/travel.mi](http://www.marriott.com/fairfield-inn/travel.mi)

### Holiday Inn Express

1442 Western Avenue  
Albany, NY 12203  
Hotel Reservations : 1 888 HOLIDAY (1 888 465 4329)  
[www.hiexpress.com](http://www.hiexpress.com)

***ACUIA would like to thank SEFCU for hosting the Region 5 Meeting.***