

ACUIA Region 3 Meeting

September 21-23, 2011
Wings Financial CU, Apple Valley, MN

Meeting Cost: \$169.00

Includes breakfast Wednesday-Friday and lunch Wednesday-Thursday; Meeting ends at 12:15PM on Friday.
For registration information, go to www.acuia.org.

Who Should Attend?

Internal Auditors, Supervisory/Audit Committee Members, Board Members, Risk Managers

Session Details:

Counterfeit ID's

Joe Guy

See how counterfeit IDs are made and learn how to spot counterfeit state and federal IDs. Presented by an individual with over 36 years in law enforcement, Joe spent 22 years as an Investigator working primarily in the areas of financial crimes, fraud and forgery. Joe has taught classes for law enforcement and financial institutions for 20 years.

Reviewing HR – Understanding the Risks

Deb Marshall, Wipfli, LLP

The Human Resource function at any organization is truly an exercise in risk management. With the 'alphabet soup' of employment-related regulation on both the state and federal levels, it can be a mine field of exposure. In this session, we will present an overview of several issues that you should be concerned with as an internal auditor – from affirmative action, accountability and benefits, to supervisory skills, training and worker's comp.

Regulatory Compliance Update

John Zasada, LarsonAllen

There are an unprecedented number of regulatory compliance changes impacting credit unions. The changes are broad in scope and increasingly complex. Examiners will be spending more time reviewing credit unions for compliance as the Consumer Financial Protection Bureau ramps up its compliance initiatives.

This session will begin by explaining the elements critical to every successful regulatory compliance program. Not every credit union has the same resources to devote to compliance, but we will discuss several ways you can significantly improve your existing compliance program and in turn your credit union's overall compliance performance.

Next we discuss several recent significant regulatory compliance changes, including:

- Regulation CC
- Loan Originator Compensation
- SAFE Act
- Regulation Z
- Regulation B

Troubled Debt Restructurings – Clarifying the Complexity

Travis Pettyjohn, Moss Adams LLP

As an attendee you will gain a clear understanding as to the technical guidance under US GAAP that drive the accounting and reporting of Trouble Debt Restructures (TDRs), including the updated standards issued in April 2011. Situations surrounding loan modifications can vary and we will provide practical examples that will guide you in dealing with a variety of loan modifications, and what to look for as an internal auditor.

SSAE 16 Essentials: What You Need to Know to Reduce Your Credit Union's Audit Risk.

Bruce Hocking and Jim Mackall, McGladrey & Pullen, LLP

This session will help you understand the new SSAE 16 standard. We will discuss the types of Service Organization Control reports and how they impact your internal vendor management program. This workshop will explore various avenues to effectively manage vendor risk through understanding their independent examination reports.

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Financial Literacy: Connecting with Credit Union Youth and Your CU's Community

Tiffany Kirk, Wings Financial

This presentation will give an overview of strategies for creating and maintaining successful financial literacy partnerships within your credit union's community. Attendees will learn how to approach schools and community groups and secure relationships. We will also explore appropriate financial literacy lesson topics for various age groups, delivery methods, and appropriate techniques that can be used to help manage youth and adults in any classroom setting. Attendees will also learn how to create and manage youth clubs within a credit union, including naming youth clubs, age groups, possible club features, incentives, special events and contests, and other possible opportunities.

Information Security Program – Development, Administration, and Risks

Darrin Suess, Maise & Blue Consulting, LLC

- Developing the Information Security Program.
- Administering the Information Security Program.
- Information Security Risk Areas and IT General Controls.

Enterprise Risk Management

Paul Rosel, Experis (formerly Jefferson Wells)

This session will focus on the basics of Enterprise Risk Management (ERM), what regulators are looking for and asking about, as well as steps you as an auditor can take to assist management in their development of an Enterprise Risk Management program for your credit union. This session will also focus on some of the key components that you as an auditor should be looking for in your review/audit of an ERM program. After attending this session you will understand the key components of an ERM program as well as how to approach ERM from your credit unions perspective.

Training your Supervisory Committee – What every member should know

Paul Rosel, Experis (formerly Jefferson Wells)

This session will focus on providing your Supervisory Committee with all of the information they should know including but not limited to: Their Roles and Responsibilities, Corporate Governance, Enterprise Risk Management, Dodd-Frank, Regulatory Compliance and Essential Reports which they should be reviewing. After attending this session you will be able to take this information and tailor it for presentation to your own Supervisory Committee.

Ethics Program: Do You Have One – Do You Need One?

Brenda Benson, RSM McGladrey, Inc. and Marcia Lewis, US Federal Credit Union

Ethics is a topic that internal auditors continually deal with. This session will cover the why, what, who and how related to an Ethics Program plus scenarios of actual situations and interactive discussion. Attendees will gain a basic understanding that will aid in answering the question for your credit union, Ethics Program: Do you have one – Do you need one?

Site and Hotel Information:

Wings Financial Credit Union
14985 Glazier Avenue
Apple Valley, MN 55124
952-997-8131

AmericInn Hotel & Suites
15000 Glazier Avenue
Apple Valley, MN 55124
877-855-8712

(Across the street from Wings Financial)

GrandStay Hotel & Conference
7083 153rd Street West
Apple Valley, MN 55124
952-953-6111

(Less than six blocks from Wings Financial)

Wings Financial is Located 15 minutes from the Minneapolis/St. Paul International Airport.

Thank you to the following meal and host sponsors:

