

# 2024 INTERNAL AUDIT SEMINAR

## December 3 - Virtual

### ABOUT EVENT

This internal audit seminar is specifically targeted for internal audit, compliance, and risk personnel in your financial institution. The purpose of the conference is to share tools and techniques intended to help internal audit and related professionals respond to the constant changes and challenges in the banking industry. This seminar incorporates practical audit strategies, best practices, and case studies while also providing valuable reference materials.

**WHO WILL BENEFIT:** This session is intended to benefit internal auditors, compliance officers, and second-line officers who are responsible for reviewing and monitoring corporate governance, electronic funds, asset-liability management, third-party risk management, model risk management, and data governance.



KANSAS BANKERS  
ASSOCIATION

### TOPICS TO BE COVERED:

#### Auditing Electronic Funds Transfer

- » Overview of the Electronic Funds Transfer Function
- » Internal audit objectives and procedures related to:
  - Wire Transfers
  - Automated Clearing House (ACH)
  - National Automated Clearing House Association Self-Audit

#### Auditing Asset/Liability Management

- » Interest Rate Risk (IRR) Management Administration
- » IRR Management Operations
- » Liquidity

#### Auditing Third-Party Risk Management

- » Overview of the Third-Party Risk Management Functions
- » Internal audit objectives and procedures related to:
  - Initial Due Diligence and Third-Party Selection
  - Ongoing Due Diligence
  - Vendor Termination
  - Governance and Oversight

#### Auditing Model Risk Management

- » Overview of regulatory requirements
- » Discussion of evolving expectations and industry perspectives
- » Identification of the critical components of managing an effective model risk management program
- » Application of prescriptive approaches to model management

#### Data Analytics and Data Governance

# PRESENTERS



## **DAVE DAHLHEIMER, CFIRS, CSM**

Dave is a Manager in Crowe LLP's Consulting group with significant experience working with financial services companies providing outsource and co-sourced internal audits, Sarbanes-Oxley (SOx) & FDICIA Compliance, and regulatory compliance (primarily 12CFR9) for financial institutions located nationwide. He has worked with a wide variety of financial institutions ranging from regional Bank Wealth Management Departments, state licensed Independent Trust Companies and Family Offices, to large complex organizations nationwide.



## **DIANA GONZALEZ, CPA**

Diana is one of the leaders in Crowe's Southeast and Mid-Atlantic Consulting practice with a focus on operational internal audits for financial institutions. Diana is a Senior Manager with over 10 years of experience in internal audit and managing engagements for financial service organizations. Her financial services experience includes banks, credit unions, corporate credit unions, mortgage originators and servicers, and finance companies. Typically, her clients are medium public and non-public clients or smaller clients within the financial industry.



## **TAYLOR SIEBERT, CRISC, CSM**

Taylor Siebert is a Manager in Crowe's Financial Services Internal Audit practice, with a concentrated focus on data and data governance internal audits. In her current role, Taylor focuses her time on supporting the various data governance internal audits and data analytics performed for the Firm's financial institution clients. She has worked with clients of all complexities supporting the testing of data initiatives, as well as testing management's remediation of known data weaknesses. She is also the product owner for Crowe's internal audit data analytic solution which is leveraged for data-driven

insights during an audit. Taylor is a key contributor to Crowe's data initiative whereby data is integrated into business processes to optimize effectiveness and efficiency.

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DECEMBER 3, VIRTUAL**



**Program Agenda**

Presentation: 8:30 a.m. - 11:45 a.m.  
Lunch: 11:45 a.m. - 12:45 p.m.  
Presentation resumes: 12:45 p.m. - 4:30 p.m.

<b>\$25 mil &amp; under</b>	<b>___ \$350</b>
<b>\$26 mil - \$100 mil</b>	<b>___ \$450</b>
<b>\$101 mil - \$250 mil</b>	<b>___ \$550</b>
<b>\$251 mil - \$400 mil</b>	<b>___ \$750</b>
<b>\$401 mil - \$750 mil</b>	<b>___ \$950</b>
<b>\$751 - \$1 bil</b>	<b>___ \$1,250</b>
<b>Over \$1 billion</b>	<b>___ \$1,550</b>
<b>Associate Members</b>	<b>___ \$950</b>
<b>Non-members</b>	<b>___ \$3,100</b>

We understand circumstances arise requiring cancellation. Cancel up to five business days before the program and your registration will be refunded. There is no limit to the number of employees that can attend the virtual session from your institution. If you have more than one attending, please email Alana Seelbach at aseelbach@ksbankers.com. This program will not be recorded, therefore there will not be a 30-day replay or OnDemand offered.

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Total Enclosed: \$ \_\_\_\_\_ Total Attending: \_\_\_\_\_

Address: \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

**Three ways to register:**

1. Complete and mail registration form with payment.
2. Fax registration form, followed by mailing of payment. Please use this form as your invoice.
3. Register Online using a credit card at [www.ksbankers.com](http://www.ksbankers.com)