

**JOIN US FOR THE 21<sup>st</sup> ANNUAL  
ONE-DAY SEMINAR AND CONFERENCE**

**JUNE 14 -17, 2011 at the HYATT REGENCY IN AUSTIN, TX**

**Who Should Attend:**

- ★ Internal Auditors
- ★ Supervisory/Audit Committee Members
- ★ CEOs
- ★ Board Members



- ★ 8 CPE Credits Available for the One-Day Seminar
- ★ 17.5 CPE Credits Available for the Annual Conference



**IMPORTANT DATES!**

- April 15<sup>th</sup> – Early registration ends
- May 20<sup>th</sup> – Hotel reservation cut-off
- June 9<sup>th</sup> – Last day to cancel with \$50 penalty. No refunds will be given after this date.

## ONE-DAY SEMINAR

Tuesday, June 14<sup>th</sup>

7:00 am – 8:00 am

REGISTRATION / BREAKFAST

8:00 am – 12 noon

ONE-DAY SEMINAR (Choose one)

### #1 CU INTERNAL AUDITING FROM THE GROUND UP

Learning Level: Basic

Field of Study: Auditing

Presenters: John Gallagher, SEFCU

Barry Lucas: CPA, CIA, Desco FCU

Pat Richey: CFE, NCCO, CTGA, Finance Center FCU

The presenters, John Gallagher, Barry Lucas and Pat Richey together have over 60 years experience in credit union internal auditing. The 3 auditors will present information geared towards those new to internal auditing or new to credit unions and will provide best practices for seasoned auditors as well. The session will include:

- ★ Roles, Responsibilities and Relationships
- ★ Planning and Performance of Audit Work
- ★ Communications and Follow-up
- ★ Internal Auditor Tools

There is plenty of time built into the seminar for questions and audience participation.

### #2 MORTGAGE / COMMERCIAL LOAN AUDITING

Learning Level: Advanced

Field of Study: Audit/Accounting

Presenter: Robin Hoag, Doeren Mayhew

Two of the biggest issues for credit unions have been troubles in the mortgage and commercial loan markets. How should a credit union adequately reserve for mortgages? What is the true value of a commercial property? How do these issues affect an audit? Taught by one of the most established accounting firms, this session is a more advanced offering.

10:00 am – 10:30 am

Refreshment Break

12 noon – 1:00 pm

LUNCH

10:00 am – 10:30 am

Refreshment Breaks

2:30 pm – 3:00 pm

1:00 pm – 4:30 pm

Sessions Resume

5:00 pm – 7:00 pm

### WELCOME RECEPTION

Join us for an evening of Texas BBQ and musical entertainment from the heart of the live music capital of the world. Bring your appetite and taste buds for one of the local area's favorite meals.

5:00 pm – 7:00 pm

VENDOR EXHIBIT AREA OPEN



# ANNUAL CONFERENCE

Wednesday, June 15<sup>th</sup>

7:00 am – 8:00 am REGISTRATION / BREAKFAST

8:00 am – 8:15 am Welcome & Announcements  
Sam Capuano, Sunmark FCU, ACUIA Chairman

8:15 am – 9:00 am GENERAL SESSIONS

## “The View From Texas: A League President’s Vision”

Presenter: Richard Ensweiler, President – Texas CU League

Learning Level: Basic

Field of Study: Special Knowledge and Application

As the only credit union League President to also serve as CUNA Chairman, Dick brings a unique perspective on the credit union movement – where it’s been and where it might be heading.

9:15 am – 10:00 am “The View From Above: CUNA’s CEO Blueprint”

Presenter: Bill Cheney, President & CEO – CUNA

Learning Level: Basic

Field of Study: Special Knowledge and Application

The new CUNA CEO will address the issues of the day including “swipe fees”, taxation and secondary capital.

10:00 am – 10:30 am REFRESHMENT BREAK / VENDOR EXHIBITS

10:30 am – 12 noon BREAKOUT SESSIONS

## #1 “ERM Case Study”

Presenter: Alan White, Vital Insight

Learning Level: Basic

Field of Study: Auditing

An effective ERM (Enterprise Risk Management) program gives the credit union an edge in reacting quickly to an ever-changing environment. With an endless set of regulatory and compliance challenges, Alan will provide a vital insight on ERM and the key components of an ERM program.

## #2 “Auditing HR Practices”

Presenter: Mike Blalack, Gil Bohene, LarsonAllen

Learning Level: Intermediate

Field of Study: Auditing

As credit unions become more complex, human resource (HR) decisions and implementation can have an effect on the credit union. How does one audit HR practices? What should the auditor be looking for in this department? Come and hear about the key issues regarding HR audits.



10:30 am – 12 noon

### #3 “Website Compliance”

Presenter: Dan Juneau, SCA

Learning Level: Basic

Field of Study: Audit/Compliance

Almost every credit union has a website, but how do you monitor for compliance? What is legal? How can you protect your members' (and credit unions') reputation and information.

12:15 pm – 1:30 pm

### LUNCH / ANNUAL BUSINESS MEETING

The Annual Business Meeting will be conducted during lunch on Wednesday, June 15. Join us as winners of the annual contests are announced, including the Internal Auditor of the Year. The results of the 2012 Board elections will be announced. This event is included in your registration fee.

1:30 pm – 2:00 pm

General Session

### “How To Interview a Fraud Suspect”

Presenter: Craig Ascari, WittMares

Learning Level: Basic

Field of Study: Auditing / Risk Management

With fraud on the rise, auditors need to know what to look for and how to effectively interview potential fraud suspects. This session will teach you how to get to the truth and what to look for during an investigation.

2:15 pm – 3:00 pm

### “Is The Devil Lurking at Your Doorstep?”

Presenter: Tom Schauer, CEO – TrustCC

Learning Level: Basic

Field of Study: IT / Auditing

Has your credit union been hacked? Most can answer “no”, but what if you had been hacked? Are you just unaware of the occurrence? This session will describe five recent - and true - computer security incidents, some of which have not been publicly disclosed. Tom will highlight the prevention and detection controls that would have lessened the impact of these incidents.

3:00 pm – 3:30 pm

REFRESHMENT BREAK / VENDOR EXHIBITS

3:30 pm – 5:00 pm

BREAKOUT SESSIONS

### #1 “Internal Fraud”

Presenter: Mike Mossel, RSM McGladrey

Learning Level: Basic

Field of Study: Auditing / Risk Management

Internal fraud is one of the fastest growing issues confronting credit unions. How do you deal with employee theft? What are some of the tell-tale signs and signals?





3:30 pm – 5:00 pm

## #2 Operational Branch Auditing

Presenter: Catherine Bruder – Doeren Mayhew

Learning Level: Basic

Field of Study: Auditing

Does your credit union have more than one branch? How do you effectively audit your branches? Hear from one of the AICPA Risk Assessment Task Force members as she tells you how make sure that your branch audits are up to par.

## #3 “Ethics”

Presenter: Bob Parks, Doeren Mayhew

Learning Level: Basic

Field of Study: Ethics

Ethical behavior is expected, but what constitutes an ethical lapse? What actions can be acceptable for one staff member, but cross the line for others? This session will be an update on right and wrong.

6:00 pm – 8:00 pm

## CASUAL APPETIZERS

Optional Events Departure for:

**Austin Bat Tour** - or - **Lake Austin Cruise**. Either event is only \$15.

**Thursday, June 16<sup>th</sup>**

7:00 am – 8:00 am

## BREAKFAST

8:00 am – 8:15 am

## ANNOUNCEMENTS

Sam Capuano, Sunmark FCU, ACUIA Chairman

8:15 am – 9:30 am

## GENERAL SESSION

### “Where Do We Go From Here?”

Presenter: Dennis Dollar, Principal – Dollar Associates

Learning Level: Overview

Field of Study: Special Knowledge and Application

Hear about the future of the credit union movement from one of the most effective NCUA Chairman in the history of the agency. As a former CEO of a credit union, Dennis also understands the importance of the internal auditor and the role that they play within the credit union. He will also tell us why he feels that auditing is a “growth industry” for credit union professionals.

9:30 am – 10:00 am

## REFRESHMENT BREAK / VENDOR EXHIBITS

10:00 am – 11:30 am

## BREAKOUT SESSIONS

### #1 “Supervisory Committee: What Is Their Real Responsibility?”

Presenter: Dennis Dollar, Principal – Dollar Associates

Learning Level: Basic

Field of Study: Supervisory / Audit Committee

The former NCUA Chairman will discuss the real job of the supervisory committee. What should they be looking for and how does one manage the relationship between the credit union and the supervisory committee members?



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10:00 am – 11:30 am **#2 “Loan Participations: Benefits and Pitfalls”**

Presenter: Al DeLeong, partner – DeLeong & Stang

Learning Level: Basic

Field of Study: Auditing / Accounting

With NCUA looking more closely at loan participations, what can you do to ensure that these are audited correctly? What should you be looking for before your examiner arrives?

**#3 “Compliance Hot Topics”**

Presenter: Scott Ewing, partner – MossAdams LLP

Learning Level: Basic

Field of Study: Compliance

What are the hot compliance topics this year? Where will NCUA be looking and for what? Is your credit union in compliance with some of the lesser known regulations? This session will tell you where your credit union stands.

11:45 am – 12:45 pm LUNCH

1:00 pm – 2:15 pm GENERAL SESSION

**“Legislative and Regulatory Update”**

Presenter: John McKechnie, Partner – Total Spectrum

Learning Level: Basic

Field of Study: Specialized Knowledge and Application

The former head of legislative affairs at CUNA and NCUA, John will give us up-to-the-minute information on what is happening on Capitol Hill and at NCUA. Hear about the issues that could have an effect on your credit union.

2:15 pm – 2:45 pm REFRESHMENT BREAK / VENDOR EXHIBITS

2:45 pm – 4:30 pm BREAKOUT SESSIONS

**#1 “Auditing Investment Securities”**

Presenters: Mark Columbo, Firley, Moran, Freer & Eassa

Sam Capuano, Sunmark FCU, ACUIA Chairman

Level of Learning: Basic

Field of Study: Auditing / Accounting

How does one effectively audit investments? What SEC rules apply and how does the credit union stay on the right side of the law when it comes to investments?

**#2 “IT Auditing”**

Presenter: Jay Bowman, ACCUME Partners

Level of Learning: Basic

Field of Study: IT / Auditing

Come and hear one of ACUIA’s top-rated speakers discuss the potential of security breaches and compromised personal information. What is required of the credit union with regard to privacy requirements? Can the credit union disclose nonpublic member information? If so, under what circumstances?



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2:45 pm – 4:30 pm **#3 “Highly Effective Supervisory Committees”**

Presenter: Dean Rohne, LarsonAllen

Level of Learning: Basic

Field of Study: Supervisory / Audit Committee

This session will explore the ins and outs of the supervisory committee and its interaction with the internal audit function, including the reporting relationship with the committee. What are the specific duties of the supervisory/audit committees? What is the content and frequency of supervisory/audit committee meetings?

6:00 pm – 10:00 pm **COMPLIMENTARY SHUTTLES TO / FROM 6<sup>TH</sup> STREET**

**Friday, June 17<sup>th</sup>**

7:00 am – 8:00 am **BREAKFAST**

8:00 am – 8:15 am **ANNOUNCEMENTS / DOOR PRIZES** Sam Capuano, Sunmark FCU, ACUIA Chairman

8:15 am – 9:00 am **GENERAL SESSION**

**“The Auditor’s Role in the New World of Technology”**

Presenter: Tom Glatt, Consultant

Level of Learning: Basic

Field of Study: Auditing / Accounting

As the former CEO of Realtors FCU, the first interactive credit union, Tom is at the forefront of technology and its importance to the credit union. What impact does this have on the audit function? In addition to being a CEO, Tom is also an accountant so he has a thorough understanding of the important issues facing auditors and risk managers.

9:00 am – 9:30 am **REFRESHMENTS & DOOR PRIZES**

9:30 am – 10:30 am **“Risk Assessment At The Audit Level”**

Presenter: Bryan Mogenson, Clifton Gunderson

Learning Level: Basic

Field of Study: Risk Management

Even audits have a level of risk. How does one best determine the risk assessment at the audit level? This session will let you in on the best methods to calculate and measure risk at the audit process.

10:30 am – 12 noon **“Credit Union Risks Today: What is NCUA Looking At?”**

Presenter: Melinda Love, Director – Office of Examination/Insurance, NCUA

Level of Learning: Overview

Field of Study: Regulatory / Risk Management

As the Director of NCUA’s Examination and Insurance Department, Melinda knows first-hand the issues confronting credit unions in 2011-2012. What key indicators will examiners be looking for and what can your credit union do to make sure that these issues don’t negatively impact your credit union?

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## ABOUT ACUIA

### ACUIA Board of Directors

#### Chair

W. Samuel Capuano, CBA, CRP, CLRO  
Sunmark FCU

#### Vice Chair

Jill Chase, CIA  
WSECU

#### Treasurer

Barbara Franco, CPA, CIA  
GECU

#### Secretary

Dana McCranie, CBA, CUCE  
Empower FCU

#### Directors

Amy Schaefer, CUCE  
Royal CU

Geoff Meyer  
Hudson Valley FCU

Linda Goff, CUCE  
Enrichment FCU

#### Associate Directors

Kara Giano, CIA, CIDA  
Golden I CU

Marnie Hardebeck, CUCE  
Purdue FCU

Doug Wright, CPA, CFE, CUCE  
Baxter CU

## Awards

The following awards will be presented at this year's Annual Meeting:

### The ACUIA Terry McEachern Internal Auditor of the Year Award

was established to recognize Terry as the founder and first president of the Association. This award, sponsored by Royal Credit Union is presented to an internal auditor who has made a significant contribution to the internal audit profession. The recipient of this award has demonstrated personal and professional leadership in serving the industry, profession and community.

### The Excellence in Service Award

is given to an ACUIA volunteer who exemplifies the spirit and dedication of volunteer service. The winner of this award is selected by the ACUIA Chairman.

### The Best Auditing Practice Contest

awards those who submit a "best audit practice." This is any auditing routine, procedure, audit program step or audit technique that contributes to a successful audit. The authors of the top three entries will receive an award plaque.

### The Article of the Year

is given to the best published article from the quarterly magazine, *The Audit Report*. All articles are automatically considered and the magazine editor selects this winner.

### Outstanding Contribution Award

recognizes a CEO, CFO or any supervisory/audit committee member on a regional basis who made outstanding contributions to the internal audit function or demonstrated noteworthy attention to credit union leadership. One award will be given to each region.





# REGISTRATION FORM

Name

Name for Badge

Credit Union / Organization

Mailing Address

City

State

Zip

( \_\_\_\_\_ )  
Phone

Asset Size

Email Address

Shirt Size: Men:  S  M  L  XL

Women:  S  M  L  XL

## Please select the sessions you will be attending:

**One Day Seminar:** (choose one)

Auditing 101

Mortgage / Commercial Lending

(check (✓) one per session)

**Session 1**

ERM Case Study

Auditing HR Practices

Website Compliance

**Session 3**

Supervisory Committees

Loan Participations: Benefits & Pitfalls

Compliance Hot Topics

**Session 2**

Internal Fraud

Operational Branch Auditing

Ethics

**Session 4**

Auditing Investment Securities

IT Auditing

Highly Effective Supervisory Committee

## Registration Fees

One-Day Seminar: **Early bird (before April 15)**

Member: \$249

Non-Member: \$449

Standard (after April 15)

Member: \$299

Non-Member: \$499

Annual Conference: **Early bird (before April 15)**

Member: \$649

Non-Member: \$849

Standard (after April 15)

Member: \$699

Non-Member: \$899

Optional Events:

Bat tour: \$15 per person

Lake Austin Cruise: \$15 per person

Spouse Meal Program:

\$100 per person



## REGISTRATION SUMMARY

\_\_\_\_\_ One-Day Seminar Registrations - June 14:

Members @\$299 each (\$249 by 4/15)

\$ \_\_\_\_\_

Non-Members @\$499 each (\$449 by 4/15)

\$ \_\_\_\_\_

Indicate which session will be attended:

Auditing 101

Mortgage/Commercial Lending

\_\_\_\_\_ Annual Conference Registrations - June 15-17:

Members @\$699 each (\$649 by 4/15)

\$ \_\_\_\_\_

Non-Members @\$899 each (\$849 by 4/15)

\$ \_\_\_\_\_

***Includes Texas BBQ Welcome Reception***

\_\_\_\_\_ Optional Event Bat Tour @ \$15/each

\$ \_\_\_\_\_

\_\_\_\_\_ Optional Event Lake Cruise @ \$15/each

\$ \_\_\_\_\_

\_\_\_\_\_ Spouse Meal Program @ \$100/each

\$ \_\_\_\_\_

**TOTAL**

\$ \_\_\_\_\_

\_\_\_\_\_ Credit Card Number:

\_\_\_\_\_ Exp. Date

\_\_\_\_\_ Name on the Card

\_\_\_\_\_ Signature

### How to Register:

Online: Go to [www.acuia.org/21st-annual-conference-one-day-seminar](http://www.acuia.org/21st-annual-conference-one-day-seminar)

Fax: Completed registration form to: **(703) 683-0295**

Mail: Completed registration form with payment to: **ACUIA Conference Payment  
815 King St. Suite 308  
Alexandria, VA 22314**

### Notes:

#### Food

Included in the One-Day registration fee are breakfast, lunch and breaks.

Included in the Annual Conference fee are breakfast and breaks each day and lunch on Wednesday and Thursday; welcome reception Texas BBQ on Tuesday; and complimentary shuttles to 6th Street on Thursday evening.

#### Spouse Meal Program

All meals that are provided to attendees may be purchased for a spouse under this program.



## OPTIONAL EVENTS

Come cruise Lady Bird Lake. Enjoy either a leisurely sunset boat cruise or venture out to see the largest urban bat colony in North America. Both options are an additional charge and not included in your registration.



## SPOUSE MEAL PROGRAM

For only \$100, sign up your spouse to attend all the conference meal functions.

## TRANSPORTATION

**The hotel does not provide airport shuttle service.** Super Shuttle provides both one-way and round-trip service for \$13 each way. A cab ride from Austin-Bergstrom Airport takes about 20 minutes and costs around \$25 - 30.

## HOTEL SITE



Hyatt Regency Austin, Texas. To make your reservations at the special ACUIA rate of \$185 per night go to:

<https://resweb.passkey.com/go/acuia>

# WIN A NEW IPAD!

*Send in your paid registration postmarked by April 15, 2011 to be entered in a drawing to win a new iPad. The latest cool technology from Apple can be yours if you get your registration in now!*





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[www.ACUIA.org](http://www.ACUIA.org)



**Please route to Internal Auditor / Supervisory Committee**