

# SOFEE

SOCIETY OF FINANCIAL EXAMINERS

*Annual Career Development Seminar*



Examinations in the *Fast Lane*

**JULY 27-30, 2014**

*Philadelphia, PA*

*Loews Philadelphia Hotel*

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# Information about CDS

## Learning Objectives

Through lectures, roundtable discussions and interactive formats, participants in the Society of Financial Examiners' 2014 Career Development Seminar (hereafter referred to as SOFE 2014 CDS) will learn of the latest developments, current issues and new solutions in the regulation of insurance companies. Issues will include critical risk categories, ORSA/ERM risk-focused examination procedures, fraud detection, and IT developments.

## Prerequisites

This seminar is offered for Intermediate and Advanced Financial Examiners. No advanced preparation or prerequisites are necessary, as the seminar will provide group-live delivery updates and overviews of knowledge to which examiners are already exposed.

## CPE/CRE Credits



The Society of Financial Examiners is registered with the National Association of State Boards of Accountancy (NASBA) as a sponsor of continuing 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 submitted to the National Registry of CPE Sponsors through its Website: [www.learningmarket.org](http://www.learningmarket.org).

## Attendance Tracking

SOFE will be tracking session attendance electronically. Each attendee badge will be scanned upon entering the session. In order to receive CRE/CPE credits, the attendee's badge will need to be scanned at the door.



## Presentation Materials

Presentation materials will not be available at CDS in hard-copy or on CD. CD's that have been provided in the past will not be provided this year. Presentation materials will be made available on the SOFE Website shortly before the beginning of the conference and will be retained there for a short period after the conference.

## Potential Credits

Accounting .....	6.5
Auditing .....	23
Computer Science .....	20
Regulatory Ethics .....	1.5
Specialized Knowledge .....	27
Maximum number of CRE/CPE hours per attendee ..	24.5
Total number of CRE/CPE hours available .....	78

## Registration Information

**Conference registration must be completed prior to hotel reservations being accepted.** All registrations must be made online at [www.sofe.org](http://www.sofe.org). After you register, you will receive an email confirmation and receipt. If paying by check, please mail your check to SOFE. **Your registration will not be processed until payment is received. Checks must be received by June 27.**

## Registration Fees

	Received	
	By 6/27	After 6/27
Members of SOFE	\$530	\$630
Non-Member Examiners	\$680	\$780
Retired Members	\$300	\$400
Spouse/Guest/Youth	\$90	\$115
IT Special Session*	\$120	\$120

\*Optional session for conference registrants  
Wed. afternoon, July 30 - Thur. morning, July 31.

**Cancellation Policy: Registration fee is subject to forfeiture if SOFE is notified of a cancellation after July 10. A \$50 administration charge will be applied to all cancellations prior to July 10.**



## Spouse/Guest/Youth Hospitality Registration

SOFE is pleased to offer a Hospitality Suite to the spouses, guests and youths of our attendees. This registration includes the following:

- Access to the hospitality suite—a great place to relax and unwind, to catch up with old friends or make new ones.
- A continental breakfast on Monday, Tuesday, and Wednesday in the Hospitality Suite.
- Sunday night social including buffet dinner, two drink tickets, as well as entertainment.

Please note that spouse/guest/youth registrations do not include breakfasts, lunches or coffee breaks with the conference participants. You may take advantage of the option to join the participants for these functions by registering for each of the individual functions you wish to attend by contacting SOFE.

## First-Time Attendee Special Registration Rate

Firms/departments that send two or more first time attendees to the 2014 SOFE CDS will receive a 25% discount on the applicable registration fee, regardless of membership. To register for this rate, please complete the appropriate box on the registration form and email a list of the names of the other first-time attendees from your firm or department that qualify for this discounted rate to [sofe@sofe.org](mailto:sofe@sofe.org).

Also, please note that all first-time attendees are invited to attend the State Chair/First Time Attendee Social on Saturday, July 26 from 7 to 9 p.m. If you will be attending this function, please check the applicable box on the Registration form.

## CDS Scholarship Funds Available

The Financial Examiners Education Foundation has provided SOFE with scholarship funds for a limited number of attendees for the 2014 CDS. These scholarship funds are intended for insurance regulators whose state insurance department or agency does not cover the cost of attending SOFE's CDS.

The scholarship applicants shall be insurance regulators that are employed directly by a state or U.S. territory, (i.e. contract examiners are not eligible). Applicants must be a member of SOFE in good standing. The scholarship funds cover only the registration fees and do not cover any travel or hotel-related expenses. Written evidence of the fact that the state does not pay for CDS attendance shall be provided by the Commissioner/Director, Deputy Commissioner/Director or Chief Examiner/Analyst of the state that employs the applicant.

Applications received prior to the April 30 closing date will be reviewed by the Scholarship Committee. If more applications are received than can be accommodated based on funding, prioritization will be given by the Scholarship Committee to: SOFE membership status, designations held by applicant (AES, AFE and CFE) and first time attendee status. The Scholarship Committee also reserves the right to limit the number of scholarships awarded to individual states to allow for a broader geographic spread of attendees. Scholarship applications received after the closing date may be accommodated as funding allows. The application period closes April 30. See application at [www.sofe.org](http://www.sofe.org) for more details. NOTE – Scholarship applicants must wait until after receiving results of their scholarship application before registering for the CDS. Notice will be sent of scholarships awarded by May 12.

## Hotel Information: Loews Philadelphia Hotel

1200 Market Street | Philadelphia, PA | 19107

## Reservations

**Please note that you must register for the seminar before you can get a hotel room.** The registration confirmation will include information that will allow you to book your hotel room. **As members are aware, SOFE is required to meet a set room block, accordingly,** SOFE reserves the right to cancel any room reservations made prior to registering for the CDS. A review will be made of the hotel rooming list versus SOFE CDS registration on a regular basis **in order to monitor the room block.** We ask that you please adhere to this policy and make your CDS registration first.

All room rates are subject to state, local and any occupancy taxes in effect at the time of the function.

The “cut-off” date for room reservations at the special rate is **June 26.** Reservation requests received after this date will be based on availability at the hotel's prevailing rates.

Room reservations are subject to a 24 hour cancellation fee. Rooms cancelled within 24 hours of arrival will be charged a “no show” fee.

## Rates:

\$159 – Single or double occupancy

\$184 – Triple occupancy

\$209 – Quad occupancy

Please be advised that all rates quoted are per room, per night, single, double, triple or quad occupancy.

## Hotel Description

Located conveniently in the heart of Center City Philadelphia the Loews is surrounded by historical and exciting things to do in Philadelphia. Philadelphia is a city steeped in the history of America. In a way, it's the city that started it all.

The Declaration of Independence and the U.S. Constitution were signed here, in Independence Hall. And, of course, the Liberty Bell rang out the first call to freedom, right here in Philly. It's also a city of firsts: the first art school, the first African-American church, the first U.S. zoo, the first botanical garden and the first stock exchange all happened right here. The "City of Brotherly Love" lives up to its nickname. It's been called the safest and friendliest city in America.

But Philadelphia is about more than its history. It's home to some of the best restaurants, nightlife, shopping, sports teams and sightseeing anywhere. And the Loews Philadelphia Hotel puts you right in the center of it all.

Located in our own historic building, The Philadelphia Savings Fund Society (PSFS), which is right in the heart of Downtown, you're just steps away from all the very best this vibrant city has to offer. We're across the street from the Convention Center and the historic Reading Market, and minutes away from Philadelphia International Airport and Amtrak's 30<sup>th</sup> Street Station, getting around couldn't be any easier. Reading Terminal offers locally grown and exotic produce. Amish specialties. Fresh meats, seafood, and poultry. Handmade confections and baked goods straight from the oven. Everything you need to create a memorable meal, from cookbooks, to table linens, to kitchen ware, to fresh cut flowers, and more. Plus the widest variety of restaurants under one roof. Find it all here at Philadelphia's historic public market, Reading Terminal Market!

## Dress

Dress for this conference will be business casual. The hotel has informed SOFE that they usually keep the hotel very cool during the summer months. It is recommended that the participants dress in layers with jackets and sweaters available to adjust to cooler classrooms.

## Sunday Social



### REV UP YOUR ENGINES FOR THE SUNDAY SOCIAL!

This year's CDS Sunday Social will be hosted at the Simeone Foundation Automotive Museum.

Join us for a "Winner Circle Celebration" with networking, food, fun and "competition" among the largest and rarest collection of sports road racing cars anywhere in the world.

Assembled by renowned neurosurgeon Dr. Frederick Simeone over a span of 50 years, the Museum collection contains over 60 of the rarest and most significant racing sports cars ever built. The Simeone Foundation Automotive Museum was chosen "Museum of the Year" by the International Historic Motoring Awards in London.

This is a great location for the car enthusiast and those that may not know a lot about the racing machines. There is something for everyone.

There will be plenty of food including some "Philly" local favorites and hosted bar. Enjoy the DJ, Billiards and Arcade Racing Games while reconnecting and making new friends as we kick off the 2014 SOFE CDS in the City of Brotherly Love.



# You are invited to a Special and Extended Session!

For **AES designees, IS Specialists** and other interested parties.

**July 30-31, 2014**  
**IT SPECIAL SESSION**

**Part I: Network Security & Audit Fundamentals/Network Reconnaissance: Understanding TCP/IP Networks** 📄

**Part II: Network Vulnerability Assessment/Penetration Testing: Network Vulnerability Assessment/Network Penetration Testing Methodologies and Key Assessment Steps** 📄

**Part III: Key Network Security Controls / Audit Checklists & Toolkits: Network Security Controls** 📄

**When:** Wednesday • 1:00pm – 5:00pm & Thursday • 8:00am – 12:00pm

**Session Overview** This purpose of this session is to provide participants with a methodology and approach to perform network security and audit assessments. Demonstration of tools and techniques used will allow the participant to evaluate network security and control concerns and identify key control recommendations that should be implemented to address the issues. **Session highlights:** Understand current network security risks and key mitigation controls • Discussion and demonstrations of key network security and audit tools • Case study exercises to illustrate and discuss key network security and audit areas

**Topic:** **PART I: Network Security & Audit Fundamentals / Network Reconnaissance: Understanding TCP/IP Networks**

- TCP/IP Network Fundamentals • TCP/IP Services • Network Risk Assessment
- Network Security Threats & Vulnerabilities • Dangerous TCP/IP Services

**Network Discovery and Footprint**

- Network Address Spaces (DNS, IP Address Blocks) • Ping Sweep Techniques
- Information Gathering Tools (e.g. SNMP information) • Packet Capture and Analysis Tools (using Wireshark)
- Use of Search Engines such as Google and other Web-based resources such as Shodan and Maltego

**TCP/IP Service Identification and Enumeration**

- Port Scanning Techniques (using Nmap)

**PART II: Network Vulnerability Assessment/Penetration Testing: Network Vulnerability Assessment Network Penetration Testing Methodologies and Key Assessment Steps**

- Assessment Methodologies • Vulnerability identification tools and techniques • Testing web applications
- Testing vulnerabilities in Unix and Windows operating systems
- Metasploit Framework; Armitage • Effective reporting and risk-ranking of assessment results
- NIST National Vulnerability Database (NVD) and related resources (nvd.nist.gov; exploit-db.com)
- Testing firewalls including configuration and rules assessments
- Testing specific TCP/IP Services e.g. web servers

**PART III: Key Network Security Controls / Audit Checklists & Toolkits: Network Security Controls**

- Network Security Architecture and Design
- Firewall and network segmentation/Firewall Configuration and Rules Assessment
- VLAN Security • Virtual Private Networks (VPN) concepts • Wireless Network Security
- IDS & IPS Concepts/Intrusion Response and Incident Handling Network Security Tools and Techniques

**Network Security Tools and Techniques**

- Security and Audit Checklists • Network Security and Audit Toolkits such as Kali and Knoppix

**Presenter:** **John Tannahill, CA, CISM, CGEIT, CRISC • J. Tannahill & Associates**



John is a management consultant specializing in information security and audit services. His current focus is on information security management and control in large information systems environments and networks. His specific areas of technical expertise include UNIX and Windows operating system security, network security, and Oracle and Microsoft SQL Server security. John is a frequent speaker in Canada, Europe and the US on the subject of information security and audit. John is a member of the Toronto ISACA Chapter and has spoken at many ISACA Conferences and Chapter Events including ISACA Training Weeks. He is also the 2008 Recipient of the ISACA John Kuyer Best Speaker/Best Conference Contributor Award.

**Cost:** \$120 per person

**Sponsors:** Eide Bailly LLP • Examination Resources, LLC • Noble Consulting Services, Inc.



## ***FINANCIAL EXAMINER EDUCATIONAL FOUNDATION***

The **Financial Examiner Educational Foundation** in conjunction with SOFE is sponsoring the scholarship program for regulators. This program allows qualified regulators to have their registration fees waived for the 2014 CDS.

If you are interested and would like more scholarship information, please visit the SOFE Website at [www.sofe.org](http://www.sofe.org).

# Thank You!

**COMPANY NAME**

**SPONSORSHIP LEVEL**



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Examination Resources, LLC..... Platinum  
Noble Consulting Services, Inc. .... Platinum  
ParenteBeard LLC..... Platinum  
Risk & Regulatory Consulting, LLC ..... Platinum  
The INS Companies ..... Platinum



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**AES SPECIAL SESSION SPONSORS**

Eide Bailly LLP  
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# SOFE 2014 Career Development Seminar Agenda

**Program Subject to Modification:** Note that the following program agenda is preliminary and presentation topics, speakers, dates and times are subject to change.

## SATURDAY, JULY 26

- 12:00pm–6:00pm      Registration Desk Open
- 3:00pm–5:00pm      Executive Committee Meeting  
Anthony - 3<sup>rd</sup> Floor
- 7:00pm–9:00pm      State Chair/First-Time Attendee Reception  
PSFS Room - 33<sup>rd</sup> Floor

## SUNDAY, JULY 27

- 8:00am – 5:00pm      Registration Desk Open
- 8:30am – 12:00pm      Board of Governors Meeting  
Washington - 3<sup>rd</sup> Floor
- 12:30pm – 5:00pm      Spouse & Guest Hospitality Suite #413 - 4<sup>th</sup> Floor
- 1:00pm – 2:15pm**  
Regency Ballroom  
2<sup>nd</sup> Floor Mezzanine
- GENERAL SESSIONS**  
**Welcome and Opening Comments**  
President Richard Foster, CFE • Alaska Division of Insurance  
CDS Chair James Kattman, CFE • Noble Consulting Services, Inc.  
CDS Programs Chair Annette Knief, CPA, CFE, FLMI, ARA, AIRC • The INS Companies  
Commissioner Michael Consedine, JD • Pennsylvania Department of Insurance
- Regency Ballroom  
2<sup>nd</sup> Floor Mezzanine
- A1 - Information Technology, the Financial Examination, and You: Keeping IT Front of Mind**   
Samuel BowerCraft, MSIS, CISA • McKonly & Asbury, LLP  
This presentation will discuss the role of information systems in the business process. Information systems are greater than ever and understanding IT and its relevance to the financial examination is vital for success. The session will discuss the purpose of IT, how IT permeates business and processes, and will recommend steps for you to take to elevate how you leverage IT and the IT review into the examination to improve examinations in the future.
- 2:15pm – 2:30pm      Break (Refreshments) - Outside Millennium, 2<sup>nd</sup> Floor
- 2:30pm – 3:45pm**  
Regency Ballroom  
2<sup>nd</sup> Floor Mezzanine
- A2 - Commissioners Roundtable**  
Commissioner Michael Consedine, JD • Pennsylvania Department of Insurance  
Superintendent Joseph Torti, III, CPA, CFE • State of Rhode Island
- 3:45pm – 4:00pm      Break (Networking) - Outside Millennium, 2<sup>nd</sup> Floor
- 4:00pm – 5:15pm**  
Regency Ballroom  
2<sup>nd</sup> Floor Mezzanine
- A3 - Detecting Fraud & Deception via Body Language**  
Jerry Balistreri  
This session is specialized and targeted to assist in the interview process of examinations and investigations. The training foundations will be centered on reading body language, the science of lying, and examination of the content and structure of the interviewee that may be deceptive.
- 7:00pm – 10:00pm      **Sunday Social**  
Simeone Foundation Automotive Museum - CDS name badge is required. See page 5 for details.

7:30am – 5:00pm

Registration Desk Open

7:55am – 8:45am

Commonwealth C  
2<sup>nd</sup> Floor

## BREAKFAST ROUNDTABLES

### B1 - Financial Analysis: Impairment, Stress Testing and Predictive Modeling

Bryan Fuller, CPU, ARe • Examination Resources, LLC

Under reserving, underpricing, and excessive growth are responsible for the majority of financial impairments in the insurance industry. What can regulators and those in the industry learn from stress testing and predictive modeling to alter future behavior?

Commonwealth A  
2<sup>nd</sup> Floor

### B2 - Managing Digital Evidence and Assets

Scott Greene • Evidence Solutions, Inc.

Organizations are often faced with the need to collect and maintain digital evidence. Each time an organization collects Digital Evidence there are decisions to be made about maintaining a chain of custody as well as ensuring that there is no tampering with the data. This course will explore ways to collect and manage digital evidence so that the evidence will stand up not only in administrative hearings but in a court of law should it be required.

Congress  
4<sup>th</sup> Floor

### B3 - Corporate Governance and the Power of Entity Level Controls

Scott Eady, CPA, CFE • AGI

One of the primary goals and objectives of financial exams is to assess management's ability to identify, evaluate and control its business risk. A great deal of this is done in Phase One where the examiner focuses on the company's entity level controls by evaluating the design and operating effectiveness of those controls most notably in corporate governance. When a strong entity level control environment is identified the examiner should identify opportunities to leverage these controls beyond Phase One. This session will assist in identifying these situations and discuss how the examiner can leverage these controls within key activities specifically in Phase Three that can mitigate risk to an acceptable level.

Commonwealth D  
2<sup>nd</sup> Floor

### B4 - The FIO's Weighed In; So What's Next?

James Morris, CPA, CFE, CICA, CGMA • ParenteBeard, LLC

The Federal Insurance Office has issued its paper on the role of the Federal government in the modernization of the regulation of the US insurance industry. The International Association of Insurance Supervisors is advocating a Common Framework for the supervision of internationally active insurance companies. This session will present a summary of the initiatives outlined in the FIO's paper; a summary of the objectives and requirements under CommFrame; and the potential implications of each on regulation of insurers by the states.

Commonwealth B  
2<sup>nd</sup> Floor

### B5 - Effective Leadership Qualities and Examination Management Tips for the Modern Day Examiner-In-Charge

Natalie Davis, CFE, CICA and Annette Knief, CPA, CFE, FLMI, ARA, AIRC • The INS Companies

As the regulatory landscape of examinations continues to evolve and the role of the Examiner-In-Charge (EIC) becomes more demanding, the modern day EIC needs to be an effective project leader to ensure risk-focused examinations are efficient and cost effective. This session will review best practices in project management specific to the role of the EIC and provide overall tips for exam management.

8:00am – 5:00pm

Spouse & Guest Hospitality Suite #413 - 4<sup>th</sup> Floor

8:45am – 8:55am

Break (Networking break - no refreshments)

8:55am – 10:10am

Regency C 1  
2<sup>nd</sup> Floor

## BREAKOUT SESSIONS

### B6 - Market Conduct Compliance Issues: A Prospective Risk that All Examiners Should Understand

Barbara Bartlett and John D'Amato, CPA, CFE

Risk & Regulatory Consulting, LLC

The session will cover the most prevalent market conduct compliance violations noted throughout the industry over the past few years, and the potential financial impact on current and future surplus.

Regency A  
2<sup>nd</sup> Floor

### B7 - Out of Control Increasing Premiums Rates: Affordable Care Act's Requirements to Perform Rate Reviews

Bonnie Casella, CFE and John Romano, CPA, CFE • ParenteBeard LLC

As health insurance premiums continue to rise, this session will focus on the Affordable Care Act requirements of increased scrutiny on rate increases. Examiners will be introduced to rate review procedures and reflection on completed rate reviews. Procedures focus on data quality, control and substantive procedures, not actuarial analysis.

Washington  
3<sup>rd</sup> Floor

**B8 - Exhibit E: Information We Need from Internal and External Auditors**

Patricia Casey-Davis, CPA, CFE, CMA, CIA, CRMA, CICA • The INS Companies

This session will focus on reviewing the changes that have been made to Exhibit E in the NAIC Financial Condition Examiners Handbook. Specifically an in-depth discussion on information to obtain and items to consider when reviewing the work of internal or external auditors will be discussed.

Regency C 2  
2<sup>nd</sup> Floor

**B9 - Automated Application Controls - The Union of IT and Business Process Risk**

LeeAnne Creevy, CPA, CISA, CITP, MCM, Alan Gutierrez-Arana, CISA and Philip McMurray, CISSP, CISA, AES Risk & Regulatory Consulting, LLC

The use of systematic or automated application controls is commonplace in the insurance industry. This session will focus on how the assessment of these controls can enhance the financial examination process by focusing on financially-significant data flows. In addition, the importance of IT general controls as a foundation for this assessment will be described, with specific examples from recent examinations used to illustrate the overall approach.

Regency B  
2<sup>nd</sup> Floor

**B10 - Special Purpose Financial Insurers: What, Why, How, and the Future**

Stacey Alden, CPA, CFE • Assistant Chief Examiner, State of Vermont

Sandra Bigglestone, CPA, CFE • Director of Captive Insurance Division, State of Vermont

Jeffrey Johnson • Primmer and Brett Wiggins • MetLife

The panel discussion will cover what a Special Purpose Financial Instrument is, why Special Purpose Financial Instruments are formed, what a Special Purpose Financial Instrument does for the insured, what regulators look for when licensing a Special Purpose Financial Instrument, and how a Special Purpose Financial Instrument should be regulated, and what the future of Special Purpose Financial Instruments are.

10:10am – 10:30am

Break (Refreshments will be set up outside the 10:30 session room areas.)

10:30am – 11:45am

**BREAKOUT SESSIONS**

Regency C 1  
2<sup>nd</sup> Floor

**B11 - People and Training: How Sharp is the Knife?**

Samuel BowerCraft, MSIS, CISA • McKonly & Asbury, LLP

The nature of IT general controls review tends toward process and control review, but this work is performed by people. This session will discuss the importance of evaluating the people involved who perform the work and controls, and who oversee the activities that are so vital to the success of information technology implementation each and every day. What should we review? What should we look for? And what does this mean for the IT controls review overall?

Washington  
3<sup>rd</sup> Floor

**B12 - Reinsurance: Pooling and Risk Mitigation Practices**

Bryan Fuller, CPCU, ARE • Examination Resources, LLC

This session will navigate a series of issues relating to the NAIC process for reduced collateral requirements for certified reinsurers from qualified jurisdictions. The session will determine what the new system means for regulators and for the industry.

Regency B  
2<sup>nd</sup> Floor

**B13 - ACA Transition Risk: Solvency Risks that Regulators Should be Aware of During This Uncertain Time**

Louis Felice, CFE • National Association of Insurance Commissioners (NAIC)

Craig Moore, CPA, CFE and Patrick Tracy, CPA, CFE • Risk & Regulatory Consulting, LLC

The panel will focus on transition risks and the significant impact on financial reporting and surplus monitoring as regulators learn to cope with implementation of the Affordable Care Act. Transition risks include estimating the impact of adverse selection, obtaining adequate pricing, the effectiveness of premium stabilization programs (the 3-Rs), among others.

Regency A  
2<sup>nd</sup> Floor

**B14 - A Day in the Life of a Financial Analyst: Financial Analysis Much More than the Numbers**

Gregg Bealuk, CFE • The INS Companies

David Vacca, CPA • Vacca Regulatory Consulting, LLC

As the regulatory environment becomes more complex, the role of an analyst has expanded and is much than just reviewing financial statements. This session will discuss all the new risks both domestic and international that the financial analyst must monitor to stay abreast of current trends.



Regency C 2  
2<sup>nd</sup> Floor

**B15 - Actuarial Review of Prospective & Other Non-Financial Reporting Risks: Examining Through the Front Window as Opposed to the Rear View**

Lisa Chanzit, FCAS, MAAA, ARM and Michael Dubin, FCAS, MAAA, FCA • Risk & Regulatory Consulting, LLC  
The session will provide the actuary's perspective on risks such as underwriting, pricing, liquidity, catastrophe and best practices for integration of the actuary into testing of controls and substantive testing around these areas. Presenters will share recent examples of significant contributions toward the risk-focused examination of prospective risks and the benefits of including an actuarial specialist in the process.

11:45am – 1:15pm  
Millennium - 2<sup>nd</sup> Floor

Luncheon and Annual Business Meeting

1:15pm – 2:30pm  
Regency B  
2<sup>nd</sup> Floor

**BREAKOUT SESSIONS**

**B16 - Examinations of Enterprise Risk Management and ORSA Capabilities Social Engineering: How YOU Are the Hacker's Greatest Tool (and what you can do to prevent it!) 📺**

Scott Greene • Evidence Solutions, Inc.

Organizations of all sizes are faced with Black Hat Hackers who want the information that the organization may have. This course will explore how these hackers use social engineering to gain information that can compromise the security systems that an organization may have in place. These compromises can render many of the security systems less effective or even useless.

Congress  
4<sup>th</sup> Floor

**B17 - Statutory Accounting Update**

Robin Marcotte, CPA, CFE, ARe, CISA • National Association of Insurance Commissioners (NAIC)

This session will provide an update on recent statutory accounting issues for examiners that occurred in the last year.

Washington  
3<sup>rd</sup> Floor

**B18 - Hot Topics and Examination Tips**

Scott Eady, CPA, CFE • AGI

Examiners don't need to be reminded that regulation is changing. Nevertheless, the demands and pressure to conduct effective and efficient examinations are greater than ever. This fast paced class will take attendees through current regulatory projects and their potential effects on future examinations. Additionally, presenters will address common issues faced on exams and provide ideas on meeting examination objectives for each area.

Regency A  
2<sup>nd</sup> Floor

**B19 - Evaluating Other Than Financial Reporting Risks (OTFR) using Stochastic Modeling**

Lawrence Lentini, CPA, CITP, CRISC, CGMA • The INS Companies

The session will include a discussion of ORSA and Other Than Financial Reporting Risks. The session will feature a combination of lecture and a live illustration of stochastic modeling experiences based on audience input and interaction.

2:30pm – 2:50pm

Break (Refreshments) - Outside Millennium, 2<sup>nd</sup> Floor

2:50pm – 4:05pm  
Millennium  
2<sup>nd</sup> Floor

**GENERAL SESSION**

**B20 - Ethics, Implications and Impact**

Rhonda Sciortino • Markel Insurance Company

This session deals with the reasons people lie and the short and long term implications of good and bad behaviors. Sow good seeds, get good results. The converse is also true. Understanding the underlying motivations of deceit and effectively communicating the simple truth of harvesting what you sow can help promote the behavior we wish to see in the world.

4:05pm – 4:15pm

Break (Networking) - Outside Millennium, 2<sup>nd</sup> Floor

4:15pm – 5:05pm  
Millennium  
2<sup>nd</sup> Floor

**B21 - Financial Condition Examiners Handbook Update**

Becky Meyer, CPA • National Association of Insurance Commissioners (NAIC)

During this session, examiners will learn about recent updates to the Financial Condition Examiners Handbook as well as changes currently under consideration.

Regency B  
2<sup>nd</sup> Floor

**B22 - FISMA and FedRAMP: The New Federal Standards for Information Security, and How They Can Be Used By IT Examiners 📺**

Michael Morrissey, AES, CISA, CISSP, MCP • Examination Resources, LLC

New federal standards will shape many companies IT control frameworks, particularly in the area of

healthcare and health insurance. We will explore FISMA and NST 800-53, an invaluable resource for defining controls and risks in any company. We will also cover the closely related FedRAMP standards for assessing cloud environments.

## TUESDAY, JULY 29

8:00am – 5:00pm

Registration Desk Open

7:55am – 8:45am  
Commonwealth C  
2<sup>nd</sup> Floor

### BREAKFAST ROUNDTABLES

#### C1 - Examiners Role in Auditing/Examining the Medical Loss Ratio

Becky Meyer • National Association of Insurance Commissioners (NAIC)

James Morris, CPA, CFE, CICA, CGMA • ParenteBeard, LLC

This presentation will include a brief overview of the Medical Loss Ratio examination procedures adopted by the NAICs Health Reform Exam Technical Group alongside those developed by the Department of Health and Human Services while also providing examiners and analysts insight into understanding the concepts and requirements in the calculation, reporting and validation of the Medical Loss Ratios in accordance with the requirements of the Affordable Care Act.

Millennium  
2<sup>nd</sup> Floor

#### C2 - ORSA: A Regulatory Update

Dan Daveline, CPA and Bruce Jenson, CPA • National Association of Insurance Commissioners (NAIC)

The session was focus on various regulatory progresses on ORSA as its 2015 effective date approaches. The session will include discussion on 1) the 2013 Report from the ORSA Subgroup to the E Committee; 2) the 2013 industry feedback from the ORSA Pilot; 3) draft analysis guidance; 4) draft examination guidance; 5) potential future ERM training.

Commonwealth B  
2<sup>nd</sup> Floor

#### C3 - Reinsurance Basics: An Introduction for New Examiners and Review of Potential Transfer of Risk Red Flags

Phil Schmoyer, CFE • ParenteBeard LLC

This session will provide examiners a brief introduction to the common types and coverages of P&C reinsurance as well as point out potential red flags that may prohibit appropriate risk transfer and render the contract inadequate for full reinsurance benefit.

Commonwealth D  
2<sup>nd</sup> Floor

#### C4 - Impact of the ACA on Financial Reporting

David Dillon, FSA, MAAA, MS • Lewis & Ellis, Inc.

Uncertainty surrounding the risk of customer behavior under the ACA and its impact on premium rates has garnered much attention. The impact of ACA uncertainty and volatility has received much less attention. This session will discuss the primary financial reporting impacts of the ACA.

Commonwealth A  
2<sup>nd</sup> Floor

#### C5 - Network Security 101: What Every IT Auditor Should Know About Data Networks

Anders Erickson, CISA, CISSP • Eide Bailly LLP

This session provides an overview of telecommunications and network security, focusing on the foundational concepts and knowledge necessary to identify and evaluate the risk of network infrastructure design and implementation. Topics discussed include telecommunications models (OSI and TCP/IP) and network topologies, devices, protocols, and architecture focusing on security.

8:00am – 5:00pm

Spouse & Guest Hospitality Suite #413 - 4<sup>th</sup> Floor

8:45am – 8:55am

Break (Networking break - no refreshments)

8:55am – 10:10am  
Regency C

### BREAKOUT SESSIONS

#### \*C6 - Receivers and Risk-Focused Surveillance

(\*Changed Session from “ORSA Implementation from the Insurers & Examiners Perspective”)

Douglas Hartz, JD, CIR-ML • Insurance Regulatory Consulting Group

Jenny Jeffers, AES, CISA • Jennen Enterprises, LLC

Mark Ossi • Georgia Department of Insurance

How the International Association of Insurance Receiver’s members can be helpful in the risk-focused surveillance cycle and how risk focused examiners can be helpful to Receivers. Many IAIR members know what has happened, what can happen, and can help in assessing what could happen to insurers. Examiners can be on the alert for information that could greatly help out Receivers.

Washington 3 <sup>rd</sup> Floor	<p><b>C7 - Whispers from the Annual Statement</b>  Randall Stevenson, ASA, MAAA, FCA, MSc • The INS Companies  This session will look at information that is embedded in the Life Insurance NAIC Annual Statement but not directly stated to identify potential risks of the reporting company. The session will include a review of an extract of an annual statement and risks that are found within it.</p>
Regency A 2 <sup>nd</sup> Floor	<p><b>C8 - IT Examination Third Party Reliance: Relying on the Work of Others... Or Not?</b> 📄  Samuel BowerCraft, MSIS, CISA • McKonly &amp; Asbury, LLP  During IT reviews, examiners are frequently provided work performed by other auditors to use and rely on for procedures. This session will review some fundamentals to consider when evaluating other's work, the risks involved, and discuss experiences related to real life examples. External auditors, third parties, and SOC reports will be discussed, so come join the fun!</p>
Regency B 2 <sup>nd</sup> Floor	<p><b>C9 - Multistate and Remote Coordination of Examinations</b>  Gerry Hickey, CFE and Annette B. Szady, CPA • Pennsylvania Department of Insurance  George Lentini, CISA • The INS Companies  Step by step best practices for coordinating multi-state examinations including with examiners working off-site from Company premises. This session describes numerous hidden traps and pitfalls as well as practical guidance for participating DOIs with smaller or supporting roles.</p>
10:10am – 10:30am	Break ( <i>Refreshments will be set up outside the 10:30 session room areas.</i> )
10:30am – 11:45am Regency B 2 <sup>nd</sup> Floor	<p><b>BREAKOUT SESSIONS</b>  <b>C10 - Financial Reporting Risks Taking a Back Seat, Thoughts on Examinations in 2020</b>  John Romano, CPA, CFE • ParenteBeard LLC  A collaborative session where attendees will be actively involved in discussion of the trend of the risk-focused examinations and the growing importance on the focus of non-financial reporting and prospective risks. The session will walk through a hypothetical and thought provoking view of what examinations will look like in 2020.</p>
Regency A 2 <sup>nd</sup> Floor	<p><b>C11 - Trust the Data Not the Software: An Exploration of Data Falsification</b> 📄  Scott Greene • Evidence Solutions, Inc.  Frequently we are presented with data that appears perfectly normal and supports a particular side to a case. Unfortunately software, by its very nature, displays data not in its natural form but rather in a sorted and organized form. Data that has been manipulated will not be evident when looking at reports generated by the reporting system. We will examine data presented by software and data in the background and discuss the differences.</p>
Washington 3 <sup>rd</sup> Floor	<p><b>C12 - Creating a Mind-Set Toward Not Just the Facts; A Candid Evaluation and Critique on the FIO Modernization Report and the International Impacts on Regulation</b>  Joseph Fritsch, CFE, CIE, ARe and Michael Kogut, CPA • The INS Companies  Stephen Johnson, CPA • Pennsylvania Department of Insurance  This session will focus on a historical recap of the modernization initiative, a candid evaluation on the recent FIO report and recommendations, and the international impacts on insurance regulation. The session will be dynamic, educational and interactive with candid opinion from seasoned regulators.</p>
Congress 4 <sup>th</sup> Floor	<p><b>C13 - Effective Supervisory Colleges</b>  Neil Miller, CPA, CFE • Alvarez &amp; Marsal Insurance and Risk Advisory Services  All supervisory colleges should have the same long-term objective. This session will focus on recognizing that objective, and planning and executing towards that objective, is the key to building an effective supervisory college.</p>
11:45am – 1:15pm Millennium - 2 <sup>nd</sup> Floor	Luncheon
11:45am – 1:15pm Howe - 33 <sup>rd</sup> Floor	State Chairs Luncheon



1:15pm – 2:30pm

Congress  
4<sup>th</sup> Floor

**BREAKOUT SESSIONS**

**C14 - Cloud Computing** 

John Tannahill, CA, CISM, CGEIT, CRISC • J. Tannahill & Associates

This session will focus on the audit and security issues related to cloud computing environments. The session will review cloud service model, cloud architectures and their security and control components. In addition each participant will understand the key risk and control issues with different cloud deployment models.

Regency B  
2<sup>nd</sup> Floor

**C15 - Critical Risk Categories Panel Discussion**

Bruce Jenson, CPA • NAIC Moderator  
Jean Adams-Harris, CPA, CFE, CISA, AES, MCM • Johnson-Lambert  
Barry Armstrong, CPA, CFE • The INS Companies  
Rachelle Gowins, CPA, CFE • Examination Resources, LLC  
John Humphries, CFE, ASA, MAAA, AES, CISA, MCM • AGI  
Joseph Prakash, CFA • JP Consulting

The recently-adopted changes to the 2014 Financial Condition Examiners Handbook, though seemingly minor, nevertheless will have an impact on the scope, objectives and documentation requirements for a typical risk-focused financial examination, particularly in Phases One, Six and Seven. This presentation will be a panel discussion on practical examples of how those changes should be reflected in the examination workpapers.

Regency A  
2<sup>nd</sup> Floor

**C16 - Responding to Natural Disasters: A Regulator’s Perspective**

Peter Hartt • New Jersey Department of Banking and Insurance

This session will focus upon the how Hurricane Sandy was responded to on a state and national level through a regulator’s perspective.

Washington  
3<sup>rd</sup> Floor

**C17 - Regulatory Panel on ORSA Readiness and Implementation of ORSA**

James Armstrong, CPA, CFE • Iowa Insurance Division  
David Lee, CFE, AES, CISA • Arizona Department of Insurance  
Jan Moenck, CFE, CIA, CRP, CBA, CFSA and Patrick Tracy, CPA, CFE • Risk & Regulatory Consulting, LLC  
Kim Rankin • Pennsylvania Insurance Department

The panel will discuss their states experiences with applying the ORSA guidelines, describe various exposures to ORSA like scenario testing and/or pilot ORSA Reports and generally discuss what they have seen with regards to companies’ implementation of ORSA. For example, how ORSA can be used for assessing transition risk relating to implementation to the ACA. Panelist will also discuss their views on incorporation of the ORSA in the financial examination process, both as a tool for identification of risks and as a guide to controls for potential testing.

2:30pm – 2:50pm

Break (*Refreshments*) - *Outside Millennium, 2<sup>nd</sup> Floor*

2:50pm – 4:05pm

Millennium  
2<sup>nd</sup> Floor

**GENERAL SESSION**

**C18 - Regulatory Examiner/Analyst Panel: NAIC Working Groups Initiatives**

Al Bottalico, CPA, CFE • California Department of Insurance  
Bruce Jenson, CPA • National Association of Insurance Commissioners (NAIC) - Moderator  
James Armstrong, CPA, CFE • Iowa Insurance Division  
Stephen Johnson, CPA • Pennsylvania Department of Insurance  
Dwight Radel, CFE, CIR • Ohio Department of Insurance  
Panel discussion with Chief Examiners and Chief Analysts to provide an update on key NAIC Working Group Initiatives.

4:05pm – 4:15pm

Break (*Networking*) - *Outside Millennium, 2<sup>nd</sup> Floor*

4:15pm – 5:05pm

Regency B  
2<sup>nd</sup> Floor

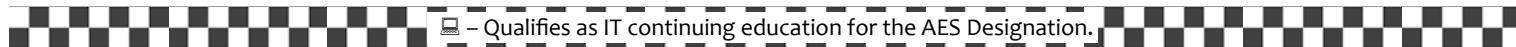
**C19 - The NAIC Holding Company Act-What’s Next?**

Dan Daveline, CPA • National Association of Insurance Commissioners (NAIC)  
In December of 2013, the NAIC Financial Condition (E) Committee was given a charge to review the NAIC Holding Company Act for issues that have arisen since 2010. This session will explore the types of issues that could lead to further changes to this act.


Regency C  
2<sup>nd</sup> Floor

**C20 - Receiverships: Every Day is a Winding Road!**

Bryan Fuller, CPCU, ARe and Michael Morrissey, AES, CISA, CISSP, MCP • Examination Resources, LLC  
As an organization approaches insolvency, the responsibility of its officials shifts from protection of the interests of its shareholders to, at least to some degree, concern for the interests of its creditors. We will analyze alternative resolution mechanisms, data issues and the NCIGF.



Washington  
3<sup>rd</sup> Floor

**C21 - Financial Examinations: Implications of the Updated COSO Framework on Corporate Control Environment and Lessons Learned from PCAOB's 2013 Staff Audit Practice Alert on Testing of Internal Controls**   
James Morris, CPA, CFE, CICA, CGMA and John Romano, CPA, CFE • ParenteBeard, LLC  
This session will describe how changes to the COSO guidance will affect the way companies evaluate the effectiveness of internal controls. This session will also describe how the PCAOB's findings on auditor weaknesses in their evaluation of internal controls will affect auditor's testing of internal controls and exam approach.

## WEDNESDAY, July 30

7:55am – 8:45am  
Washington  
3<sup>rd</sup> Floor

### BREAKFAST ROUNDTABLES

#### D1 - The Impact of ORSA and ERM on Financial Examiners and Analysts

James Stangroom, CPA • ParenteBeard, LLC

Companies are beginning to implement ORSA and ERM and many companies will make ORSA filings beginning in 2015. The job of an examiner and an analyst will be directly affected by how companies implement ORSA and ERM. This session will emphasize how ORSA will impact the efficiency and effectiveness of financial examinations.

Commonwealth A  
2<sup>nd</sup> Floor

#### D2 - The Impact of Generational Differences on the IT Workforce

Jason Dunn, CPA, CISA and Anders Erickson, CISA, CISSP • Eide Bailly LLP

This session will focus on generational differences in the workforce, with a focus on the way each generation uses, understands, and react to information technology. The session will detail the key events that shaped the generations and how these influence our behavior and attitude.

Commonwealth C and D  
2<sup>nd</sup> Floor

#### D3 - Fraud in the Insurance Industry – Case Study Approach

Carl Badean, CFE • The INS Companies

This session will focus upon a discussion of fraud perpetrated on insurance companies. The intention is to review the individual cases and determine if a risk-focused examination would have included risks, which may have revealed the fraud. In addition, the cases discussed may bring out additional types of risks which should be explored on examination.

Commonwealth B  
2<sup>nd</sup> Floor

#### D4 - Top Questions About IT Risks Examiners Should be Ensuring Audit Committee Members Can Answer

Jeff Krull • ParenteBeard LLC

This session is designed to help exam managers, in charges, and financial analysts better understand the types of risks and questions audit committee members are considering and can answer about information technology. It will also define the cloud in non-technical language and the types of considerations examiners should know.

8:00am – 5:00pm

Spouse & Guest Hospitality Suite #413 - 4<sup>th</sup> Floor

8:45am – 8:55am

Break (Networking break - no refreshments)

8:55am – 10:10am  
Regency C  
2<sup>nd</sup> Floor

### BREAKOUT SESSIONS

#### D5 - Analysts: What Can They Do For You?

Larry Knight, CFE and Joseph May, CPA, CFE, CIE, FAHM, CMA, CFE • Carr, Riggs, and Ingram, LLC

The session will be led by a former assistant insurance commissioner with more than 20 years of experience on the analytical side of the examination process. We will review the key areas of Phase One for which analysts can provide value to the financial examination team.

Regency B  
2<sup>nd</sup> Floor

#### D6 - Exam Areas Requiring Greater Attention

Bruce Jenson, CPA • National Association of Insurance Commissioners (NAIC)

How should the time savings from critical risk category changes be utilized on financial exams? This session will answer this question and provide suggestions of how to review and test those areas requiring greater attention.

Washington  
3<sup>rd</sup> Floor

#### D7 - Creating a Mind-Set Toward Cost Effective Risk-Focused Examinations

William Michael, CFE, CIA and Craig Moore, CPA, CFE • Risk & Regulatory Consulting, LLC

Annette Szady, CPA • Pennsylvania Department of Insurance

As we progress toward the point when many companies have had, or are moving towards having, a second generation risk-focused examination, the drum beat of continual cost improvements and efficiencies continue to beat louder. This session will provide an overview of efficiencies that can be gained throughout the examination, with heavy emphasis on Phases One and Two examinations. Topics will include such areas as adequate allocation of resources toward prospective risks, application of critical risk categories, suggestions to reduce the amount of time spent on review and documentation of traditional planning steps.

Regency A  
2<sup>nd</sup> Floor

### **D8 - Technology in Insurance Regulation with Teammate R10.3**

Jerry Link, MCSE, CCA • The INS Companies

This session will demonstrate how to properly and efficiently use technology in the insurance regulatory industry including a training on Teammate R10.3 central/distributed. In addition, the session will present new emerging technologies that can help increase data efficiency, security, and integrity while lowering the costs of an examination.

10:10am – 10:30am

Break (*Refreshments will be set up outside the 10:30 session room areas.*)

10:30am – 11:45am

Regency A  
2<sup>nd</sup> Floor

### **BREAKOUT SESSIONS**

#### **D9 - Assessing Prospective Risk for Today's Life Insurance and Annuity Products**

Joseph Higgins, FSA, MAAA • The INS Companies

How the examining actuary addresses the prospective risk during the examination depends on the nature of the prospective risk itself. This session will focus on how an examining actuary might focus on the products offered by the company and how they impact the future solvency of the company. Emphasis will be placed on currently popular products such as level premium term products, indexed products, universal life with secondary guarantees and guaranteed benefits in variable products. The session will also discuss how Actuarial Standards of Practice impact the examining actuary's work and some common issues actuaries discover as they review company reserving practices.

Washington  
3<sup>rd</sup> Floor

#### **D10 - Panel Discussion: ORSA – Everything You Need to Know**

Dianne Batistoni, CPA, CFE • EisnerAmper LLP

Donald Carbone, CFE, CIE, ARE, AIAF, ARC, MCM • The INS Companies

Dan Daveline, CPA and Bruce Jenson, CPA • National Association of Insurance Commissioners (NAIC)

Robert Kasinow, CFE, ARE • Examination Resources, LLC

Joseph May, CPA, CFE, CIE, FAHM, CMA, CFF • Carr, Riggs, and Ingram, LLC

This is a panel discussion on ORSA from the perspective of a Company. There is much discussion on ORSA including the NAIC Model Law and Guidance Manual. But what would a Chief Risk Officer really need and want to know to meet the requirements and respond to regulator inquiries?

Regency B  
2<sup>nd</sup> Floor

#### **D11 - Risk-Focused Exams: The Role of the Examining P&C Actuary for Pricing and Underwriting Risks Coordination Between Examiners and Analysts on Prospective Risks**

Barry Armstrong, CPA, CFE, Jacqueline Lewis, FCAS MAAA and John Pedrick, FCAS, MAAA

The INS Companies

As the risk-focused examination process has evolved to provide more focus on the operational and prospective risks that an insurance company faces, the need for specialists to be involved in risk identification and assessment has increased. This has never been more evident than in evaluating pricing risks for property and casualty insurers, which often require the expertise of a pricing actuary to assist the examination team in evaluating the likelihood and impact that pricing risks can have on an insurer in the future. This session will identify several areas of a property and casualty company's operations that are not related to reserving, but where the examination team may nevertheless benefit from the services of an actuarial specialist. This presentation will also include specific examples of actual companies and scenarios where the services of an actuarial specialist may be needed.

Regency C 1  
2<sup>nd</sup> Floor

#### **D12 - BYOD: Securing Mobile Technologies**

John Tannahill, CA, CISM, CGEIT, CRISC • J. Tannahill & Associates

This session will focus on the security and control issues related to the use of mobile technologies with a specific focus on BYOD. Concepts include the design and implementation of a mobile device management infrastructure, how to configure technical mobile device security for iOS and Android and a discussion of key security control processes. The workshop combines lecture, discussion and demonstrations of security tools. A case study is included to provide attendees the opportunity to conduct a mobile device risk assessment for a given scenario and to develop a risk mitigation strategy including key countermeasures.

Regency C 2  
2<sup>nd</sup> Floor

#### **D13 - C-Level Executives Interviews for Second Generation Risk-Focused Exams – Always Start with Why?**

Margaret Spencer, CPA, CFE, CIE, MCM, RHU, CPCU, CLU, CIA, CRMA • Risk & Regulatory Consulting, LLC

Significant investment of time and resources is required for the C-Level interview process. This session will describe how the process during the second generation risk-focused examination can be altered to increase efficiency and drive down necessary hours for this critical step in the risk assessment process. The session will also discuss how examiners can learn to look through the eyes of the C-Suite executives and more effectively understand the risks that could have a significant impact on prospective solvency.



11:45am – 3:00pm  
Howe - 33<sup>rd</sup> Floor

Board of Governors Luncheon/Meeting

3:00pm – 4:30pm  
Howe - 33<sup>rd</sup> Floor

Executive Committee Meeting

1:00pm – 5:00pm  
Penn  
5<sup>th</sup> Floor

### **AES IT SPECIAL SESSION**

John Tannahill, CA, CISM, CGEIT, CRISC • J. Tannahill & Associates

#### **Part I: Network Security & Audit Fundamentals/Network Reconnaissance: Understanding TCP/IP Networks**

- TCP/IP Network Fundamentals • TCP/IP Services • Network Risk Assessment
- Network Security Threats & Vulnerabilities • Dangerous TCP/IP Services

#### **Network Discovery and Footprint**

- Network Address Spaces (DNS, IP Address Blocks) • Ping Sweep Techniques
- Information Gathering Tools (e.g. SNMP info)
- Use of Search Engines such as Google and other Web-based resources such as Shodan and Maltego
- Packet Capture and Analysis Tools (using Wireshark)

#### **TCP/IP Service Identification and Enumeration**

- Port Scanning Techniques (using Nmap)

## **THURSDAY, JULY 31**

8:00am – 12:00pm  
Penn  
5<sup>th</sup> Floor

### **AES IT SPECIAL SESSION**

John Tannahill, CA, CISM, CGEIT, CRISC • J. Tannahill & Associates

#### **Part II: Network Vulnerability Assessment/Penetration Testing: Network Vulnerability Assessment Network Penetration Testing Methodologies and Key Assessment Steps**

- Assessment Methodologies • Vulnerability identification tools and techniques
- NIST National Vulnerability Database (NVD) and related resources (nvd.nist.gov; exploit-db.com)
- Testing firewalls including configuration and rules assessments
- Testing specific TCP/IP Services e.g. web servers • Testing web applications
- Testing vulnerabilities in Unix and Windows operating systems • Metasploit Framework; Armitage
- Effective reporting and risk-ranking of assessment results

#### **Part III: Key Network Security Controls / Audit Checklists & Toolkits: Network Security Controls**

- Network Security Architecture and Design
  - Firewall and network segmentation/Firewall Configuration and Rules Assessment
  - VLAN Security • Virtual Private Networks (VPN) concepts • Wireless Network Security
  - IDS & IPS Concepts / Intrusion Response and Incident Handling Network Security Tools and Techniques
- #### **Network Security Tools and Techniques**
- Security and Audit Checklists • Network Security and Audit Toolkits such as Kali and Knoppix

*The Society of Financial Examiners disclaims liability for any inaccuracies, errors or omissions in the program content. The material presented is provided as a general guide and should not be construed as providing professional advice. Opinions expressed by the presenters do not necessarily reflect those of the Society.*



# FUTURE SITES

Society of Financial Examiners  
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Reston, VA 20190  
(800) 787-7633

**2015**  
**JULY 19-22**  
San Diego, CA  
*Town and Country Resort Hotel*



**2016**  
**JULY 31 - AUGUST 3**  
Indianapolis, IN  
*Indianapolis Downtown Marriott*



**2017**  
**JULY 23 - 26**  
Marco Island, FL  
*JW Marriott Marco Island*



NCAA Hall of Fame



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### **CDS Committee**

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Connie Ridinger, CFE

Kara Thome, CFE

Tian Xiao, CFE

\* Wanda LaPrath, SOFE Board of Governors member and Executive Committee VP of Education, passed away in February of this year. Her friendship, insight, and dedicated service to the Society are greatly missed.

