

19th Fraud Conference
Friday, June 14, 2019
raw.rutgers.edu/19fraud.html

Welcome to the 19th Fraud Seminar which is being conducted by Rutgers Business School, Newark, New Jersey, in conjunction with the Association of Certified Fraud Examiners – New Jersey Chapter#9 (“ACFENJ”). Below are directions for attending this event. You will notice that our new online method of registration and payment are being handled directly by ACFENJ. Please bring your event registration ticket so that we can check you in promptly. Thank you and we will see you there.

This event offers a unique forum to discuss emerging issues in fraudulent activity with experts and an outstanding opportunity to earn reasonable CPE credits in today’s economic times. The event will be held on June 14, 2019 at the Rutgers Business School located at One Washington Park, Newark, NJ, Room 220, New Jersey, 07102, from 8:00 am to 4:30 pm. Parking is available at numerous lots at the individual’s expense.

Conference attendees will receive an estimated six (6) CPE credits in Auditing and two (2) credits in Behavioral Ethics. Attendees must sign in and sign out. Late arrivals and early departures may result in a reduced credit award.
NASBA Sponsor Identification #116231

Registration:

Our new online registration form can be found on the ACFE NJ website (www.acfenj.org) under events. The link is: <https://acfenj.org/event/friday-june-14th-2019-19th-fraud-seminar-acfe-nj9-rutgers-business-school/>

The cost for the event is as follows:

- \$150 for ACFE /ISACA/AGA members with a minimum of 48 hours advanced reservation and payment.
- \$175 for non-ACFE/ISACA/AGA members with a minimum of 48 hours advanced reservation and payment.
- \$175 for ACFE/ISACA/AGA members with no prior reservation.
- \$200 for non-ACFE/ISACA/AGA members with no prior reservation.



PAYMENT METHODS:

- Credit Card
- PayPal Account
- Check made payable & mailed to:” ACFE NJ Chapter#9” 1925 Mountain Avenue, Scotch Plains, NJ 07076**
****All CHECKS MUST BE RECEIVED NO LATER THAN June 9, 2019 to qualify for advanced registration & payment****

Time and Attendance: Attendees are required to sign in and sign out. Credits are awarded based on actual time in attendance.

Refund policy: 100% refund, if cancelled at least 48 hours prior to the event with an email to membership.acfenj9@gmail.com.

Complaint Resolution: Complaints will be resolved by the Rutgers Accounting Research Center (973)-353-5172

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Intended Audience: CPAs, Fraud Examiners, and professionals with an interest in ethics, fraud and computer systems

Program Description: Professionally-qualified speakers will present ethics and various fraud topics of current interest.

Learning Objectives: To provide updated information in the following areas:

- What is FINRA?
- Ethics – The Business Case for Corporate Social Responsibility (this meets the ACFE requirement for annual ethics training)
- Elder Fraud – Financial Abuse and Trends
- Artificial Intelligence

Delivery Method: Group live

Program Level: Update

Prerequisites: None

Advance Preparation: None

Directions to Rutgers Business School can be found at: <http://www.business.rutgers.edu/about-rbs/visit/maps-directions>.

Parking is the responsibility of the attendee. There are several parking lots within a block of this location.

Rutgers Business School 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 submitted to the National Registry of CPE Sponsors through this website: www.NASBAregistry.org.

Scheduled Speakers and Topics

Joseph J. Sheirer serves as Vice President & Director of FINRA's North Region. Mr. Sheirer has been with FINRA (and its predecessors) for 20 years serving in various capacities. Mr. Sheirer currently oversees teams responsible for the Examination, Risk Monitoring, and Cause Investigation Programs for member firms monitored by FINRA's New Jersey, Boston, and Philadelphia offices. Mr. Sheirer is a graduate of Brooklyn Law School and Drew University and is a member of the Bars of the States of New York and New Jersey.

Lisa Colone serves as Chief Counsel in FINRA's Enforcement Department, overseeing the work of the Enforcement Staff in FINRA's North Region. She joined FINRA in 2016 and served as Senior Regional Counsel in FINRA's North Region until her promotion to Chief Counsel in May 2018. Prior to joining FINRA, Ms. Colone served as an Assistant U.S. Attorney in the U.S. Attorney's Office for the District of New Jersey for nearly nine years. Ms. Colone is a graduate of the University of Virginia School of Law and the University of Virginia and is member of the Bar of the State of New York (with a limited in-house license to practice in the State of New Jersey).

Gina Rettagliata is Associate District Director in the New Jersey District Office, responsible for planning and executing the office's Firm Examination Program. Ms. Rettagliata has a Bachelor of Arts degree in Political Science from the University of South Florida. She joined FINRA in 2003 and brings over 15 years of industry experience to her role, most recently as Vice President and AML Compliance Officer of a major online trading firm.

Glenn Albaum is Surveillance Director in the New Jersey District Office, with approximately 235 firms assigned to him and a team of six regulatory coordinators. Firm monitoring consists of reviews of firms' financial filings, private placement filings, changes in firms' business activities, onboarding of new member firms, as well as being a resource for firms when contacting FINRA. Mr. Albaum has a Bachelor of Arts degree in Business Administration from Rutgers College and brings 25 years of industry experience to his role.

FINRA - What We Do and Noteworthy Cases

- What is FINRA
 - Mission & Jurisdiction
 - Select Departments and Roles
 - Member Supervision
 - Examinations
 - Risk Monitoring
 - Investigations
 - Enforcement
 - OFDMI
 - Market Regulation
 - RAD & MAP
 - Investor Education
 - Senior Helpline
- Interactions with Other Agencies
 - State and Federal Regulators
 - Criminal Authorities
 - Other Agencies
- Noteworthy Cases