



Financial Services and ASX Listed Assurance Forum

Amora Hotel Jamison Sydney
Tuesday 28 October 2025

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“

Internal Audit is **uniquely positioned** to shape a risk-aware culture and **influence the behaviours** of those around it.

”



Program overview

The Institute of Internal Auditors – Australia is pleased to invite you and your team to the 16th Annual Financial Services and ASX Listed Assurance Forum.

This year's program brings a fresh approach, introducing dedicated streams to address the unique challenges faced by assurance professionals in ASX-listed entities, as well as targeted sessions for APRA-regulated organisations.

The forum will feature a mix of strategic insights and technical deep-dives, covering internal audit, risk management, regulation and compliance, while providing practical guidance on delivering effective assurance in today's dynamic environment.

You will hear from leading risk and audit executives, seasoned experts, regulators and consultants who bring a wealth of experience in addressing critical operational and governance issues across the sector.

Join us in Sydney to gain valuable knowledge, exchange ideas and explore how your assurance function can deliver greater value for your organisation.

We look forward to welcoming you to the Financial Services and ASX Listed Assurance Forum.



Liam Buckley PMIIA
Program Co-Chair, Financial
Services and ASX Listed
Assurance Forum
IIA-Australia



Judith Charlton PMIIA
Program Co-Chair, Financial
Services and ASX Listed
Assurance Forum
IIA-Australia



Ross Tilly PMIIA CIA
President
IIA-Australia



PROGRAM - TUESDAY 28 OCTOBER 2025

8.30AM - 9.00AM - REGISTRATION AND REFRESHMENTS

9.00AM - 9.10AM - OPENING AND WELCOME ADDRESS

9.10AM - 9.45AM - KEYNOTE 1

ASIC Update - Putting the customer first

This session will outline ASIC's priorities and work to drive better outcomes for customers, with a focus on:

- › Financial hardship and protections for vulnerable customers
- › Credit and debt management
- › Dispute resolution
- › Better banking outcomes

Alan Kirkland, Commissioner, Australian Securities and Investments Commission

9.45AM - 9.50AM - SESSION TRANSITION BREAK

9.50AM - 10.35AM - KEYNOTE 2

APRA Update

In this session, APRA Executive Board Member Suzanne Smith outlines how APRA is striking a balance between financial safety and competition, efficiency and productivity at a time of elevated risk in the operating environment. Following the recent publication of APRA's latest Corporate Plan, Suzanne will discuss APRA's policy and supervision priorities, including:

- › Data and technology
- › Cyber risk and operational risk management
- › Risk culture
- › APRA's work to expand proportionality in its policy framework and reduce regulatory burden

Suzanne Smith, Executive Board Member, Australian Prudential Regulation Authority

10.35AM - 11.05AM - MORNING NETWORKING BREAK AND EXHIBITION VIEWING

11.05AM - 11.50AM - CONCURRENT SESSIONS 1

1A Assessing CPS 230 readiness

- › Overview of APRA's expectations on operational risk management and resilience
- › Undertaking assessments of board and executive oversight and reviewing documented risk management strategies, accountability and controls
- › Evaluation of the identification and classification of critical operations
- › Testing and auditing of business continuity plans and scenario analysis
- › Audit of due diligence, monitoring and exit strategies for material service providers
- › Review of incident response procedures and breach notification processes

Gavin Rosettenstein, Partner, KPMG

1B ESG reporting - Ensuring your organisation walks the ESG talk

- › Understanding ESG reporting requirements and the risk of greenwashing
- › Insights on responsible ESG credentials
- › Establishing sustainability reporting metrics which address relevance, accuracy, timeliness and consistency
- › How the assurance function can support organisations in ensuring transparency in ESG reporting

Ivy Isack AMIIA, Manager - Governance, Analysis and Improvement, Fortescue

11.50AM - 11.55AM - SESSION TRANSITION BREAK

11.55AM - 12.40PM - CONCURRENT SESSIONS 2

2A Addressing financial crime risk in the digital world

- › Addressing the convergence of cyber risk, fraud and financial crime in digital ecosystems
- › Overview of the latest tools that fraudsters are using, including the rise of authorised push payment (APP) fraud, identity theft and synthetic identities
- › Enhancing KYC and CDD in digital onboarding and mobile banking - Real-time transaction monitoring and dynamic risk profiling
- › Addressing the challenge of balancing innovation with transparency, governance and regulatory compliance
- › Developing an integrated response framework across fraud, cyber, AML, internal audit and tech teams

Ashwin Pal, Partner, Cyber Security and Privacy Risk Services, RSM

Andrew Connelly, Director, Fraud and Forensic Services, RSM

2B Assessing supply chain resilience and third-party risk

- › Mapping your third-party risks - Operational, financial, cyber and reputational
- › Applying the right-to-audit clauses and contractual access to information with third and fourth parties
- › Techniques for planning and executing third-party audits or assurance reviews
- › Complying with Modern Slavery and other obligations to ensure transparency in supply chains
- › Assessing supply chain resilience and continuity - Evaluating risk concentration, geographic exposure, critical supplier dependencies and crisis response capabilities
- › Integrating third-party risk management into enterprise audit and risk frameworks

Panellists include:

Ellie Knight PMIIA CIA, Head of Internal Audit - Technology, Projects and Data Analytics, TAL

Tracy Simmonds AMIIA, VP Internal Audit, BlueScope Steel
Laila Virani, Director, Strategy, Risk and Transactions, Third Party Risk Management, Deloitte SRT

Facilitator: Liam Buckley PMIIA, FSAX Forum Co-Chair, IIA-Australia & Chief Audit Executive, Bank of Queensland

12.40PM – 1.40PM - LUNCH NETWORKING BREAK AND EXHIBITION VIEWING**1.40PM – 2.25PM - CONCURRENT SESSIONS 3****3A Auditing superannuation trustee responsibilities**

- › Understanding the core legal responsibilities and fiduciary obligations of trustees
- › The importance of compliance frameworks and managing conflicts of interest
- › Trustee responsibility for accurate reporting and regulatory disclosures
- › Addressing key audit risks - Member balances, contributions, investments and compliance breaches
- › Role of the ATO/APRA/ACCC and implications of audit findings for trustees

Belinda Ray AMIIA, Chief Audit Executive, Australian Super

3B Auditing AI & Agentic Systems – From planning to practice

- › Overview of AI systems (machine learning, generative AI) and bots (RPA, chatbots) use cases
- Audit planning - Identifying and understanding the key risks, including algorithmic bias, data quality, model drift, explainability and cyber threats
- Audit fieldwork - Reviewing AI lifecycle, such as design, training, validation and deployment - Monitoring incidents and model performance evaluations
- Ensuring regulatory compliance with privacy laws, ethics, AI-specific regulations and internal policies
- Audit reporting - Showing documentation of model logics, decisions and control trails

Parag Shah, Executive, Internal Audit, AI, Cyber & Technology, National Australia Bank Limited

2.25PM – 2.30PM - SESSION TRANSITION BREAK**2.30PM – 3.15PM - CONCURRENT SESSIONS 4****4A Auditing liquidity risk**

- › Overview of regulatory requirements and guidelines in relation to financial institution liquidity requirements
- › Key components of an effective liquidity risk management framework
- › Determining liquidity risk tolerance and key controls
- › Techniques and methodologies for auditing liquidity risk (e.g., stress testing, scenario analysis)
- › Assessing the effectiveness of liquidity risk management practices
- › Reporting gaps and weaknesses in the liquidity risk management framework and remediation recommendation

Tim McDonough, Country Head of Internal Audit, Australia & New Zealand, Citi Group

4B Data risk management – Keeping your data safe

- › Evaluating the adequacy of cyber risk frameworks, incident response and system access controls
- › Auditing adherence to privacy laws, data minimisation, consent management and other legal and compliance requirements
- › Assessing compliance with retention schedules, secure disposal methods and audit trail integrity
- › Evaluating how data risk affects customer trust, experience and exposure to harm in breaches
- › Lessons learned from breaches – What is being done differently to protect the organisation

Panellists include:

Ryan Lee AMIIA, Chief Internal Auditor, Harvey Norman

Adam Ryan AMIIA, Executive Manager, Internal Audit, IAG

Jag Narayan PMIIA CIA CRMA, Chief Risk Officer, State Super

Facilitator: James Oliver, Partner, Audit & Assurance, Deloitte

3.15PM – 3.45PM - AFTERNOON NETWORKING BREAK AND EXHIBITION VIEWING**3.45PM – 4.30PM - KEYNOTE 3****Corporate governance in the dynamic world**

- › Defining good corporate governance – Principles, guidelines and expectations
- › Rising expectations for accountability, transparency and ethical leadership - The Board's role in overseeing non-financial risks and organisational culture
- › Working across the 3 lines - How integrated assurance can support more informed governance and risk decisions
- › Addressing the growing influence of social license, investor activism and reputational risk - Auditing for alignment between corporate conduct and societal values
- › Enhancing governance through better data, scenario planning and continuous improvement
- › Internal audit's role in providing assurance over governance structures and board reporting

Panellists include:

Arlene Tansey OAM, Non-Executive Director, Aristocrat Leisure, La Trobe Financial, Australian National Maritime Museum, Serco, McMillian Shakespeare

Professor Elizabeth Sheedy, Macquarie University

Leah Fricke, Non-Executive Director/Chair, Audit Committee, icare; Non-Executive Director/Chair, Risk Committee, ColCap Financial; Non-Executive Director, Forager Funds Management

Facilitator: Jeremy Elman AMIIA, Partner, Risk Advisory, RSM

4.30PM – 5.15PM - KEYNOTE 4**The cost of business reshaping the economy**

- › The impact of the cost of costs - Raw material inflation, energy prices, labour shortages, regulatory obligations and risk management costs, such as cyber risk
- › Effects of inflation, interest rate fluctuations, market instability and associated challenges in forecasting, investment planning and customer confidence
- › Impact of geopolitical tensions - Supply chain restructuring in response to trade wars, sanctions and political instability
- › Impact of increasing regulation and business model disruptors
- › Affordability crisis and loss of market demand – Risks of products and services being priced beyond what customers are willing or able to pay
- › Insights on future economic directions in an unstable world

Peter Munckton, Chief Economist, Bank of Queensland

5.15PM – 5.20PM - CLOSING REMARKS**5.20PM – 6.30PM - NETWORKING DRINKS**

How to register

Online Registration

Register online at www.iaa.org.au and follow the prompts. Each delegate must complete a separate online registration form. Please note this is a secure website.

Registration forms

Alternatively, registration forms can be scanned and returned by email: conferences@iaa.org.au

Please complete and return the registration form along with full payment. Each delegate must complete a separate registration form.

Conference fees

All fees are quoted in Australian Dollars and are inclusive of the 10% compulsory goods and services tax (GST).

CPE

Attendance at the conference will provide 7.5 CPE hours.

Venue

Amora Hotel Jamison Sydney, 11 Jamison Street, Sydney NSW 2000

Financial Services and ASX Listed Assurance Forum 2025 – Registration Fees	
Early Bird	Register before or on 14/10/2025
Member	\$995
Non-Member	\$1,170
Standard	Register after 14/10/2025
Member	\$1,165
Non-Member	\$1,375

Groups - 3 or more people from the same organisation booking at the same time receive a 10% discount.

Registration form & tax invoice

Financial Services and ASX Listed Assurance Forum 28 October 2025

1. PROVIDE PERSONAL DETAILS – please use block letters

Title	Prof	Dr	Mr	Mrs	Ms	Miss	Other
Family name							
Given name							
Postnominal	CIA®	CCSA™	CGAP™	CFSA™			
	CRMA™	GradCertIA	QIAL™	Other			
Position							
Organisation							
Address for correspondence							
City/State	Country		Postcode				
Telephone ()							
Facsimile ()							
Mobile							
Email							
Name as you wish it to appear on name badge							

Please indicate your membership number

IIA-Australia Member

2. CONFIRM REGISTRATION TYPE AND FEES

Early Bird - register before or on 14 October 2025

Member	\$995
Non-Member	\$1,170

Standard - register after 14 October 2025

Member	\$1,165
Non-Member	\$1,375

TOTAL REGISTRATION FEES \$

Groups - 3 or more people from the same organisation booking at the same time receive a 10% discount.

3. INDICATE CONCURRENT SESSION PREFERENCES

11.05am – 11.50am

1A Assessing CPS 230 readiness

1B ESG reporting – Ensuring your organisation walks the ESG talk

11.55am – 12.40pm

2A Addressing financial crime risk in the digital world

2B Assessing supply chain resilience and third-party risk

1.40pm – 2.25pm

3A Auditing superannuation trustee responsibilities

3B Auditing AI & Agentic Systems – From planning to practice

2.30pm – 3.15pm

4A Auditing liquidity risk

4B Data risk management – Keeping your data safe

4. SPECIAL REQUIREMENTS

Dietary requirements

Please specify if you have any meal requirements. Please note that some special meals will incur an additional charge. You will be notified if this is the case for the food type you have indicated.

Special assistance

Please indicate if you have a disability or require assistance to participate fully. Please list the type of assistance you require.

5. PAYMENT DETAILS

Method of payment (please choose an option)

1. Credit card via secure payment link on invoice
2. Bank transfer to the account details
Account Name: The Institute of Internal Auditors – Australia
Bank: Westpac Banking Corporation
Address: 84 King Street, Sydney NSW 2000
Branch (BSB): 032003
Account Number: 478233
Swift code: WPACAU2S

Overseas telegraphic transfer will incur AUD\$25.00 bank administration fees. The delegate is responsible for all fees associated with the transaction. To enable us to identify your payment, please ensure that your name and **Financial Services and ASX Listed Assurance Forum 2025** appear on the transfer. Please email a record to accounts@iia.org.au

Alternatively, if you are paying by credit card and don't require to be pre-invoiced, you can skip filling in the form and register and pay online by visiting the conferences page at www.iia.org.au

TERMS AND CONDITIONS

DEFINITIONS

The word 'event' refers to all our conferences, workshops, webinars, members meetings, professional development training courses, dinners and other networking occasions.

INVOICING, PAYMENT & REGISTRATION

If an invoice is requested for an event, payment must be received within 14 days of the invoice date. The registration for events will not be processed until full payment is received. The registration fees includes certificate of attendance, lunch and morning and afternoon tea.

CANCELLATION FEES

All cancellations must be notified in writing to IIA-Australia. No refunds will be given for non-attendance. The following cancellation fees apply:

- > 14 days prior. A full refund is available
- > 13 days to 7 days prior. A refund less an administration fee
- > Less than 7 days prior – No refunds. Unless in the case of illness or an emergency (an administration fee will apply) or you can send a substitute delegate
 - > Administration fee conferences \$200
 - > Administration fee training courses \$100

CANCELLATION BY IIA-AUSTRALIA

We reserve the right to alter published programs, speakers and venues without prior notice. However, events are intended to be provided as advertised. Professional development training courses are subject to sufficient participant numbers. If the event has to be cancelled, you will be notified at least one week in advance of the event. Our liability is limited to a full refund of the event fee only.

No compensation will be paid for any other costs incurred by the delegate, such as travel or accommodation. For online courses, all course work / attendance must be complete by the advertised completion date of the course – No refunds or extensions will be granted.

The IIA-Australia accepts no liability if an event is cancelled or postponed for reasons beyond our reasonable control.

PRIVACY STATEMENT

I acknowledge that my or a later substitute details will be used to confirm membership status at IIA-Australia. IIA-Australia may use a third party conference service providers to process your registration. My/their name, position and organisation will be included in the Conference Delegate list and forwarded sponsors and exhibitors.

For virtual attendees, when visiting virtual exhibition booths your contact details will be made available to exhibitors. Photographs and videos may be taken at the event to be used for IIA-Australia promotional purposes. IIA-Australia will handle any personal information collected on this form in accordance with its Privacy Policy.

TRANSFERRING YOUR PLACE TO SOMEONE ELSE

If you are unable to attend an event, you can send someone else in your place provided that person meets the entry requirements of the event. Please notify us in advance so that we can update our delegate list. If the replacement delegate is not entitled to attend at the same price (for example if an IIA-Australia member sends a non-IIA-Australia member in his or her place) then the difference in fees must be paid before the event is held.

TRANSFERRING FEE TO ANOTHER EVENT

Transferring your registration to another event 15 or more days prior to the event incurs a fee of 10% of registration fees. Transferring registration to another event within 14 days prior to the event is not permitted.

LIABILITY

The IIA-Australia does not accept responsibility for anyone acting as a result of information or views expressed by speakers. Delegates should take specific advice when dealing with specific situations. Opinions expressed are those of individual speakers and not necessarily those of the IIA-Australia.

INTELLECTUAL PROPERTY

The Intellectual Property Rights in the events are owned by, and shall remain vested in, the IIA Australia and/or its appointed training provider(s).

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6. RETURNING FORM

Please return form and payment to

Institute of Internal Auditors – Australia
email: conferences@iia.org.au

Each delegate must complete a separate registration form

General enquiries

conferences@iia.org.au
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Sponsorship enquiries

anna.soo@iia.org.au
Tel +61 2 9267 9155