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COMPLIANCE AND ETHICS

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CHICAGO

April 8, 2016

Regional Compliance & Ethics Conference



Get the latest on key challenges facing the compliance community in Chicago

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Questions?

katie.burk@corporatecompliance.org

Learn more and register

www.corporatecompliance.org/regionals

8:00 – 8:25 AM

Registration & Breakfast

8:25 – 8:30 AM

Opening Remarks

8:30 – 9:30 AM

Cybersecurity & Compliance



Thomas J. Smedinghoff
Of Counsel
Locke Lord LLP

- The scope of corporate legal obligations in regard to data security
- Building a compliant cybersecurity program
- Addressing incident response requirements

9:30 – 9:45 AM

Break

9:45 – 10:45 AM

Ways CECOs Have Found Themselves at the Wrong End of Litigation



Steven J. Pearlman
Partner
Proskauer

- Key examples of where the SEC has pursued claims against chief ethics and compliance officers individually
- The apparent rationale behind the SEC's actions
- Potential defenses compliance officers may advance

10:45 – 11:00 AM

Break

11:00 AM – 12:00 PM

You Don't Know What You Don't Know: What We Wish We Knew About Launching an Integrated Compliance System



Brenda Hildreth
Director, Ethics & Compliance
Baxalta Incorporated

- Establishing core project team
- Attaining “voice of the customer”
- Defining functional requirements
- Software development challenges for compliance people
- Implementation across the enterprise

12:00 – 1:00 PM

Lunch

1:00 – 2:00 PM

Conducting a Compliance Program Assessment



Ryan Meade, CHRC, CHC-F
Director of Regulatory Compliance Studies
Loyola University Chicago School of Law

- Review strategies for assessing the effectiveness of your compliance program
- Examine the Top 5 regulatory risk areas common to all industries
- Discuss “what to do” with the findings from your assessment

2:00 – 2:15 PM

Break

2:15 – 3:15 PM

Don't Buy Trouble in M&A Transactions: Effectively Managing Ethics and Compliance Risk



Kasey T. Ingram
General Counsel
ISK Americas Incorporated



Daniel Harper
Assistant General Counsel
CTS Corporation

- Overview of the challenges, considerations and risks that arise during the M&A Transaction process
- Share practical tips and solutions for effectively conducting pre-acquisition due diligence and mitigating associated risk
- Discuss strategies for effectively integrating ethics and compliance programs

3:15 – 3:30 PM

Break

3:30 – 4:30 PM

Human Trafficking



Matthew Friedman, Chief Executive Officer, The Mekong Club

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PLEASE NOTE: SESSIONS AND/OR SPEAKERS ARE SUBJECT TO CHANGE.

Register online at www.corporatecompliance.org/regionals
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REGISTRATION FEE

Registration fees are as listed and considered net of any local withholding taxes applicable in your country of residence.

- SCCE Member**..... \$199
- Non-Member**..... \$245
- Registration & SCCE membership**..... \$399
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TOTAL \$ _____

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SPECIAL REQUEST DIETARY ACCOMODATION

Gluten free Kosher Vegetarian Vegan other _____

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Mail check (including registration form) to:
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Fax to: +1 952 988 0146

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*If your total is miscalculated, SCCE will charge your card the correct amount.
 Hotel accommodations are not included in the registration fee, but continental breakfast
 and lunch are provided. (LC1116)*

HOTEL/CONFERENCE LOCATION:

Embassy Suites Chicago Downtown

600 N. State Street
 Chicago, IL 60654
<http://www.embassysuiteschicago.com/>

A small block of rooms has been secured with a reduced rate of \$219.00 for Thursday, April 7th (subject to applicable state and local taxes, currently 16.4%). To make your reservation, please call the hotel directly at 312-943-3800 and request the group rate for the SCCE Chicago Regional Conference. Included in your room rate is a free cooked-to-order breakfast, nightly manager's reception, and free internet. All reservations must be accompanied by a first night room deposit plus applicable state and local taxes, or guaranteed with a major credit card. Reservations must be received on or before March 8th, or when the block sells out.

GROUP DISCOUNT: 5 or more: \$25 discount for each registrant.
 10 or more: \$40 discount for each registrant. Discounts take effect the day a group reaches the discount number of registrants. Please send registration forms together to ensure that the discount is applied. A separate registration form is required for each registrant. Note that discounts will NOT be applied retroactively if more registrants are added at a later date, but new registrants will receive the group discount.

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