



Compliance & Ethics PROFESSIONAL[®]

A PUBLICATION OF THE SOCIETY OF CORPORATE COMPLIANCE AND ETHICS

SPECIAL EDITION



SPECIAL EDITION

Highlights from the 2017 Compliance & Ethics Institute

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SCCE

by Adam Turteltaub

A look back at the 2017 Compliance & Ethics Institute

Welcome to the 2017 special edition of *Compliance & Ethics Professional*, in which we look back at the Compliance & Ethics Institute (CEI).

It was a remarkable meeting this year, starting with the sheer size of the event. More than 1,800 people were registered to attend, and they came from around the world. The United States was one of 41 countries represented, with attendees arriving from nations ranging from Afghanistan to Zambia.



Turteltaub

Equally impressive was the growth of the Exhibit Hall. In one year the number of exhibitors increased from 63 to 78, a reflection of the growing size of the Compliance industry and the increased demand by compliance officers for effective solutions.

As always the CEI provided members of the compliance community with a chance to network with and learn directly from each other. The breakout sessions were arranged into 11 different tracks, enabling attendees to take a deep dive into one specific area of interest, such as privacy or risk, or to make their own agenda, picking from sessions in each track.

New this year was a full-day, preconference workshop dedicated to enhancing professional skills. Topics such as persuasion and negotiation were explored by leaders in the profession who shared their deep expertise.



In the General Sessions, Marjorie Doyle provided key learning from her years as a compliance officer, consultant, and a rancher—the jobs have a lot more in common than you’d think. Mark Lanterman illuminated the dark web, Liz Wiseman showed how compliance leaders can multiply their impact on others, and Harvard Business School Professor Eugene Soltes shared what he learned from talking with white-collar criminals.

Meanwhile, in the conference halls, the networking was fast, furious, and fun.

In the following pages you can look at what you may have missed at the 2017 CEI. Start planning now to join us in Las Vegas again in 2018. We’ll be there October 21–24, and then in 2019 we will be heading to National Harbor, MD.

We hope to see you at the CEI next year. ☺

Adam Turteltaub (adam.turteltaub@corporatecompliance.org) is the Vice President of Strategic Initiatives and International Programs for SCCE/HCCA.



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“ I'd add one more “A”
to Walter's A game.
Be Appreciative.

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STORY EDITOR/ADVERTISING

Liz Hergert
+1 952 933 4977 or 888 277 4977
liz.hergert@corporatecompliance.org

COPY EDITOR

Bill Anholzer
+1 952 405 7939 or 888 277 4977
Bill.Anholzer@corporatecompliance.org

PROOFREADER

Patricia Mees, CCEP, CHC
+1 952 933 4977 or 888 277 4977
patricia.mees@corporatecompliance.org

DESIGN & LAYOUT

Greg Schaffer
+1 952 933 4977 or 888 277 4977
greg.schaffer@corporatecompliance.org



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Compliance & Ethics PROFESSIONAL

EDITOR-IN-CHIEF



Joe Murphy, Esq., CCEP, CCEP-I
Senior Advisor, Compliance Strategists
jemurphy5730@gmail.com

EXECUTIVE EDITOR



Roy Snell, CHC, CCEP-F
CEO, Society of Corporate Compliance and Ethics
roy.snell@corporatecompliance.org

ADVISORY BOARD



Charles Elson, Chair in Corporate Governance, University of Delaware
elson@erner.udel.edu



Odell Guyton, Esq., CCEP, CCEP-I
VP Global Compliance, Jabil Circuit, Inc.
guytonlaw1@msn.com



Rebecca Walker, JD, Partner
Kaplan & Walker LLP
rwalker@kaplanwalker.com



Rick Kulevich, Senior Director Ethics & Compliance
CDW Corporation
rkulevich@cdw.com



Greg Triguba, JD, CCEP, CCEP-I
Principal, Compliance Integrity Solutions
greg.triguba@compliance-integrity.com



Zsuzsa Eifert, CCEP-I
Group Compliance Officer, T-Mobile
eifert.zsuzsa@telekom.hu



Constantine Karbaliotis, JD, CCEP-I
constantine.k@gmail.com



Andrijana Bergant, CCEP-I
Compliance Office Manager, Triglav
andrijana.bergant@triglav.si



Mónica Ramírez Chimal, MBA
Managing Director, Asserto
mramirez@asserto.com.mx



Garrett Williams, CPCU
Assistant Vice President, State Farm
garrett.williams.he71@statefarm.com



Vera Rossana Martini Wanner, CCEP-I
Legal/Compliance, Gerdau
vera.martini@gerdau.com.br



Robert Vischer, Dean and Professor of Law
University of St. Thomas
rkvischer@stthomas.edu



Peter Crane Anderson, CCEP
Attorney at Law, Beveridge & Diamond PC
panderson@bdlaw.com



Peter Jaffe, Chief Ethics and Compliance Officer, AES
peter.jaffe@aes.com



Michael Miller, CCEP, Executive Director of Ethics & Compliance, Aerojet Rocketdyne
michael.miller@rocket.com



John DeLong, JD, CCEP
Berkman Klein Center
Harvard University
jmdelon@post.harvard.edu

VOLUME 14, SPECIAL EDITION

by Adam Turteltaub

Hackers, multipliers, criminals, and a dead rattlesnake

The idea of a keynote address is to set a tone, inspire, expand thinking, and give the audience something to think about, a bit more than they would get from a regular session.

For the 2017 Compliance & Ethics Institute, the keynote speakers at the general sessions delivered. Marjorie Doyle began the meeting by sharing her expertise from her long career as a compliance officer, consultant, and member of the faculty at the SCCE Basic Compliance & Ethics Academies. She did so while drawing insightful, fun, and humorous parallels to her life on the ranch (hence the rattlesnake).

Eugene Soltes, a professor at Harvard Business School and author of *Why They Do It: Inside the Mind of the White Collar Criminal*, brought to the room what he had learned from years of conversations with well-known felons such as Bernie Madoff and Dennis Kozlowski, as well as dozens of other lesser-known perpetrators.

Liz Wiseman, author of *Multipliers: How The Best Leaders Make Everyone Smarter*, gave a talk that was also an interactive workshop. She shared

techniques for leaders to multiply their impact and avoid the traps that can diminish their teams.

Finally, cyber expert Mark Lanterman addressed the persistent challenges of cyberspace. Phishing, poor security, and a tour of the dark web left the audience with a new appreciation of cyberrisk—and much to discuss with their IT teams once they returned home.



All four sessions left the audience buzzing and set the tone for the conversations throughout the meeting. ☉

Adam Turteltaub (adam.turteltaub@corporatecompliance.org) is the Vice President of Strategic Initiatives and International Programs for SCCE/HCCA.

by Adam Turteltaub

Exciting updates announced at the SCCE Institute

New SCCE logo!

SCCE introduced its new brand image during the opening session of the 16th Annual Compliance & Ethics Institute. The redesigned and contemporary SCCE logo maintains the compass, its core image and identity, while refreshing its appearance.

“There’s a lot more to our new logo than meets the eye. As an organization, we’ve grown dramatically since our inception, adding more and more resources for our members, speaking up ever louder for the Compliance profession, and looking internationally. The new logo both speaks to our legacy and demonstrates our commitment to serving the Compliance profession in new ways as our profession evolves,” said SCCE & HCCA CEO Roy Snell.

Incoming CEO!

Gerry Zack has been named the Incoming SCCE CEO. He will spend the next year working alongside current CEO Roy Snell as Roy transitions into retirement.

Zack has been Managing Director–Global Forensics at BDO for three years and CEO



of Zack, P.C. for 24 years. He has more than 30 years of experience in the prevention, detection, investigation, and remediation of fraud, corruption, and non-compliance.

Zack has served on multiple non-profit and for-profit boards. His association background includes 11 years as faculty for the Association of Certified Fraud Examiners (ACFE) and serving as a Board of Regents member at the ACFE. He has also held positions as the chief operating officer and the compliance officer at the Optical Society. Zack has been a loyal SCCE member since 2009. ☪

Adam Turteltaub (adam.turteltaub@corporatecompliance.org) is the Vice President of Strategic Initiatives and International Programs for SCCE/HCCA.

by Margaret Hambleton

2017 Compliance & Ethics Institute

From the first excited tweets about preparing for the 2017 CEI to the final exhausted tweets about going home after a wonderful four days filled with learning, networking, and connecting, it was clear this CEI was special. The planning committee did an exceptional job in selecting diverse and thought-provoking topics with world-class speakers. I don't think there was ever a time slot that I didn't have at least two sessions I wanted to attend. The networking was fabulous. I loved connecting with old friends and making some new ones. More than just exchanging pleasantries, however, the networking opportunities allowed me to find out how others are addressing issues similar to mine. I had the opportunity to learn about best compliance practices in other industries and in different countries. I had a chance to learn what vendor supported solutions others are using and then seek out those vendors. Then there was just the plain old fun. Participating in the Fitness Challenge (I didn't come anywhere close), getting my caricature drawn, dancing at the awards dinner, or just sitting down over a glass of wine with some of my compliance buddies certainly rounded out a wonderful experience.

What truly makes this conference special and different from many others is SCCE's clear commitment to its members and the compliance community. Community-building and service were on full display during the

conference whether that be through the volunteer project, the Silent Auction to benefit America's Fund, or SpeedMentoring. My greatest takeaway from the CEI was SCCE's commitment to its mission of championing ethical practices and providing necessary resources for compliance professionals and others who share these principles.



A huge thank-you goes out to all the hardworking SCCE staff and volunteers who make this conference possible. The excellent programming, seamless registration, logistical coordination, help, and technical support were all amazing and done with such good humor. From top to bottom this conference was the best ever. I can't wait to do it again in 2018! 🌟

Margaret Hambleton (Margaret.Hambleton@DignityHealth.org) is the VP of Corporate Compliance at Dignity Health in Pasadena, CA, and is the incoming SCCE/HCCA Board President.

by Ramsey Kazem

Highlights from the 2017 Compliance & Ethics Institute

This was my fourth time attending SCCE's annual Compliance & Ethics Institute. I look forward to this event every year, as it is a great way to reconnect with old colleagues, make new connections, and learn about emerging issues and best practices for addressing common challenges. I am always impressed with the range of topics featured in the breakout sessions, the expertise of the presenters, and the quality of the presentations. As I look back on the 2017 conference, two experiences stand out: (1) the Volunteer Project, and (2) the Advanced Discussion Groups.

Volunteer Project: There is no better way to kick off the conference than to participate in the Volunteer Project. This year, the SCCE partnered with Three Square, a local food bank. SCCE's team of volunteers were tasked with packaging bags of groceries to be distributed to needy families in the community. With music blaring in the background, the volunteers quickly moved the bags down the assembly line, adding a different item at each station, and then tied them up and placed them in large storage boxes ready for delivery. In total, the SCCE volunteers assembled nearly 300 bags of groceries to be distributed later that week. I highly recommend the Volunteer Project—especially for first time attendees. Not

only will you start the conference by performing a good deed and having fun, but the Volunteer Project presents the perfect opportunity to meet 40–50 people before the start of the first session.

Advanced Discussion Groups: This year was the first time I attended an Advanced Discussion Group. In contrast to the regular sessions, where the presenter shares his or her expertise on a given topic, the Advanced Discussion Groups invite more collaboration and discussion from the audience. During these sessions, the presenter facilitates group discussion by highlighting key issues on a topic and then asks the audience for their thoughts, comments, and experiences. These discussions provide tremendous insight as the participants draw from their real-world experiences and share their success stories and lessons learned. This format provides an excellent way to learn from our colleagues, and by the end of the session, you walk away not only with a better understanding of the issues but also with new ideas, strategies, and best practices for addressing them.

These and the many other experiences made for a great conference. I am already looking forward to the 2018 Compliance & Ethics Institute! ☺

Ramsey Kazem (rkazem@thethreetwelvegroup.com) is Managing Director of Three Twelve Group in Atlanta, GA.

by Frank Ruelas

Ask and you will receive

Compliance professionals share a unique distinction in that they are all, on some level, supporting the ongoing efforts of their respective organization in the implementation, management, and modification of the organization's effective compliance program (ECP). Additionally, compliance professionals often also share the use of a common framework, which is derived from the seven elements that are often referred to as composing an ECP.

So with all of this sharing of a common perspective and framework, why do compliance professionals often find themselves feeling alone or as if they have no option other than to rely on what they may come up with on their own? One reason is certainly that the opportunities for compliance professionals to collaborate with their peers are few and far between. Also, when these opportunities do present themselves, compliance professionals are often limited to attending a conference and hoping that they will find a session or two that are an effective and useful investment of their time.

Well, the Compliance & Ethics Institute (CEI) is a game changer for very good reasons. Let's see how this is so by looking at this year's CEI.

Choices

The scale of the CEI is such that it provides attendees with a number of choices on areas that they may find interesting. At this year's CEI, there were nine areas or tracks that contained a number of sessions related to each track. The advantage of multiple tracks is that attendees have more variety to choose from

rather than having to pick from sessions from a single track that has a central focus or theme.

Sessions

If the availability of multiple tracks related to compliance wasn't enough, attendees at the CEI also have the opportunity to pick between different sessions within each track. This is particularly noteworthy, because the tracks available at the CEI focus on comprehensive topics or areas related to compliance. The sessions allow for a more targeted or focused approach to the selection of content that an attendee may find useful among the tracks available at different times during the CEI. A word of caution here! At this last CEI, as was true at previous CEIs, it was very common to have to pick between equally attractive sessions that were offered at the same time. This is certainly a problem or challenge that I am sure many people would not mind having to deal with.

The people

The CEI brings together so many people who are recognized by their peers as leaders in the field of Compliance. The opportunity to interact and get to know some of these people is among my favorite aspects of attending the CEI. Where else can a compliance professional learn some valuable information or obtain some useful takeaways to take back and try at their own organization and also meet someone who has already gone down this path? The CEI is one such special place. Let me share why I believe this is true.

The opportunity to network with one's peers is not left to chance or accident. At the CEI, there are actually designated times

when attendees come together, such as at Networking Receptions that are scheduled throughout the CEI. I was very glad to have the opportunity to meet and speak with several presenters from this year's CEI, and I found all of them very willing to share their experiences.

On some level, I believe we as compliance professionals understand that many (if not all of us) experience similar challenges within our respective roles at our organizations. Perhaps it is in our character to want to share with others so that they can avoid some of the frustrations we dealt with and to help one another become more successful and effective compliance professionals.

Did I mention it is fun?

One thing was clear at this CEI. People had a good time. The impromptu conversations, hallway meetings, chatter before and after the sessions, and the collegiality shared among the attendees at the networking events all made for a positive and enjoyable experience. But there was another aspect that I think people experience that is also very valuable that sometimes does not get mentioned very often. The opportunity to meet and speak with vendors in a very comfortable and low-pressure or, many times, no-pressure type of setting can also provide another opportunity for very effective learning and information gathering.

I completely realize that when people attend a conference, they seem to be attracted to getting one (or two) squeeze balls, pens, memo pads, mugs, and other things that they collect from vendors that they hope they can

somehow stuff into their carry-on bags when they fly back home. These same vendors also are a wealth of information. Let me explain.



Along with providing information about their products and services, many vendors offer white papers, infographics, and other documents that discuss some of the tough areas that compliance professionals are dealing with. When you combine this with the experience these vendors have working with other compliance professionals, one begins to quickly see how vendors can also be a valuable source of information to a compliance professional.

Overall impression

So all things considered, what is my overall impression of the CEI, and do I believe it should be considered a destination of choice for compliance professionals? Let me offer the following: I've already made my reservations at the host hotel for the CEI scheduled for October 21–24, 2018. I hope to see you there! ☺

Frank Ruelas (francisco.ruelas@dignityhealth.org) is a Facility Compliance Professional with Dignity Health in Phoenix, AZ.

by Sonal Shah

Highlighting the 2017 Compliance & Ethics Institute

I want to share an “aha moment” that I experienced at the Vegas Conference: “Wow! Every one of these SCCE & HCCA conferences/events is a little different.” I asked myself, “Why? Probably because the speakers and attendees come from assorted businesses, for-profit and non-profit organizations, healthcare and non-healthcare, consulting companies, and the government, all with diverse perspectives! The laws, regulations, enforcement actions, and public expectations driving the priorities and practices of their compliance and risk management programs are not the same. And each of these distinct groups is attracted to a different SCCE & HCCA event. *I’m so fortunate that I’ve been able to attend the whole gamut and rotate between these events each year!*”

To add, attending the SCCE Compliance & Ethics Institute of October 2017 held in Las Vegas was a first time for me. Over the past 12 years, I’ve attended their HCCA four-day national conferences and their one-day Regional Conferences, their Academies for Privacy and Research, their Higher Education Conferences, and their webinars on a variety of subjects. I feel honored that I’ve also been invited to speak at some of these events!

What I find at each and every one of these gatherings is the opportunity to learn, both

formally and informally, within the conference rooms from the very knowledgeable speakers selected by SCCE & HCCA as well as in the hallways and dining halls from my fellow compliance professionals.



There are ample chances to “connect” with people fulfilling varying responsibilities in the risk management world. It’s a pleasure to hear their stories and understand the fears and hopes they live with while playing their roles.

Last but not least, I’d like to express my sincere appreciation to Roy Snell and the entire SCCE & HCCA staff for their efficient organization of these events and their very ready desire to help us! ☺

Sonal Shah (sonalshah.mail@gmail.com) is Chief Ethics and Compliance Officer at Stanford University in Redwood City, CA.



by Philip Nunn

SnapComms' experience at the Compliance & Ethics Institute 2017

This was SnapComms' second year exhibiting at the SCCE event, and once again, we were thrilled with the high level of engagement from delegates and the quality of session speakers.

This year, we felt there was more audience representation from legal counsel—a sign of the growing importance of ethics and compliance in the workplace.

From our perspective, it was a very successful event, making the long journey for some of our staff (i.e., New Zealand) more than worthwhile.

As a fitting gesture, we offered delegates a free kiwi if they came to our booth and shared their insights about what it means to be in Ethics and Compliance today.

Not only did this prove to be a fantastic icebreaker, but it also gave an authentic insight into some of the challenges faced in raising employee awareness on Ethics and Compliance-related topics.

One of the biggest issues raised with us was lack of budget. "There's still a mentality of, 'If it's not broken, don't fix it,'" said one spokesperson.

Nearly everyone we met was frustrated by the lack of internal resources allocated to their function. Organizations have good intentions to develop their ethics and compliance strategy, but for many, the funding isn't there yet to support new initiatives.

Another challenge mentioned repeatedly was the decline in effectiveness with email as a communications tool. As a result, this has led to a renewed resolve to find better ways to communicate.



Many delegates talked of broadening their approach to comms to incorporate video, digital signage, internal tweeting, SMS, intranet, and more. Even virtual reality is being experimented with in the coming year, said one spokesperson.

We heard a lot about the importance of creativity when communicating to employees. Creativity in both content and the channels used to get attention can make a big difference in message cut-through. ☺

Philip Nunn (philip.nunn@snapcomms.com) is General Manager at SnapComms in Auckland, New Zealand.

by Caveni Wong

Highlights from CEI

I'm on my flight back home from my 9th consecutive SCCE CEI, and it was the best one yet. I say this every year. I wish I could tell my seatmate, but he doesn't speak English.

No matter how long one's been in the profession (11.5 years in my case), there's always something new to learn, insights to ponder, ideas for improvement, and inspiration for recommitting to the profession.

Here are some of the things that struck me the most:

- ▶ According to Harvard Professor Eugene Soltes, those who break the law don't always know that they were doing something wrong at the time. This seems counterintuitive to those of us who have been touting an ethical culture as the best inoculation against misconduct. My takeaway is that introducing a process step to intervene before an unethical decision is made, in addition to having strong core values, could be a powerful combination to thwart misconduct.
- ▶ Supporting Professor Soltes' observations is Rashmi Airan's personal story as interviewed by Marsha Ershaghi-Hames—how such a high-performing Columbia Law School grad could end up in prison. Her faulty reasoning behind "I'm an ethical person, therefore my decisions must be ethical" could have been averted if her process included a step to check whether a business opportunity was in fact

legitimate, especially when her gut told her that something didn't feel quite right.

- ▶ It was thought-provoking at Pete Anderson and Beth Colling's session on corporate culture to hear how misconduct could occur at an otherwise ethical company. "Is it a bad apple or a bad orchard" is such a clever quote that I will definitely find a way to use it in the future.
- ▶ The scariest session for many of us is probably learning from Mark Lanterman about the "dark web," which sells drugs, guns, assassination services, and pretty much all of our credit card information at the click of a few buttons.
- ▶ Finally, it was eye-opening to listen to Jonathan Armstrong, Mary Shirley, and Kris Robidoux as they summarized the changing compliance environments in major regions and countries around the world on issues such as corruption, commercial bribery, and data privacy.

The amount of collective knowledge in this conference is awe-inspiring and incredibly humbling. I hope everyone else had as meaningful of an experience as I had, and I look forward to attending my 10th CEI next year. ☺

Caveni Wong (cwong@principlecompliance.com) is Founder and Principal at Principle Compliance in Charlotte, NC.

by Michelle Urlacher

SCCE's Annual Compliance & Ethics Institute is one you don't want to miss

My colleague and I attended the SCCE Compliance & Ethics Institute (CEI) and wanted to share our reflections. This is my second year in attendance, and I have looked forward to attending all year long. Just like the first year I attended, I was not disappointed one bit with the content or with the people that joined. There are no two people alike at the conference, and everyone who attends is at a different level in their compliance careers.

There are not a lot of construction companies that attend, and it can be easy to worry about being able to relate with anyone in the groups. I have found that you don't need people in the same type of field to learn here, and the information has the same fundamental importance for each industry. I take a pledge for the years to come to try and get more construction companies to attend this event as we need to come together.

The conference for us started on Saturday; we were happy to join SCCE as volunteers at the Three Square Food Bank. The facility and staff were amazing to work with, and it was such a blessing to give back to the people of Las Vegas. In an hour's time we bagged food for over 300 families. We all left feeling blessed knowing that efforts are being made to make the world a better place.

Another highlight was the acceptance speeches by Bojan Bajić and Višnja Marilović. Their story hit home for me



about how, in the still war-torn country of Bosnia, they worked to create a speak-up whistleblower culture, legislation to protect whistleblowers, and then an entire anti-corruption legislation for their country. One of the first publications I received from SCCE had the initial story of Bojan and Višnja's journey. Their testimony is one of the reasons I stay motivated in my mission of compliance and ethics. By the end of Višnja's acceptance speech, there was not a dry eye in the room. Her story was that powerful. She and Bojan exemplified what it is to be an Ethical Superstar by putting what is right before their personal needs.

Thank you again to the SCCE for putting on another great conference. We look forward to joining again next year. ☺

Michelle Urlacher (michelle@gsi.us) is Compliance Manager at GeoStabilization International in Grand Junction, CO.

by Walter E. Johnson

Interpersonal skills workshop: Essential to the profession

This year, the SCCE Compliance & Ethics Institute offered a pre-conference workshop focusing on interpersonal skills. The presenters included Jenny O'Brien, Kristy Grant-Hart, Angelika Flamm, Samantha Kelen Greves, Kyle Zamcheck, Dan Roach, and yours truly, Walter Johnson. The topics included Influencing Others, Listening, Collaboration, Contacts and Networking, Communication, and Negotiation. The workshop concluded with a Q&A session that included a panel of all of the presenters.

All presenters shared experiences that demonstrated how interpersonal skills are essential to the success of ethics and compliance officers (ECOs). In the first presentation, Jenny told us how the ability to influence is often impacted by timing. Afterwards, I shared the importance of the fundamental three Cs (connecting, content, and commitment) of listening to colleagues to determine the extent that information is shared with ECOs. In the Collaborating portion, Kristy and Angelika shared how ECOs can overcome challenges that many face when defining roles and responsibilities, such as conducting audits and investigations within an organization. Samantha discussed the benefits of establishing a network and using the network as a think tank. In Communication, Kyle shared how a sender's tone, pitch, and body language can send conflicting messages to the receiver. Finally, Dan reminded the audience that negotiating is apparent in many aspects of our personal and professional lives.

This amazing lineup included ECOs from varying career levels and different industries. From healthcare to consulting to utility to federal government contracting organizations, there was a wide range of experiences. Although the presentations were developed separately, the audience observed consistency among the presenters regarding the importance of interpersonal skills.



Understanding how to implement and manage a compliance and ethics program is not enough. Knowing how to research a regulation or interpret the law is not enough. The ECO's ability to navigate effectively within any organization requires continuous development and the application of interpersonal skills.

This was a great way to begin the conference, and I look forward to seeing this in future SCCE programs. ☺

Walter E. Johnson (walter@wejohnson.org) is the Director of Compliance and Ethics for a federal government contractor in Fairfax, Virginia.



by Kristy Grant-Hart

Bringing your “A game” with Walter Johnson

Walter Johnson knows about compliance excellence. As the Director of Compliance & Ethics for Kforce Government Solutions (KGS) and board member of the Society of Corporate Compliance and Ethics, Walter has had a lot of practice. At the Compliance & Ethics Institute in Las Vegas, Walter shared the Seven A's that must be brought to work with you every day in order to be wildly effective. I was so inspired by his formula, I wrote them down. To bring your “A game”:

1. Be **Approachable**. You must be approachable or people will shut you out or not share with you when you could help them.
2. Be **Attentive**. You must direct your full attention to the person talking. Don't check your mobile device or look at the person down the hall.
3. **Acknowledge** what the person has said, then follow up to clarify points that are unclear.
4. **Ask** questions to let the speaker know that you're interested in hearing the full story.
5. **Allow** the conversation to run its course. If you are running to another commitment, acknowledge that the conversation you're having is important, and you want to continue the discussion at a scheduled time in the future.
6. Be **Adamant** that the person you're talking to is of value. Show the speaker

how important he or she is by being fully present.

7. Be **Authentic** and show that you care about compliance, the individual, and the company.



I'd add one more “A” to Walter's A game. Be **Appreciative**. Gratitude for the people around you and for your job can make all the difference in your experience of your job and your coworkers'. Whatever it takes, find something to appreciate, and you'll have a better day.

Use this formula to bring your A game to work, and you'll quickly rise to the head of the class. ☺

Kristy Grant-Hart (KristyGH@SparkCompliance.com) is the Managing Director of Spark Compliance Consulting in London, and author of the book, *How to be a Wildly Effective Compliance Officer*. www.ComplianceKristy.com
[@KristyGrantHart](https://twitter.com/KristyGrantHart) [bit.ly/11-KristyGrantHart](https://www.linkedin.com/in/bit.ly/11-KristyGrantHart)

by Kasey T. Ingram

Professional Skills workshop: Add it to your compliance bucket list

I had the privilege of attending the inaugural session of the Compliance Professional Skills Development Pre-Conference Workshop at the 16th annual CEI in Las Vegas this year. I hope that the SCCE continues this program at future CEIs. And, if they do, I hope that you get the opportunity to attend.

Compliance is a leadership job. Yes, certain knowledge and skills must be developed to be successful. Ultimately, however, the ability to lead and influence others will determine your success as a corporate compliance professional. The Professional Skills workshop focused on the skills and knowledge required to develop internal influence in an organization.

Jenny O'Brien, Chief Compliance Officer at UnitedHealthcare, started the program by explaining the seven elements of influence and how to use them as a compliance professional. Walter Johnson, Director of Compliance & Ethics at Kforce Government Solutions, followed that presentation with his discussion of active listening skills. Those skills focus on the three Cs of learning someone's story. Kristy Grant-Hart, owner of Spark Compliance Consulting, and Angelika Flamm, Deputy Group Compliance Director at Royal Mail, added some comic relief by re-imagining corporate infighting as a playground argument. That skit led into a great discussion on how to collaborate with HR, Legal, Internal Audit, and Procurement. Samantha Kelen,



Lead Ethics Analyst at Duke Energy, ended the morning by sharing her insights on networking and the need to focus your efforts on helping others to grow your own network.

After lunch, Kyle Zamcheck, COO at Jackrabbit Mobile and an Executive Communication Coach, taught methods of effective communication that took us all the way back to Aristotle. Dan Roach, Chief Compliance Officer at Optum360, then provided great insight on negotiation along with some very entertaining stories from his own negotiating experiences. Finally, the speakers came together at the end to answer questions and share insights with the group.

What made this workshop so successful is that, for the most part, everyone involved is or has been an in-house compliance professional. Nothing beats real experience, and being able to learn from those who have lived the life of a corporate compliance professional is priceless. ☺

Kasey T. Ingram (ingramk@iskamericas.com) is General Counsel & Chief Compliance Officer at ISK Americas Incorporated in Concord, OH.



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by Darcel Dillard

Compliance challenges for everyone

I've attended many conferences, but as a first-time Compliance & Ethics Institute attendee, I had no expectations. I was pleasantly surprised by the expertise of the presenters, the engagement of the SCCE staff, and the overall organization of the event.

For this conference, SCCE offered a CEI app that was very user friendly. I was able to view the sessions available and their exact location in the conference center. SCCE staff were stationed throughout the conference center to help guide attendees and/or answer questions. The sessions listed on the app contained corresponding presentation slides with a biography for each speaker. There was also an option to take notes within the app. I found this feature very useful and convenient. At the conclusion of the conference, the notes I took in the app were electronically sent to my email address.

My first day of CEI, I attended an early morning SpeedNetworking and SpeedMentoring lunch program. I met more than 20 compliance professionals by participating in these networking opportunities. During the conference, I was able to reconnect with these individuals and build professional relationships.

The conference content consisted of a broad range of compliance tracks, making the sessions applicable to a variety of domestic and international compliance professionals and industries. As an anti-bribery and corruption professional, my focus was the myriad of compliance challenges that face multinational companies. Throughout the

conference I was able to obtain anti-corruption updates and participate in advanced discussions related to the specific challenges of doing business with third parties. I also learned about trade sanctions and how they affect multinational organizations, as well as the new GDPR data privacy rules as they apply to storing information related to third parties and/or employees. I attended an investigation session that taught me how to be more refined when obtaining information regarding potential wrongdoing. This session was very useful, and the speakers were knowledgeable and entertaining.



I look forward to attending another CEI conference and would definitely recommend this conference to other compliance professionals. The SCCE CEI conference is about educating compliance professionals, but it's also about creating a fun, positive learning environment. ☺

Darcel Dillard (darcel.dillard@grifols.com) is Sr. Compliance Specialist/Lawyer at Grifols in Durham, NC.

by Mark Fox

Common language of compliance professionals

This was my first time attending the SCCE Compliance & Ethics Institute. I have attended multiple HCCA Compliance Institutes and was very fortunate to have the opportunity to attend this meeting. As I attended the sessions and networked with other compliance professionals, I recognized that we all speak a common language. Regardless of the sector for which a compliance professional works, compliance professionals are all responsible for oversight and monitoring. As we all work with our organizations to implement the seven elements of an effective compliance program, there are great insights that can be learned by speaking with compliance professionals from other industries. I would strongly recommend that we all take the opportunity to reach out to compliance professionals in a different field and form professional networking relationships. The benefit of belonging to organizations like the SCCE and the HCCA is that you get the opportunity to hear other stories and perspectives. It is both empowering and enlightening to know that other professionals face the same challenges



that we each face in our jobs. Listening and offering advice allows us to build our skills and help others in the field learn from both our successes and our mistakes. I love coming to these meetings because of how supportive we are of each other in our efforts to promote healthy cultures of compliance in our organizations. Based on this experience, I am challenging myself to continue to network beyond the four walls of the meeting. I pledge to continue to share my experiences with other compliance professionals and to reach out when I am challenged. We are much more powerful together. ☺

Mark Fox (mfox227@yahoo.com) is Compliance and Integrity Officer at American College of Cardiology in Wilton Manors, FL.

by Brenda Manning

Be bold or italic, never regular

Opportunities multiply as they are seized.—Sun Tzu

Last March I had the opportunity to be a first-time speaker at the HCCA National Conference. Afterwards I was emailed attendee feedback on my presentation, *How to Get More LinkedIn Views than Roy*. Brutal as it was, I was incredibly grateful to the attendee who completely annihilated my presentation. It made me realize I missed the mark on a few key points.

We do not always have the opportunity in life to do things over. However, I met Roy at the conference for the first time, and he gave me just that—an opportunity. He invited me to the Compliance & Ethics Institute to offer my presentation to SCCE attendees. I had never been to an SCCE conference.

I bought a bag while in Vegas. It says: *Be Bold or Italic, Never Regular*. As a first-time attendee from the healthcare industry, that is how I would describe SCCE. At first, I was a bit skeptical about the session choices. Opting for sessions on training and security issues, I was pleased to walk away with an abundance of new information and ideas.

My favorite sessions were the keynotes. I especially liked the leadership session by Liz Wiseman. I am of the opinion that smart people are often promoted, but that does not mean that they necessarily have the skills to manage and lead people, which are completely different sets of skills that one must acquire. I appreciated attending a conference that

stepped outside of the box and invited a leadership speaker, versus yet another regulator to tell us they are our friends.



For me though, the most unforgettable session was our tour of the dark web. My HCCA friends are all jealous they missed that one. In healthcare we often hear about the potential for our patient data to show up on this mysterious thing called the dark web, a place so scary we should never go. As someone who is charged with helping to manage patient privacy and risk, who is also a visual learner, I appreciated being able to *actually see* what this mysterious dark web thing is all about.

I enjoyed my SCCE experience. I hope to be back and see more HCCA members. Thank you for the amazing opportunity, Roy, and thank you, SCCE, for not being regular. ☺

Brenda Manning (bkmanning1@gmail.com) is Privacy & Regulatory Affairs Director at University of Minnesota Physicians in Minneapolis, MN.

by Whitney Szabo

First-timer's experience

As a newbie to the Compliance and Ethics professional field, I was a bit intimidated to attend the SCCE conference after hearing from my colleague about the magnitude of attendees who would also be in attendance. However, much to my surprise, I never once felt undermined, and although a few concepts were completely over my head, I left each seminar with something to take back. It was nice to be able to relate with everyone on a level of struggle but to also celebrate our victories together. In the short six months that I have been in my current role, I have encountered the hardships associated with developing a successful compliance and ethics program, and I have also experienced the feeling of fighting a never-ending uphill battle. As I began to meet people throughout the conference, I realized that we are not alone in this struggle. Everyone was so open to sharing their struggles and offered advice on how they overcame them to reach their victories.

Attending the conference with a colleague was beneficial, as we could attend separate seminars throughout the day and then spend the evening debriefing, sharing all the “lightbulb” moments we had and our favorite takeaways. What I found so intriguing about our conversations throughout the week was that, even though we attended completely different courses, a lot of the times the information that we shared was very similar. As a newbie to the industry, I found this very helpful with learning a new trade. Sometimes, with an array of different speakers, it can be

difficult to ensure they are all on the same page with the information and content being presented. It's easy to become confused when learning something new when everyone is telling you something different in their own perspectives, aside from the written law, of course. Techniques and processes used throughout the industry are very similar, but you find differences in the ways individuals handled adversity within their organizations.



We are a construction company that is a smaller organization compared to other organizations that attended the conference—one of the only construction industry companies, if not the only one, that attended. We both left the conference with a sense of calling to help increase the attendance of companies similar to ours. We hope in the future we can be a part of expanding SCCE into the construction industry. ☺

Whitney Szabo (whitney.szabo@gsi.us) is Compliance Manager at GeoStabilization International in Grand Junction, CO.

by Jodi O'Neill

My road to the Institute can be summed up in five words

When I first proposed attending the 2017 Compliance & Ethics Institute in Las Vegas to my boss, he was hesitant. "I don't know...I'll have to get clearance. No guarantees." Hmm. The premiere learning opportunity for compliance and ethics professionals may be sidelined due to an infamous tagline and the perception that I could throw my code of conduct and ethics out the window. Fabulous.

I was persistent though. We had just completed a career action plan as part of our performance review. Training and retaining the required workforce is listed as Goal 9 in our Strategic Plan. Knowing education and training are highly valued and encouraged, I hammered away, reiterating the value I would gain by rubbing elbows with like-minded individuals. Well...not really "rubbing elbows." You know, being in close proximity. He consented. Achievement!

As a first-time attendee to the Institute, the agenda was daunting, the venue was massive, and the opportunity to connect with others was staggering. The phrase "drinking from the firehose" had nothing on this Institute. It felt like the Hoover Dam had sprung a leak, and it was pointed straight at me. **OVERWHELMING.**

Great speakers provided real-life examples of how they overcame lack of resources, culture roadblocks, and staff opposition to

grow and engage those around them. Vendors provided solutions to problems I didn't even know I had yet. I met key attendees who provided connections for other key people who can help me get a networking group started in my region. The more I learned and connected, the faster I wanted to come home to implement it. Energizing!



So, just because I was in a city whose reputation definitely preceded itself didn't mean I had to succumb to its wiles. I learned a lot. Met some great people. Enjoyed the sights. And left with my code of conduct and ethics completely intact. Victorious! ☺

Jodi O'Neill (joneill@inprs.in.gov) is Deputy Compliance Officer at Indiana Public Retirement System in Indianapolis, IN.

by Travis Miller

Impressions of a first-time attendee

Assent Compliance was fully embraced by the SCCE community at the SCCE 2017 CEI. As a first-time speaker and attendee, I was both impressed and excited by the opportunity to make personal connections at a conference with 1,800 attendees. We received tremendous engagement during my presentation on global compliance risk, as well as at our own external event, where we enjoyed a night of relaxation and entertainment with other attendees. Additionally, the SCCE's frequent networking activities, Advanced Discussion Groups, and exciting after-hours events were a perfect way to make long-lasting connections with like-minded senior compliance personnel. This kind of interaction from such a fun-spirited group will definitely have Assent Compliance coming back next year! 🍷

Travis Miller

(travis.miller@assentcompliance.com) is Compliance & Regulatory General Counsel at Assent Compliance in New York, NY.



by Amanda Nieweler

At SCCE's CEI, nothing beats being a "troublemaker" to make me "glad to know you"

Does anybody else's head hurt after SCCE? Come on, don't be shy.

I'm really nobody in particular, just a newbie first-time exhibitor and social media master who attended her first SCCE CEI event recently.

And just like all attendees, exhibitors, and speakers, we were all excited for ethics.

My goal as an exhibitor at CEI 2017 was to meet as many people as I could at our booth. Now as an extreme introvert, this isn't as easy as it sounds. It's a struggle. And I get stressed!

Working with a company that markets a third-party ethics reporting and case management platform, CEI 2017 was an amazing event to have ethics and compliance conversations, and for us to weave ethics reporting and case management into our conversations.

Name badges with attitude certainly help introverts break the ice. I'm no big cheese, but by the second day, I felt almost awesome talking about ethics. Dare I say I almost felt like an ethics diva?

The majority, if not all of us, are rule followers, and we play by the comply-or-die and no-means-no mantras. But as they say, what happens in Vegas...should really be brought back to the office and shared with all employees.

Compliance and ethics doesn't just happen. It takes effort from all employees.

Compliance and ethics means doing the right thing and being able to speak up if something isn't right.



That means helping employees speak up safely and anonymously and allowing them to have honest conversations.

To quote the t-shirt, "Compliance is not the department of no," rather, "Compliance is the department of know." If you didn't get one of these t-shirts, that's too bad.

"Know" isn't going to spring out of thin air. To achieve "know," companies need all employees and stakeholders to have open and honest conversations without fear of retribution.

If you didn't get a chance to swing by our booth to say hi, that's messed up, man. But we'll be back next year.

We're almost awesome, and you will be glad you know us. ☺

Amanda Nieweler (amanda.nieweler@whistleblowersecurity.com) is Marketing Manager with WhistleBlower Security in West Vancouver, BC.

by Chris Osborn

Three hallmarks of great teaching

The most impactful presentation I experienced at the 2017 CEI was a breakout session called, “How to Reduce Rationalization Risk in the Fraud Triangle through Effective Ethical Decision Making Training.” Since that topic is near and dear to what we do at ReelTime Creative Learning Experiences, I must confess that I am often more than a bit critical of other presenters on such a topic; however, Fermeen Fazal’s presentation was OUTSTANDING (a word I don’t toss around lightly, or capitalize often)! It had three key hallmarks of great teaching, which I’d love to highlight here for those who may have missed out.

1. **A whole-brained approach.** Fermeen’s presentation appealed to both sides of my brain. For the analytical side, she thoughtfully laid out a variety of classical philosophical approaches to ethics; however, she made each of them more readily understandable and applicable by linking them to both examples from classic literature, movies, and pop culture, and relevant real-world examples from her experience as Chief Counsel and Director of C&E for her company.
2. **Memorable methods of instructing.** After the initial overview of ethical frameworks, Fermeen shared numerous creative, easily replicable methods for helping employees (as well as management!) retain these concepts and actually apply them to everyday

work challenges. She cited numerous examples of using popular music and cultural references, or competitive games, to help employees (and also management!) remember the content she delivered. For example, she spoke of using Michael Jackson’s “Man in the Mirror” as a means of emphasizing individual responsibility (and had many of us humming the tune as we left).

3. **Modeling vulnerability:** The audience was rapt when Fermeen concluded with a hilarious story about a recent episode with her young son that memorably illustrated ethics teaching in action. Not only was the story cute, memorable, and right on point, but it showed that even she, as a teacher of ethics and compliance, has to keep learning new ways of better communicating—and living out—the principles she advocates. I firmly believe that the people we teach and train need to see C&E professionals as people “in process” not unlike themselves (rather than as indestructible “Compliance Superheroes”), as it makes the concepts taught far more relatable.

In sum, rarely have I learned so much, come away with new ideas for my own training efforts, or smiled as much as I did in this session. Kudos, Fermeen! ☺

Chris Osborn (chris@reeltimecle.com) is Attorney/Speaker/Consultant at ReelTime CLE in Charlotte, NC.

by Jason B. Meyer

Crowdsourcing: What to do about good people who do the wrong thing

Las Vegas, Sunday, 9:00 a.m.: Overnight gamblers lick their wounds; brunch buffet-goers lick their plates; and 50 compliance professionals meet to lick a thorny problem: What to do about dutiful employees who, spurred by a strong personal ethic, do the wrong thing. For them, the road to ethical hell is paved with good intentions.

It was our honor to lead a CEI workshop on this topic, sharing real-life cases and psychological research.

What kind of personalities were we talking about?

- ▶ The nurse who breaches confidentiality and FDA rules to help a patient.
- ▶ The ex-Marine who puts the welfare of his “unit” at work above the interests of a job applicant.
- ▶ The teacher who, driven by a duty of care, destroys the professional boundary between her and her student.
- ▶ The go-getter who jumps without looking.
- ▶ The innovator or entrepreneur who values self-reliance and pushing the envelope.
- ▶ The rule followers who overly rely on minutia and miss the mission.

These are not greedy, evil rogues. Indeed, they should be allies for our efforts. So with our assembled colleagues, we crowdsourced ideas on how to accomplish that end, using company operations, the tools of our compliance programs, and elements of corporate culture.



In operations:

- ▶ Reduce the pressures that push these personalities toward the slippery slope,
- ▶ Make sure management understands these risks,
- ▶ Place people into roles that fit them best,
- ▶ Promote long-term thinking over rushed decision-making,

- ▶ Purge obscure or obsolete rules that devalue compliance; and
- ▶ Look out for legacy policies and ideas that point the wrong way.

Within compliance programs:

- ▶ Build trust through peer advocacy;
- ▶ Create serious programs for internal ethics champions/ambassadors, and make sure communications stay two-way;
- ▶ Make training scenarios—and your rules—relatable;
- ▶ Beware the perception that compliance is the deal killer; instead, look for the many ways to say, “Yes”;
- ▶ Be inquisitive and empathetic; listen, and listen again; and
- ▶ Bring candy.

And when it comes to corporate culture, these personalities provide yet another key reason to promote a values-based, speak-up culture:

- ▶ Watch out for power issues that erode trust;
- ▶ Watch out for retaliation, competitive pressures, and destructive legacies;
- ▶ Watch out for culture-killing reputation of your industry; and
- ▶ Finally, actively market your core values, and make sure it's clear how those values align with the values of these ethical co-workers...before they go astray. ☼

Jason B. Meyer (jason@leadgood.org) is President of LeadGood, LLC, in Pennington, NJ.

by Adam Turteltaub

A chorus of different voices

Each year the open call for speakers for the Compliance & Ethics Institute opens up a floodgate of proposed session topics. The 2017 Institute was no exception, and the range of speakers selected was equally enormous.

Presenters came from companies large and small, for-profit and non, in-house compliance professionals to outside consultants and vendors, and notably from around the globe, including Brazil, China,

France, Germany, Ghana, India, and the United Kingdom.

The meeting reflected the growing breadth of the compliance profession and the ever-increasing number of voices within it. Together they made a terrific sound. ☼

Adam Turteltaub (adam.turteltaub@corporatecompliance.org) is the Vice President of Strategic Initiatives and International Programs for SCCE/HCCA.

by Charly Shugg

Compliance and ethics officer's role in cyber security risk management

It was a pleasure to attend and speak at my first Society of Corporate Compliance and Ethics (SCCE) national convention held in Las Vegas. The crowd was energized, and it was apparent that this group of professionals was there to enhance their knowledge as well as to take in the fast pace of the Las Vegas Strip. A common theme of many presentations was that the Compliance and Ethics field needed to enhance their position of responsibility within their organizations. Many recommended employing human interpersonal skills to establish improved relationships with other senior executives to better understand common issues and discover potential areas for collaboration. One such area for expanded collaboration was cyber security.

My presentation focused on compliance and ethics professionals capitalizing on their holistic understanding of enterprise risk, senior management interaction, and brand reputation. During my session, the audience shared their unique insight regarding their organization's cyber security by actively participating through electronic polling. Their responses revealed a positive note that 89% of their organizations considered cyber security an enterprise-wide versus merely an IT risk. Unfortunately, 15% of the audience were "not aware" or "not confident enough" to know if their organization had experienced a cyberbreach in the past.

Awareness of the environment is essential to the mitigation of cyber security risks. The audience responded that 48% were "very aware" of their organization's cyber security posture, while 32% "sort of knew," and 20% were either "not very aware" or "had no idea." However, on a more promising side, 81% knew that their organization had a cyber incident response plan, while 6% stated their organization did not possess a plan. Less promising was that only 51% of the compliance and ethics professionals were part of their organization's cyber incident response plan and 13% were "unsure if they were included" in their plan. Regarding the audience's opinion of whether their C-suite understood the potential connection and ramifications between cyber security breaches and brand reputation, 69% responded with a "definite yes," while 24% stated they "thought so," and 6% responded that the C-suite "does not make the connection."

Cyber security will play an ever-increasing role within corporate compliance and ethics. Although there is still much work to be done, it was exciting to see the enthusiasm of these compliance and ethics professionals and their desire to effectively manage this potentially destructive risk. ☉

Charly Shugg (cks@usinfosec.com) is Partner | Chief Operating Officer at Sylint Group, Inc., in Sarasota, FL.

by Eva Stein

C&E culture: It can start anywhere. It can start with you!

Nearly every CEI breakout session that I attended touched on the importance of a healthy compliance and ethics (C&E) culture, highlighting the need for an articulated senior-level endorsement. Yes, “tone from the top” and “message in the middle” are critical to sustaining a healthy C&E culture. And yes, when present, they jumpstart and position the organizational environment, creating formal pathways to cascade mission, vision, values, policies, procedures, and the like.

Yet, in the spirit of disruptive innovation, complemented by the dozens of best practices shared at CEI, I’d like to poke at that paradigm just a bit...

- ▶ Who owns culture?
- ▶ Who drives culture?
- ▶ Who nourishes culture?

ANSWERS: Everyone does; we all do; you do.

It follows then that even in the absence of a C&E tone from the top or aligned messaging from the middle, each of us can influence culture—even spark a cultural revolution! Imagine the outcomes if, collectively, we:

- ▶ Folded C&E into daily workflows—improving operational efficiencies, coordination, and collaboration;

- ▶ Made it easier for stakeholders to get C&E guidance by embedding guidance into the operating environment;
- ▶ Talked about C&E every day—in different ways:
 - Began meetings with C&E snippets, successes, or challenges
 - Formally incorporated C&E into project and initiative planning
 - Created a common C&E language among stakeholders



- ▶ Listened, truly listened to one another:
 - Increased the number of available listening channels—formal and informal
 - Became visible AND accessible AND eager to listen—even to the quietest of voices and whispers

- Put processes in place to “help people be the kind of person they wanted to be”—providing *what* is needed, *when* it’s needed, *how* it’s needed

What if each of us were to weave C&E into every decision, initiative, behavior (see the decision tree from CEI breakout session: Creating and Maintaining an Ethical Culture: How to get your employees to act ethically, even when no one is looking), and process? What if C&E became a natural and routine part of *all that we do*—instead of merely being tacked on to *some of what we do*? What if we were to measure C&E just as we measure operational metrics, and celebrate C&E successes and

leverage lessons learned just as we do for operational outcomes?

Risk’s fluid nature is such that it is becoming increasingly difficult to anticipate, let alone manage, it proactively. Therefore, culture—organizational character—becomes the first (and best) line of defense.

Not minimizing the need for and value of tone from the top/message in the middle, I call upon C&E advocates everywhere to embrace your conscious decisions, deliberate behaviors, and collective influence to drive a healthy C&E organizational culture—or even spark a cultural revolution! It can start anywhere; it can start with you! ☺

Eva Stein (evaclarestein@gmail.com) is a Compliance Officer at Department of Defense in York, PA.

NETWORKING

by Lori Dahmes

The place to connect

The Exhibit Hall was the place to be to connect with attendees, exhibitors, sponsors, and SCCE staff; have your caricature drawn; score a free t-shirt; participate in other giveaways; enjoy great food and beverages; and cheer on your team. We hope you found some new products or services to boost your compliance program, got in a few extra steps, and had fun! Plan now to join us at the same spot in 2018! ☺



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| <input type="checkbox"/> Tweet wall \$12,000 | <input type="checkbox"/> Refreshment break (1 break) . \$10,000 |
| <input type="checkbox"/> Highlighters \$12,000 | <input type="checkbox"/> Badge holder lanyards \$10,000 |
| <input type="checkbox"/> Internet café \$12,000 | <input type="checkbox"/> Flat flashlights \$10,000 |
| <input type="checkbox"/> Pens \$12,000 | <input type="checkbox"/> Hotel room keys \$10,000 |
| <input type="checkbox"/> Seated massage station \$12,000 | <input type="checkbox"/> Notepads \$10,000 |
| <input type="checkbox"/> Gen. Session Attendee lunch:
Monday \$12,000 | <input type="checkbox"/> Water bottles \$10,000 |
| <input type="checkbox"/> Professional headshot
station \$12,000 | Silver Level |
| <input type="checkbox"/> Networking reception:
Sunday \$12,000 | <input type="checkbox"/> Luggage ID grip \$8,000 |
| <input type="checkbox"/> Networking reception:
Monday \$12,000 | <input type="checkbox"/> Mobile phone
charging station \$8,000 |
| <input type="checkbox"/> Luggage Tags \$12,000 | <input type="checkbox"/> Volunteer project \$8,000 |
| <input type="checkbox"/> Post-it Notes \$12,000 | Bronze Level |
| <input type="checkbox"/> Fitness Challenge \$14,000 | <input type="checkbox"/> Networking Bingo \$5,000 |
| <input type="checkbox"/> Conference Guide \$12,000 | TOTAL \$ _____ |

Advertising Opportunities

- | | |
|--|--|
| <input type="checkbox"/> Conference guide half-page ad | <input type="checkbox"/> Mobile App E-bag Insert ad |
| <input type="checkbox"/> Company-provided
print-ready PDF: \$1,000 | <input type="checkbox"/> Company-provided
print-ready PDF: \$1,000 |
| <input type="checkbox"/> Attendee Tote Bag Insert | <input type="checkbox"/> Pre-Registration List |
| <input type="checkbox"/> Company-provided marketing material
in all attendee tote bags: \$1,500 | <input type="checkbox"/> Pre-registration list
(postal address only): \$500 |
| TOTAL \$ _____ | TOTAL \$ _____ |

Booth Rental (includes two Exhibit Hall badges per 10' x 10' space)

- 10' x 10' Booth Rental _____ @ \$2,395 \$ _____
- 10' x 10' Corner Booth _____ @ \$2,595 \$ _____
- 20' x 20' Island Booth _____ @ \$9,980 \$ _____
- Extra Exhibit Hall only badges _____ @ \$400 \$ _____

TOTAL \$ _____

Booth Choice (see floor plan for location numbers):

- 1st choice: _____ 2nd choice: _____ 3rd choice: _____
- 4th choice: _____ 5th choice: _____ 6th choice: _____

Please list any companies you would rather not be near.

Check complianceethicsinstitute.org for a list of current exhibitors:

Billing Information

Today's Deposit \$ _____ (out of TOTAL \$ _____)

- INVOICE ME
- BY MAIL: Enclose application and check payable to SCCE:
SCCE 6500 Barrie Road, Suite 250, Minneapolis, MN 55435
- BY FAX: +1 952 988 0146 - I authorize SCCE to charge my credit card

Due to PCI Compliance, **please do not provide any credit card information via email.** You may email the application (without credit card information) and call SCCE at +1 952 933 4977 or 888 277 4977 with the credit card information.

CREDIT CARD: American Express MasterCard Visa Discover

Credit card account number _____

Credit card expiration date _____

Cardholder's name _____

Cardholder's signature _____

50% deposit is required for all booth rentals and sponsorships. Balance must be paid in full by September 21, 2018. Deposits are non-refundable. Full payment is due on all applications received after September 21, 2018.

After your application has been processed, you will receive instructions to go online and create/update your company description (max of 700 characters including spaces) and print-ready and web-ready logos.

Questions? Email Lori Dahmes:
lori.dahmes@corporatecompliance.org

CEI17

OFFICE USE ONLY

Date received ____ By ____

by Adam Turteltaub

Hurry. Someone wants to meet you.

This year's Compliance & Ethics Institute, SpeedNetworking and SpeedMentoring proved to be two of the most fun, fast, and loud sessions. Compliance professionals are paired with each other based on common compliance interests for six short meetings, all in one hour.

For SpeedNetworking, the object is to expand your network quickly, giving you a familiar face for the rest of the Institute and, more importantly, someone to call afterwards when you need an expert ear. For SpeedMentoring, the idea is to see if you can start a potential mentor-mentee relationship.

From the smiles on the attendees' faces and the din of conversation, it's clear that these events are some of the most beloved sessions each year. ☺

Adam Turteltaub
 (adam.turteltaub@corporatecompliance.org)
 is the Vice President of Strategic Initiatives
 and International Programs for SCCE/HCCA.



by Tom Fox

SCCE preconference learning: You are not alone

The Society of Corporate Compliance and Ethics 2017 Compliance & Ethics Institute got off to a great start in the Sunday preconference events. I participated in two such events: SpeedNetworking and SpeedMentoring. In both sessions I met with some compliance professionals who were either new to the field or were one-person compliance shops in their organizations. They were struggling with where to go for resources and support. In speaking with both groups of folks, I tried to drive home a couple of key components of the SCCE 2017 CEI and beyond that I believe are central to the experiences of compliance professionals literally across the world.

The compliance profession is different than any other corporate profession that I have been a part of or have observed. The first reason is that there are no trade secrets in compliance to protect. The principles of a best-practices compliance program are well-known. Whether you follow the Ten Hallmarks of an Effective Compliance Program, the Six Principles of Adequate Procedures, the US Sentencing Guidelines, or some other recognized standard, every compliance practitioner has access to them. You can always adapt them to your organization.

The second thing about the compliance profession is that you are never alone. Unlike other corporate functions where lawyers

from major energy companies are all in room, which might draw the attention of the DOJ Antitrust Division, the compliance function is well-known for its collaboration. A compliance professional can pick up the phone and call another compliance professional who has faced the same or a similar situation. Even if this first level of contact does not have the experience required, there will be someone in the concentric circles outward who has faced the same dilemma.



If you were not at this year's event, I hope you will mark it down on your calendar. It is scheduled to return to Caesars Palace next October from the 21st to the 24th. I hope you will plan to join. I guarantee it will be worth your while. ☺

Tom Fox (tfox@tfoxlaw.com) is Compliance Evangelist at Advanced Compliance Solutions in Houston, TX.

by Marjorie Rossell Ortega

Ethicsholic

The dynamic of the world of ethics and compliance is so complex and fast-paced. As professionals, we have not finished one line of research before we are hit with tons of new cases, regulations, changes, and tendencies. We are then faced with the daunting task of learning, digesting, and discussing all of this information.

The 2017 Annual Compliance & Ethics Institute conference was my second time to spend a very productive week with professionals from around the world who are suffering with the same “syndrome.” After many years in my field, I’m now able to recognize that I am an “*Ethicsholic*.” Although, the name implies a serious affliction, as with other illnesses, recognition is the first step toward living with this unique and challenging syndrome. It is so nice when you feel you can identify with others around you who have the same syndrome; it allows you the freedom to chat openly without any censure—**BECAUSE THEY UNDERSTAND YOU PERFECTLY!**

The different networking activities offered during the conference gave me the opportunity to share with colleagues from the USA, Canada, Europe, Latin America, and Asia. My network of professional connections on LinkedIn has extended rapidly—over 200 new connections! This networking opportunity has provided me



with the prospect of conferring with new colleagues around the world about different topics and cases. The ability to expand your network is certainly one of the most valuable aspects of the SCCE. There is no doubt that I’m looking forward to attending the Compliance & Ethics Institute conference in 2018! ☺

Marjorie Rossell Ortega (marjorierossellortega@hotmail.com) is a Compliance Director from Nashville, TN.

by Tracey Page

SCCE Mobile: The conference app

With 1,409 attendee downloads, this is the most mobile app participation we've had onsite so far! Attendees love the ability to take notes on the presentation slides, do their session evaluations, and message each other right from within the app. Each year we try to add something new to the app. This year we did polling and Q&A during some of the sessions. The results were great; attendees were able to ask questions anonymously during the session, and the speakers were able to poll the attendees to get a good handle on where the crowd was on each topic.



How to access notes you took during the sessions:

Conference attendees may access their notes on the mobile app by following these steps:

1. Open the mobile app.
2. Click on the "Email My Notes" button on the homepage.
3. Here you will see a list of all of your notes you took with an image of the slide you took them on.

4. Click the "Email" link at the top right, type in your email address in the "To" field, and click "Send."

The email sends copies of the slides, but they are very small, and it's not easy to see the whole presentation, so if you want a copy of the presentation slides on PDF, you can go to this link: corporatecompliance.org/handouts.

You can get a copy of the presentation with two slides per page or three slides per page. The handouts will stay on the SCCE website indefinitely. ☺

by Doug Stupca

Social media booth at the CEI

The Social Media Center was buzzing with activity at the 16th Annual Compliance & Ethics Institute! Dozens of attendees flocked to the booth to share their CEI experiences by posting their thoughts to *The Compliance & Ethics Blog*.

When attendees weren't blogging, they were tweeting up a storm with #SCCEci, recalling memorable quotes from sessions, showing off pictures of their badge ribbons and compliance friends, and sharing their favorite parts of the Institute. Check out pages 40-43 for highlights from the CEI on Twitter! ☺



Compliance & Ethics Institute

Tweeting

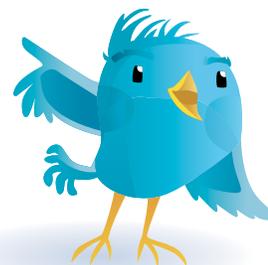
at the meeting!



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Wendy Badger @WJBadger · Oct 15

They totally understand me here at #SCCEci. So excited to be among my fellow compliance and ethics professionals.



Kasey Ingram @KaseyIngramJD · Oct 15

5 Ways to Get Your Employees to Speak Up - @walter_johnson1 #SCCEci @SCCE



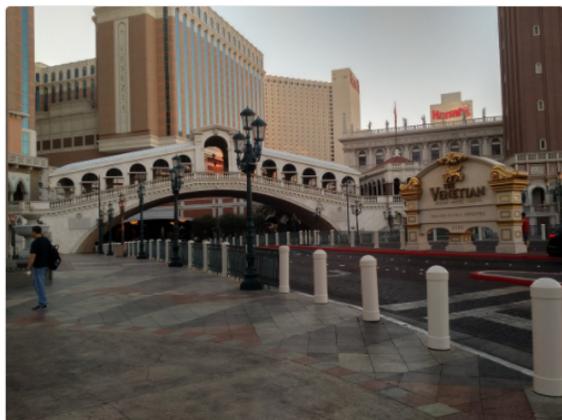
Marsha Ershaghi @zappylibra · Oct 15

#SCCEci that time of year where we reconnect with our fav E&C leaders. Excited to see my mentor the amazing Marjorie Doyle @SCCE



Jonathan Armstrong @armstrongjp · Oct 15

My morning commute @SCCE #scceci #LasVegas





Adam Turteltaub @AdamTurteltaub · Oct 15
The Compliance Bench @SCCE #sccceci



Samuel Rubinfeld @srubinfeld · Oct 16
@SCCE names Gerry Zack, former managing director of BDO, as its next chief executive



Susannah61 @spfetter · Oct 17
Funny/scary talk about iot and the dark web by @comp4n6 Mark Lanterman at #sccceci @SCCE



Margaret Hambleton @mhambleton1 · Oct 15
I blew through the \$60 I came here to gamble with and now I'm ready for the real excitement! I am ready to learn and network. #SCCEeci



Lisa McClennon @LisaMcClennon_ · Oct 15
We all have something to offer. Commit to connect deeply with others. #sccceci



Kasey Ingram @KaseyIngramJD · Oct 16
The New Guy. @SCCE #SCCEeci



Mark Fox @mfox227 · Oct 15
Had a great day at the Compliance and Ethics Institute learning about how and compliance can work together #SCCEeci



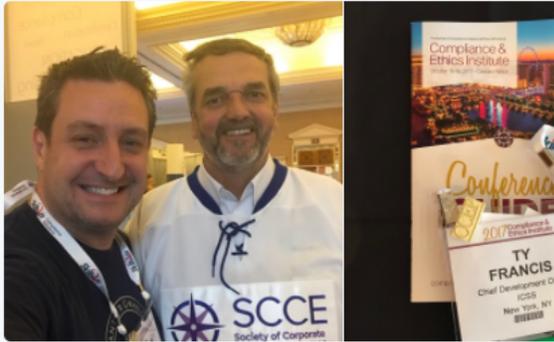
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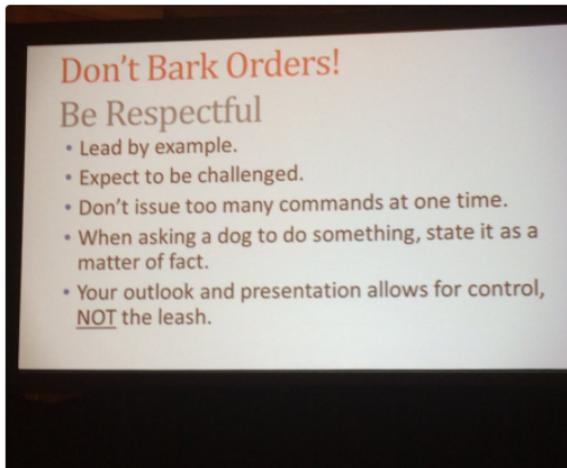
Ty Francis MBE @tyfrancis · Oct 15
Checked in, got my #Snellfie and ready to go @SCCE #SCCEeci



NorthVanLady @NorthVanLady · Oct 15
Totally had to refrain from going bonkers with these. I'm not a trouble maker... much. #sccceci



Gwendolyn L. Hassan @GwenHassan · Oct 16
Compliance program tips from a dog trainer! #SCCEeci



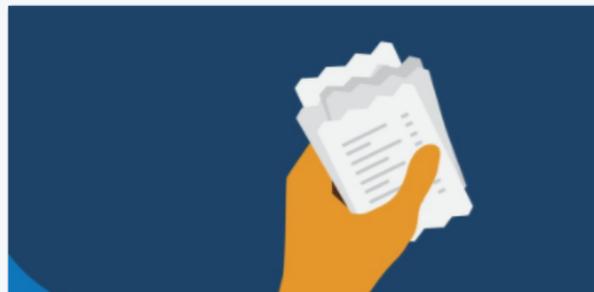
Joshua Toas @JoshuaBToas · Oct 16
@SCCE #SCCEeci @RoySnellSCCE opening w SCCE match \$ for LV shooting victims & announce new CEO



Meagan Strandberg @meagan_law · Oct 16
don't forget to stop by the SCCE booth to get your caricature done. #SCCEeci



Broadcat @TheBroadcat · Oct 15
At the #SCCEeci #conference? Remember to save your receipts— #compliance, after all.





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by Adam Turteltaub

Awards, cheers, laughter and tears

The 2017 International Compliance & Ethics Awards Dinner was a unique event. Like every year, we recognized the individuals and organizations that have contributed so much to our profession, but this year ended unlike any other:

- ▶ **Ryan Meade** accepted an award on behalf of the **Center for Compliance Studies at Loyola University Chicago School of Law** for its exemplary work in promoting the training of the current and next generation of compliance professionals. As the compliance community grows, its work will likely serve as a model for other universities.
- ▶ **Stephen Cohen**, a partner at Sidley Austin LLP, was recognized for his efforts, both at the SEC and afterwards, to promote compliance programs and to recognize their value.
- ▶ **Michael Horowitz**, the Inspector General at the Department of Justice was praised for his unwavering integrity and leadership at the DOJ and throughout his career. He has been one of the longest and strongest supporters of compliance programs and is a past board member of the SCCE.
- ▶ The final award of the evening went to Bojan Bajić and Višnja Marilović of Net Consulting Ltd. of Bosnia and Herzegovina. Bojan humorously told

the story of working with legislators to create the first law in Europe to protect whistleblowers. Višnja followed by telling her own horribly harrowing tale as a whistleblower and how important the SCCE's resources were to the cause of compliance and ethics in their country.

By the time Višnja was done speaking, there were few dry eyes in the room. The audience leapt to its feet to demonstrate their support of the work of Bojan, Višnja, and their colleagues.



Their story, and the story of all the other honorees, painted a remarkable portrait of the importance of compliance, the growth of the profession, and how far we have yet to travel, and must travel, together. ☺

by Jill Burke

Silent Auction to benefit America's Fund raises \$7,677

The Silent Auction held at the 2017 CEI in Las Vegas was a huge success with donations exceeding those of 2016! A grand total of \$7,677 was raised to benefit America's Fund, a 501(c)(3) organization that directs urgently needed resources and financial support to all injured and critically ill members of the U.S. Armed Forces and their families. SCCE has matched these funds with a donation going to help the victims and families of the recent Las Vegas shootings. SCCE sincerely thanks all who donated items and participated! For more information on America's Fund, visit semperfund.org.

Note: If you'd like to be part of the 2018 Compliance & Ethics Institute Silent Auction, donate, or help in any way, please contact Jill Burke at jill.burke@corporatecompliance.org.



by Gary Devaan

2017 Volunteer Project at Three Square Food Bank

On Saturday, attendees from the SCCE Compliance and Ethics Institute volunteered at Three Square Food Bank. Three Square Food Bank is a member of Feeding America, the nation's largest domestic hunger-relief organization. Three Square serves four counties in Southern Nevada. They estimate the number of food-insecure persons in this area to be more than 279,000.

CEI attendees met on at 10:00 a.m., distributed t-shirts, and then boarded the bus that took us to the facility on Pecos Road in Las Vegas. After a tour, we were organized around a conveyor belt and began filling bags of packaged food products. We packaged four pallets of bags for a total of 288 bags for 288 families. The experience was fun, and everyone got to know each other a little better than if they just sat in a session together.

Food insecurity exists in every county in the country. But not everyone struggling with hunger qualifies

for state or federal nutrition assistance. Learn more about food insecurity and find food banks in your community by visiting map.feedingamerica.org.



by Cindy Morrison

2017 CEI Volunteer Project: Three Square Food Bank

Airfare: \$350.
Conference
fee: \$1,295.

Additional hotel
night: \$375.

Keynote speakers:
Memorable.

Volunteer Project:
Priceless!

The personal enrichment I receive from participating in the volunteer event year after year is immeasurable. I participate to give back, yet what I receive in return often makes me wonder who benefits more, me or the charitable organization I am serving. Forever friendships are cemented while painting, shoveling corn flakes, boxing groceries, or landscaping for others whose needs are greater than mine. These forever friends become mentors, collaborators, and sharers of information that make me a better corporate compliance and ethics professional.

Volunteering at Three Square allows me, as a volunteer, to help kids and families who are food insecure and hungry. May all of us, in our own way, do something to eliminate hunger. Thank you SCCE for continuing to organize the annual volunteer event.



Winston Churchill said it best, “You make a living by what you get. You make a life by what you give.” ☺

Cindy Morrison (cindy.morrison@postholdings.com) is Director of Compliance at Post Holdings, Inc. in St. Louis, MO.

by DeAnna Nwankwo

SCCE CEI 2017: Three Square volunteer event

Each year when I register to participate in the Compliance & Ethics Institute, I anxiously await the announcement of the volunteer service project. Over the past several years, I have served alongside some of the most compassionate, committed, and caring compliance and ethics professionals who donate their time at a local organization in need of volunteers. This year's volunteer assignment was to support the Three Square Food Bank in Las Vegas.

Matt Hirsch, Director of Volunteer Engagement, welcomed us to the facility and provided an overview of the services Three Square provides to the local community. Matt indicated the food bank serves more than 300,000 individuals in their service area covering four nearby counties. Three Square's mission (paraphrased) is to provide wholesome food to hungry people. Because of Three Square's enormous and efficient transportation fleet, the center receives fresh, high-quality food for redistribution that would otherwise end up in dumpsters or a landfill. Three Square redistributes the reclaimed food to local schools. Students at participating schools receive after-school meal program benefits as well.

With the exception of a few paid staff, the facility is supported through volunteers on a daily, weekly, and monthly basis. Volunteers at the facility help sort donated items, fill backpacks with food for children, box meals for the senior Meals on Wheels program, or assist with other projects as needed. Our SCCE volunteers were tasked with repackaging

food in the warehouse. Each volunteer was assigned a station along the assembly line. The finished package consisted of a variety of canned goods (beans, chicken, tomato sauce, etc.), boxes of macaroni and cheese, peanut butter and jelly, and other goodies.



In the past we have seen a lot of the same people supporting the volunteer projects. We have shared our experience with others on social media during the Compliance & Ethics Institute as well as during networking breaks. We've shared how personally and professionally fulfilling the volunteer service projects have been. This year there were a lot of new faces. The word is spreading on how so little time set aside for a noble cause results in so many benefits to the local community as well as the conference attendees. I do not know what the 2018 Volunteer Project will be, but I know I will be there ready to work. See you in Las Vegas in 2018! ☺

DeAnna Nwankwo (deanna.nwankwo@corelab.com) is Corporate Compliance Officer at Core Laboratories in Houston, TX.

by Lynn Wise

Symbolizing who we are

The SCCE offering of a volunteer project at the beginning of the Compliance & Ethics Institute set a very positive tone with me for the rest of the conference. As a second-year attendee to the conference, I marvel at the commitment, excitement, and joy that comes from volunteering, if only a few hours, with organizations like Three Square in Las Vegas this year and Hope Manor in Chicago last year. Certainly, these volunteer projects offer an incredible opportunity to network with other ethics and compliance professionals who work for different organizations with different cultures. However, the participation in SCCE volunteer projects symbolizes care, commitment, and compassion for others who are in need of life support and

helps uplift others to better lives. To me, these are higher virtues that are reminders and extensions of who we are and what we do as ethics and compliance professionals. In our organizations and companies, we demonstrate our care and compassion in wanting everyone to be and bring their better selves and assist them in this endeavor by offering the resources for them to do so. I would like to believe that both our volunteer time and our work time provide the energetic platforms for others to choose and act from their better selves. I encourage SCCE to continue offering these volunteer projects that allow for us to share in experiences that symbolize who we are. ☺

Lynn Wise (lynn.wise@ngc.com) is Attorney at Northrop Grumman in Linthicum, MD.

by Liz Hergert

Fitness Challenge

This year's newest attendee activity was the Fitness Challenge. Attendees were encouraged to engage in healthy activity (and friendly competition) during their time at the conference. The Fitness Challenge included any steps tracked between Monday morning and Tuesday afternoon. Participants could check in at any time on the leader board to see how their progress was stacking up among their competitors. We had 200 Fitness Challenge participants, and among them, 2.8 million steps were tracked! ☺



by Sean Freidlin

Walking the walk at CEI 2017

As 1,800+ ethics and compliance professionals descended upon Las Vegas to learn more about fostering a healthy compliance program and corporate culture, my colleagues and I at SAI Global wanted to help the attendees of SCCE's CEI 2017 focus on their own personal health too.

To accomplish that goal, we took a trick out of the playbook of a modern ethics and compliance program and added elements of gamification and competition, supported by data, to launch the first SCCE Fitness Challenge.

The premise of the challenge was simple: incentivize healthy behavior by rewarding people who walk the most with a prize.

Before the contest started, we discussed whether or not participants would even exceed one million steps, and the results proved that we should leave odds-making to the experts in Vegas and continue to focus on ethics and compliance programs. We broke through that barrier in less than 12 hours, and in a 33-hour window, 200 participants took an astounding 2,847,773 steps!

That's over 14,000 steps on average (per person) and 1,423 combined miles walked by ethics and compliance professionals. For context, that's the distance from Caesars Palace, where the conference took place, all the way to Grand Canyon and back...three times. In fact, the combined mileage could walk you all the way to the SCCE's Regional Conference in Seattle on 11/17 (where we're

presenting!). If you start walking now, you may even get there in time.

To measure the overall performance of the group, the SCCE worked with Heka Health, the technology providers enabling the contest, to establish a 10,000-step benchmark. Of the 200 participants in the challenge, 55% exceeded 10,000 steps, and the winner of the competition eclipsed 90,000!



Past research conducted by the SCCE and HCCA indicates that ethics and compliance professionals are often stressed by their role and responsibility, and while exercise is a proven way to reduce stress, our own research conducted this year revealed that 42% of ethics and compliance professionals only exercise once a week, if they exercise at all. So thanks to everyone who participated in this challenge at CEI and everyone else attending this event. Your commitment to getting better, in every sense of the word, shows that you don't just talk the talk, but walk the walk too. ☺

Sean Freidlin (sean.freidlin@saiglobal.com) is in Marketing with SAI Global in Waltham, MA.

The Society of Corporate Compliance & Ethics 16th Annual

Compliance & Ethics Institute



Session Recordings

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Here's your opportunity to catch up on all the sessions you wished you could attend, and take your time absorbing the valuable knowledge presented.

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SPEAKERS

8 LEARNING
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16th Annual Compliance & Ethics Institute | October 15 - 18, 2017 | Las Vegas, NV

NAME _____

(please type or print)

If you are ordering individual sessions, please check the box by each session you wish to purchase.

PRE-CONFERENCE

- PW** Professional Skills Development – Influencing Others
- PW** Professional Skills Development – Listening Skills
- PW** Professional Skills Development – Collaboration
- PW** Professional Skills Development – Contacts and Networking
- PW** Professional Skills Development – Communication
- PW** Professional Skills Development – Negotiation
- PW** Professional Skills Development – Professional Skills Q&A Panel
- P1** Ethics & Compliance Risk Management 101: Program Essentials and Effective Practice
- P2** Marked as Read: The Story of the Ineffective Code of Conduct
- P3** The Good Reasons Why People Do the Wrong Things.
- P4** Foreign Agents, Partners & Intermediaries: You Can't Live with Them, but You Can't Live Without Them
- P6** Navigating IT Compliance: How can Business and Legal Teams Collaborate to Achieve Joint Objectives?
- P7** Communicate Ethics with Movie Clips, Viral Videos and News Feeds
- P8** Return on Investment (ROI): Documenting and Supporting the Value-Added for a Compliance Program
- P9** 3 Part Investigation Workshop
- P10** Social Media: Risks and Redemption
- P11** Ethical Train Wrecks and Other Avoidable Disasters: Practical Steps to Heading off Misconduct Before It Happens
- P12** Blow it All Up? How to Really Tackle a Ruinous Corporate Culture. Lessons from Wells Fargo and Beyond

CONFERENCE

- P13** Responding to a globalized law enforcement in transnational bribery: A U.S., German and Indian perspective
- P14** New Mandate, New Mindset: Making a Successful Transition into a Compliance & Ethics Career (What Lawyers, In-House Counsel & Others in Transition Need to Know)
- P15** IT for Non-IT Compliance Professionals
- P16** Compliance 101
- P17** Training Strategy: Less Can Actually Be More
- P18** 3 Part Investigation Workshop
- 101** Global Antitrust Compliance Assessing Antitrust Risks and Creating an Effective Antitrust Compliance Program
- 102** Five Months to a Fantastic Code of Conduct
- 103** Snitches Get Stitches and Wind Up in Ditches: A Tale of Two Whistleblowers
- 104** Trade Controls: Key Compliance Challenges
- 105** E-Verify and Form I-9 Compliance Under a Reasonable Yet Enforcing Government
- 106** How IT Departments Can Be Powerful Allies in Promoting Compliance
- 107** ABC, AML and Export Control-the broadening and convergence of compliance requirements
- 108** Leveraging innovation and technology to enhance your compliance program and manage third party risk
- 109** If the Wall Street Journal Calls, Will You Be Ready?
- 201** Privacy from Zero to Sixty Developing a Global Privacy Program
- 202** Transformational Narratives: Where Ethics and Corporate Compliance Meet
- 203** Case Study: The Story of AppNexus: How C-Level Commitment Creates an Ethical Culture

- 204** Due Process: Build confidence in your compliance investigation process and convey a positive tone at the top
- 205** Background Screening Compliance Essentials
- 206** The Compliance Officer and the Digital Era
- 207** From Oversight to Impact: 3 Critical Ways Your Board Can Make a Difference in Compliance
- 208** Compliance is Ruff: A Dog's Approach
- 209** Identifying and Controlling Compliance Risk When Providing Services to the U.S. Government
- 301** The Risks in Assessing Risk
- 303** Ethics and Compliance Training from A to Z: How to Create Your Very Best Programs in 2017 Using Both Proven Methods and the Latest Research
- 304** The Never Ending Story: Money Laundering
- 305** Recent Developments in Compliance and Ethics Law
- 306** Data Discovery and Classification A Digital Swiss Army Knife for Privacy and Security Compliance
- 307** Can't Miss Insights from the 2017 Hotline Benchmark Report
- 309** Turn of a Century: How does a company with over 100 years of history in the gas, electric and steam industry implement a corporate compliance program while the industry undergoes unprecedented changes?
- 401** Conflicts of Interest: Exploring Best Practices
- 402** Fostering an Ethical Culture through Leadership: Challenges, Risks, and Rewards
- 403** Fostering a Compliance Culture at Travelers
- 404** Conducting Effective Third Party Due Diligence in China

Most sessions are being recorded, but a few are not. If a session does not appear on the form, a recording of it may not be available. Please call 888.277.4977 with any questions. Available sessions are subject to change. The most current version of this form can be found on our website.

SESSION AUDIO RECORDINGS ORDER FORM

16th Annual Compliance & Ethics Institute | October 15 - 18, 2017 | Las Vegas, NV

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CONFERENCE CONTINUED

- 405** Preserving the Attorney-Client Privilege and Attorney Work Product Protection in Internal and Government Investigations
- 407** Program & Ethical Tone Assessment Tradecraft of Independent Corporate Monitors
- 408** Is It Time for an Incentive Mine Sweep?
- 501** From FCPA Prosecutors to Company Protectors: Top 10 Lessons Learned from the Front Lines of FCPA Enforcement
- 502** How to Reduce Rationalization Risk in the Fraud Triangle through Effective Ethical Decision Making Training
- 503** Creating a Mobile First Code of Conduct
- 504** Culture & Compliance: Strategies for Africa
- 505** How to Determine if an Incident is a Data Breach to Meet Compliance Obligations
- 506** Everyone should have an IT compliance officer or suffer the consequences: Why the IT compliance function matters and how it can boost company-wide compliance efforts
- 507** Building a Compliance Champion Network
- 508** 10 Easy Hacks to Give Your Ethics & Compliance Program a Boost
- 601** Corporate Culture: Does Yours Offer More Shock” than “Awe”? A Practical Overview and Tips for Cultural Assessments and Tune-ups”
- 602** Transformational Leadership: Raising the Ethical Bar
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