Look inside for

- Educational opportunities
- Books and other resources
- Solution providers
- Web-based networking
- SCCE membership application

And don’t miss SCCE’s yearly SCALENDAR

Our wall calendar is packed with dates from major corporate scandals. Use it to remind people about the importance of compliant, ethical behavior.

2015 Compliance & Ethics Resource Guide

SCCE exists to champion ethical practice and compliance standards in all organizations and to provide the necessary resources for compliance professionals and others who share these principles.

www.corporatecompliance.org
This year marks the tenth anniversary of the Society of Corporate Compliance and Ethics. Thanks to the support of more than 4,000 SCCE members, we are able to effectively speak for and serve the compliance and ethics profession.

We hope you’ll join with us to show your pride in the SCCE and the growing strength of the compliance and ethics community.
It is my pleasure to share with you SCCE’s 2015 Compliance & Ethics Resource Guide.

As we all seek to maximize the effectiveness of compliance and ethics programs in a time of constrained resources, this guide is designed to provide you with a convenient tool for finding the products, solutions, and educational opportunities you need to keep your career and compliance and ethics program moving forward.

Inside the Guide you’ll find:

► Solution provider listings. Use them to find the right solutions for your organization.

► Online resources. From Twitter to LinkedIn, we have you covered, and inside you’ll learn how to take advantage of all of these opportunities.

► Educational opportunities. We’ve mapped out for you our educational opportunities—where they’ll take place and when—so you can determine which has the most information for your unique needs.

► Books and other program resources. SCCE has developed a wide range of books and other tools for helping you to efficiently and effectively improve your program.

► A corporate Scalendar. Want to know when Bernie Madoff was arrested? When Martha Stewart sold her stock? Our wall calendar provides humor and the groundwork for a year’s worth of reminders to your workforce about the consequences of unethical, non-compliant behavior.

We hope you find the 2015 Compliance & Ethics Resource Guide to be a valuable resource to your career and program, and we look forward to serving you in 2015 and beyond.

Sincerely,

Roy Snell
Chief Executive Officer
Society of Corporate Compliance and Ethics
The Society of Corporate Compliance and Ethics provides compliance and ethics professionals with a host of benefits all year round, and all around the world.

Our magazine and electronic newsletter will keep you informed of the latest issues, and give you insight into how to effectively manage both current and long-term challenges. Our conferences will enable you to build out your network and hear directly from other professionals, at a discounted, members-only rate.

Our online social network provides interaction with thousands of compliance and ethics professionals globally. Or try a web conference, and enjoy a live presentation direct to your desktop.

In sum, SCCE can help you tap into a vast network of information and resources to help move your ethics and compliance program forward.

To learn more about SCCE and how we can help, visit us online at www.corporatecompliance.org, and join the thousands of other professionals who already call themselves members of the Society of Corporate Compliance and Ethics.

Why join SCCE?

Join today and you’ll enjoy the support of thousands of compliance and ethics professionals worldwide.
Fax your application to +1 952 988 0146 today, and SCCE will invoice you later

SCCE Membership Application

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Name of employer

Street address

City      State/Province  Zip/Postal code    Country

Telephone       Fax

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Membership Options

- Individual Membership ......................................................$295
  $295 per individual annually.

- Group Employee Membership ............................................$250
  $250 per employee annually. Must have four or more applicants from the same organization to qualify. Please fill out one form for each applicant.

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  $2,500 annually. Includes four individual memberships plus corporate publicity benefits.

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  $150 annually. To qualify you must be a full-time or part-time student and unemployed.

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www.corporatecompliance.org
The Society of Corporate Compliance and Ethics (SCCE)® is a premier provider of compliance and ethics education. Presenters include industry experts from around the world and professionals from the corporate environment, academia, government, and the law.

Attracting more than 2,000 compliance and ethics professionals a year, SCCE’s events provide unparalleled networking opportunities, all with special discounts for members. Programs are offered in a variety of formats to meet the diverse needs of this evolving profession.

Learn more about SCCE events at www.corporatecompliance.org

Web Conferences
Explore hot topics for compliance & ethics professionals with instant and up-to-date education from the convenience of your office. SCCE announces new conferences regularly, and prior sessions are available for purchase. Visit www.corporatecompliance.org to learn more.

Conference dates and locations are subject to change.

Start planning now for SCCE’s 2015 Conferences

Utilities & Energy Compliance & Ethics Conference
February 22–25 • Houston, TX

European Compliance & Ethics Institute
March 29–April 1 • London, UK

Higher Education Compliance Conference
May 31–June 3 • Austin, TX

Compliance & Ethics Institute
October 4–7 • Las Vegas, NV

Audit & Compliance Committee Conference
November 9–10 • Scottsdale, AZ

Regional Compliance & Ethics Conferences
February 13 • Phoenix, AZ
March 13 • Miami, FL
April 24 • Chicago, IL
May 1 • Washington DC
May 15 • New York, NY
June 19 • San Francisco, CA
June 25–26 • Anchorage, AK
October 23 • Minneapolis, MN
October 30 • Atlanta, GA
November 13 • Boston, MA
December 4 • Dallas, TX

Basic Compliance & Ethics Academies
February 9–12 • San Francisco, CA
March 9–12 • Las Vegas, NV
April 27–30 • Orlando, FL
June 8–11 • Scottsdale, AZ
August 10–13 • New York, NY
September 14–17 • Chicago, IL
October 19–22 • Las Vegas, NV
November 16–19 • Orlando, FL
November 30–December 3 • San Diego, CA

International Basic Compliance & Ethics Academies
April 13–16 • Brussels, Belgium
May 11–14 • Sydney, Australia
July 13–16 • Singapore
August 24–27 • São Paulo, Brazil
December 13–16 • Dubai, UAE

www.corporatecompliance.org
2015 Basic Compliance & Ethics Academies
from the Society of Corporate Compliance and Ethics®

Orlando, FL
April 27–30

Scottsdale, AZ
June 8–11

New York, NY
August 10–13

Chicago, IL
September 14–17

Las Vegas, NV
October 19–22

Orlando, FL
November 16–19

San Diego, CA
Nov 30–Dec 3

“...The 2014 SCCE Compliance & Ethics Academy was immensely valuable to me. The presentations, discussions and other learning opportunities were focused on real-world situations that were immediately applicable to my job. This was my first engagement with the SCCE. I will certainly be looking for other programs offered by the SCCE based on the value of the Academy.”
– Steven Dillard, Compliance Manager, Altria

Get Certified.
Enroll Now.

www.corporatecompliance.org/academies
Questions: katie.burk@corporatecompliance.org
11:45 AM–12:45 PM
Lunch (provided)

12:45–2:00 PM
Discipline & Program Improvement

This session focuses on two of the most important elements of a program. When a failure is detected, discipline shows the culture that enforcement of the standards of the organization is serious. Discipline not only affects the individuals involved but is a message to the culture. Program improvement is an analysis after every failure to see what can be done to which elements of the program to prevent the same failure in the future. The program is always a work in progress.

2:00–3:00 PM
Legal Issues, Risk Factors, and Disclosure Issues

This session will cover the need to identify legal risks, the need to investigate those risks, disclosure of wrongdoing, and the prevention of damage arising from both risks and non-disclosure.
SCCE’s Basic Compliance & Ethics Academies

**Curriculum**

**THURSDAY**

7:30–8:00 AM
Continental Breakfast (provided)

8:00–9:45 AM
Conflicts of Interest

Martin T. Biegelman, CFE, CCEP-F Executive Vice President, IPSA International

Conflicts of interest are some of the most common and challenging issues for compliance and ethics programs. Employees are expected to act in the best interests of their organizations and exercise sound judgment unclouded by personal interest or divided loyalties, but that does not always occur. This session is designed to assist compliance professionals in understanding ethical and organizational risks that result from conflicts of interest. It will review the many kinds of conflicts of interest and how they occur; gifts, gratuities, and kickbacks; policy development; disclosure programs; detection and auditing for compliance; training; case studies; and best practices.

10:00 AM–11:45 AM
FCPA Anti-Corruption & Bribery

Odell Guyton, CCEP, CCEP-I, SCCE Co-Chair; Vice President, Global Compliance, Jabil Circuit, Inc

This course explores the domestic and global administrative and law enforcement efforts surrounding anti-corruption enforcement principles, and provides a practical (hands-on) approach for dealing with these and other organizational compliance and ethics risk.

11:45 AM
Boxed Lunch (provided)

2:15–3:00 PM
CCEP Exam Check-In

3:00–5:00 PM
CCEP Exam

The exam is optional. You must pre-register for the CCEP exam separately from the Academy. To register for the exam, download the PDF application for your Academy from www.corporatecompliance.org/academies. Academy and certification exam are offered only in English at this time.

**WEDNESDAY**

8:00–8:30 AM
Continental Breakfast (provided)

8:30–10:15 AM
Education and Training

Art Weiss, JD, CCEP-F, CCEP-I, Chief Compliance & Ethics Officer, TAMKO Building Products

This session will cover the need for compliance and ethics training, the different types of training, targeted training, the dangers of ineffective training, and the use of data to help prove “effectiveness.”

10:30 AM–12:15 PM
Auditing & Monitoring

Urton Anderson, CCEP, Director, Von Allmen School of Accountancy, Gatton College of Business and Economics, University of Kentucky

The goal for this session is to provide compliance professionals with a solid understanding of the role of auditing and monitoring in the compliance system. It begins with determining the role of auditing and monitoring in the organizational governance process—specifically what assurances the board and management need to meet their responsibilities. Next the session explores the relationship between monitoring activities and internal control. A practical process for developing effective monitoring plans and strategies is then presented along with attributes needed for these plans to provide assurance on the effectiveness of the compliance program. Finally, the session ends with a discussion of internal reporting systems as a key part of an organization’s monitoring activities.

12:15–1:15 PM
Lunch (provided)

1:15–3:00 PM
Investigations

Meric Bloch, CCEP-F, JD, CFE, PCI, Senior Director, Global Compliance, Jabil Circuit, Inc

This session is focused on the aspects of a compliance investigation. The session overviews the considerations for who should conduct such investigations based on the nature of the investigation as well as considerations for determining if the investigation should be conducted under attorney client privilege. The session also addresses considerations for what information to provide to the workforce during an investigation and how to report the investigation findings. The duties and obligations of the board of directors and key leaders in the organization are also addressed in this session.

3:15–5:00 PM
E&C Programs: Evaluation and Effectiveness

Greg Triguba, JD, CCEP, CCEP-I, Senior Practice Leader, Ethics, Compliance and Risk, Affiliated Monitors, Inc.

This session looks at the evaluation of compliance program effectiveness. What are the things that can be measured, what are the tools for doing this measurement, and what else do you need to know to avoid pitfalls and get valid results? We consider why it is not enough simply to do surveys, and how different tools work best for measuring effectiveness in addressing different compliance risks. We also consider who should do the evaluations and who should get the results.

**3:15–5:00 PM**
Ethics & Compliance Programs: Best Practices and Perspectives

Greg Triguba, JD, CCEP, CCEP-I, Senior Practice Leader, Ethics, Compliance and Risk, Affiliated Monitors, Inc.

This interactive session provides a comprehensive overview of ethics, compliance, and risk management best practices, including strategies and insights for taking your program to the next level. Highlights of this session include considerations and first steps to best practices programs; highlights and metrics on industry trends and perspectives; exploration of program successes, challenges, and opportunities; resources available for developing and enhancing your programs; and an interactive networking and information sharing opportunity.

6:00 PM
Networking Dinner
Learn the essentials of managing compliance & ethics programs

2015 Basic Compliance & Ethics Academies
in EUROPE, AUSTRALIA, ASIA, SOUTH AMERICA, and UAE

Now you and your international colleagues around the world can benefit from the same invaluable, intensive training available in the U.S. Our international Academies cover critical content in-depth and are a great preparation course for the CCEP-I exam. You’ll learn about:

- Standards, policies, and procedures
- Compliance and ethics program administration
- Communications, education, and training
- Monitoring, auditing, and internal reporting systems
- Response and investigation, discipline and incentives
- Anti-corruption and bribery
- Risk assessment

So let your colleagues around the world know about SCCE’s Academies, and get your entire compliance team on the same page.

Brussels, Belgium
April 13–16

Sydney, Australia
May 11–14

Singapore
July 13–16

São Paulo, Brazil
August 24–27

Dubai, UAE
December 13–16

www.corporatecompliance.org/academies
Questions: lizza.catalano@corporatecompliance.org
European Compliance & Ethics Institute

29 MARCH – 1 APRIL 2015
HILTON ON PARK LANE | LONDON, UK

Questions: taci.tolzman@corporatecompliance.org

Why should you attend?

• Hear directly from compliance and ethics professionals from Europe and around the world
• Learn the latest, best, and emerging solutions for a wide range of compliance and ethics challenges, not just one or two
• See how other industries are solving many of the same challenges you face
• Build out your network of experienced compliance and ethics experts
• Get the continuing education units you need and take the Certified Compliance & Ethics Professional–International (CCEP-I)™ exam

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SCCE Regional Conferences

Join us in 2015 to share information about compliance successes and challenges, enjoy an inexpensive educational opportunity close to home, and earn CEUs.

Questions? jennie.nguyen@corporatecompliance.org

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June 19, 2015 • San Francisco, CA

June 25–26, 2015 • Anchorage, AK
October 23, 2015 • Minneapolis, MN
October 30, 2015 • Atlanta, GA
November 13, 2015 • Boston, MA
December 4, 2015 • Dallas, TX

www.corporatecompliance.org/regionals
SCCE Products
The Complete Compliance and Ethics Manual

Written by experienced compliance and ethics professionals, this updated resource offers assistance for every area of the compliance and ethics world.

**How has the manual changed?**

- New material added each year to help keep your compliance & ethics program effective
- Updates will now come in an annual reissuing of the publication (pricing for current owners: $250 for members and $300 for non-members)
- More reference documents (now included on data CD only)
- Softcover binding is more durable, more portable than three-ring binder

International Compliance 101

While laws and regulatory authorities may vary nation to nation, the basic job of compliance and ethics professionals remains the same—to prevent, detect, and respond to misconduct. What’s more, no matter where your organization is based, the steps required to build and maintain an effective program are essentially the same.

*International Compliance 101* provides the basic information you need to build and maintain an effective compliance and ethics program. This book is ideal for compliance professionals new to the field, compliance liaisons, board members, and others with compliance duties. Its coverage includes:

- The Importance of Compliance and Ethics
- The Seven Essential Elements of a Compliance Program
- Steps for Putting an Effective Program in Operation
- Tips for Tailoring a Program to Your Organization
- Sample Compliance Materials
- Glossary of Compliance Terms

Now available in electronic format for ereaders and tablets.

Visit Amazon.com or Kobobooks.com.
Compliance 101: How to Build and Maintain an Effective Compliance and Ethics Program

Compliance 101 provides the basic information you need to develop an effective compliance and ethics program in any organization. Whether you’re building a program from scratch or seeking to revitalize an existing program, this manual will get you on track. Its coverage includes:

- The Importance of Compliance and Ethics
- The Seven Essential Elements of a Compliance Program
- Organizational Steps for an Effective Program
- Tips for Tailoring Your Compliance Plan
- Sample Compliance Materials

This book is ideal for compliance professionals new to the field, compliance committee members, compliance liaisons, board members, and others tasked with compliance and ethics duties.

Building a Career in Compliance and Ethics: Find your place in the business world’s hottest new field

Authors Joseph E. Murphy and Joshua H. Leet have condensed their original book, Working for Integrity, to offer step-by-step instructions on how to establish a career in compliance and ethics. You’ll discover:

- the wide range of compliance and ethics jobs
- the skills and temperament needed for this field
- practical ways to prepare for and get ahead in your career
- steps for conducting an effective job search
- advice from seasoned compliance and ethics professionals
- tips for selling your compliance and ethics program to upper management

“This book is an immensely valuable contribution to the field. It will not only help guide a new generation of compliance and ethics officers through the many professional challenges that await them, but will also provide considerable useful insight and know-how to their experienced counterparts.”

— Jeffrey M. Kaplan, Partner, Kaplan & Walker LLP, a compliance law firm; former Program Director of the Conference Board’s Business Ethics Conference

Members $50
Non-members $60

Building a Career in Compliance and Ethics

Members & Non-members
Softcover $29.95
Hardcover $34.95

To order, complete and fax the included form, call +1 952 933 4977 or 888 277 4977, or visit www.corporatecompliance.org
Ethics and Compliance on the Job: Classic Ethikos articles with no-nonsense solutions

As the beacon of business ethics publications, Ethikos has shined a spotlight on ethics and compliance for more than 25 years. This anthology of articles from Ethikos brings together highly relevant and practical ideas, insights, and advice for today’s practitioners. Articles for this collection were selected to cover five key subject areas:

- Establishing/Promoting an Ethical & Compliant Culture
- Program Implementation Details
- Communicating Ethics & Compliance
- Ethics & Compliance Education & Training
- Assessing & Measuring Program Effectiveness

Save money when you buy both of Meric Bloch’s books:

- The First Information: Members $80 / Non-members $90
- Workplace Investigations: Members $90 / Non-members $100
- BOTH BOOKS AS A SET: Members $150 / Non-members $170

Workplace Investigations: Techniques and Strategies for Investigators and Compliance Officers

Author Meric Bloch is back with more expert guidance! His book offers step-by-step guidance on internal investigations, covering how to:

- Structure the process
- Select an investigations team
- Plan the investigation
- Interview reporters and witnesses
- Interview implicated employees
- Secure relevant documents
- Evaluate evidence
- Reach conclusions
- Write a final report and move forward
Compliance Is Just the Beginning

Video training produced by QMR—The Respectful Workplace Company

How do you make better ethical decisions at work? Just because a particular choice is legal does not make it right. This two-program video series introduces a three-step process for handling tough ethical decisions. The first program, “3 Steps to Ethical Decisions,” introduces the three steps we can take when faced with a tough ethical choice. The second program, “Ethical Situations to Consider,” presents eight dramatized scenarios to spark discussion about familiar ethical issues.

PROGRAM ONE: 3 Steps to Ethical Decisions (24 minutes)
Members $625 / Non-members $720

PROGRAM TWO: Ethical Situations to Consider (32 minutes)
Members $625 / Non-members $720

TWO-PROGRAM PACKAGE: Compliance Is Just the Beginning
Members $1,062 / Non-members $1,224

You Can STOP Harassment

Video training produced by QMR—The Respectful Workplace Company

Harassment goes beyond gender issues. Racial, religious, ethnic, and other forms of workplace harassment are equally dangerous to an organization and its employees. This two-program series (one for all employees, the other for managers) looks at all forms of illegal work-related harassment. Each program is comprised of short dramatizations that explore harassment issues that are common within organizations. Each scenario is then analyzed by a diverse group of legal, human resources, and communications experts.

PROGRAM ONE: Taking Responsibility (26 minutes)
Members $625 / Non-members $720

PROGRAM TWO: The Responsible Leader (25 minutes)
Members $625 / Non-members $720

TWO-PROGRAM PACKAGE: You Can STOP Harassment
Members $1,062 / Non-members $1,224

The SCCE and Amazon.com Compliance & Ethics Reference Library

SCCE has partnered with Amazon.com to help our members have easy access to a wide range of compliance and ethics reference works. We have scoured the Amazon.com catalog and put together a library of high quality compliance and ethics titles. If you purchase through our Amazon.com store, SCCE receives a small commission—so everyone wins!

Visit the store at http://astore.amazon.com/sociofcorpcorpcom-20
PATTERNS Training Series

*Video training produced by QMR—The Respectful Workplace Company*

Sexual harassment at work is more than a legal issue. It is fundamentally a behavioral problem. PATTERNS takes on the behavioral challenge, arming employees and managers with the information they need to prevent sexual harassment and the tools that will help them to respond when incidents occur.

**PROGRAM 1: Preventing Sexual Harassment (26 minutes)**

Members $625 / Non-members $720

For employees and managers, Program 1 looks at four common patterns of inappropriate behavior.

**PROGRAM 2: Responding to Sexual Harassment (26 minutes)**

Members $625 / Non-members $720

For managers, Program 2 examines the legal liability issues and questions of personal responsibility that managers and supervisors must face.

**PROGRAM 3: Rights & Responsibilities (10 minutes)**

Members $395 / Non-members $455

For new employees, Program 3 is a brief introduction to the issue of sexual harassment prevention intended for new employees.

**THREE-PROGRAM PACKAGE**

Members $1,285 / Non-members $1,478

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The Ethics Series with Dr. Marianne Jennings

*Produced by DuPont Sustainable Solutions*

“Ethics Is a Competitive Advantage” lists five key reasons why ethics matter. This program explores why working in the gray areas is risky and a recipe for non-sustainable business. (20 min.)

“Speaking Up Without Fear” discusses work environments where employees keep silent and fear retaliation if ethical concerns are reported. This program explores how organizations can draw out wrongdoing and help create a culture where employees feel empowered. (15 min.)

“Ethical Leadership: Tone at All Levels” explores how employees can handle the tension between increasing an organization’s bottom line and protecting its good reputation. This program discusses what every employee can do to help build and sustain an ethical culture. (20 min.)

Each segment is available individually, or all together on one DVD.
501 Ideas for Your Compliance and Ethics Program: Lessons from 30 Years of Practice

Author Joseph Murphy has spent his career collecting great ideas for building an effective compliance and ethics program. He shares 501 of them here—ideas big and small—to help others find new ways to improve their programs. All are practical and ready to use. For those who want more background on the ideas, Murphy has included print and Web citations right next to each idea. Topics covered in this collection include:

- identifying compliance & ethics risks
- preparing for investigations
- establishing and enforcing a program
- evaluating effectiveness
- conducting audits
- benchmarking against industry practices
- and much more!

Sample ideas from the book:

#12: Online comment period. Put the draft code of conduct online and invite all employees to provide input and comments.

#66: Field participation. Invite field managers to participate in compliance committee meetings to bring fresh perspectives, and to spread understanding about the compliance and ethics program.

#283: Employee surveys. Use employee surveys to gauge employee awareness of the compliance and ethics program and their views of its effectiveness.

#470: Bribery red flag lists. Provide a list of corruption red flags to all those who are at risk for bribery opportunities. This list can include things like agents with no offices, and consultants requiring payment to third parties outside of the country.

Corporate Compliance & Ethics: Guidance for Engaging Your Board

This video training kit serves as a call to action for board members. In this 12-minute video, your board of directors will learn their responsibilities in identifying compliance risks, engaging in compliance program oversight, ensuring needed resources for program monitoring, and assessing the effectiveness of the whistleblowing detection system. With this valuable training kit, you receive the DVD as well as key support materials.

“The Board’s role in corporate compliance is a critical one. This video calls attention to the need for board action in this area.”

—John F. Morrow, CPA, Vice President, American Institute of Certified Public Accountants


Published by CCH, a Wolters Kluwer business

This manual presents an overview of the responsibilities and operation of audit committees. It offers guidance based on real-world experiences from serving on audit committees. The book focuses primarily on publicly held companies, but also includes a short chapter on audit committees for not-for-profit and public sector entities.

Written in a non-technical, active-voice, easy-to-read format, it is intended for directors serving on audit committees, other members of the board of directors, CEOs, CFOs, legal in-house counsel, internal and external auditors, outside legal counsel, and consultants to audit committees.

This practical book comes with a companion CD containing work papers, checklists and document templates that can be put to immediate use.
SCCE Web Conference CDs

Learn about timely compliance and ethics topics from the comfort of your computer. Each Web conference offers our expert speakers’ original multimedia presentation—a complete audio recording and corresponding PowerPoint presentation, all on one CD. No special technology is needed—just a computer with a CD drive, audio speakers (or headphones), and a standard Web browser. As an added benefit, you can earn 1.2 CEUs for each 90-minute conference. Each part of a multi-part conference may be purchased separately or as a cost-saving bundle.

For information about additional Web conferences on CD, visit www.corporatecompliance.org/pastweb

A SELECTION OF RECENT WEB CONFERENCES:

Building an Effective Global Compliance Program on a Budget
- Learn about the elements of an effective compliance program
- Learn how to create a global program on a limited budget
- Discussion of what works/what doesn’t work

Speakers: Grace C. Wu de Plaza, Deputy Ethics and Compliance Officer, The Nature Conservancy; Peri de Castro Dias, Communications Specialist for the Amazon Program, The Nature Conservancy

So Who’s Really In Charge Here? The Board of Directors’ Role In Overseeing Compliance Programs
- An overview of traditional duties of the board and how they apply to corporate compliance
- The interplay and possible overlapping tensions between the board and management
- Lines of reporting and access between compliance and the board: and recent trends in compliance training for board members

Speaker: Peter C. Anderson, J.D., CCEP, Shareholder, Beveridge & Diamond, PC

The Role of Internal Audit in Anti-Corruption Compliance
- What is the role of a company’s internal auditors in their anti-corruption compliance strategy?
- What are some of the leading practices to get internal auditors involved in a company’s anti-corruption compliance strategy?
- What are some of the common pitfalls in using inexperienced internal auditors to perform anti-corruption compliance assessments?

Speakers: Sulaksh Shah, Director, PwC; Paul Pelletier, Member, Mintz Levin Cohn Ferris Glovsky and Popeo PC

EU Data Protection Regulation is coming
- How the regulation will affect your business and alter your approach to data processing
- The role of the data protection officer and its impact on your business
- New privacy policy and consent requirements and increased enforcement and fines

Speaker: Robert Bond, Head of Information Law and CSR, Speechly Birham LLP

Managing Records in an E-Discovery World
- Records management and retention concepts and issues, and steps for implementing a records management program
- Increasing burdens of E-discovery, and practical solutions for organizations to manage burdens
- Best practices for handling discoverable records before, during, and after the e-discovery process, including email management and retention issues

Speakers: Nedra Abbruzzese-Werling, CCEP, Compliance Administrator, SUNY System Records Management Officer, Office of Compliance, State University of New York; Seth Gilbertson, JD, Associate Counsel, State University of New York

Working with a Corporate Monitor 101
- Resolving a suspension /debarment action with an agreement which includes the requirement that the contractor retain a corporate monitor
- Considerations when selecting a corporate monitor for your organization and what to include in the monitor’s agreement
- Communicating with your corporate monitor

Speakers: Adelle Elia, CCEP, Director, Ethics & Compliance, US Investigations Services; Paige Shannon CCEP, Federal Services Counsel & Compliance Officer, Kforce Inc.

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Members $99 / Non-members $119

Two conferences or both parts of a two-part conference (as a bundle)
Members $180 / Non-members $220

Three conferences or all three parts of a three-part conference (as a bundle)
Members $270 / Non-members $330

Four or more conferences
Members $85 per CD / Non-members $105 per CD

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Members $75 per CD / Non-members $99 per CD
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Ethics and integrity have always been core principles at Lockheed Martin, and that’s reflected in our core values: “Do What’s Right,” “Respect Others,” and “Perform with Excellence.” These values are shared among the 112,000 employees of Lockheed Martin and are the foundation of our dedication to the highest standards of ethical and sustainable conduct. Maintaining an ethical work environment is a primary pillar of the corporate culture Lockheed Martin is continuing to build upon.

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Wayne Brody, Senior Knowledge Leader, Advisory Services
+1 646 862 2040 | contactus@lrn.com
www.lrn.com

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MetricStream

Ms. Sneha Misra, Senior Associate – Marketing
+1 650 620 2955 | sneha.misra@metricstream.com
www.metricstream.com

MetricStream is a market leader in Enterprise-wide Governance, Risk, Compliance (GRC) and Quality Management Solutions for global corporations and has consistently been rated as best-in-class by independent analysts. The MetricStream GRC suite includes solutions for managing policy and procedures, enterprise risk, regulatory compliance, corporate compliance, incident and case management, regulatory reporting and submissions, ethics, supplier governance and IT GRC.

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Kelly Dodd, Membership Development Officer
+1 202 380 1891 | kkdodd@NACDonline.org
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The National Association of Corporate Directors (NACD) is the preeminent authority on board leadership with over 35 years conducting governance research; developing leading practices; working with regulators and legislators; and equipping our 14,000+ members with the tools, resources, education, credentials, and network to serve their boards with the highest standard of excellence. Seventy-five percent of Fortune 500 organizations have directors enrolled in NACD membership. If you serve on a public, private or nonprofit board, join us today. NACDonline.org/Join

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Cindy Knezevich, VP of Marketing Operations
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Founded in 1991, Network Services is an FCC registered, non-facility based provider of telecom services. Network Services delivers the quality of tier one providers at a very aggressive price point. Currently Network Services provides over 400 dedicated service connections to schools and libraries across the country. Network Services are experts at working with the Federal Universal Service Fund Program and assist our school and library clients in receiving the maximum amount of reimbursement for which they are entitled. Currently over 75% of our customers receive funding from USAC. Network Services’ customer service and trouble escalation process is second to none. In most cases, we offer a service center which is available 24–7–365 to handle and resolve any service issues. For further information about data or internet connectivity and other telecommunication services offered, please refer to our website at myrep.net.

New England College of Business
Lisa Turk
+1 617 388 9201 | Lisa.turk@necb.edu
www.necb.edu

New England College of Business is committed to educating compliance professionals and offers the nation’s first Master of Science in Business Ethics and Compliance. This specialized program allows students to focus in the areas of compliance, corporate social responsibility or forensic accounting. Founded in 1909, NECB offers accredited associate’s, bachelor’s and master’s degrees in high demand, high growth business disciplines. All programs are 100% online and utilize an interactive, award-winning eLearning platform. SCCE attendees are eligible for preferred tuition rates.

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The ACP is the autonomous agency of the Government of Panama in charge of managing, operating and maintaining the Panama Canal. The waterway is currently undergoing the largest project since its original construction, which will double the Canal’s capacity, having a far-reaching international impact and opening possibilities to new markets. The operation of the ACP is based on its organic law and the regulations approved by its Board of Directors.

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Pahl Shipley, Director, Integrated Communications
505-241-2782

PNM Resources Inc. is an energy holding company based in Albuquerque, New Mexico. It serves electricity to more than 753,000 homes and businesses in New Mexico and Texas through its regulated utilities, PNM and TNMP. In 2014 consolidated operating revenues totaled $1.4 billion. The company’s generation capacity of more than 2,707 megawatts reflects a balanced mix of coal, natural gas, nuclear, wind and solar generation.

Pricewaterhouse Coopers, LLP
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meredith.martin@us.pwc.com
www.pwc.com/us

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www.realbizshorts.com
www.secondcitycommunications.com
Second City Communications (SCC) is the innovative corporate services division of the world-renowned improvisational comedy institution, The Second City. With a focus on creative approaches to training and communications, SCC created RealBiz Shorts to help improve compliance culture. RealBiz Shorts is the social communication video series of short, engaging ethics and compliance videos designed to get attention, improve retention and change perceptions for how these important subjects are received. After all, you can’t bore people into changing behavior.

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Bethany Murtiff, Account Manager
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TerraNua is a leading provider of compliance technology solutions. TerraNua’s flagship solution, MyComplianceOffice enables automation of a broad range of employee and supervisory activities by simplifying the process for employees to submit requests and obtain management approval. The checklist, survey, request, approval and workflow functionality in MyComplianceOffice easily automates the processes and procedures for Compliance and Ethics, HR, Health and Safety and other employee activities. For more information about MyComplianceOffice or TerraNua’s other technology solutions, visit www.mycomplianceoffice.com.

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TRACE International
Virna Di Palma, Senior Director, Global Strategy & Communications
+1 646 673 6340 | dipalma@traceinternational.org
www.traceinternational.org

TRACE International and TRACE Incorporated are two distinct entities with a common mission to advance commercial transparency worldwide by supporting the compliance efforts of multinational companies and their third party intermediaries. TRACE International is a non-profit business association that pools resources to provide members with anti-bribery compliance support while TRACE Incorporated offers both members and non-members customizable risk-based due diligence, anti-bribery training and advisory services. Working alongside one another, TRACE International and TRACE Incorporated offer an end-to-end, cost-effective and innovative solution for anti-bribery and third party compliance. For more information, visit www.TRACEinternational.org.

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The Wall Street Journal
online.wsj.com

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Learn from a personal mentor
Know where you stand

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Society of Corporate Compliance and Ethics

2015 Scalendar

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The Society of Corporate Compliance and Ethics (SCCE)® is a premier provider of compliance and ethics education. Presenters include industry experts from around the world and professionals from the corporate environment, academia, government, and the law. Attracting more than 2,000 compliance and ethics professionals a year, SCCE’s events provide unparalleled networking opportunities, all with special discounts for members. Programs are offered in a variety of formats to meet the diverse needs of this evolving profession.

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March 29–April 1 • London, UK

Higher Education Compliance Conference
May 31–June 3 • Austin, TX

Compliance & Ethics Institute
October 4–7 • Las Vegas, NV

Audit & Compliance Committee Conference
November 9–10 • Scottsdale, AZ

Basic Compliance & Ethics Academies
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March 9–12 • Las Vegas, NV
April 27–30 • Orlando, FL
June 8–11 • Scottsdale, AZ
August 10–13 • New York, NY
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October 19–22 • Las Vegas, NV
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<th>Date</th>
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European Compliance & Ethics Institute
London, UK
**April 2015**

**European Compliance & Ethics Institute**

London, UK

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2011 / Johnson & Johnson agrees to $77 million global FCPA settlement

2014 / Bank of America agrees to nearly $800 million in fines and restitution over credit card marketing tactics

April Fool’s Day

**2014 / HP reaches $108 million settlement over foreign bribery allegations. Russia subsidiary pleads guilty**

**Passover Begins at Sundown**

**Good Friday**

**Easter**

**2014 / Judge accepts SAC Capital settlement, including guilty plea and $1.8 billion penalty**

2013 / Bank of America reaches $500 million settlement with investors over Countrywide debt

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**2013 / NewsCorp directors agree to $139 million settlement with investors over phone hacking scandal**

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**2012 / DOJ publicly declines to prosecute Morgan Stanley in FCPA case, citing effectiveness of company compliance program**

2010 / Deepwater Horizon oil rig explodes

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2009 / Madoff Investment Securities LLC is auctioned off to the highest bidder

2007 / Siemens confirms SEC investigation

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**Basic Compliance & Ethics Academy®**

Orlando, FL

**Passover Ends**

**2010 / Deepwater Horizon oil rig explodes**

2012 / New York Times reports that Walmart allegedly paid bribes in Mexico

2013 / NewsCorp directors agree to $139 million settlement with investors over phone hacking scandal

2012 / DOJ publicly declines to prosecute Morgan Stanley in FCPA case, citing effectiveness of company compliance program

2008 / WSJ reports that banks may be low-balling Libor scores

2013 / Bank of America reaches $500 million settlement with investors over Countrywide debt

2014 / Judge accepts SAC Capital settlement, including guilty plea and $1.8 billion penalty

2011 / Johnson & Johnson agrees to $77 million global FCPA settlement

2014 / Bank of America agrees to nearly $800 million in fines and restitution over credit card marketing tactics

April Fool’s Day

**Good Friday**

**Easter**

2014 / HP reaches $108 million settlement over foreign bribery allegations. Russia subsidiary pleads guilty
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**SCCE OFFICE CLOSED**

*2006* / Broadcom announces $1.5 billion subtraction in earnings due to stock options irregularities

**Labor Day**

*2003* / Enron treasurer pleads guilty

*2009* / Tyco's Kozlowski and Swartz sentenced

*2002* / Enron treasurer pleads guilty

**Rosh Hashana Begins**

*2009* / Pfizer announces settlement; terms specify Compliance Officer should not report to General Counsel

*2002* / Five execs at Adelphia indicted

**First Day of Autumn**

*2005* / Tyco's Kozlowski and Swartz sentenced

*2002* / Former Worldcom controller pleads guilty

*2001* / Ken Lay tells employees Enron shares are an "incredible bargain"

*2013* / Nine auto parts suppliers agree to $740 million settlement over price-fixing charges

*2002* / Nine auto parts suppliers agree to $740 million settlement over price-fixing charges

*2006* / HP discloses to SEC it reviewed private phone records of board members

*2009* / Two Hollywood executives convicted for RCPA violations

*2013* / $920 million settlement announced in JPMorgan Chase London Whale case

*2001* / Ken Lay tells employees Enron shares are an "incredible bargain"

*2002* / Nine auto parts suppliers agree to $740 million settlement over price-fixing charges
October 2015

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<td>2010 / Glaxo Smith Kline pleads guilty and agrees to $750 million settlement</td>
<td>2013 / Penn State reached $59.7 million settlement with 26 sexual abuse victims</td>
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<td>2001 / Andrew Fastow leaves Enron</td>
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<td>2011 / Olympus admits to $1.7 billion accounting fraud</td>
<td>2013 / Bank of America found liable for Countrywide Fraud</td>
<td>2009 / Galleon Group Founder Raj Rajaratnam and five others arrested for alleged insider trading</td>
<td>2010 / Bank of America found liable for Countrywide Fraud</td>
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<td>2013 / Government announces SAC Capital to plead guilty to fraud and agrees to $1.8 billion settlement</td>
<td>2013 / Johnson &amp; Johnson agrees to $2.2 billion settlement over Risperdal marketing</td>
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<td>2012 / Walmart discloses that it has expanded an internal investigation into bribery accusations in Mexico to Brazil, China, and India</td>
<td>2012 / BP agrees to record $4.5 billion in penalties in criminal settlement of Gulf oil spill</td>
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<td>2012 / JPMorgan Chase and Credit Suisse agree to $477 million settlement over subprime loans</td>
<td>2006 / Police raid Siemens headquarters over bribery allegations</td>
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<td>2013 / JPMorgan agrees to $13 billion settlement with government over mortgages</td>
<td>2012 / UBS AG fined $476 million by UK FSA in rogue trading scandal</td>
<td>2012 / US government temporarily bans BP from new federal contracts over “lack of business integrity”</td>
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<td>2012 / JPMorgan Chase and Credit Suisse agree to $477 million settlement over subprime loans</td>
<td>2013 / Weatherford agrees to $262 million FCPA settlement. Three subsidiaries plead guilty. Company also agrees to $100 million export controls settlement</td>
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<td>2001 / SEC investigation of Enron begins</td>
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2001 / SEC investigation of Enron begins


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<td>Hanukkah begins</td>
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**December 2015**

- **2001**: Enron files for bankruptcy.
- **2001**: Martha Stewart sells 3,928 shares of ImClone stock.
- **2002**: Wells Fargo agrees to $541 million settlement with Fannie Mae over defective home loans.
- **2008**: Bernard Madoff is arrested on counts of securities fraud, but is released on $10 million bail.
- **2012**: Eli Lilly agrees to pay $29.4 million to resolve allegations of possible corrupt business practices by overseas partners.
- **2013**: UBS settles pleading guilty of Federal fraud and money laundering.
- **2013**: Europe imposes 23.3 million fines on bank for money laundering.
- **2013**: Bank of America and Freddie Mac agree to $404 million settlement over Countrywide mortgage loans.
- **2013**: EU imposes $2.3 billion in fines on banks for rate rigging.
- **2012**: HSBC announces $1.92 billion settlement in money laundering case.
- **2012**: UBS subsidiary pleads guilty of fraud in case with $1.5 billion in fines.
- **2012**: Eli Lilly agrees to pay $29.4 million to resolve allegations of possible corrupt business practices by overseas partners.
There’s never been a tougher or better time to be a part of the compliance and ethics profession. Budgets are tight, governments around the world are looking to add new regulations, public trust in business is low, and employees are tempted to cut corners.

As a Certified Compliance and Ethics Professional (CCEP)® or Certified Compliance & Ethics Professional-International (CCEP-I)® you’ll demonstrate your ability to meet the challenges of these times and have the knowledge you need to help move your program and your career forward.

To learn more about what it takes to earn the CCEP or CCEP-I designation, visit www.compliancecertification.org. You’ll see the many benefits of joining the more than 2,600 active CCEP and CCEP-I certified compliance professionals who have already taken this critical career step.