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COMPLIANCE AND ETHICS

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# SCOTTSDALE

April 15, 2016

## Regional Compliance & Ethics Conference



Get the latest on key challenges facing the compliance community in Scottsdale, AZ

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Questions?

[katie.burk@corporatecompliance.org](mailto:katie.burk@corporatecompliance.org)

Learn more and register

[www.corporatecompliance.org/regionals](http://www.corporatecompliance.org/regionals)

8:00 – 8:25 AM

## Registration & Breakfast

8:25 – 8:30 AM

## Opening Remarks

8:30 – 9:30 AM

## Prosecutorial Ethics – What you can expect and demand of a prosecutor pre and post-indictment



Paul K. Charlton  
Managing Partner  
Steptoe & Johnson, LLP

Prosecutorial Ethics is rarely taught in law school. What most prosecutors know about their ethical obligations, they learn on the job. That means that, unfortunately, some few prosecutors have learned bad habits, and do not fully understand their true responsibilities as a prosecutor. If you are assisting a client in a pre-or post-indictment investigation, you should know what you have a right to expect from an ethical prosecutor, and what you can do when you are dealing with a prosecutor who behaves unethically.

9:30 – 9:45 AM

## Break

9:45 – 10:45 AM

## Global Data Privacy and Changing Landscape



Eduard F. Goodman, J.D., LL.M.,  
CIPP-US/C/E  
Chief Privacy Officer (CPO),  
IDT911

- Data breach impacts
- Investigations
- Personal Data: Balance between the customer and regulations

10:45 – 11:00 AM

## Break

11:00 AM – 12:00 PM

## Is the Privilege Eroding? Measures to take to protect attorney client privilege



Stephanie Fleischman Cherny  
Head of Anti-Corruption  
Compliance, eBay



Lee Stein  
Partner  
Mitchell Stein Carey

- Recent developments in the law regarding privilege with respect to corporate counsel
- Lessons Learned/Protection of the Privilege:
  - Be explicit:
    - » Don't hide that you are a lawyer
    - » Make it clear when you are communicating with a lawyer
    - » Make it clear when you are doing work at the direction of a lawyer
  - Business vs. Legal Internal Communications

12:00 – 1:00 PM

## Lunch

1:00 – 2:00 PM

## Do External Evaluations of Compliance Program Effectiveness Matter?



Steven W. Ortquist, JD, CHC-F,  
CCEP, CHRC  
Managing Director  
Aegis Compliance & Ethics Center, LLP

- Common procedure for evaluating the effectiveness of a program
- What should an external evaluation evaluate: establishing an appropriate scope
- What we've learned from interactions with the enforcement community

2:00 – 2:15 PM

## Break

2:15 – 3:15 PM

## Anticorruption Trends & Developments: Top items to revisit in your compliance program



Harvey Woodford, JD, CCEP  
VP, Chief Ethics & Compliance  
Officer, Avnet, Inc.



Betty Hum  
Intel Security Group Projects

- Recent developments in anticorruption compliance and enforcement—Yates memo, new DOJ compliance counsel, internal controls and books & records, and more
- Lessons from prominent case studies such as Petrobas, SAP, and BHP Billiton
- Practical enhancements to consider for your anticorruption compliance program

3:15 – 3:30 PM

## Break

3:30 – 4:30 PM

## Conducting Effective and Ethical Compliance Investigations



James Rough, CHC, CFE, CCEP,  
Associate Director, Disputes,  
Regulatory, Compliance &  
Investigations, Navigant



Jennifer Mitchell, JD  
Director, Healthcare & Life Sciences  
Disputes, Investigations and  
Compliance, Navigant

- Investigative protocols
- Tips on effective witness interviews
- Attorney-client privilege issues
- Remedial action & self-reporting
- Special challenges

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### W Scottsdale

7277 E. Camelback Road  
 Scottsdale, AZ 85251  
[www.wscottsdalehotel.com](http://www.wscottsdalehotel.com)

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