

NEW YORK CITY

November 10, 2017

Regional Compliance & Ethics Conference



Get the latest on key challenges facing the compliance community in New York

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Questions?

katie.burk@corporatecompliance.org

Learn more and register

www.corporatecompliance.org/regionals

7:30 – 8:25 AM

Registration and Continental Breakfast *(provided)*

8:30 – 9:30 AM

Anti-Bribery & Corruption: Understanding the legal framework, recent enforcement trends, and the tools for an effective compliance program



Hilary Huber
Manager ABC
Americas Standard Charter Bank

- Notable enforcement actions
- Building an effective compliance program in light of these enforcement actions

9:30 – 9:45 AM

Networking Break

9:45 – 10:45 AM

Decades into Maturing Compliance Programs, Are Anonymous Reporters Treated With the Respect They Deserve?



Carrie Penman
Chief Compliance Officer and Senior Vice President, Advisory Services
Navex Global



Debra Sabatini Hennelly
Founder and Senior Advisor
Compliance & Ethics Solutions

- The latest data on anonymous reporting and what it tells us about the reporters and their organizations
- Best practices in getting the most from your anonymous reports and protecting the anonymous reporters
- What multi-national organizations need to do differently in the current environment

10:45 – 11:00 AM

Networking Break

11:00 – 12:00 PM

Sanctions: Overview, Hot Topics, and Compliance Challenges



Scott M. Flicker
Partner, Litigation Department
Paul Hastings LLP

- Summary of the different U.S. sanctions regimes and enforcement agencies, and how they interact
- Recent changes in the design and enforcement of key programs affecting global trade with jurisdictions subject to sanctions, including Iran, Russia and Sudan
- Highlights of the features and challenges of an effective sanctions risk assessment and compliance program

12:00 – 1:00 PM

Networking Lunch *(provided)*

1:00 – 2:00 PM

Assessing the Effectiveness of Your Compliance Program



Robert Roach
Vice President, Chief Global Compliance Officer
New York University

- The need for assessing effectiveness and traditional challenges
- Developing a Compliance Maturity Model for your organization to assess overall program effectiveness
- Using a Compliance Maturity Model to assess effectiveness of specific compliance processes

2:00 – 2:15 PM

Networking Break

2:15 – 3:15 PM

Human Trafficking



Lisa Gross, CCEP, CCEP-I
Ethics Analysis Senior Manager,
Lockheed Martin



Tara Mancinelli
Ethics & Compliance Analyst
Lockheed Martin

- Is human trafficking a problem?
- Should your company offer training on this topic?
- What are your risk factors?

3:15 – 3:30 PM

Networking Break

3:30 – 4:30 PM

Compliance Program 3.0: The Data Driven Compliance Program



Michael Rosenberg
Director, Leadership
Learning & Development
CIT

Jerry Lettieri
Executive Director and Counsel
MSCI

Neha Gupta
Chief Executive Officer
True Office Learning

- How leveraging advanced training data can optimize seat time and inform program design
- How advanced analytics can obtain buy-in across the organization
- Leverage analytics to build effective compliance communications, assess risk, and raise awareness

NO AUDIO OR VIDEO RECORDING OF SCCE CONFERENCES IS ALLOWED. PLEASE NOTE: SESSIONS AND/OR SPEAKERS ARE SUBJECT TO CHANGE.

**Register online at www.corporatecompliance.org/regionals
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- Gluten free Vegetarian Vegan Other _____
- Kosher (no shellfish, pork or meat/dairy mixed) Kosher (Hechsher certified)

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Fax to: +1 952 988 0146

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 933 4977 or 888 277 4977 with your credit card information, fax your registration to
 952.988.0146, or visit www.corporatecompliance.org/regionals and register online*

HOTEL/CONFERENCE LOCATION:

New York Marriott Marquis

1535 Broadway, New York, NY 10036

A small block of rooms has been arranged at a rate of \$389 plus applicable state and local taxes. To make your reservation, please visit <https://laws.passkey.com/go/scce2017> or call 877-303-0104 and request the rate for the SCCE New York Regional Conference. Reservations must be made on or before October 20, 2017 in order to be eligible for the group rate. Reservations made after the cutoff date will be based on availability at the current rate.

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TAX DEDUCTIBILITY: Expenses of training (including tuition, travel, lodging and meals) incurred to maintain or improve skills in your profession may be tax deductible. Consult your tax advisor.

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