*SCCE's Annual*

# Compliance & Ethics Institute

## September 14–17, 2014

Hyatt Regency Chicago | Chicago, IL

## 100+ educational sessions

## More than 150 speakers

**Seven tracks:** risk, ethics, case studies, international/multinational, compliance lawyer, hot topics in compliance, advanced discussion groups, and investigations workshops

## Earn CLE Credits

*Learn more and register at* ***www.complianceethicsinstitute.org***

# About the Compliance & Ethics Institute

SCCE's annual Compliance & Ethics Institute is the primary education and networking event for professionals working in the compliance and ethics profession across all industries around the world. Sessions at the 2014 conference will offer the latest compliance information on hot topics and current events. Sessions have been carefully selected and will be presented by leading experts who will explore real-world compliance issues, practical application, emerging trends, and state of the art techniques.

Pre-Conference sessions will be offered on Sunday, September 14. The day is divided into two longer sessions: morning and afternoon. The longer time frame allows for in-depth discussion and interaction covering topics in more detail.

Post-Conference workshops will be offered on Wednesday, September 17. The interactive sessions are designed to cover some of the most important and timely topics.

## Learning Objectives

- Provide your organization with the most current views concerning the corporate regulatory environment, internal controls and the overall conduct of business
- Enhance strategic thinking on how to develop compliance and ethics programs to address potential corporate regulatory problems
- Address compliance, internal audit, and ethics issues common to all industries and professions
- Obtain insight on how to develop and implement compliance and ethics programs that reflect current trends and guidance from broad industry segments

## Who Should Attend

The Compliance & Ethics Institute is designed for compliance and ethics professionals and those who work with them in either an advisory or partnership capacity, including (but not limited to):

- Compliance and ethics professionals
- Audit managers
- Compliance and ethics journalists
- Compliance and ethics trainers and analysts
- Consultants
- Corporate executives (including CEOs and CFOs)
- Ethics professionals
- Human resource managers
- Information officers
- In-house and outside counsel
- Privacy officers
- Regulators and other government personnel
- Researchers and policy makers
- Risk managers
- Staff educators and trainers

## SCCE would like to thank the 2014 Compliance & Ethics Institute Planning Committee

**Marjorie W. Doyle**, JD, CCEP-F, CCEP-I, Multi-National/International Track Program Chair; Marjorie Doyle & Associates, LLC

**John Falcetano**, CHC-F, CIA, CCEP-F, CHRC, CHPC, Advanced Discussion Group Program Chair, Chief Audit & Compliance Officer, Vidant Health

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

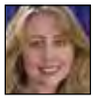
**Joseph E. Murphy**, JD, CCEP, CCEP-I, Senior Advisor, Compliance Strategists

**Daniel Roach**, JD, Co-Chair, SCCE Advisory Board; General Counsel, Optum360

**Roy Snell**, CHC, CCEP, CEO, Society of Corporate Compliance and Ethics

**Greg Triguba**, JD, CCEP, CCEP-I, Risk Track Program Chair; Senior Practice Leader, Ethics, Compliance and Risk, Affiliated Monitors, Inc.

**Adam Turteltaub**, CHC, CCEP, Vice President of Membership Development, Society of Corporate Compliance and Ethics



**Rebecca Walker**, JD, Compliance Lawyer Track Program Chair; Partner, Kaplan & Walker LLP

*Don't Let Your Learning Get Derailed at the Compliance and Ethics Institute*

# Try Following a Learning Track

There's a wealth of learning options at the Compliance & Ethics Institute, with tons of valuable insights to bring back to your program. So, how do you choose the right sessions for you?

We've arranged the sessions into learn tracks to help make the course selection easier for you. Each track is arranged around a specific area of interest, enabling you to quickly find the sessions that match your needs. You can follow one track all the way through, or hop around between them. But no matter what you choose, you'll find our tracks a fast, easy way to help pick the right Compliance & Ethics Institute sessions for you.

## GENERAL COMPLIANCE/ HOT TOPICS

### Everything from Compliance 101 to hot topics like detecting identity theft and privacy breaches

This track will keep you up to date on everything that's currently happening in the compliance and ethics environment as well as bring you back to the basics and keep you grounded. Learn what you need to know from compliance & ethics officers, regulators, outside counsel, in-house counsel, auditors, providers and industry experts.

## RISK

### Learn to effectively manage the risks your company faces

Risk and how to effectively manage it has become a top priority for most organizations. Developed by our Risk Track Program Chair, Greg Triguba, these sessions are focused on top compliance and ethics risks. Interactive sessions are led by experts in the compliance, ethics, and risk management field. Participants will take a deep dive into important risk areas and will learn strategies for effectively managing these risks.

## ETHICS

### Immerse yourself in ethics

There are few things more challenging or rewarding to manage than ethics issues. It's a topic where everyone has an opinion. The subtleties are great, and they can make all the difference in the world. Ethics Track sessions will cover the ethical considerations that C&E professionals need to understand and manage effectively.

## CASE STUDIES

### Just the facts: Case studies in ethics and compliance

It's one thing to discuss the issues compliance and ethics professionals face. It's another thing to see what companies have actually done to effectively manage these challenges. The Case Study track will take you inside companies and show you how they've handled specific issues.

## COMPLIANCE LAWYER

***(NEW LEARNING TRACK THIS YEAR)***

### For the in-house and outside counsel

This track is designed to meet the specific needs of the legal community on the hot compliance topics for legal counsel. On it you'll find insights of value to your practice and your clients.

## MULTI-NATIONAL/ INTERNATIONAL

### Global compliance and ethics programmes face added and fastchanging complexities

Chaired by Marjorie Doyle, the International/Multinational Track will dive deeper into the needs of the global programme and the topics that are creating the biggest challenges for global companies today.

## ADVANCED DISCUSSION GROUPS

### Been there, done that? Join an advanced discussion group and share what you know

If you're an experienced compliance and ethics professional or looking for a more interactive program, this track is for you. Each session is designed to involve everyone in the room. There are no formal presentations, just discussion facilitated by industry experts.

*Pre-registration is required for Advanced Discussion Groups. Attendance is limited to 50 participants. Please indicate your attendance on your registration form.*

*Don't miss SCCE's 8th Annual*

# Volunteer Project

Hope Manor Apartments
Provided by Volunteers of America

## Saturday, September 13, 2014 | 11:00 AM – 3:30 PM

Come to the Compliance & Ethics Institute early and help us give back to the community! Registration is free for this event and provides you with a volunteer t-shirt, lunch and transportation to and from the project location. At the 2014 event, we'll be assisting the Volunteers of America Illinois chapter with landscaping, painting & light repair work around the Hope Manor Apartment building. Hope Manor Apartments is an 80-unit permanent supportive housing program provided by Volunteers of America of IL that includes a full continuum of on-site services and support for homeless Veterans. It's a great networking opportunity with fellow conference attendees, speakers and SCCE board members. Be sure to select the volunteer project option on your registration form.

**For more information about volunteering, contact Katie Burk at Katie.Burk@corporatecompliance.org**

*Time of project subject to change*

# *Why* join SCCE?

## *Join today and you'll enjoy the support of thousands of compliance and ethics professionals worldwide.*

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.

SOCIETY OF CORPORATE COMPLIANCE AND ETHICS

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www.corporatecompliance.org / helpteam@corporatecompliance.org

# Become a mentor. Find a mentor. Connect with your peers.

EARN 1.5 CEUs*

## Find a Connection and Support the Development of the profession at the Compliance & Ethics Institute

Take advantage of the live SpeedMentoring and SpeedNetworking sessions at the Compliance & Ethics Institute

## SUNDAY, SEPTEMBER 14

SpeedNetworking: 7:30–8:30 AM
SpeedMentoring: 12:00–1:00 PM

**Want to build out your network?** Sign up for our SpeedNetworking session. It's a fun way to connect with peers who share your challenges.

**Want to give back to the profession by sharing your expertise?** Sign up to be a mentor. When you come to the SpeedMentoring session you'll be connected face-to-face with compliance professionals looking for an experienced practitioner to guide them.

**Looking for a mentor?** The SpeedMentoring session is the place to meet one-on-one with potential mentors.

Whichever option you choose, you are in control of the people you will connect with! Both events offer seven individual one-on-one meetings and provide an excellent opportunity to learn from one another and initiate long-lasting professional relationships.

## Sign up at www.complianceethicsinstitute.org/speedmentors But don't wait to enroll. Space is limited.

*We welcome all attendees of the 13th Annual Compliance & Ethics Institute to participate. The events are specifically focused on sharing knowledge and information relating to compliance and ethics. We respectfully request no solicitation of services or products during these sessions.*

**A maximum of 1.5 CCB credits for networking may be awarded per year*

# Be recognized

for your experience and knowledge

## Become CCB certified in:

- Certified Compliance & Ethics Professional (CCEP)®
- Certified Compliance & Ethics Professional – International (CCEP-I)®

*Earn the recognition you deserve. Demonstrate your knowledge and expertise. Enhance your credibility.*

LEARN MORE AT **www.compliancecertification.org**

CCEP™
Certified Compliance & Ethics Professional

CCEP-I™
INTERNATIONAL
Certified Compliance & Ethics Professional

# PROGRAM AT A GLANCE

## Saturday, September 13

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|---|---|
| 11:00 AM–3:30 PM | **Volunteer Project** |
| 3:00–7:00 PM | **Registration Open** |

## Sunday, September 14

| | |
|---|---|
| 7:30–8:30 AM | **SpeedNetworking** |
| 7:30 AM–6:00 PM | **Registration Open** |
| 9:00 AM – 12:00 PM PRE-CONFERENCE MORNING BREAKOUT SESSIONS *(includes 15-minute break)* | P1 **Ethics & Compliance Risk Management 101: Program Essentials and Effective Practice –** *Greg Triguba, Senior Practice Leader, Ethics, Compliance and Risk, Affiliated Monitors, Inc.; John Falcetano, Chief Audit & Compliance Officer, Vidant Health* |
| | P2 **Don't Let Culture Happen to You: Understanding and Leveraging Your Culture for Ethics & Compliance Effectiveness –** *(Moderator) Mark Rowe, Advisory Services & Knowledge Leader, LRN; Allyson Bouldon, Vice President and Chief Compliance Officer, Chiquita Brands; Robert M. Talley, President - Corporate, General Counsel & Secretary, Johnson Matthey, Inc.; Deborah Valentine, Competition Compliance Officer, NSG Group* |
| | P3 Part I **(9:00 -10:30 AM): Seven Years of Intimidation and Fraud…Aftermath of a Rogue Leader –** *Blair C. Marks, Director, Ethics Awareness and Operations, Lockheed Martin Corporation; Ellen Daly, Senior Manager, Ethics and Business Conduct, Lockheed Martin Missiles and Fire Control* |
| | P3 Part II **(10:45 AM-12:00 PM): Top 10 Tips for Managing Your 3rd Parties' & Vendors' Privacy, Data Protection, Security & Compliance –** *Web Hull, Privacy, Data Protection & Compliance Advisor* |
| | P4 **Emerging Markets and Integrity Risk Management –** *David G. Hawkes, Head of Special Litigations, World Bank Group Integrity Vice Presidency; Paul Haynes, Head of Voluntary Disclosure Program, Integrity Vice Presidency, World Bank; Jacqui Beckett, JD, Beckett Ethics and Compliance International PC* |
| | P5 **The Compleat (Yes, Compleat) Compliance Professional –** *Mary-James Young, Sr Compliance & Regulatory Counsel, Vectren Corporation* |
| | P6 **Compliance 101 –** *Debbie Troklus, Managing Director, Aegis Compliance and Ethics Center; Marjorie W. Doyle, Marjorie Doyle & Associates, LLC* |
| | P7 **Investigations Workshop** |
| | Part I **(9:00–10:00 AM): Beginning the Investigation and Interviewing the Reporter –** *Al Gagne, Former Director, Ethics & Compliance, Textron Systems Corporation (retired); Latour (LT) Lafferty, Partner, Holland & Knight LLP* |
| | Part II **(10:00–11:00 AM): Planning the Investigation –** *Meric C. Bloch, Senior Director, Global Compliance, Jabil Circuit, Inc.* |
| | Part III **(11:15 AM–12:00 PM): Taking Effective Interviews –** *Meric C. Bloch, Senior Director, Global Compliance, Jabil Circuit, Inc..* |
| 12:00–1:00 PM | **SpeedMentoring** |
| 12:00–1:30 PM | **Lunch (on your own)** |
| 1:30 PM – 4:30 PM PRE-CONFERENCE AFTERNOON BREAKOUT SESSIONS *(includes 15-minute break)* | P8 **Effectively Managing Corruption and Bribery Risk in Leading Global Markets: Advanced Practice Workshop –** *Nathaniel Edmonds, Partner, Paul Hastings LLP, Former Assistant Chief (FCPA Unit), Criminal Division, Fraud Section, US DOJ; Adrian D. Mebane, Vice President, Global Ethics and Compliance, The Hershey Company ; Betty Hum, Associate Director, Anti-Corruption Compliance Program, Ethics & Legal Compliance Group at Intel Corporation* |
| | P9 **Generational Ethics: The Battle of the Ages –** *Paul Fiorelli, Professor of Legal Studies and Co-Director, Cintas Institute, Xavier University: Gretchen A. Winter, Executive Director, Center for Professional Responsibility in Business and Society, College of Business, University of Illinois; Adjunct Professor of Law, University of Illinois College of Law* |
| | P10 **Fostering a Speak Up Culture: An Orbital Sciences Corporation Case Study –** *Dr. Marsha Ershaghi Hames, Sr. Leader, Education Advisory Services, LRN; Nancy Turner, Director, Ethics and Compliance, Orbital Sciences Corp* |
| | P11 **When Cultures Collide –** *Sally March, Director, Drummond March & Co; Cynthia S. Morrison, Senior Manager, Global Ethics and Compliance, Bunge Limited; Nitish Singh, Professor of International Business, Saint Louis University; President, IntegTree LLC; Volker Pasternak, Director of Compliance & International Legal, Electric Power Research Institute (EPRI)* |
| | P12 **New Mandate, New Mindset: Making a Successful Transition Into a Compliance & Ethics Career (What Lawyers, In-House Counsel & Others in Transition Need To Know) –** *Donna C. Boehme, Principal, Compliance Strategists LLC; Michael Volkov, Former Federal Prosecutor; CEO, The Volkov Law Group; Patrick J. Gnazzo, Principal, Better Business Practices* |
| | P13 **Practical Use of The Code of Professional Ethics for Compliance & Ethics Professionals –** *Art R. Weiss, Chief Compliance & Ethics Officer, TAMKO Building Products; Marjorie W. Doyle, Marjorie Doyle & Associates, LLC; Urton Anderson, Director, Von Allmen School of Accountancy, University of Kentucky; Joseph E. Murphy, Senior Advisor, Compliance Strategists* |
| | P14 **Investigations Workshop (continued from P7)** |
| | Part IV **(1:30–2:30 PM): Revealing and Analyzing Documents –** *Latour (LT) Lafferty, Partner, Holland & Knight LLP* |
| | Part V **(2:45–3:45 PM): Preparing the Investigation Report –** *Al Gagne, Former Director, Ethics & Compliance, Textron Systems Corporation (retired)* |
| | Part VI **(3:45–4:30 PM): Q&A Panel –** *Meric C. Bloch, Senior Director, Global Compliance, Jabil Circuit, Inc.; Al Gagne, Former Director, Ethics & Compliance, Textron Systems Corporation (retired); Latour (LT) Lafferty, Partner, Holland & Knight LLP* |
| 4:30–6:00 PM | **Opening Tailgate Reception in Exhibit Hall** *Sponsored by NAVEX Global™* |
| 5:30–6:30 PM | **Authors' Reception and Compliance & Ethics Academy Reunion** |
| 6:00–7:00 PM | **TweetUp and "Appy" Hour** |

## Monday, September 15

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|---|---|
| 7:00 AM–6:00 PM | **Registration Open** |
| 7:00–8:15 AM | **Continental Breakfast in Exhibit Hall** |
| 8:15–8:30 AM | **Opening Remarks** |

RISK | ETHICS | CASE STUDIES | MULTI-NATIONAL/ INTERNATIONAL | COMPLIANCE LAWYER | GENERAL COMPLIANCE/ HOT TOPICS | INVESTIGATIONS WORKSHOP | ADVANCED DISCUSSION GROUPS

*Invited Sessions - Agenda subject to change*

# PROGRAM AT A GLANCE

## Monday, September 15

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|---|---|---|
| 8:30–9:30 AM | | **General Session - Cyber Security –** *James B. Comey, Director, United States Federal Bureau of Investigation* |
| 9:30–10:30 AM | | **General Session - Management: It's Role, in Ethical Culture and Compliance –** *Marianne M. Jennings, Professor Emeritus of Legal and Ethical Studies, Arizona State University* |
| 10:30–11:00 AM | | **Networking Break in Exhibit Hall** |
| 11:00 AM – 12:00 PM BREAKOUT SESSIONS | | 101 **Conflicts of Interest: Identifying Risks and Mitigating Harm without Unnecessary Restrictions –** *Rebecca Walker, Partner, Kaplan & Walker LLP* |
| | | 102 **How to Conduct a Successful, Educational and Entertaining Ethics Day Program –** *Bruce A. Androphy, Director, NIEHS Ethics Program, NIEHS* |
| | | 103 **Driving Business Accountability: Leveraging Investigation Learnings to Improve Compliance Programs –** *Page Motes, Director, Global Ethics & Compliance, Dell Inc.; Luis Canuto, Global Ethics Investigations Co-Leader, Latin America Ethics Compliance Director, Dell Inc.* |
| | | 104 **Preventing Misconduct through Proper Due Diligence in Asia –** *Allan Matheson, Managing Director, Blue Umbrella* |
| | | 105 **This House Believes that Lawyers Make Excellent Compliance Officers: Oxford Union-Style Interactive Debate. –** *Murray D. Grainger, Founder, Impact on Integrity; Amii Barnard-Bahn, Former Chief Compliance & Ethics Officer, McKesson U.S. Pharmaceutical; Jane L. Mitchell, Director, JL&M* |
| | | 106 **Proactively Detect Identity Theft and Privacy Breaches by Insiders –** *Alan Norquist, CEO & Founder, Veriphyr, Inc.* |
| | | 107 **How To Identify Risky Behaviors that are Predictive of Ethical Misconduct –** *Carolyn S. Egbert, Owner and Founder, Creative Solutions for Exceutives* |
| | | 108 **Justifying a Compliance Budget Increase in a Time of Scarcity –** *Julie K. Moriarty, General Manager, Training and Communications Strategy, The Network; Jimmy Lin, VP of Product & Corporate Development, The Network* |
| | | AD1* **Risk Assessment Methodologies –** *John Falcetano, Chief Audit & Compliance Officer, Vidant Health * Pre-registration is required. Attendance is limited to 50 participants.* |
| | | AD2* **Culture is Everything –** *Steven Priest, President, Integrity Insight International * Pre-registration is required. Attendance is limited to 50 participants.* |
| 12:00–1:00 PM | | **Networking Lunch** |
| 1:00–1:30 PM | | **Networking Break in Exhibit Hall** |
| 1:30 PM – 2:30 PM BREAKOUT SESSIONS | | 201 **Cyber-Security Risk in the Global Organization: Trends, Challenges and Strategies for Effective Management –** *David Childers, Chief Executive Officer, Complí* |
| | | 202 **Accountability - If Everyone Wants It, Why is It So Hard to Get? –** *David Gebler, President, Skout Group, LLC* |
| | | 203 **Strengthening an Ethics & Compliance Program While Under a Government Investigation: A Gallup case study. –** *William E. Kruse, Vice President - Law & Counsel, Regulatory Compliance Officer, Gallup Inc* |
| | | 204 **Case Study: Building an International Compliance Programme –** *Paul H. Zietsman, Trade Compliance Lead Specialist, Sadara Chemical Company* |
| | | 205 **Three Things You Need to Know About M&A Ethics Integration –** *Lisa A. Gross, Ethics Analysis Senior Manager, Lockheed Martin* |
| | | 206 **How to Measure the Effectiveness of Your Ethics and Compliance Program –** *Michael Ward, Former Deputy General Counsel and Vice President, Compliance Systems and Investigations, Cisco Systems* |
| | | 207 **Hot Off the Presses: RAND 2014 Symposium Report: Transforming Compliance - Emerging Paradigms for Boards, Management, Compliance Officers and Government –** *Michael Greenberg, Director, Center for Corporate Ethics and Governance, RAND Corporation; Scott Killingsworth, Partner, Bryan Cave LLP; Michael Volkov, Formal Federal Prosecutor, CEO, The Volkov Law Group* |
| | | 208 **Lie Detection for Compliance and Ethics Professionals –** *Michael W. Johnson, CEO, Clear Law Institute* |
| | | AD3* **Can't Pay Won't Pay –** *Marjorie W. Doyle, Marjorie Doyle & Associates; Sally March, Director, Drummond March & Co. * Pre-registration is required. Attendance is limited to 50 participants.* |
| | | AD4* **Compliance Dashboards –** *Shawn DeGroot, Associate Director, Navigant* |
| 2:30–3:00 PM | | **Networking Break in Exhibit Hall** |
| 3:00 PM – 4:00 PM BREAKOUT SESSIONS | | 301 **Global Antitrust Compliance and Risk—Creating an Effective Program –** *Tim Bridgeford, Senior Compliance Counsel - FCPA, Antitrust & Investigations, Tyco; Douglas Tween, Partner, Baker & McKenzie LLP; Robert E. Connolly, Partner, Geyergorey LLP* |
| | | 302 **Culture Shift: Moving From a Check-the-Box Mentality to One of Ethical Performance –** *Cindy Yanasak, Compliance & Ethics Program Manager, Progressive Corporation* |
| | | 303 **The Compliance "Speed Trap"–** *Kuldeep Singh, Health Care Compliance Officer, Johnson & Johnson* |
| | | 304 **Anticorruption at the Crossroads in Europe –** *Sally March, Director, Drummond March & Co; Charles E. Duross, Partner, Morrison & Foerster LLP* |
| | | 305 **Legal Ethics for Compliance Lawyers –** *Jeffrey M. Kaplan, Partner, Kaplan & Walker LLP; Rebecca Walker, Partner, Kaplan & Walker LLP* |
| | | 306 **Nudge - Using Latest Findings From Behavioral Economics, Choice, and Framing Work to Encourage and Support Compliance Programs and Compliant Behavior –** *James Sheehan, Chief, Charities Bureau, Office of the New York Attorney General; Kenneth Zeko, Director, Navigant* |
| | | 307 **Managing the Costs of Misconduct: The New Normal of Investigations, Voluntary Disclosures and Enforcement –** *Joan E. Meyer, Partner, Baker & McKenzie LLP; Glenn Leon, Vice President and Associate General Counsel, Investigations, Hewlett-Packard; Simon Taylor, Associate General Counsel, Accenture* |
| | | 308 **Strengthening Your Ethics & Compliance Program with Tone from the Middle –** *Kirsten E. Liston, Associate Vice President, SAI Global; Michael Levin, Senior Director of Compliance: Ethics & Business Practices, Freddie Mac* |
| | | AD5* **Suppliers and Other Third Party Engagement –** *Jeffery A. Thinnes, CEO, JTI, Inc. * Pre-registration is required. Attendance is limited to 50 participants.* |
| | | AD6* **Using Process Assessments to Enhance Your Ethics Program–** *Andrene Bresnan, Senior Manager, Compliance Risk Management, The Boeing Company; Ellen Martin, Vice President, Ethics and Business Conduct, The Boeing Company * Pre-registration is required. Attendance is limited to 50 participants.* |

* Pre-registration is required for Advanced Discussion Groups. Attendance is limited to 50 participants. Please indicate your attendance on your registration form.

| RISK | ETHICS | CASE STUDIES | MULTI-NATIONAL/ INTERNATIONAL | COMPLIANCE LAWYER | GENERAL COMPLIANCE/ HOT TOPICS | INVESTIGATIONS WORKSHOP | ADVANCED DISCUSSION GROUPS |
|---|---|---|---|---|---|---|---|

*Invited Sessions - Agenda subject to change*

# PROGRAM AT A GLANCE

## Monday, September 15

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|---|---|
| 4:00–4:30 PM | **Networking Break in Exhibit Hall** |
| 4:30 PM – 5:30 PM BREAKOUT SESSIONS | 401 **Global Privacy and Data Protection Risk: Implementing Best Practices Now to Comply with Impending Regulatory Changes –** *Robert Bond, Head of Data Protection and Information Security, Speechly Bircham; Kristy Grant-Hart, Chief Compliance Officer, United International Pictures* |
| | 402 **Ethical Decision-Making: Managing the Grey Area Between "Legal" and "Right" –** *Karen M. Aavik, Assistant General Counsel, First Niagara Financial Group* |
| | 403 **Training and Communicating With a Global Workforce –** *Charlotte D. Young, Chief Ethics and Compliance Officer, The Nature Conservancy; Grace Wu de Plaza, Deputy Ethics & Compliance Officer, The Nature Conservancy* |
| | 404 **Minimizing Bribery Risks in Brazil: A Complete Review of the Legislative Landscape and How to Address Corruption Risks in Your Operations in Brazil –** *Shin J. Kim, Partner, Compliance Practice Group, TozziniFriere Advogados; Renata Muzzi Almedia, Partner, Compliance Practice Group, TozziniFriere, Advogados; Juliana Sa de Miranda, Partner, Compliance Practice Group, TozziniFreire Advogados* |
| | 405 **Implementing Compliance Programs in a Consensus Culture –** *David R. Birk, Managing Director, Black Belt Compliance, LLC; Sepideh Moghadam, Managing Director, Black Belt Compliance LLC* |
| | 406 **The Relationship Roadmap: How CECOs Can Turn Turf Battles Into High-Performing Working Relationships –** *Donna C. Boehme, Principal, Compliance Strategists LLC; Stephen M. Naughton, VP - Chief Ethics and Compliance Officer, Kimberly-Clark Corporation; Judith Nocito, Former Director - Global Compliance, Alcoa (Retired); Senior Advisor, Compliance Strategists LLC* |
| | 407 **Pay-to-Play Pitfalls: A Rising Threat to Your Business Plan –** *Simon Davidson, Author, Roll Call's A Question of Ethics; Counsel, McGuire Woods LLP; Steve Epstein, Chief Counsel, Ethics & Compliance, The Boeing Company* |
| | 408 **Nuts and Bolts of Creating Effective Video for Ethics Training –** *Anthony E. Dolan, President, Resound Inc.* |
| | AD7* **Free Resources That Create Compelling Ethics and Compliance Training –** *Greg Walters, Trial Attorney, U.S. Department of Housing & Urban Development * Pre-registration is required. Attendance is limited to 50 participants.* |
| | AD8* **Designing a Trustworthy Organization –** *Jeffery Wiggins, Vice President Audit & Compliance, Vidant Health* *** Pre-registration is required. Attendance is limited to 50 participants.** |
| 5:30–7:00 PM | **Networking Reception in Exhibit Hall** |
| 7:00 – 9:00 PM | **International Compliance & Ethics Awards Dinner** |

## Tuesday, September 16

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|---|---|
| 7:00 AM–5:30 PM | **Registration Open** |
| 7:00–8:15 AM | **Continental Breakfast in Exhibit Hall** |
| 8:15–8:30 AM | **Opening Remarks** |
| 8:30–9:30 AM | **General Session - Whistleblowers: How to Provide the Right Incentives to Report Fraud Internally and What Happens When You Fail –** *Eric R. Havian, Partner, Phillips & Cohen LLP; Joyce Branda, Deputy Assistant Attorney General, United States Department of Justice; Sean McKessy, Office of the Whistleblower, United States Securities & Exchange Commission* |
| 9:30–10:30 AM | **General Session - Influencing Decision-Making –** *Jennifer O'Brien, Chief Compliance Officer, UnitedHealthcare; Roy Snell, CEO, Society of Corporate Compliance & Ethics* |
| 10:30–11:00 AM | **Networking Break in Exhibit Hall** |
| 11:00 AM – 12:00 PM BREAKOUT SESSIONS | 501 **Government Contracts and Relationship Risk: What Every Compliance and Ethics Officer Should Know –** *Robert Meunier, CEO and General Counsel, Debarment Solutions Institute; Dirk Cockrum, Vice-President, Compliance, Kinder Morgan Energy Partners, L.P.* |
| | 502 **How to Build a Corporate Ethical Culture to Improve Compliance and Prevent Fraud –** *Eric R. Feldman, Managing Director Corporate Ethics and Compliance, Affiliated Monitors, Inc* |
| | 503 **Trust and Verify: Investigations and Compliance Forensic Tools –** *Martin Wolin, Chief Risk and Compliance Officer, North America and Latin America, Mercer; Alan Halfenger, Chief Compliance Officer, Bain Capital, LLC* |
| | 504 **Anti-Corruption Compliance Challenges—the Cost of Doing Business in High Risk Regions of the World –** *(Moderator) James M. Lord, Attorney at Law, Jackson Lewis P.C.; Winston Y. Chan, Of Counsel, Gibson Dunn; Harvey Woodford, Chief Ethics & Compliance Officer, Avnet, Inc.* |
| | 505 **Are Your Corporate Contract Clauses Running Offense and Defense for Your Compliance Program? –** *Amy E. Hutchens, President, CLEAResources, LLC; Jason B. Meyer, President, LeadGood, LLC* |
| | 506 **Bring Your Own Device (BYOD) - They are here and they are not going away. Understanding the benefits, risks and establishing a commonsense strategy for Personally Owned Devices (PODs) in the workplace. –** *James A. Donaldson, Director Corporate Compliance/Privacy & Security Officer, Baptist Health* |
| | 507 **The Five Essential Elements of Corporate Compliance: A Practical Guide to an Effective Compliance Program As Seen Through the Eyes of a Compliance Officer, the DOJ and the SEC –** *Stephen Martin, Managing Director, Baker & McKenzie LLP; Marc Litt, Partner, Baker & McKenzie LLP; Laurel L. Burke, Associate General Counsel - Compliance, Regal-Beloit Corporation* |
| | 508 **What has the DOJ Communicated About Best Practices in 2014? –** *Thomas R. Fox, Principal, Tomfoxlaw.com* |
| | AD9/Repeat of AD1* **Risk Assessment Methodologies –** *John Falcetano, Chief Audit & Compliance Officer, Vidant Health * Pre-registration is required. Attendance is limited to 50 participants.* |
| | AD10/Repeat of AD7* **Free Resources That Create Compelling Ethics and Compliance Training –** *Greg Walters, Trial Attorney, U.S. Department of Housing & Urban Development * Pre-registration is required. Attendance is limited to 50 participants.* |

* Pre-registration is required for Advanced Discussion Groups. Attendance is limited to 50 participants. Please indicate your attendance on your registration form.

RISK | ETHICS | CASE STUDIES | MULTI-NATIONAL/ INTERNATIONAL | COMPLIANCE LAWYER | GENERAL COMPLIANCE/ HOT TOPICS | INVESTIGATIONS WORKSHOP | ADVANCED DISCUSSION GROUPS

*Invited Sessions - Agenda subject to change*

# PROGRAM AT A GLANCE

## Tuesday, September 16

| | | |
|---|---|---|
| 12:00–1:30 PM | | **Networking Lunch** |
| 1:30 PM – 2:30 PM BREAKOUT SESSIONS | | 601 **Global Records and Information Management Risk: Proactive and Practical Approaches to Effective Management –** *Maura L. Dunn, President, TrailBlazer Consulting, LLC; Lee Karas, Executive Vice President, TrailBlazer Consulting, LLC* |
| | | 602 **Creating and Sustaining a Values Based Organization: Key Factors Important to Embedding and Embodying Organizational Values –** *Ann D. E. Fraser, Executive Director, VICR, Canadian Food Inspection Agency* |
| | | 603 **Managing Compliance Across an Outsourced Talent Supply Chain –** *Barbara A. Stockman, Senior Director, Ethics & Compliance, Kelly Services, Inc.; Leslie Stoner, Senior Director, Kelly Services, Inc.* |
| | | 604 **Developing a Systemic Approach to Integrating Compliance in BRIC Countries –** *TBA* |
| | | 605 **Compliance Program Officers and Counsel: How to Respond to Organizational Compliance Matters –** *Gabriel L. Imperato, Managing Partner, Broad and Cassel; Daniel Roach, General Counsel, Optum360* |
| | | 606 **From Shelfware to Software: Compliance Standards in the Era of 'Big Data' –** *Scarlett R. Wirt, Assistant Director for Standards, Monitoring and Assessments, National Security Agency Office of the Director of Compliance* |
| | | 607 **What Compliance Professionals Can Learn From Behavioral Psychology: How To Get People to Do What You Want! –** *Virginia MacSuibhne, Chief Compliance Officer, Roche* |
| | | 608 **Investigations: Strategy and Conducting Interviews –** *Michele A. Yaroma, Supervisory Special Agent, FBI* |
| | | AD11* **Advanced Data Analytics and Advanced Display Systems for Compliance –** *Theodore L. Banks, Partner, Scharf Banks Marmor LLC; Franz Dill, Former Chief Scientist, Analytics, Proctor & Gamble; Partner, PKL Knowledge Partners, LLC * Pre-registration is required. Attendance is limited to 50 participants.* |
| 2:30–3:00 PM | | **Networking Break** |
| 3:00 PM – 4:00 PM BREAKOUT SESSIONS | | 701 **Managing Social Media Risk: Challenges and Opportunities –** *Adam Turteltaub, VP Membership Development, Society of Corporate Compliance & Ethics* |
| | | 702 **Unlocking the Positive Value of Ethical Behavior - A Practical Approach to Ethical Leadership –** *Marcy J. Maslov, CEO, e-Factor!® - educational board games for business ethics* |
| | | 703 **Small Company, Big Shoes –** *David W. Weber, Supervising Engineer, Superior Water, Light & Power Company; Nick S. Nelson, Utility Compliance Specialist, Superior Water, Light & Power* |
| | | 704 **International Data Protection/Cybercrime: Conflict of Laws and Overlapping Sanctions in Different Jurisdictions –** *Jonathan P. Armstrong, Lawyer, Cordery, UK; Thomas Obermaier, Chief Executive Officer, Regulatory DataCorp (RDC)* |
| | | 705 **The Role of Legal in Compliance –** *Suzanne Rich Folsom, General Counsel and Senior Vice President - Governmental Affairs, United States Steel Corporation; Glenn T. Ware, Esq., Principal, PricewaterhouseCoopers LLP* |
| | | 706 **Getting the Most out of Compliance Committees –** *Margaret A. Steenrod, Manager, Pacific Financial Center LLC; Paula F. Saddler, Principal, Hudson-Ethics Consulting; Ann Dunham, Compliance Officer, Hannibal Regional Healthcare System* |
| | | 707 **Views from the Bench on Compliance & Ethics Programs –** *John Hanson, Executive Director, Artifice Forensic Financial Services, LLC; Honorable Wayne R. Andersen (ret.), Mediator & Arbitrator, JAMS Chicago* |
| | | AD12* **BIG Data - BIG Compliance –** *John DeLong, Director of Compliance, National Security Agency; Julia Pallozzi-Ruhm, Deputy Director of Compliance, National Security Agency * Pre-registration is required. Attendance is limited to 50 participants..* |
| 4:00–4:15 PM | | **Networking Break** |
| 4:15 PM – 5:15 PM BREAKOUT SESSIONS | | 801 **Strategies for Managing and Mitigating Global Trade Compliance Risk –** *Gwen Hassan, Managing Attorney - Compliance & Regulatory, CNH Industrial America LLC; Kendra Cook, Owner/Director of Compliance, C2 International, LLC* |
| | | 802 **The Alchemy of Ethics: Is Organizational Development (OD) the Catalyst That Will Enable You to Achieve the Gold Standard of Cultural Change in your Organization? –** *Ruth N. Steinholtz, Values Based Business Ethics Advisor, AreteWork, LLP* |
| | | 803 **Making it Real - Tying Compensation to Compliance Using a Compliance Scorecard –** *John Loxterman, Aetna* |
| | | 804 **Building an Effective Ethics & Compliance Training Program for a Diverse Multi-National Workforce –** *Wayne M. Chancellor, Vice President - Legal, AngloGold Ashanti Americas Inc.* |
| | | 805 **Cyber-Security Risk – IP Theft and Data Breaches: Protecting Your Crown Jewels Internally and with Key Third Parties –** *Pamela Passman, President and CEO, Center for Responsible Enterprise and Trade – CREATe.org; Glenn T. Ware, Principal, PricewaterhouseCoopers LLP; Luis Canuto, Global Ethics Investigations Co-Leader, Latin America Ethics Compliance Director, Dell Inc.* |
| | | 806 **U.S. Immigration Law Compliance - Understanding and Minimizing Liability Risks –** *Sarah A. Asta, Fragomen, Del Rey, Bernsen & Loewy LLP; Bernhard Mueller, Ogletree, Deakins, Nash, Smoak & Stewart, P.C.* |
| | | 807 **Connecting to the Remote and Transitional Workforce –** *Adelle Elia, Chief Ethics & Compliance Officer, US Investigations Services; Paige Shannon, Federal Services Counsel & Compliance Officer, Kforce Inc.* |

* Pre-registration is required for Advanced Discussion Groups. Attendance is limited to 50 participants. Please indicate your attendance on your registration form.

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# PROGRAM AT A GLANCE

## Wednesday, September 17

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|---|---|---|
| 8:00 AM – 12:00 PM | | **Registration Open** |
| 8:00 AM – 9:45 AM POST-CONFERENCE BREAKOUT SESSIONS | | W1 **Integrating Technology to Enhance Your E&C Program and Mitigate Risk: Finding the Right Fit –** *Caroline McMichen, Chief Ethics & Compliance Officer, Molson Coors Brewing Company; Jennifer Oriel, Global Manager, Ethics & Compliance, Molson Coors Brewing Company* |
| | | W2 **Preventing Retaliation: Ten Solid Steps to Create a Solid Speak-Up Culture –** *Katherine Cooper Franklin, Shareholder, Littler Mendelson P.C.; Earl M. Jones, Shareholder, Littler Mendelson, P.C.; Gretchen A. Winter, Executive Director, Center for Professional Responsibility in Business and Society, College of Business, University of Illinois; Adjunct Professor of Law, University of Illinois College of Law* |
| | | W3 **BP and the Deepwater Horizon Spill - Why BP Carried the Blame –** *Michele Jurgens, Program Chair, Masters of Business Ethics & Compliance, New England College of Business and Finance* |
| | | W4 **Making the Code of Conduct Resonate Across Borders**<br>Part I **How Do You Create Easily Understood and Meaningful Ethics and Compliance Policies and Procedures in Local Languages for a Global Audience? –** *Jay Rosen, VP Language Solutions, Merrill Brink International; Melissa M. Paul, Senior Attorney, FedEx Corporation; Eric O. Morehead, Senior Compliance Counsel, NYSE Governance Services*<br>Part II **Making Codes of Conduct and C&E Programs Resonate Across Borders –** *Sean J. Oliver, Consultant, Language & Culture Worldwide, LLC* |
| | | W5 **Board Training: Ten Things to Ensure your Board Knows about Ethics & Compliance –** *Carrie Penman, Chief Compliance Officer and Senior Vice President, Advisory Services, NAVEX Global; Diane Brown, Head of Operations, Advisory Services, NAVEX Global: The Ethics and Compliance Experts; Michael Kallens, Associate General Counsel and Manager, Corporate Ethics and Compliance, Booz Allen Hamilton* |
| | | W6 **Developing and Implementing a Thriving Compliance Program: Bird's Eye View vs. Fish Eye View –** *Barbara L. Harmon, Compliance & Ethics Lead, Alyeska Pipeline Service Co; Cynthia S. Morrison, Senior Manager, Global Ethics and Compliance, Bunge Limited* |
| 9:45 – 10:00 AM | | **Networking Break** |
| 10:00 AM – 11:45 AM POST-CONFERENCE BREAKOUT SESSIONS | | W7 **Advanced Risk Management Workshop: Tackling and Effectively Managing Your Top Ethics and Compliance Risks –** *Monica Reinmiller, Director, Ethics & Compliance Symantec Corporation; David Wong, Sr. Manager, Ethics & Compliance, Symantec Corporation* |
| | | W8 **Attract, Empower and Retain Ethical Employees –** *Ann M. Kulow, Manager, Corporate Governance/Compliance, Harley-Davidson; Lorrie Corbin-Bamford, Director of Compliance/General Counsel, Gaming Capital Group, LLC* |
| | | W9 **Employee Behavior Change Management Strategies: Case Studies on Getting Employees to Follow Compliance Programs –** *Mark Diamond, CEO, Contoural, Inc.; Ann E. Drew, Chief Compliance Officer, SIG SAUER Inc.* |
| | | W10 **Practices & Pitfalls: The Global Investigation Of A U.S.-based Multinational –** *Sophie Marlange, Legal Director EMEA, Employment and Ethics, Dell Inc.; Chris Enloe, Director of Global Investigations, Dell, Inc.* |
| | | W11 **Professional Mentoring Panel –** *Adam Turteltaub, (moderator) VP Membership Development, Society of Corporate Compliance & Ethics; Odell Guyton, SCCE Co-Chair, Vice President, Global Compliance, Jabil Circuit, Inc; Haydee Olinger, Corporate VP Global Compliance Officer, McDonald's Corporation; Daniel Roach, Co-Chair, SCCE Advisory Board, General Counsel, Optum360* |
| | | W12 **Building a Scalable Compliance Infrastructure: Leveraging A Liaison Network –** *Jeffrey Piposar, Director and Executive Advisor, CEB Compliance & Ethics* |
| 1:00 – 1:30 PM | | **Exam Check-In: Certifi ed Compliance & Ethics Professional (CCEP)® Exam Check-In and International Certified Compliance & Ethics Professional (CCEP-I)™** |
| 1:30 – 4:30 PM | | **Certified Compliance & Ethics Professional (CCEP)® Exam (optional)** |
| 1:30 – 5:30 PM | | **Certified Compliance & Ethics Professional - International (CCEP-I)™ Exam (optional)** |

# Affinity group meetings in 2014

## Make the Compliance & Ethics Institute® the site for your next off-site team meeting

We know it's hard to meet with your team, especially at the office with all the distractions. But what about using your time at the 2014 Compliance & Ethics Institute for an off-site meeting? SCCE makes it easy for you to get your team together in one room. We'll reserve meeting space for you and even provide you with a refreshment break at no charge. Additionally, all members from your organization will receive the SCCE member rate to attend the Compliance & Ethics Institute. It's our way of making sure you get the most out of your experience. So, as you plan your time at the Compliance & Ethics Institute, don't just think about all the great sessions. Think about how you and your compliance team can put that learning to work in an off-site session of your own.

Meeting space is limited, so act now to reserve yours before we run out. Requests must be sent to Jennifer Parrucci at jennifer.parrucci@corporatecompliance.org.

Affinity group meetings may be held:

- Saturday, September 13, 2014
- Wednesday, September 17, 2014

Visit www.complianceethicsinstitute.org/affinitymeeting for details and to complete an application.

Approved requests will receive complimentary meeting room space at the conference hotel, Hyatt Regency Chicago, and your choice of one of the following complimentary refreshment options: Continental breakfast, morning snack/beverage break, or afternoon snack/beverage break. (All additional food and beverage, decorating, or audio visual orders must be arranged directly with the hotel and are not part of the complimentary offer.)

**Contact: Jennifer Parrucci at +1 952 405 7916 or jennifer.parrucci@corporatecompliance.org**

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*Invited Sessions - Agenda subject to change*

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# SPEAKERS

**Karen M. Aavik** [402], MBA, Assistant General Counsel, First Niagara Financial Group, Buffalo, NY

**Urton Anderson** [P13], CCEP, Director, Von Allmen School of Accountancy, Gatton College of Business and Economics, University of Kentucky, Lexington, KY

**Honorable Wayne R. Andersen (ret.)**, [707], Mediator & Arbitrator, JAMS Chicago

**Bruce A. Androphy** [102], Esq.,Director, NIEHS Ethics Program, NIEHS, Research Triangle Park, NC

**Jonathan P. Armstrong**, [102], Lawyer, Cordery, London, UK

**Sarah A. Asta** [806], Fragomen, Del Rey, Bernsen & Loewy LLP, Tempe, AZ

**Theodore L. Banks** [AD11], JD, Partner, Scharf Banks Marmor LLC, Highland Park, IL

**Amii L. Barnard-Bahn** [105], JD, CCEP, CCEP-I, CHC, Former Chief Compliance & Ethics Officer, McKesson U.S. Pharmaceutical, Kensington, CA

**Jacqui Beckett** [P4], JD, Beckett Ethics and Compliance International PC, Greenwood Village, CO

**David R. Birk** [405], JD, Managing Director, Black Belt Compliance, LLC, Tempe, AZ

**Meric C. Bloch** [P7, P14], CCEP-F, JD, CFE, Senior Director, Global Compliance, Jabil Circuit, Inc., St. Petersburg, FL

**Donna C. Boehme** [P12, 406], Principal, Compliance Strategists LLC, New Providence, NJ

**Robert Bond** [401], BA, CCEP, FSALS, HonMIEx, Head of Data Protection and Information Security, Speechly Bircham, London, UK

**Allyson Bouldon** [P2], Vice President and Chief Compliance Officer, Chiquita Brands

**Joyce Branda** [GS], Deputy Assistant Attorney General, United States Department of Justice, Washington, D.C.

**Tim Bridgeford** [301], JD, Senior Compliance Counsel - FCPA, Antitrust & Investigations, Tyco, Princeton, NJ

**Diane Brown** [W5], Head of Operations, Advisory Services, NAVEX Global: The Ethics and Compliance Experts, Charlotte, NC

**Laurel L. Burke** [507], Associate General Counsel - Compliance, Regal-Beloit Corporation, Beloit, WI

**Luis Canuto** [103, 805], Global Ethics Investigations Co-Leader, Latin America Ethics Compliance Director, Dell Inc.

**Winston Y. Chan** [504], JD, Of Counsel, Gibson Dunn, San Francisco, CA

**Wayne M. Chancellor** [804], Vice President - Legal, AngloGold Ashanti Americas Inc., Denver, CO

**David Childers** [201], CCEP, CIPP, OCEG Fellow, Chief Executive Officer, Compli, Portland, OR

**Dirk Cockrum** [501], MBA, CCEP, VP, Compliance, Kinder Morgan Energy Partners, L.P., Lakewood, CO

**James B. Comey** [GS], Director, United States Federal Bureau of Investigation, Washington, D.C.



**Robert E. Connolly** [301], Partner, Geyergorey LLP, Washington, D.C.

**Kendra Cook** [801], CCEP, Owner/Director of Compliance, C2 International, LLC, Livingston, MT

**Lorrie Corbin-Bamford** [W8], JD, Director of Compliance/ General Counsel, Gaming Capital Group, LLC, Newcastle, OK

**Ellen Daly** [P3], CCEP, Senior Manager, Ethics and Business Conduct, Lockheed Martin Missiles and Fire Control, Marlton, NJ

**Simon Davidson** [407], Author, Roll Call's A Question of Ethics; Counsel, McGuire Woods LLP, Richmond, VA

**Shawn DeGroot**, [AD4], Associate Director, Navigant, Denver, Colorado

**John DeLong** [AD12], JD, CCEP, Director of Compliance, National Security Agency, Fort George G. Meade, MD

**Mark Diamond** [W9], CEO, Contoural, Inc., Los Altos, CA

**Franz Dill** [AD11], Former Chief Scientist, Analytics, Proctor & Gamble; Partner, PKL Knowledge Partners, LLC

**Anthony E. Dolan** [408], President, Resound Inc., Acton, MA

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**Marjorie W. Doyle** [P6, P13, AD3], JD, CCEP-F, CCEP-I, Marjorie Doyle & Associates, LLC, Landenberg, PA

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**Ann Dunham** [706], MBA, SPHR, Compliance Officer, Hannibal Regional Healthcare System, Hannibal, MO

**Maura L. Dunn** [601], President, TrailBlazer Consulting, LLC, Narragansett, RI

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**Nathaniel Edmonds** [P8], Partner, Paul Hastings LLP, Former Assistant Chief (FCPA Unit), Criminal Division, Fraud Section, US DOJ, Washington, D.C.

**Carolyn S. Egbert** [107], JD, Owner and Founder, Creative Solutions for Exceutives, Houston, TX

**Adelle Elia** [807], CCEP, Chief Ethics & Compliance Officer, US Investigations Services, Fairfax, VA

**Chris Enloe** [W10], Director of Global Investigations, Dell, Inc., Round Rock, TX

# SPEAKERS

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**Dr. Marsha Ershaghi Hames** [P10], Ph.D., CCEP, Sr. Leader, Education Advisory Services, LRN, Falls Church, VA

**John Falcetano** [P1, AD1, AD9], CHC-F, CIA, CCEP-F, CCEP-I, CHRC, CHPC, Chief Audit & Compliance Officer, Vidant Health, Greenville, NC

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**Paul Fiorelli** [P9], JD, CCEP, Professor of Legal Studies and Co-Director, Cintas Institute, Xavier University, Cincinnati, OH

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**Katherine Cooper Franklin** [W2], Shareholder, Littler Mendelson P.C., Seattle WA

**Ann D. E. Fraser** [602], Ph.D., Executive Director, VICR, Canadian Food Inspection Agency, Ottawa, ON

**Al Gagne** [P7, P14], MBA, CCEP, Former Director, Ethics & Compliance, Textron Systems Corporation (retired), Salem, NH

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**Patrick J. Gnazzo** [P9], Principal, Better Business Practices, McLean, VA

**Murray D. Grainger** [105], MBA, Founder, Impact on Integrity, Madrid, Spain

**Kristy Grant-Hart** [401], Esq., CCEP-I, Chief Compliance Officer, United International Pictures, London, UK

**Michael Greenberg** [207], JD, Director, Center for Corporate Ethics and Governance, RAND Corporation, Pittsburg, PA

**Lisa A. Gross** [205], MBA, CCEP, CCEP-I, Ethics Analysis Senior Manager, Lockheed Martin, Owego, NY

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**Gwen Hassan** [801], JD, CCEP, Managing Attorney - Compliance & Regulatory, CNH Industrial America LLC, Oak Park, IL

**Eric R. Havian** [GS], Partner, Phillips & Cohen LLP, San Francisco, CA

**David G. Hawkes** [P4], Head of Special Litigations, World Bank Group Integrity Vice Presidency, Washington, D.C.

**Paul Haynes** [P4], Head of Voluntary Disclosure Program, Integrity Vice Presidency, World Bank, Washington, D.C.

**Web Hull** [P3], CIPP, CIPP/A, Privacy, Data Protection & Compliance Advisor, Barrington, RI

**Betty Hum** [P8], JD, Associate Director, Anti-Corruption Compliance Program, Ethics & Legal Compliance Group at Intel Corporation

**Amy E. Hutchens** [505], CCEP, President, CLEAResources, LLC, Leesburg, VA

**Gabriel L. Imperato** [605], Esq., CHC, Managing Partner, Broad and Cassel, Fort Lauderdale, FL

**Marianne M. Jennings** [GS], Professor Emeritus of Legal and Ethical Studies, Arizona State University

**Michael W. Johnson** [208], Esq., CEO, Clear Law Institute, Arlington, VA

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**Michael Kallens** [W5], Associate General Counsel and Manager, Corporate Ethics and Compliance, Booz Allen Hamilton

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**Scott Killingsworth** [207], Partner, Bryan Cave LLP, Atlanta, GA

**Shin Jae Kim** [404], CCEP, CCEP-I, Partner, Tozzini Friere Advogados, São Paulo, Brazil

**William E. Kruse** [203], Vice President Law & Associate Counsel, Gallup Inc., Washington, D.C.

**Ann M. Kulow** [W8], CCEP, Manager, Corporate Governance/Compliance, Harley-Davidson, Milwaukee, WI

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**John Loxterman** [803], Esq., Aetna, Blue Bell, PA

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**Sophie Marlange** [W10], Legal Director EMEA, Employment and Ethics, Dell Inc., Paris, France

**Stephen Martin** [507], Managing Director, Baker & McKenzie LLP, Washington, D.C.

**Marcy J. Maslov** [702], CPA, CEO, e-Factor!® - educational board games for business ethics, Phoenix, AZ

**Allan Matheson** [104], Managing Director, Blue Umbrella, Hong Kong, China

**Sean McKessy** [GS], Office of the Whistleblower, United States Securities & Exchange Commission, Washington, D.C.

**Caroline McMichen** [W1], CCEP, Chief Ethics & Compliance Officer, Molson Coors Brewing Company, Denver, CO

**Robert Meunier** [501], CEO and General Counsel, Debarment Solutions Institute

**Jason B. Meyer** [505], JD, President, LeadGood, LLC, Pennington, NJ

**Joan E. Meyer**, [307], Partner, Baker & McKenzie LLP, Washington, D.C.

**Jane L. Mitchell** [105], FRSA, Director, JL&M; Chair, eCP, London, UK

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**Julie K. Moriarty** [108], General Manager, Training and Communications Strategy, The Network, Deltaville, VA

**Cynthia S. Morrison** [P11, W6], Senior Manager, Global Ethics and Compliance, Bunge Limited, St. Louis, MO

**Page Motes** [103], Global Ethics & Compliance, Dell Inc., Austin, TX

**Bernhard Mueller** [806], Ogletree, Deakins, Nash, Smoak & Stewart, P.C., Columbia, SC

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**Stephen Naughton** [406], VP-Chief Ethics and Compliance Officer, Kimberly-Clark Corporation

**Nick S. Nelson** [703], Utility Compliance Specialist, Superior Water, Light & Power, Superior, WI

**Judith Nocito** [406], Former Director – Global Compliance, Alcoa (Retired); Senior Advisor, Compliance Strategists LLC, Sewickley, PA

**Alan Norquist** [106], CEO & Founder, Veriphyr, Inc., Los Altos, CA

**Thomas Obermaier** [704], Chief Executive Officer, Regulatory DataCorp (RDC), Philadelphia, PA

**Jennifer O'Brien** [GS], CHC, CHPC, Chief Compliance Officer, UnitedHealthcare, MInnetonka, MN

**Haydee Olinger** [W11], Corporate VP Global Compliance Officer, McDonald's Corporation, Oak Brook, IL

**Sean J. Oliver** [W4], Consultant, Language & Culture Worldwide, LLC, Chicago, IL

**Jennifer Oriel** [W1], CCEP, Global Manager, Ethics & Compliance, Molson Coors Brewing Company, Denver, CO

**Julia Pallozzi-Ruhm** [AD12], CCEP, Deputy Director of Compliance, National Security Agency, Ellicott City, MD

**Pamela Passman** [805], President and CEO, Center for Responsible Enterprise and Trade – CREATe.org, Washington, D.C.

**Volker Pasternak** [P11], Ph.D., Director of Compliance & International Legal, Electric Power Research Institute (EPRI), Palo Alto, CA

**Melissa M. Paul** [W4], JD, Senior Attorney, FedEx Corporation, Memphis, TN

**Carrie Penman** [W5], Chief Compliance Officer and Senior Vice President, Advisory Services, NAVEX Global

**Jeffrey Piposar** [W12], Director and Executive Advisor, CEB Compliance & Ethics, Arlington, VA

**Steve Priest** [AD2], President, Integrity Insight International, Evanston, IL

**Monica Reinmiller** [W7], JD, MBA, Director, Ethics & Compliance Symantec Corporation, Bellevue, WA

**Suzanne Rich Folsom** [705], General Counsel and Senior Vice President – Governmental Affairs, United States Steel Corporation, McLean, VA

**Daniel Roach** [605, W11], JD, Co-Chair, SCCE Advisory Board, General Counsel, Optum360, Eden Prairie, MN

**Jay Rosen** [W4], VP Language Solutions, Merrill Brink International, Woodland Hills, CA

# SPEAKERS

**Mark Rowe** [P2], Advisory Services & Knowledge Leader, LRN, Providence, RI

**Paula F. Saddler** [706], CFE, CISA, CIA, CCEP, Principal, Hudson-Ethics Consulting, Bronx, NY

**Juliana Sa de Miranda** [404], Partner, Compliance Practice Group, TozziniFreire Advogados, São Paulo, Brazil

**Paige Shannon** [807], CCEP, Federal Services Counsel & Compliance Officer, Kforce Inc., Reston VA

**James Sheehan** [306], Esq., CHC, Chief, Charities Bureau, Office of the New York Attorney General, New York, NY

**Kuldeep Singh** [303], CCEP-I, Healthcare Compliance Officer, Johnson & Johnson, Petaling Jaya, Malaysia

**Nitish Singh** [P11], Ph.D., Professor of International Business, Saint Louis University; President, IntegTree LLC, St. Louis, Mo

**Roy Snell** [GS], CHC, CCEP-F, CEO, Society of Corporate Compliance & Ethics

**Margaret A. Steenrod** [706], CCEP, SPHR, Manager, Pacific Financial Center LLC; Des Moines, WA

**Ruth N. Steinholtz** [802], Values Based Business Ethics Advisor, AreteWork, LLP, Surrey, UK

**Barbara A. Stockman** [603], CCEP, Senior Director, Ethics & Compliance, Kelly Services, Inc., Troy, MI

**Leslie Stoner**, [603], Senior Director, Kelly Services, Inc.

**Robert M. Talley** [P2], President – Corporate, General Counsel & Secretary, Johnson Matthey, Inc.

**Simon Taylor** [307], Associate General Counsel, Accenture

**Greg Triguba** [P1], JD, CCEP, CCEP-I, Senior Practice Leader, Ethics, Compliance and Risk, Affiliated Monitors, Inc., Highlands Ranch, CO

**Debbie Troklus** [P6], CCEP-F, CCEP-I, CHC-F, CHRC, CHPC, Managing Director, Aegis Compliance and Ethics Center, Louisville, KY

**Nancy Turner** [P10], CCEP, Director, Ethics and Compliance, Orbital Sciences Corporation, Dulles, VA

**Adam Turteltaub** [701, W11], CHC, CCEP, VP Membership Development, Society of Corporate Compliance & Ethics, Encino, CA

**Douglas Tween** [301], Partner, Baker & McKenzie LLP, New York, NY

**Deborah Valentine** [P2], JD, Competition Compliance Officer, NSG Group, Toledo, OH

**Michael Volkov** [P12, 207], JD, Former Federal Prosecutor; CEO, The Volkov Law Group, Bethesda, MD

**Rebecca Walker** [101, 305] JD, Compliance Lawyer Track Program Chair; Partner, Kaplan & Walker LLP, Santa Monica, CA

**Greg Walters** [AD7, AD10], JD, Trial Attorney, U.S. Department of Housing and Urban Development, Denver, CO

**Michael Ward** [206], Former Deputy General Counsel and Vice President, Compliance Systems and Investigations, Cisco Systems

**Glenn T. Ware** [805], Esq., Principal, PricewaterhouseCoopers LLP, Washington, D.C.

**David W. Weber** [703], Supervising Engineer, Superior Water, Light & Power Company, Superior, WI

**Art R. Weiss** [P13], JD, CCEP-F, CCEP-I, Chief Compliance & Ethics Officer, TAMKO Building Products, Joplin, MO

**Jeffery Wiggins** [AD8], Vice President Audit & Compliance, Vidant Health, Greenville, NC

**Gretchen A. Winter** [P9, W2], JD, Executive Director, Center for Professional Responsibility in Business and Society, College of Business, University of Illinois; Adjunct Professor of Law, University of Illinois College of Law, Chicago, IL

**Scarlett R. Wirt** [606], CCEP, Assistant Director for Standards, Monitoring and Assessments, National Security Agency Office of the Director of Compliance, Laurel, MD

**Martin Wolin** [503], Chief Risk and Compliance Officer, North America and Latin America, Mercer, Boston, MA

**David Wong** [W7], Sr. Manager, Ethics & Compliance, Symantec Corporation

**Harvey Woodford** [504], JD, Chief Ethics & Compliance Officer, Avnet, Inc., Phoenix, AZ

**Grace Wu de Plaza** [403], JD, Deputy Ethics & Compliance Officer, The Nature Conservancy, Arlington, VA

**Cindy Yanasak** [302], Compliance & Ethics Program Manager, Progressive Corporation, Mayfield Village, OH

**Michele A. Yaroma** [608], CPA Supervisory Special Agent, FBI, Washington, DC

**Charlotte D. Young** [403], Chief Ethics and Compliance Officer, The Nature Conservancy, Arlington, VA

**Mary-James Young** [P5], JD, LLM, Senior Compliance & Regulatory Counsel, Vectren Corporation, Evansville, IN

**Kenneth Zeko** [306], JD, Director, Navigant, Dallas, TX

**Paul H. Zietsman** [204], LLB, CCEP, Trade Compliance Lead Specialist, Sadara Chemical Company, Saudi Arabia

# AGENDA

## SATURDAY, SEPTEMBER 13

**11:00 AM–3:30 PM**

### Volunteer Project

Come to the Institute early and help us give back to the community! Registration is free for this event and provides you with a volunteer T-shirt, lunch, and transportation to and from the project location. It's a great networking opportunity with fellow conference attendees, speakers, and SCCE board members.

**12:00 PM–5:30 PM**

### Registration Open

Arriving early? Check in on Saturday to save time waiting in line—plus we'll automatically enter you into a drawing for a free registration to the 2015 Compliance & Ethics Institute!

## SUNDAY, SEPTEMBER 14

**7:30 AM–6:00 PM**

### Registration Open

**7:30–8:30 AM**

### SpeedNetworking

**9:00 AM–12:00 PM** *(includes 15 minute break)*

Pre-Conference Morning Breakout Sessions

RISK TRACK

### P1 Ethics & Compliance Risk Management 101: Program Essentials and Effective Practice

*Sunday, 9:00 AM – 12:00 PM*

**Greg Triguba,** Senior Practice Leader, Ethics, Compliance and Risk, Affiliated Monitors, Inc

**John Falcetano,** Chief Audit & Compliance Officer, Vidant Health

- Gain a deeper understanding of the basic roles, resources and fundamentals necessary to facilitate and manage an effective ethics and compliance risk management program.
- Explore the challenges, planning considerations and strategic solutions for implementing and leading effective ethics and compliance risk assessment processes.
- Consider outcomes derived from basic risk assessment findings and explore opportunities to use this valuable information to prioritize and build strategic plans for effective management and mitigation.

ETHICS TRACK

### P2 Don't Let Culture Happen to You: Understanding and Leveraging Your Culture for Ethics & Compliance Effectiveness

*Sunday, 9:00 AM – 12:00 PM*

**(Moderator) Mark Rowe,** Advisory Services & Knowledge Leader, LRN

**Allyson Bouldon,** Vice President and Chief Compliance Officer, Chiquita Brands

**Robert M. Talley,** President – Corporate, General Counsel & Secretary, Johnson Matthey, Inc.

**Deborah Valentine,** Competition Compliance Officer, NSG Group

- Benefit from the experience of four Ethics & Compliance leaders whose companies have adopted culture as a strategy to enhance both Ethics & Compliance effectiveness and business performance.
- Learn how to gather and use richer data and insights about the behaviors in your organization that predict risk and drive business outcomes.
- Identify opportunities in your own organization to be more deliberate, intentional and strategic about culture.

CASE STUDY TRACK

### P3 Part I Seven Years of Intimidation and Fraud… Aftermath of a Rogue Leader

*Sunday, 9:00 – 10:30 AM*

**Blair C. Marks,** Director, Ethics Awareness and Operations, Lockheed Martin Corporation

**Ellen Daly,** Senior Manager, Ethics and Business Conduct, Lockheed Martin Missiles and Fire Control

- Learn about a successful approach to working with a U.S. Government Suspending and Debarring Official (USG SDO) to address a significant ethical failure.
- Understand how to move from the immediate response to root cause analysis and comprehensive corrective and preventive action.
- Discuss how to address the unique challenges of developing and maintaining an ethical culture at small, remote locations.

### P3 Part II Top 10 Tips for Managing Your 3rd Parties' & Vendors' Privacy, Data Protection, Security & Compliance

*Sunday, 10:45 AM – 12:00 PM*

**Web Hull,** Privacy, Data Protection & Compliance Advisor

- See what's new in 3rd Party and Vendor Management for 2014 & 2015 – there's a lot
- Benchmark your program
- Understand why "one size fits all" often is short of the mark

INTERNATIONAL/MULTI-NATIONAL TRACK

### P4 Emerging Markets and Integrity Risk Management

*Sunday, 9:00 AM – 12:00 PM*

**David G. Hawkes,** Head of Special Litigations, World Bank Group, Integrity Vice Presidency, Washington, DC

**Paul Haynes,** Head of Voluntary Disclosure Program, Integrity Vice Presidency, World Bank, Washington, DC

**Jacqui Beckett,** Beckett Ethics and Compliance International PC

- Understand integrity risks and the reach of transnational anti-corruption enforcement in emerging markets and developing countries with a focus on the multi-billion dollar market connected to development aid.
- Case studies: When risks become reality, the most recent schemes and how they can affect your business, enforcement action and the instruments available to address the risks, before and after they materialize.
- The future of transnational governance, integrity and compliance: Where is the international discussion going and how will it affect your business.

GENERAL COMPLIANCE/HOT TOPICS TRACK

### P5 The Compleat (Yes, Compleat) Compliance Professional

*Sunday, 9:00 AM – 12:00 PM*

**Mary-James Young,** Senior Compliance & Regulatory Counsel, Vectren Corporation

- Identify and understand the skills and traits of effective compliance professionals and recognize which can be developed and which are inherent.
- Learn proven, effective techniques to enhance skills and traits of your compliance professionals.
- Apply compliance team development strategies that build a team stronger than any of its members.

GENERAL COMPLIANCE/HOT TOPICS TRACK

### P6 Compliance 101

*Sunday, 9:00 AM – 12:00 PM*

**Debbie Troklus,** Managing Director, Aegis Compliance and Ethics Center

**Marjorie W. Doyle,** Marjorie Doyle & Associates, LLC

- An in-depth look into the seven elements of an effective compliance program.
- Understanding the factors to consider when developing and implementing a compliance program.
- Project and program management techniques, systems and tools that can help leverage your compliance resources.

# AGENDA

INVESTIGATIONS WORKSHOP

## P7 Investigations Workshop

*Sunday, 9:00 AM – 12:00 PM*

### Part I (9:00-10:00 AM): Beginning the Investigation and Interviewing the Reporter

**Al Gagne,** Former Director, Ethics & Compliance, Textron Systems Corporation (retired)

**Latour (LT) Lafferty,** Partner, Holland & Knight LLP

- Some investigation fundamentals.
- Gather as much information as possible.
- Safeguard the integrity of the investigation.

### Part II (10:00-11:00 am): Planning the Investigation

**Meric C. Bloch,** Senior Director, Global Compliance, Jabil Circuit, Inc.

- Determining the precise allegation you need to investigate.
- Making your investigation plan.
- Developing your investigation strategy.

### Part III (11:15 AM–12:00 PM): Taking Effective Interviews

**Meric C. Bloch,** Senior Director, Global Compliance, Jabil Circuit, Inc.

- Learn the investigation basics.
- Know the difference between an interview and interrogation.
- Documenting your interview.

**12:00–1:00 PM**

### SpeedMentoring

**12:00–1:30 PM**

### Lunch (on your own)

**1:30 –4:30 PM** *(includes 15 minute break)*

Pre-Conference Afternoon Breakout Sessions

RISK TRACK

## P8 Effectively Managing Corruption and Bribery Risk in Leading Global Markets: Advanced Practice Workshop

*Sunday, 1:30 – 4:30 PM*

**Nathaniel Edmonds,** Partner, Paul Hastings LLP, Former Assistant Chief (FCPA Unit), Criminal Division, Fraud Section, US DOJ

**Betty Hum,** Associate Director, Anti-Corruption Compliance Program, Ethics & Legal Compliance Group at Intel Corporation

- Overview of new anti-corruption legislation, risks, challenges and enforcement trends in global hot spots around the world from Asia to Africa and the Americas.
- Survey and discuss best practices in assessing global corruption risk and explore strategies to determine where to invest limited compliance and audit budgets.
- Engage in real-world exercises and scenarios that take a deep dive into global anti-corruption program design and infrastructures, risk identification, investigative strategies and organizational impact.

ETHICS TRACK

## P9 Generational Ethics: The Battle of the Ages

*Sunday, 1:30 – 4:30 PM*

**Paul Fiorelli,** Professor of Legal Studies and Co-Director, Cintas Institute, Xavier University

**Gretchen A. Winter,** Executive Director, Center for Professional Responsibility in Business and Society, College of Business, University of Illinois; Adjunct Professor of Law, University of Illinois College of Law

- Four generations—"Veterans," "Boomers," "Gen-X," and "Millennials"—are working together. World events have shaped these generations, and each one has a different view of ethics.
- Attendees will view a video demonstrating the tensions between generations, discuss strategies to improve the workplace environment and review highlights of the ERC Report, "Generational Differences in the Workplace".
- What are the different generational perceptions about (1) pressure to perform, (2) observed misconduct, (3) reporting misconduct, and (4) retaliation?

CASE STUDY TRACK

## P10 Fostering a Speak Up Culture: An Orbital Sciences Corporation Case Study

*Sunday, 1:30 – 4:30 PM*

**Dr. Marsha Ershaghi Hames,** Sr. Leader, Education Advisory Services, LRN

**Nancy Turner,** Director, Ethics and Compliance, Orbital Sciences Corp.

- Best practices and trends, how organizations are fostering a healthy Speak Up culture. Hear Orbital's journey in developing a Speak Up campaign, where employees felt comfortable being heard without fear of retaliation.
- Importance of connecting in person: Roadshow facilitating "Speaking Up Meetings" design and approach. Informed planning, incorporating key findings and results from focus groups and interviews.
- Active Listening: What is the role of leaders? Getting the right buy-in. Coaching ethical leaders, leadership attributes to help foster a speak up culture. Lessons learned and keeping the momentum going. Tools and resources to facilitate the dialogue.

INTERNATIONAL/MULTI-NATIONAL TRACK

## P11 When Cultures Collide

*Sunday, 1:30 – 4:30 PM*

**Sally March,** Director, Drummond March & Co

**Cynthia S. Morrison,** Senior Manager, Global Ethics and Compliance, Bunge Limited

**Nitish Singh,** Professor of International Business, Saint Louis University; President, IntegTree LLC

**Volker Pasternak,** Director of Compliance & International Legal, Electric Power Research Institute (EPRI)

- Practical examples of where US-centric approaches to compliance can face resistance: Examples from around the world (audience is invited to contribute additional examples).
- Understanding the why: Sociological, philosophical and normative underpinnings of cultural barriers and a look at the United States from abroad.
- Approaches to overcome cultural barriers: Solutions that work, approaches that backfire (audience invited to share their experiences).

# AGENDA

COMPLIANCE LAWYER

## P12 New Mandate, New Mindset: Making a Successful Transition Into a Compliance & Ethics Career (What Lawyers, In-House Counsel & Others in Transition Need To Know)

*Sunday, 1:30 – 4:30 PM*

**Donna C. Boehme,** Principal, Compliance Strategists LLC

**Michael Volkov,** Former Federal Prosecutor; CEO, The Volkov Law Group

**Patrick J. Gnazzo,** Principal, Better Business Practices

- Understanding the Compliance Mandate: Leaving your old role behind, embracing your new one, identifying what new skills/expertise are needed, and how to get them.
- Defining the Compliance Role (and supporting roles): Why Compliance is not a Legal function or a subset of any other function, but a new, distinct, and value-added professional expertise.
- Creating your networks, jump-starting your knowledge base; other strategies for success, including real stories from the front lines & interactive scenarios.

GENERAL COMPLIANCE/HOT TOPICS TRACK

## P13 Practical Use of The Code of Professional Ethics for Compliance & Ethics Professionals

*Sunday, 1:30 – 4:30 PM*

**Art R. Weiss,** Chief Compliance & Ethics Officer, TAMKO Building Products

**Marjorie W. Doyle,** Marjorie Doyle & Associates, LLC

**Urton Anderson,** Director, Von Allmen School of Accountancy, University of Kentucky

**Joseph E. Murphy,** Senior Advisor, Compliance Strategists

- The compliance officer's fiduciary duty.
- The compliance officer's Code of Ethics.
- The compliance officer as a whistleblower.

INVESTIGATIONS WORKSHOP

## P14 (continued from P7) Investigations Workshop

*Sunday, 1:30 – 4:30 PM*

### Part IV (1:30-2:30 PM): Revealing and Analyzing Documents

**Latour (LT) Lafferty,** Partner, Holland & Knight LLP

- Understanding the critical role of documents in your investigation.
- Identify and explain the purpose of documentary evidence in your investigation.
- Review and discuss key issues involving documentary evidence.

### Part V (2:45-3:45 PM): Preparing the Investigation Report

**Al Gagne,** Former Director, Ethics & Compliance, Textron Systems Corporation (retired)

- Sticking to the facts.
- Key considerations to include in the report.
- Benefits of preparing a good report.

### Part VI (3:45-4:30 PM): Q&A Panel

**Meric C. Bloch,** Senior Director, Global Compliance, Jabil Circuit, Inc.

**Al Gagne,** Former Director, Ethics & Compliance, Textron Systems Corporation (retired)

**Latour (LT) Lafferty,** Partner, Holland & Knight LLP

**4:30 – 6:00 PM**

### Opening Tailgate Reception in Exhibit Hall *Sponsored by Navex Global™*

**5:30 – 6:30 PM**

### Authors' Reception and Compliance & Ethics Academy Reunion

**6:00 – 7:00 PM**

### TweetUp and "Appy" Hour

- Talk with your peers about how technology affects your day to day job.
- Learn how to tweet.
- Download the mobile app and learn about the new features.

# *MONDAY, SEPTEMBER 15*

**6:30 – 7:30 AM**

### Yoga (Pre-registration required)

**7:00 AM – 6:00 PM**

### Registration Open

**7:00 – 8:15 AM**

### Continental Breakfast in Exhibit Hall *Sponsored by The Red Flag Group*

**8:15 – 8:30 AM**

### Opening Remarks

**8:30 – 9:30 AM**

### General Session – Cyber Security

**James B. Comey,** Director, FBI

**9:30 – 10:30 AM**

### General Session – Management: Its Role in Ethical Culture and Compliance

**Marianne M. Jennings,** Professor Emeritus of Legal and Ethical Studies, Arizona State University

**10:30 – 11:00 AM**

### Networking Break in Exhibit Hall

**11:00 AM – 12:00 PM**

Concurrent Breakout Sessions

RISK TRACK

## 101 Conflicts of Interest: Identifying Risks and Mitigating Harm without Unnecessary Restrictions

*Monday, 11:00 AM – 12:00 PM*

**Rebecca Walker,** Partner, Kaplan & Walker LLP

- Identify and explore the many ways in which conflicts of interest create risk to organizations; discuss real world scenarios and practical mitigation of risk.
- Policies, training, pre-approvals, questionnaires, audits—what are best practices in conflicts controls?
- Controls that do not create additional risks of violating personal and privacy interests.

# AGENDA

ETHICS TRACK

## 102 How to Conduct a Successful, Educational and Entertaining Ethics Day Program

*Monday, 11:00 AM – 12:00 PM*

**Bruce A. Androphy,** Director, NIEHS Ethics Program, NIEHS

- How to spotlight your ethics program, and ethics rules and standards.
- How to effectively engage and involve management in the delivery of your ethics program.
- How to convey ethics in an educational but highly entertaining manner.

CASE STUDY TRACK

## 103 Driving Business Accountability: Leveraging Investigation Learnings to Improve Compliance Programs

*Monday, 11:00 AM – 12:00 PM*

**Page Motes,** Director, Global Ethics & Compliance, Dell Inc.

**Luis Canuto,** Global Ethics Investigations Co-Leader, Latin America Ethics Compliance Director, Dell Inc.

- Dell Ethics & Compliance overhauled entire intake, triage, fact examination, interview and close phases (after integrating Fraud investigations team) to ensure investigations outcomes resulted in meaningful, long-lasting change.
- Results included greater business and leadership accountability for compliance programs and outcomes, as well as heightened focus on driving proactive, values-based initiatives.
- Examples will include a leader toolkit to drive remediation activities after closeout of high-impact investigation, creation of a compliance-driven action plan, increased involvement of non-executive management, and "ethical intelligence" analytics.

INTERNATIONAL/MULTI-NATIONAL TRACK

## 104 Preventing Misconduct through Proper Due Diligence in Asia

*Monday, 11:00 AM – 12:00 PM*

**Allan Matheson,** Managing Director, Blue Umbrella

- A close examination of existing third party information available to risk professionals within their organizations and a demonstration of how they can be utilized to support due diligence processes.
- A thorough overview of external information sources available to risk professionals through due diligence and a cross-examination of how they can be used to complement and supplement existing internal third party information to help prevent misconduct.
- Due diligence case studies from three key Asian jurisdictions: China, India, Indonesia.

COMPLIANCE LAWYER

## 105 This House Believes that Lawyers Make Excellent Compliance Officers: Oxford Union-Style Interactive Debate

*Monday, 11:00 AM – 12:00 PM*

**Murray D. Grainger,** Founder, Impact on Integrity

**Amii L. Barnard-Bahn,** Former Chief Compliance & Ethics Officer, McKesson U.S. Pharmaceutical

**Jane L. Mitchell,** FRSA, Director, JL&M; Chair, eCP, London, UK

- The cases for and against the motion.
- Interactive contributions from the floor.
- Close with an audience vote (acclamation, show of hands)!

GENERAL COMPLIANCE/HOT TOPICS TRACK

## 106 Proactively Detect Identity Theft and Privacy Breaches by Insiders

*Monday, 11:00 AM – 12:00 PM*

**Alan Norquist,** CEO & Founder, Veriphyr, Inc.

- Proactively detect identity theft and privacy data breaches with raw identity and activity data from any system, without new hardware/software.
- Determine who should, should not, and is accessing data, as well as inappropriate/non-work-related access by authorized users.
- How disparate data from multiple systems can reveal data thefts and breaches not found with a system's standard reports.

GENERAL COMPLIANCE/HOT TOPICS TRACK

## 107 How to Identify Risky Behaviors that are Predictive of Ethical Misconduct

*Monday, 11:00 AM – 12:00 PM*

**Carolyn S. Egbert,** Owner and Founder, Creative Solutions for Exceutives

- Deepen your understanding of the risky behaviors in your organization today!
- Be prepared to address the moral justifications and "good intentions" that pave the road to unethical hell!
- Join this interactive session and learn how to derail potential misconduct before it becomes an unethical train wreck.

GENERAL COMPLIANCE/HOT TOPICS TRACK

## 108 Justifying a Compliance Budget Increase in a Time of Scarcity

*Monday, 11:00 AM – 12:00 PM*

**Julie K. Moriarty,** General Manager, Training and Communications Strategy, The Network

**Jimmy Lin,** VP of Product & Corporate Development, The Network

- Key strategies to justifying a better-funded ethics and compliance program.
- Critical compliance metrics required to prove the effectiveness of your program.
- Ways to show ROI and obtain executive and board-level buy-in.

ADVANCED DISCUSSION GROUPS

## AD1 Risk Assessment Methodologies

*Monday, 11:00 AM – 12:00 PM*

**SESSION IS FULL: Repeats on Tuesday at 11:00 AM (AD9). Pre-registration is required for Advanced Discussion Groups. Attendance limited to 50 participants. See registration staff for availability.**

**John Falcetano,** Chief Audit & Compliance Officer, Vidant Health

- How to plan a risk assessment; who should be involved in the risk assessment process.
- How to identify, measure, assess, and analyze risk.
- Determining risk priorities and developing mitigation plans.

ADVANCED DISCUSSION GROUPS

## AD2 Culture is Everything

*Monday, 11:00 AM – 12:00 PM*

**Pre-registration is required for Advanced Discussion Groups. Attendance is limited to 50 participants. See registration staff for availability.**

**Steven Priest,** President, Integrity Insight International

- The attributes of a culture that drive sustainable performance in ethics, safety and operations are—amazingly and thankfully—the same.
- These attributes can—and therefore must— be shaped by management.
- Ethics and compliance play a pivotal role in shaping culture, this presentation explores how ethics and compliance can shape culture effectively.

**12:00 – 1:00 PM**

## Networking Lunch

# AGENDA

**1:00–1:30 PM**

## Dessert and Networking Break in Exhibit Hall

**1:30–2:30 PM**

Concurrent Breakout Sessions

RISK TRACK

### 201 Cyber-Security Risk in the Global Organization: Trends, Challenges and Strategies for Effective Management

*Monday, 1:30–2:30 PM*

**David Childers,** Chief Executive Officer, Complí

- Overview of cyber-crime schemes and threats to include recent trends in enforcement, emerging risks and exposures in the governance, risk and compliance arena.
- Learn how companies monitor for data loss and potential threats and tips for evaluating a cyber-insurance policy.
- Where to go for help if you feel your network is being attacked or if you have experienced a data breach.

ETHICS TRACK

### 202 Accountability—If Everyone Wants It, Why is It So Hard to Get?

*Monday, 1:30–2:30 PM*

**David Gebler,** President, Skout Group, LLC

- In surveys of employee values "Accountability" is seen more often as a key to high performance than other values. Employees say accountability is important to them personally and they don't see enough of it in the work environment. Instead, they see inconsistency, confusion, and bureaucracy.
- Leaders want their employees to embody high levels of accountability. They seek to encourage employees to be self-starters, to be more engaged and take ownership of their actions and decisions, and to feel empowered to ask questions and report misconduct.
- We will discuss the elemental building blocks of accountability, why organizations do not see enough if it, and what has to happen from both the "top down" and the "bottom up" in order to create a high performing ethical culture.

CASE STUDY TRACK

### 203 Strengthening an Ethics & Compliance Program While Under a Government Investigation: A Gallup case study

*Monday, 1:30–2:30 PM*

**William E. Kruse,** Vice President - Law & Counsel, Regulatory Compliance Officer, Gallup Inc

- Get your program formalized—small companies often don't have a formal and documented program. An informal program won't go far with regulators or investigators, and won't be very helpful to you in preventing compliance headaches.
- You better have board and executive committee buy-in at the start. You're going to make waves when policies get formalized and the program becomes a mandatory part of your organizations culture. Have senior management on-board first!
- A written program isn't enough—it must be living and evolving. Don't be afraid to change course or modify your program as you learn what is best for your organization.

INTERNATIONAL/MULTI-NATIONAL TRACK

### 204 Case Study: Building an International Compliance Programme

*Monday, 1:30–2:30 PM*

**Paul H. Zietsman,** Trade Compliance Lead Specialist, Sadara Chemical Company

- Do I need a centralized or decentralized operating model and how many compliance officers do I need?
- How do I know what laws to comply with in all the various jurisdictions?
- How do I monitor in jurisdictions with different cultures and different languages?

COMPLIANCE LAWYER

### 205 Three Things You Need to Know About M&A Ethics Integration

*Monday, 1:30–2:30 PM*

**Lisa A. Gross,** Ethics Analysis Senior Manager, Lockheed Martin

- Conducting due diligence and common pitfalls associated with acquisitions.
- Assessing the acquired company's ethics program.
- Assimilating your ethics and business conduct program components and developing communication and education strategies.

GENERAL COMPLIANCE/HOT TOPICS TRACK

### 206 How to Measure the Effectiveness of Your Ethics and Compliance Program

*Monday, 1:30–2:30 PM*

**Michael Ward,** Former Deputy General Counsel and Vice President, Compliance Systems and Investigations, Cisco Systems

- Learn actual tools you can use to identify local risks, objectively evaluate tone at the top, and measure the effectiveness of the implementation of your ethics and compliance program.
- Topics include how to create and use effective surveys, conduct meaningful focus groups, and perform deep dive site visits to learn what's really going on throughout your business.
- Discuss real-life examples, successes, and learning opportunities and come away with real tools you can use across different cultures and throughout a geographically diverse organization.

GENERAL COMPLIANCE/HOT TOPICS TRACK

### 207 Hot Off the Presses: RAND 2014 Symposium Report: Transforming Compliance – Emerging Paradigms for Boards, Management, Compliance Officers and Government

*Monday, 1:30–2:30 PM*

**Michael Greenberg,** Director, Center for Corporate Ethics and Governance, RAND Corporation

**Scott Killingsworth,** Partner, Bryan Cave LLP

**Michael Volkov,** Former Federal Prosecutor; CEO, The Volkov Law Group

- An overview of several transformative vectors that will qualitatively change the compliance field over the next decade, and implications for the C-Suite, the boardroom, and the compliance profession itself.
- Discussion on the emergence of "private" compliance, or party-to-party (P2P) compliance, as an emerging phenomenon in the professional landscape. Examination of how the growing P2P compliance trend will shift the field, and the responsibility of compliance practitioners, going forward.
- Analysis of the evolving relationship between compliance officers and GCs, as illuminated by the *Barko* case and recent litigation over attorney-client privilege. Discussion both on the technical privilege issues now being addressed, but also on the broader implications for the compliance function within the hierarchy of management.

# AGENDA

GENERAL COMPLIANCE/HOT TOPICS TRACK

## 208 Lie Detection for Compliance and Ethics Professionals

*Monday, 1:30–2:30 PM*

**Michael W. Johnson,** CEO, Clear Law Institute

- Watch videos and examine case studies to learn how to spot signs of deception and truthfulness.
- Learn which signs of deception are valid and which are based on myth (such as the mistaken beliefs that liars don't look you in the eye and are fidgety).
- Learn how to spot scientifically validated signs of deception and truthfulness when conducting investigative interviews.

ADVANCED DISCUSSION GROUPS

## AD3 Can't Pay, Won't Pay

*Monday, 1:30–2:30 PM*

**Pre-registration is required for Advanced Discussion Groups. Attendance is limited to 50 participants. See registration staff for availability.**

**Marjorie W. Doyle,** Marjorie Doyle & Associates

**Sally March,** Director, Drummond March & Co.

- "If we don't pay bribes, we can't do business here." Sound familiar?
- Anticipate high-risk transactions and be prepared.
- It's ok to collaborate with competitors.

ADVANCED DISCUSSION GROUPS

## AD4 Compliance Dashboards

*Monday, 1:30–2:30 PM*

**Pre-registration is required for Advanced Discussion Groups. Attendance is limited to 50 participants. See registration staff for availability.**

**Shawn DeGroot, Associate Director, Navigant**

- Quality vs. quantity with data
- Format attributes and impediments
- Effective content that tells a story

### 2:30–3:00 PM

## Networking Break in Exhibit Hall

### 3:00 PM–4:00 PM

Concurrent Breakout Sessions

RISK TRACK

## 301 Global Antitrust Compliance and Risk—Creating an Effective Program

*Monday, 3:00–4:00 PM*

**Tim Bridgeford,** Senior Compliance Counsel - FCPA, Antitrust & Investigations, Tyco

**Douglas Tween,** Partner, Baker & McKenzie LLP

**Robert E. Connolly,** Partner, GeyerGorey LLP

- Overview of global legislation, enforcement activity and trends.
- Learn about why the United States and the EU: 1) have given little guidance on antitrust compliance programs and 2) give little to no credit for a company's antitrust compliance program.
- Learn how to effectively promote antitrust compliance in your organization and build an effective program that supports the effective management and mitigation of risk.

ETHICS TRACK

## 302 Culture Shift: Moving From a Check-the-Box Mentality to One of Ethical Performance

*Monday, 3:00–4:00 PM*

**Cindy Yanasak,** Compliance & Ethics Program Manager, Progressive Corporation

**Eileen Xenarios,** Process Consultant, Progressive Corporation

- Learn how Progressive shifted culture from a "compliance-with-the-law" attitude to a program focused on promoting and enhancing ethical culture.
- This case study illustrates how changes in Progressive's ethics program helped foster an integrated approach around culture as corporate strategy by shifting from mandatory annual certifications and training.
- Participate in a sample interactive, video-based training session and experience how Progressive employees had to "Make Tough Choices".

CASE STUDY TRACK

## 303 The Compliance "Speed Trap"

*Monday, 3:00–4:00 PM*

**Kuldeep Singh,** Health Care Compliance Officer, Johnson & Johnson

- Compliance is hardest to be driven in a sales dominant sector. It is where the greatest risk touch points begin. This area must be managed well without compromising value for the organization.
- For sales sectors, compliance rules may appear as road blocks, "speed traps" or at best, necessary obstacles, which if they can be circumvented, the better.
- Training is good to have and provide but it may not be good enough. Providing the necessary compliance parameters seamlessly will allow for speed to achieve targets, without compromising the safety of the organization.

INTERNATIONAL/MULTI-NATIONAL TRACK

## 304 Anticorruption at the Crossroads in Europe

*Monday, 3:00–4:00 PM*

**Sally March,** Director, Drummond March & Co

**Charles E. Duross,** Partner, Morrison & Foerster LLP

- What does the new guidance from the UK Serious Fraud Office mean for you?
- Have you considered Italian company law?
- Personal liability of directors and compliance officers.

COMPLIANCE LAWYER

## 305 Legal Ethics for Compliance Lawyers

*Monday, 3:00–4:00 PM*

**Jeffrey M. Kaplan,** Partner, Kaplan & Walker LLP

**Rebecca Walker,** Partner, Kaplan & Walker LLP

- Examine the major professional ethics risks facing compliance lawyers and explore the fine line that we often walk between responsibilities owed to the legal and compliance communities.
- Learn how compliance programs can address legal ethics risks.
- Explore the important ways in which behavioral ethics relate to legal ethics.

GENERAL COMPLIANCE/HOT TOPICS TRACK

## 306 Nudge-Using the Latest Findings From Behavioral Economics, Choice, and Framing work to Encourage and Support Compliance Programs and Compliant Behavior

*Monday, 3:00–4:00 PM*

**James Sheehan,** Chief, Charities Bureau, Office of the New York Attorney General

**Kenneth Zeko,** Director, Navigant

- "Choice architecture" is used by marketing professionals and government agencies to move people to better choices. Compliance changes like signing certifications before completing the form increases the likelihood of accurate information.
- Behavioral economics looks at how perceived risks and rewards change behavior. Risk of loss (identity theft) is a strong motivator. Emphasis on "protecting your reputation and financial information" (Bank of America) gains more compliant behavior.
- Relatively more anonymous behavior (on-line or in the dark) has been demonstrated to be more likely to be non-compliant. How should compliance officers and risk managers address this problem in an on-line world?

# AGENDA

GENERAL COMPLIANCE/HOT TOPICS TRACK

## 307 Managing the Costs of Misconduct: The New Normal of Investigations, Voluntary Disclosures and Enforcement

*Monday, 3:00–4:00 PM*

**Joan E. Meyer,** Partner, Baker & McKenzie LLP

**Glenn Leon,** Vice President and Associate General Counsel, Investigations, Hewlett-Packard

**Simon Taylor,** Associate General Counsel, Accenture

- The evolving compliance (and investigations) environment.
- Ways to manage this challenge handling the internal and external expectations of various stakeholders (including the government, board of directors and senior management).
- How to lower the financial and personal costs of continuous internal investigations and appropriately (and effectively) address risk of enforcement through your company's compliance program.

GENERAL COMPLIANCE/HOT TOPICS TRACK

## 308 Strengthening Your Ethics & Compliance Program with Tone from the Middle

*Monday, 3:00–4:00 PM*

**Kirsten E. Liston,** Associate Vice President, SAI Global

**Michael Levin,** Senior Director of Compliance: Ethics & Business Practices, Freddie Mac

- We will discuss and demonstrate the steps necessary to establish a comprehensive Tone from the Middle, by enabling your middle managers to deliver, promote and prioritize your organization's Ethics & Compliance message in day-to-day activities.
- Using the SIMPLE method: Set expectations; Invest in the tools and learning; Mitigate by training on manager-specific compliance risks; Provide practical support; Look to proactive listening and observation; Embed compliance and ethics into manager's jobs.
- A strong Tone at the Top can get people to listen—But an effective Tone from the Middle is needed to get people to act. Join us to determine if Tone from the Middle is your compliance program's weakest link, and the steps you can take to strengthen it.

ADVANCED DISCUSSION GROUPS

## AD5 Suppliers and Other Third Party Engagement

*Monday, 3:00–4:00 PM*

**Pre-registration is required for Advanced Discussion Groups. Attendance is limited to 50 participants. See registration staff for availability.**

**Jeffery A. Thinnes,** CEO, JTI, Inc.

ADVANCED DISCUSSION GROUPS

## AD6 Using Process Assessments to Enhance Your Ethics Program

*Monday, 3:00–4:00 PM*

**Pre-registration is required for Advanced Discussion Groups. Attendance is limited to 50 participants. See registration staff for availability.**

**Andrene Bresnan,** Senior Manager, Compliance Risk Management, The Boeing Company

**Ellen Martin,** Vice President, Ethics and Business Conduct, The Boeing Company

- Approaches for assessing and continuously monitoring processes to ensure they meet ethics program objectives.
- Using data and industry best practices to enhance your ethics program.

**4:00–4:30 PM**

## Networking Break in Exhibit Hall

**4:30 PM–5:30 PM**

Concurrent Breakout Sessions

RISK TRACK

## 401 Global Privacy and Data Protection Risk: Implementing Best Practices Now to Comply with Impending Regulatory Changes

*Monday, 4:30–5:30 PM*

**Robert Bond,** Head of Data Protection and Information Security, Speechly Bircham

**Kristy Grant-Hart,** Chief Compliance Officer, United International Pictures

- Get up to the minute information about the shifting global data protection regulatory landscape and learn best practices to comply with the new laws.
- Prepare to advise your company's marketing and sales teams NOW to ensure compliance with the new European framework and rules in Asia-Pacific and Canada.
- Learn the specific risks of non-compliance and how to communicate these risks to your business for maximum effect.

ETHICS TRACK

## 402 Ethical Decision-Making: Managing the Grey Area Between "Legal" and "Right"

*Monday, 4:30–5:30 PM*

**Karen M. Aavik,** Assistant General Counsel, First Niagara Financial Group

- Explore the meaning and implications of ethics both in society, as well as within the context of your organization, in order to better appreciate the complexities inherent in establishing and reinforcing ethical standards.
- Learn the components of—and challenges to—ethical decision-making, and how they influence your organization and its employees.
- Learn how to effectively identify, address, and manage potential ethical challenges within your organization, and how to establish—and reinforce—ethical norms and expectations.

CASE STUDY TRACK

## 403 Training and Communicating With a Global Workforce

*Monday, 4:30–5:30 PM*

**Charlotte D. Young,** Chief Ethics and Compliance Officer, The NatureConservancy

**Grace Wu de Plaza,** Deputy Ethics & Compliance Officer, The Nature Conservancy

- Delivering effective compliance training: This session will provide an overview of the development and maturation of a global compliance training program developed entirely in house.
- Ensuring staff engagement: It will include the basic needs of a compliance training program; how to effectively communicate the training requirement to ensure staff engagement.
- Communicating your value to staff: How to provide a company-wide understanding of the value compliance training provides.

**Pre-registration is required for Advanced Discussion Groups. Attendance is limited to 50 participants. Please indicate your attendance on your registration form.**

# AGENDA

INTERNATIONAL/MULTI-NATIONAL TRACK

## 404 Minimizing Bribery Risks in Brazil: A Complete Review of the Legislative Landscape and How to Address Corruption Risks in Your Operations in Brazil

*Tuesday, 3:00–4:00 PM*

**Shin J. Kim,** Partner, Compliance Practice Group, TozziniFriere Advogados

**Renata Muzzi Almedia,** Partner, Compliance Practice Group, TozziniFriere Advogados

**Juliana Sa de Miranda,** Partner, Compliance Practice Group, TozziniFreire Advogados

- Understanding the new Brazilian anti-corruption legislation in force in January 2014 and its impact on your anti-corruption compliance programs.
- Conducting internal investigations in Brazil: do's and don'ts.
- Evaluating a new business partner in Brazil.

COMPLIANCE LAWYER

## 405 Implementing Compliance Programs in a Consensus Culture

*Monday, 4:30–5:30 PM*

**David R. Birk,** Managing Director, Black Belt Compliance, LLC

**Sepideh Moghadam,** Managing Director, Black Belt Compliance LLC

- Lawyers are often not equipped to utilize the tools and techniques required to implement compliance programs.
- Consensus cultures pervade most companies today, and this makes process design and change management critically important.
- This program will focus on the use of process design, change management and project management in in-house law departments to implement successful compliance programs.

**Pre-registration is required for Advanced Discussion Groups. Attendance is limited to 50 participants. Please indicate your attendance on your registration form.**

GENERAL COMPLIANCE/HOT TOPICS TRACK

## 406 The Relationship Roadmap: How CECOs Can Turn Turf Battles Into High-Performing Working Relationships

*Monday, 4:30–5:30 PM*

**Donna C. Boehme,** Principal, Compliance Strategists LLC

**Stephen M. Naughton,** VP – Chief Ethics and Compliance Officer, Kimberly-Clark Corporation

**Judith Nocito,** Former Director – Global Compliance, Alcoa (Retired); Senior Advisor, Compliance Strategists LLC

- Creating a "Relationship Roadmap" that assigns roles, facilitates better working relationships and closes dangerous gaps.
- A review of sample key interfaces between Compliance and one of its most valued allies in the organization: Legal.
- Why the Relationship Roadmap process can eliminate turf battles and create clarity in absolutely any area of compliance responsibility, including with the business line.

GENERAL COMPLIANCE/HOT TOPICS TRACK

## 407 Pay-to-Play Pitfalls: A Rising Threat to Your Business Plan

*Monday, 4:30–5:30 PM*

**Simon Davidson,** Author, *Roll Call's "A Question of Ethics"*; Counsel, McGuire Woods LLP

**Steve Epstein,** Chief Counsel, Ethics & Compliance, The Boeing Company

- Federal, state and local governments are adopting pay-to-play laws that may prohibit or restrict your company from doing business with these government entities. So much for your business plan!
- Successful compliance requires a company-wide approach establishing policies and controls on campaign contributions of the company as well as personal contributions of directors, officers, owners and employees
- This presentation will examine how play-to-pay laws work and whom they affect. It will also lay out a step-by-step compliance solution and best practices.

GENERAL COMPLIANCE/HOT TOPICS TRACK

## 408 Nuts and Bolts of Creating Effective Video for Ethics Training

*Monday, 4:30–5:30 PM*

**Anthony E. Dolan,** President, Resound Inc.

- How to create custom, compelling, effective, video content for your program.
- Basics of creative development, script writing, production options, casting, hiring a production company, editing, and deployment.
- Pitfalls and mistakes to be avoided. Risks and rewards. Lessons learned from 30 years in production.

ADVANCED DISCUSSION GROUPS

## AD7 Free Resources That Create Compelling Ethics and Compliance Training

*Monday, 4:30–5:30 PM*

**SESSION IS FULL: Repeats on Tuesday at 11:00 AM (AD10). Pre-registration is required for Advanced Discussion Groups. Attendance limited to 50 participants. See registration staff for availability.**

**Greg Walters,** Trial Attorney, U.S. Department of Housing and Urban Development

- Many websites provide news items and tools useful for creating great training. However, every year this list changes. This class will identify which websites in 2014 are essential to instruct and entertain audiences on ethics and compliance rules.
- Attendees will learn: how to create and use memes, photos and news stories effectively to illustrate and support any presentation; how to use games such as crossword puzzles, bingo and word searches; how to create with goanimate.com and youtube.com.
- Instructor will share techniques learned from decades of successful live training, including how to best use PowerPoint, how to use personal anecdotes effectively, and how the use of appropriate humor can build trust between the instructor and students.

ADVANCED DISCUSSION GROUPS

## AD8 Designing a Trustworthy Organization

**Pre-registration is required for Advanced Discussion Groups. Attendance is limited to 50 participants. See registration staff for availability.**

**Jeffery Wiggins,** Vice President Audit & Compliance, Vidant Health

- Discussion on what it takes to develop organizational trust and development of a culture of compliance.
- Discussion on how compliance behavior is reinforced through incentive programs.
- Discussion on how to embed compliance into the organizational structure, processes and management style.

### 5:30–7:00 PM

## Networking Reception

### 7:00 – 9:00 PM

## International Compliance & Ethics Awards Dinner

# AGENDA

## TUESDAY, SEPTEMBER 16

**6:30–7:30 AM**

**Yoga** (Pre-registration required)

**7:00 AM–5:30 PM**

**Registration Open**

**7:00–8:15 AM**

**Continental Breakfast in Exhibit Hall**
*Sponsored by Broad and Cassel*

**8:15–8:30 AM**

**Opening Remarks**

**8:30–9:30 AM**

### General Session – Whistleblowers: How to Provide the Right Incentives to Report Fraud Internally and What Happens When You Fail

**Eric R. Havian,** Partner, Phillips & Cohen LLP

**Joyce Branda,** Deputy Assistant Attorney General, United States Department of Justice

**Sean McKessy,** Office of the Whistleblower, United States Securities & Exchange Commission

- Compare and contrast: The Justice Department's 30-year record of implementation of the False Claims Act vs. the first three years of Dodd-Frank.
- Compliance programs: Persuading whistleblowers to trust and use corporate compliance programs. What are the common mistakes? How do compliance programs help the corporation when the government appears?
- Retaliation and interference: How attempts to stifle reporting to the government can backfire.
- Access to documents: We are now in the electronic world where whistleblowers have easy access to vast amounts of searchable information and evidence. What challenges does this present for the Justice Department and the SEC? For corporations?

**9:30–10:30 AM**

### General Session – Influencing Decision-Making

**Jenny O'Brien,** Chief Compliance Officer, UnitedHealthcare

**Roy Snell,** CEO, Society of Corporate Compliance & Ethics

- Be Relevant
- Impact on the Compliance Profession and Industry
- Lessons Learned/Lessons Taught
- Getting to "Effective"

**10:30–11:00 AM**

**Networking Break in Exhibit Hall**

**11:00 AM–12:00 PM**

Concurrent Breakout Sessions

RISK TRACK

### 501 Government Contracting and Relationships: Challenges, Opportunities and Effective Management of Risk

*Tuesday, 11:00 AM – 12:00 PM*

**Robert Meunier,** CEO and General Counsel, Debarment Solutions Institute

**Dirk Cockrum,** Vice-President, Compliance, Kinder Morgan Energy Partners, L.P.

- Explore Congressional and Executive initiatives that could affect the way your company addresses government contracts and relationships—Is there a new storm forming on the horizon?
- Discuss challenges and blind spots that often escape detection during the risk assessment process that can put your government contracts and relationships in jeopardy.
- Share real-world examples of compliance failures and breakdowns that have resulted in government penalties and enforcement action and explore strategies for avoiding these pitfalls and minimizing organizational impact.

ETHICS TRACK

### 502 How to Build a Corporate Ethical Culture to Improve Compliance and Prevent Fraud

*Tuesday, 11:00 AM – 12:00 PM*

**Eric R. Feldman,** Managing Director Corporate Ethics and Compliance, Affiliated Monitors, Inc

- Learn and understand the fraud risks and vulnerabilities created when weak ethical practices and culture drive business decisions.
- Discover how to help mitigate risks and identify the causes of ethical failures which have led to instances of fraud, waste and abuse in corporate settings.
- Explore alternative, proactive tools for developing a corporate ethical culture through effective communications, values-based training, and consistent business practices designed to reduce the risk of fraud and ethical failures.

CASE STUDY TRACK

### 503 Trust and Verify: Investigations and Compliance Forensic Tools

*Tuesday, 11:00 AM – 12:00 PM*

**Martin Wolin,** Chief Risk and Compliance Officer, North America and Latin America, Mercer

**Alan Halfenger,** Chief Compliance Officer, Bain Capital, LLC

- Central to a world class compliance program is the ability to identify violations of laws, rules, regulations and company policies by the company and its employees.
- The session will focus on the factors that chief compliance officers should consider when conducting these activities.
- We will compare the approach followed by a large, public company with that of a smaller private partnership.

INTERNATIONAL/MULTI-NATIONAL TRACK

### 504 Anti-Corruption Compliance Challenges—the Cost of Doing Business in High Risk Regions of the World

*Tuesday, 11:00 AM – 12:00 PM*

**(Moderator) James M. Lord,** Attorney at Law, Jackson Lewis P.C.

**Winston Y. Chan,** Of Counsel, Gibson Dunn

**Harvey Woodford,** Chief Ethics & Compliance Officer, Avnet, Inc.

- A review of anti-corruption enforcement actions involving representative high risk regions of the world.
- Conducting and managing investigations in high-risk regions.
- Engaging foreign law enforcement to assist with corruption investigations.

# AGENDA

COMPLIANCE LAWYER

## 505 Are Your Corporate Contract Clauses Running Offense and Defense for Your Compliance Program?

*Tuesday, 11:00 AM – 12:00 PM*

**Amy E. Hutchens,** President, CLEAResources, LLC

**Jason B. Meyer,** President, LeadGood, LLC

- An effective program must reach beyond the boundaries of your company; do your company's contract clauses give your program room to operate to its fullest potential?
- Discover how to play offense and defense with your program using contract clauses—learn about common limitations in contract clauses that could tie your hands if something goes wrong.
- Hear how agreeing to certain contract clauses can bind your company to complying with another company's program—and how to negotiate terms that your program can live with.

GENERAL COMPLIANCE/HOT TOPICS TRACK

## 506 Bring Your Own Device (BYOD) - They are here and they are not going away. Understanding the benefits, risks and establishing a commonsense strategy for Personally Owned Devices (PODs) in the workplace

*Tuesday, 11:00 AM – 12:00 PM*

**James A. Donaldson,** Director Corporate Compliance/ Privacy & Security Officer, Baptist Health

- Understanding the different types of personally owned devices (PODs) and their potential use in the workplace. Do you really know how your employees are using them?
- A review of the risks associated with personally owned devices and determining if they are outweighed by organizational benefits. Saying "NO" won't always be an option!
- Ideas for creating meaningful policies and procedures surrounding the use of PODs that incorporate regulatory standards and guidance from the National Institute of Standards and Technology (NIST).

**Pre-registration is required for Advanced Discussion Groups. Attendance is limited to 50 participants. Please indicate your attendance on your registration form.**

GENERAL COMPLIANCE/HOT TOPICS TRACK

## 507 The Five Essential Elements of Corporate Compliance: A Practical Guide to an Effective Compliance Program As Seen Through the Eyes of a Compliance Officer, the DOJ and the SEC

*Tuesday, 11:00 AM – 12:00 PM*

**Stephen Martin,** Managing Director, Baker & McKenzie LLP

**Marc Litt,** Partner, Baker & McKenzie LLP

**Laurel L. Burke,** Associate General Counsel - Compliance, Regal-Beloit Corporation

- Understanding the five elements of corporate compliance.
- Effectively managing corporate compliance and risk management in an dramatically increasing government enforcement environment.
- Assessing the Effectiveness of your company's compliance program from the perspective of the DOJ and SEC.

GENERAL COMPLIANCE/HOT TOPICS TRACK

## 508 What has the DOJ Communicated About Best Practices in 2014?

*Tuesday, 11:00 AM – 12:00 PM*

**Thomas R. Fox,** Principal, Tomfoxlaw.com

- What are the significant FCPA cases of 2014?
- What has the DOJ communicated about evolving best practices in compliance?
- Where are things going for 2015?

ADVANCED DISCUSSION GROUPS

## AD9/Repeat of AD1 Risk Assessment Methodologies

*Tuesday, 11:00 AM – 12:00 PM*

**Pre-registration is required for Advanced Discussion Groups. Attendance is limited to 50 participants. See registration staff for availability.**

**John Falcetano,** Chief Audit & Compliance Officer, Vidant Health

- How to plan a risk assessment; who should be involved in the risk assessment process.
- How to identify, measure, assess and analyze risk.
- Determining risk priorities and developing mitigation plans.

ADVANCED DISCUSSION GROUPS

## AD10/Repeat of AD7 Free Resources That Create Compelling Ethics and Compliance Training

*Tuesday, 11:00 AM – 12:00 PM*

**Pre-registration is required for Advanced Discussion Groups. Attendance is limited to 50 participants. See registration staff for availability.**

**Greg Walters,** Trial Attorney, U.S. Department of Housing and Urban Development

- Many websites provide news items and tools useful for creating great training. However, every year this list changes. This class will identify which websites in 2014 are essential to instruct and entertain audiences on ethics and compliance rules.
- Attendees will learn: How to create and use memes, photos and news stories effectively to illustrate and support any presentation; how to use games such as crossword puzzles, bingo and word searches; how to create with goanimate.com and youtube.com.
- Instructor will share techniques learned from decades of successful live training, including how to best use PowerPoint, how to use personal anecdotes effectively, and how the use of appropriate humor can build trust between the instructor and students.

**12:00 – 1:30 PM**

## Networking Lunch

**1:30 – 2:30 PM**

Concurrent Breakout Sessions

RISK TRACK

## 601 Global Records and Information Management Risk: Proactive and Practical Approaches to Effective Management

*Tuesday, 1:30 – 2:30 PM*

**Maura L. Dunn,** President, TrailBlazer Consulting, LLC

**Lee Karas,** Executive Vice President, TrailBlazer Consulting, LLC

- Use risk identification, weighted action prioritization and proactive compliance monitoring to mitigate risk and increase compliance.
- Identify top risks, develop and monitor key performance indicators (KPIs) and implement progressive and effective records management programs.
- Meet today's challenges: Structured/unstructured electronic records, email, legacy records holdings, varying global requirements, records in the "cloud," e-discovery, electronic holds and a whole lot more!

# AGENDA

ETHICS TRACK

## 602 Creating and Sustaining a Values Based Organization: Key Factors Important to Embedding and Embodying Organizational Values

*Tuesday, 1:30–2:30 PM*

**Ann D. E. Fraser,** Executive Director VICR, Canadian Food Inspection Agency

- The effective integration of organizational values and ethics into everyday business practice (i.e., employee behaviour and decision making) is generally recognised as essential for long-term organizational survival/success.
- This presentation will discuss what a values based organization looks like and what the strengths of being values based are. It will discuss what can happen if there is a lack of focus on the organization's ethical culture.
- Ten key factors which we consider critical to the successful integration of our organizational V&E will be described including, as examples, a V&E Strategy, V&E training, ethical climate surveys, ethical wellness reports and ethical risk profiles.

CASE STUDY TRACK

## 603 Managing Compliance Across an Outsourced Talent Supply Chain

*Tuesday, 1:30–2:30 PM*

**Barbara A. Stockman,** Senior Director, Ethics & Compliance, Kelly Services, Inc.

**Leslie Stoner,** Senior Director, Kelly Services, Inc.

- Identify compliance issues that may arise from the use of outsourced talent (e.g. temporary staff, independent contractors/freelancers, services providers [SOW], alumni, retirees and interns): The temp did WHAT?
- Distill the complexities of compliance that exist within this evolving trend in the employment landscape: Who's compliance obligation is it?
- Holistic solution strategies for ensuring attainment of compliance standards and containment of liability across this non-traditional workforce in light of the broader business realities: What do you mean my CEO may go to jail?

**Pre-registration is required for Advanced Discussion Groups. Attendance is limited to 50 participants. Please indicate your attendance on your registration form.**

INTERNATIONAL/MULTI-NATIONAL TRACK

## 604 Developing a Systematic Approach to Integrating Compliance in BRIC Countries

*Tuesday, 1:30–2:30 PM*

**Ilana Shulman,** Associate GC, Legal and Compliance, Astellas

**Ruti Smithline,** Partner, Morrison & Foerster LLP

- Techniques for handling ethics and compliance challenges outside the United States, including how to set the expectations and assess risk as early as possible.
- Ideas for structuring an ethics and compliance department to ensure consistency with corporate values while allowing for regional flexibility.
- Understanding how ownership structure (JVs, publicly traded companies, etc.) might impact your ability to have oversight and control.

COMPLIANCE LAWYER

## 605 Compliance Program Officers and Counsel: How to Respond to Organizational Compliance Matters

*Tuesday, 1:30–2:30 PM*

**Gabriel L. Imperato,** Managing Partner, Broad and Cassel

**Daniel Roach,** General Counsel, Optum360

- The role of compliance officer and counsel in addressing organizational compliance matters.
- The use of counsel to address routine compliance questions and reliance on advice of counsel to protect the organization.
- The use of counsel as a messenger for the organization.

GENERAL COMPLIANCE/HOT TOPICS TRACK

## 606 From Shelfware to Software: Compliance Standards in the Era of 'Big Data'

*Tuesday, 1:30–2:30 PM*

**Scarlett R. Wirt,** Assistant Director for Standards, Monitoring and Assessments, National Security Agency Office of the Director of Compliance

- Learn how to incorporate complex and rapidly-changing legal-regulatory requirements in standards and procedures.
- Define standards-linked monitoring and assessment objectives that support automation of internal controls. Use continuous monitoring to assess the effectiveness of automated controls in a big data environment.
- Demonstrate the value of compliance systems through use of standards-based Mitigation Action Plans.

GENERAL COMPLIANCE/HOT TOPICS TRACK

## 607 What Compliance Professionals Can Learn From Behavioral Psychology: How To Get People to Do What You Want!

*Tuesday, 1:30–2:30 PM*

**Virginia MacSuibhne,** Chief Compliance Officer, Roche

- Lessons from behavioral psychology.
- What these lessons mean for compliance professionals.
- How to get people to do what you want.

GENERAL COMPLIANCE/HOT TOPICS TRACK

## 608 Investigations: Strategy and Conducting Interviews

*Tuesday, 1:30–2:30 PM*

**Michele A. Yaroma,** Supervisory Special Agent, FBI

- Understand why developing a comprehensive strategy and preparing an outline can provide a roadmap for achieving a more systematic and thorough investigation.
- Learn how to prepare for interviews by developing and posing appropriate questions in the proper sequence to gather the most complete and accurate information for your investigation.
- Learn how to accurately and precisely summarize the results of interviews into a concise, well-written report format.

ADVANCED DISCUSSION GROUPS

## AD11 Advanced Data Analytics and Advanced Display Systems for Compliance

*Tuesday, 1:30–2:30 PM*

**Pre-registration is required for Advanced Discussion Groups. Attendance is limited to 50 participants. See registration staff for availability.**

**Theodore L. Banks,** Partner, Scharf Banks Marmor LLC

**Franz Dill,** Former Chief Scientist, Analytics, Proctor & Gamble; Partner, PKL Knowledge Partners, LLC

**2:30–3:00 PM**

## Networking Break

**3:00–4:00 PM**

Concurrent Breakout Sessions

# AGENDA

RISK TRACK

## 701 Managing Social Media Risk: Challenges and Opportunities

*Tuesday, 3:00–4:00 PM*

**Adam Turteltaub,** VP Membership Development, Society of Corporate Compliance & Ethics

- Understanding the evolving risk and where it may be going.
- Data on how employees are using social media.
- Devising a social media strategy.

ETHICS TRACK

## 702 Unlocking the Positive Value of Ethical Behavior - a Practical Approach to Ethical Leadership

*Tuesday, 3:00–4:00 PM*

**Marcy J. Maslov,** CEO, e-Factor!® - educational board games for business ethics

- This program explores questions of ethics in a fun, creative and supportive environment. We use real-life scenarios to illustrate the types of real ethical dilemmas we might face and provide models for resolving these issues in positive ways.
- The objective of this program is to create a working model with parameters for practical, positive ethical behavior. The model engages all stakeholders in an organization to create clear definitions and use them to resolve issues.
- We use real-life scenarios in a game/simulation format to help participants define ethics more clearly, understand how ethics affects decisions, consequences and outcomes, and create an action plan for applying lessons learned.

CASE STUDY TRACK

## 703 Small Company, Big Shoes

*Tuesday, 3:00–4:00 PM*

**David W. Weber,** Supervising Engineer, Superior Water, Light & Power Company

**Nick S. Nelson,** Utility Compliance Specialist, Superior Water, Light & Power Company

- Explore how one small company leverages limited resources to overcome the challenge of implementing a big compliance program.
- Learn scalable strategies for enhancing employee engagement and mitigating risk
- Discover ideas for improving your own compliance & ethics programs, including compliance committees, compliance & ethics training, procedure development, and document & task management.

INTERNATIONAL/MULTI-NATIONAL TRACK

## 704 International Data Protection/ Cybercrime: Conflict of Laws and Overlapping Sanctions in Different Jurisdictions

*Tuesday, 3:00–4:00 PM*

**Jonathan P. Armstrong,** Lawyer, Cordery, UK

**Thomas Obermaier,** Chief Executive Officer, Regulatory DataCorp (RDC)

- Data privacy and data export laws have never been more in focus—what practical tips help you comply and how can you future proof against upcoming new laws.
- How can you do internal investigations after Europe's "Right to be Forgotten" ruling in the Google case.
- The fallout from Snowden and how that makes the life of a compliance officer more challenging.

COMPLIANCE LAWYER

## 705 The Role of Legal in Compliance

*Tuesday, 3:00–4:00 PM*

**Suzanne Rich Folsom,** General Counsel and Senior Vice President - Governmental Affairs, United States Steel Corporation

**Glenn T. Ware,** Esq., Principal, PricewaterhouseCoopers LLP

- Discuss the intersection of legal and compliance.
- Issues concerning attorney-client privilege, ownership of investigations, and a mixed compliance/legal department will be covered.
- Different reporting structures and independence.

GENERAL COMPLIANCE/HOT TOPICS TRACK

## 706 Getting the Most out of Compliance Committees

*Tuesday, 3:00–4:00 PM*

**Margaret A. Steenrod,** Manager, Pacific Financial Center LLC,

**Paula F. Saddler,** Principal, Hudson-Ethics Consulting

**Ann Dunham,** Compliance Officer, Hannibal Regional Healthcare System

- Explore challenges of effective compliance committees.
- Share techniques for maximizing your effectiveness in compliance committees.
- Explore how to navigate boundaries of other business units that participate in the compliance committee.

GENERAL COMPLIANCE/HOT TOPICS TRACK

## 707 Views from the Bench on Compliance & Ethics Programs

*Tuesday, 3:00–4:00 PM*

**John Hanson,** Executive Director, Artifice Forensic Financial Services, LLC

**Honorable Wayne R. Andersen** (ret.), Mediator & Arbitrator, JAMS Chicago

- Federal judges' expectations for effective compliance and ethics programs.
- The effect of compliance and ethics programs on sentencing.
- The future of corporate compliance; ethics programs on bench decisions.

### 4:00–4:15 PM

## Networking Break

### 4:15 –5:15 PM

Concurrent Breakout Sessions

ADVANCED DISCUSSION GROUPS

## AD12 BIG Data – BIG Compliance

*Tuesday, 3:00–4:00 PM*

**Pre-registration is required for Advanced Discussion Groups. Attendance is limited to 50 participants. See registration staff for availability.**

**John DeLong,** Director of Compliance, National Security Agency

**Julia Pallozzi-Ruhm,** Deputy Director of Compliance, National Security Agency

- It's in every organization's interest to govern BIG data with specific rules and to support BIG compliance with those rules.
- The rules themselves are primarily in the legal, policy, privacy and civil liberties domain, but compliance relies on a shared interpretation and consistent implementation of the rules. And in many cases, implementation of the rules depends heavily on technology.
- Join us for a discussion about the BIG role humans (even compliance officers!) play in translating the functional requirements of the rules into technical requirements.

**Pre-registration is required for Advanced Discussion Groups. Attendance is limited to 50 participants. Please indicate your attendance on your registration form.**

# AGENDA

RISK TRACK

## 801 Strategies for Managing and Mitigating Global Trade Compliance Risk

*Tuesday, 4:15–5:15 PM*

**Gwendolyn Hassan,** Managing Attorney - Compliance & Regulatory, CNH Industrial America LLC

**Kendra Cook,** Owner/Director of Compliance, C2 International, LLC

- Learn to decode the "alphabet soup" of trade regulations (ITAR, EAR, BIS, DDTC, OFAC, FCPA and more!).
- Gain insight to the key components of a successful trade compliance program.
- Learn about common compliance gaps and risk areas through discussion of enforcement examples.

ETHICS TRACK

## 802 The Alchemy of Ethics: Is Organizational Development (OD) the Catalyst That Will Enable You to Achieve the Gold Standard of Cultural Change in your Organization?

*Tuesday, 4:15–5:15 PM*

**Ruth N. Steinholtz,** Values Based Business Ethics Advisor, AreteWork, LLP

- Understanding the contribution OD can make to enabling and sustaining compliance in your organization and how to work with OD practitioners to bring about the cultural shifts required to sustainably embed your ethics & compliance program.
- Learn how to diagnose the drivers of ethical behaviour and compliance from an OD point of view and how to tailor your interventions to target the specific ethical and compliance situations you face both at a macro and micro level in your organization.
- Have the opportunity to apply what you have learnt in this session to the dilemmas you face in your organization.

CASE STUDY TRACK

## 803 Making it Real – Tying Compensation to Compliance Using a Compliance Scorecard

*Tuesday, 4:15–5:15 PM*

**John Loxterman,** Aetna

- Learn about Aetna's experience implementing a compliance scorecard.
- Discuss how to address common challenges in using a compliance scorecard, such as objective vs. subjective metrics, comparing performance across diverse business units and allocating accountability in a matrixed environment.
- Discuss how a scorecard drives accountability for compliance performance in the business.

INTERNATIONAL/MULTI-NATIONAL TRACK

## 804 Building an Effective Ethics & Compliance Training Program for a Diverse Multi-National Workforce

*Tuesday, 4:15–5:15 PM*

**Wayne M. Chancellor,** Vice President - Legal, AngloGold Ashanti Americas Inc.

- An overview of subject matter, management, and cultural challenges that must be addressed by an effective, ongoing compliance training program in a large multi-national corporation.
- An examination of various tools that may be used to build an integrated compliance training program, and to audit the effectiveness of the program.
- A discussion of lessons learned and a brief look at challenges particular to an extractive industry.

GENERAL COMPLIANCE/HOT TOPICS TRACK

## 805 Cyber-Security Risk – IP Theft and Data Breaches: Protecting Your Crown Jewels Internally and with Key Third Parties

*Tuesday, 4:15–5:15 PM*

**Pamela Passman,** President and CEO, Center for Responsible Enterprise and Trade – CREATe.org

**Glenn T. Ware,** Principal, PricewaterhouseCoopers LLP

**Luis Canuto,** Global Ethics Investigations Co-Leader, Latin America Ethics Compliance Director, Dell Inc.

- What is the role of the legal department and compliance function in managing cyber risk so as to protect IP, in particular trade secrets, and to prevent data breaches?
- Examples and strategies to be more proactive and preventative for IP losses and data breaches. Understanding the key threat actors and their motivations and capabilities.
- How can companies boost internal capacity to manage cyber-risk and extend this capability to key suppliers and other business partners who present upstream and downstream risks?

GENERAL COMPLIANCE/HOT TOPICS TRACK

## 806 U.S. Immigration Law Compliance – Understanding and Minimizing Liability Risks

*Tuesday, 4:15–5:15 PM*

**Sarah A. Asta,** Fragomen, Del Rey, Bernsen & Loewy LLP

**Bernhard Mueller,** Ogletree, Deakins, Nash, Smoak & Stewart, P.C.

- Understand liability risks faced by U.S. employers arising out of federal immigration law compliance obligations, including those associated with employment eligibility verification requirements and those triggered by employment-based visa sponsorship.
- Discuss strategies to ensure effective compliance and to minimize liability exposure.
- Learn about best practices and options when faced with a government enforcement action.

GENERAL COMPLIANCE/HOT TOPICS TRACK

## 807 Connecting to the Remote and Transitional Workforce

*Tuesday, 4:15–5:15 PM*

**Adelle Elia,** Chief Ethics & Compliance Officer, US Investigations Services

**Paige Shannon,** Federal Services Counsel & Compliance Officer, Kforce Inc.

- Create ethics and compliance awareness in high-turnover populations.
- Connect to employees who rarely see a manager or corporate office.
- Establish presence with employees without Internet access or ability.

# *WEDNESDAY, SEPTEMBER 17*

**7:30 AM–12:30 PM**

## Registration Open

**8:00–9:45 AM**

Post-Conference Breakout Sessions

# AGENDA

RISK TRACK

## W1 Integrating Technology to Enhance Your E&C Program and Mitigate Risk: Finding the Right Fit

*Wednesday, 8:00–9:45 AM*

**Caroline McMichen,** Chief Ethics & Compliance Officer, Molson Coors Brewing Company

**Jennifer Oriel,** Global Manager, Ethics & Compliance, Molson Coors Brewing Company

- This interactive workshop will explore challenges and opportunities of using technology to enhance ethics and compliance programs and mitigate risk in global organizational settings.
- Examples of how technology has been successfully leveraged in real-world settings will be shared to include the use and implementation of internal ethics and compliance "portals" and other online solutions designed to engage your global audience, enable meaningful ethics and compliance, and mitigate risk.
- Participants will have the opportunity to explore and discuss risk area challenges and collaborate on potential technology solutions that work.

ETHICS TRACK

## W2 Preventing Retaliation: Ten Solid Steps to Create a Solid Speak-Up Culture

*Wednesday, 8:00–9:45 AM*

**Katherine Cooper Franklin,** Shareholder, Littler Mendelson P.C.

**Earl M. Jones,** Shareholder, Littler Mendelson P.C.

**Gretchen A. Winter,** Executive Director, Center for Professional Responsibility in Business and Society, College of Business, University of Illinois; Adjunct Professor of Law, University of Illinois College of Law

- We will discuss a process that captures an effective way to set up internal systems that encourage a true speak-up culture, teaching managers how to recognize retaliatory behavior, take the emotion out of their actions and encourage their employees.
- We will discuss necessary protocols to put in place to prevent retaliation at all levels in the organization.
- Attendees will learn the common pitfalls to avoid and ways to reduce the risks of retaliation.

CASE STUDY TRACK

## W3 BP and the Deepwater Horizon Spill – Why BP Carried the Blame

*Wednesday, 8:00–9:45 AM*

**Michele Jurgens,** Program Chair, Masters of Business Ethics & Compliance, New England College of Business and Finance

- What it means to manage reputation risk in the midst of a crisis.
- How to plan ahead so that when disaster strikes your company is ready.
- How to build a network of alliances that can help your firm fight back when its reputation is in danger.

INTERNATIONAL/MULTI-NATIONAL TRACK

## W4 Making the Code of Conduct Resonate Across Borders

*Wednesday, 8:00–9:45 AM*

### Part I: How Do You Create Easily Understood and Meaningful Ethics and Compliance Policies and Procedures in Local Languages for a Global Audience?

**Jay Rosen,** VP Language Solutions, Merrill Brink International

**Melissa M. Paul,** Senior Attorney, FedEx Corporation

**Eric O. Morehead,** Senior Compliance Counsel, NYSE Governance Services

- How do you create easily understood and meaningful ethics and compliance policies and procedures in local languages for a global audience?
- How do ethics and compliance professionals navigate the tradeoffs between Legalese vs. Plain Language, Completeness vs. Effective Brevity and Theoretical vs. Actual Real World Examples to communicate policies in multiple languages to a global employee base?
- Session includes a case study of the decision making process behind revamping a global corporation's legal documents into living, breathing and linguistically relevant compliance roadmaps. Considerations discussed include creating engaging methods to ensure local buy-in.

### Part II: Making Codes of Conduct and C&E Programs Resonate Across Borders

**Sean J. Oliver,** Consultant, Language & Culture Worldwide, LLC

- Best practices for designing and adapting codes of conduct and E&C training for country-specific audiences.
- How to take culture and local concerns into account, for both content and tone.
- Finding local case studies and developing scenarios that are relevant to learners in their own market.

COMPLIANCE LAWYER

## W5 Board Training: Ten Things to Ensure your Board Knows about Ethics & Compliance

*Wednesday, 8:00–9:45 AM*

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

**Diane Brown,** Head of Operations, Advisory Services, NAVEX Global: The Ethics and Compliance Experts

**Michael Kallens,** Associate General Counsel and Manager, Corporate Ethics and Compliance, Booz Allen Hamilton

- Board training is a necessary activity for an effective ethics and compliance program. But what should you do to engage these busy, time-strapped executives? What should you include in the training?
- How do you educate them on what they should be demanding internally? And what about the potential intimidation factor of presuming to instruct the top tier of your organization?
- This interactive session will offer tips, techniques and insights from an experienced Board trainer plus the opportunity to benchmark what your peers are doing with their Board training.

GENERAL COMPLIANCE/HOT TOPICS TRACK

## W6 Developing and Implementing a Thriving Compliance Program: Bird's Eye View vs. Fish Eye View

*Wednesday, 8:00–9:45 AM*

**Barbara L. Harmon,** Compliance & Ethics Lead, Alyeska Pipeline Service Co

**Cynthia S. Morrison,** Senior Manager, Global Ethics and Compliance, Bunge Limited

- In the Beginning: Learn how to establish and embed compliance standards tailored to your company into your program for easier performance monitoring.
- Bird's Eye View (The Ocean): Discuss how to engage senior management in their oversight of the organization's C&E program.
- Fish Eye View (Inside the Coral Reef): Review specific examples of techniques to identify risk, communicate C&E expectations, and report on C&E performance.

# AGENDA

**9:45–10:00 AM**

## Networking Break

**10:00–11:45 AM**

Post-Conference Breakout Sessions

RISK TRACK

### W7 Advanced Risk Management Workshop: Tackling and Effectively Managing Your Top Ethics and Compliance Risks

*Wednesday, 10:00–11:45 AM*

**Monica Reinmiller,** Director, Ethics & Compliance Symantec Corporation

**David Wong,** Sr. Manager, Ethics & Compliance, Symantec Corporation

- Overview of top risks facing global organizations today to include emerging challenges and trends; explore best practice for identifying and prioritizing your most important risks.
- Share case-study examples of approaches and strategies to managing risk in a few key focus areas including conflicts of interest, third-party due diligence, and books and records; discuss practical processes and solutions for effective risk management and mitigation.
- Engage in a real-world exercise that supports and reinforces the value and benefits of effective risk identification, prioritization, and management infrastructures.

ETHICS TRACK

### W8 Attract, Empower and Retain Ethical Employees

*Wednesday, 10:00–11:45 AM*

**Ann M. Kulow,** Manager, Corporate Governance/ Compliance, Harley-Davidson

**Lorrie Corbin-Bamford,** Director of Compliance/General Counsel, Gaming Capital Group, LLC

- Identify strategies (hard and soft) needed to attract, educate, enhance, empower and retain ethical personnel resulting in the formation of an ethical culture.
- Participants will join similar industry discussion teams facilitated by panel members, to plan and share techniques specific to the requirements, regulations or limitations of their industry.
- Teams will share identified techniques for maximum effectiveness to provide a workforce of ethical employees.

CASE STUDY TRACK

### W9 Employee Behavior Change Management Strategies: Case Studies on Getting Employees to Follow Compliance Programs

*Wednesday, 10:00–11:45 AM*

**Mark Diamond,** CEO, Contoural, Inc.

**Ann E. Drew,** Chief Compliance Officer, SIG SAUER Inc.

- Explore key elements of designing a compliance initiative that will increase the likelihood of employee compliance.
- Review real-world case studies illustrating both failures and successes on how to sell compliance initiatives to senior management, business units and rank-and-file employees.
- Discuss clear, practical approaches for measuring the effectiveness of compliance programs, and how to identify if non-compliance is a due to policy, training or employees (and it is often not the employees).

INTERNATIONAL/MULTI-NATIONAL TRACK

### W10 Practices & Pitfalls: The Global Investigation Of A U.S.-based Multinational

*Wednesday, 10:00–11:45 AM*

**Sophie Marlange,** Legal Director EMEA, Employment and Ethics, Dell Inc.

**Chris Enloe,** Director of Global Investigations, Dell, Inc.

- Act I: The Bad Act (news reports vs. internal reporting); evaluation of risk; investigation planning & Eexecution—examples from EMEA, Asia and elsewhere.
- Forensics, privacy & other considerations based upon local Custom, culture, legal privilege & other factors.
- Resolution & Remediation—balancing Severity, risk, business Needs & Other Factors.

GENERAL COMPLIANCE/HOT TOPICS TRACK

### W11 Professional Mentoring Panel

*Wednesday, 10:00–11:45 AM*

**(Moderator) Adam Turteltaub,** VP Membership Development, Society of Corporate Compliance & Ethics

**Odell Guyton,** SCCE Co-Chair, Vice President, Global Compliance, Jabil Circuit, Inc.

**Haydee Olinger,** Corporate VP Global Compliance Officer, McDonald's Corporation

**Daniel Roach,** Co-Chair, SCCE Advisory Board, General Counsel, Optum360

GENERAL COMPLIANCE/HOT TOPICS TRACK

### W12 Building a Scalable Compliance Infrastructure: Leveraging a Liaison Network

*Wednesday, 10:00–11:45 AM*

**Jeffrey Piposar,** Director and Executive Advisor, CEB Compliance & Ethics

- Making the business case for a liaison program that focuses on stakeholder interest.
- Determining the appropriate structure for your liaison program.
- Developing and engaging your liaisons.

**1:00 PM**

## Exam Check-In

**1:30–4:30 PM**

## Certified Compliance & Ethics Professional (CCEP)® Exam*

(Pre-registration required; offered in English only)

**1:30–5:30 PM**

## Certified Compliance & Ethics Professional – International (CCEP-I) Exam*

(Pre-registration required; offered in English only)

Taking the Certified Compliance & Ethics Professional (CCEP)® or the Certified Compliance & Ethics Professional – International (CCEP-I)™ exams is optional. You must pre-register for either exam separately from the Compliance & Ethics Institute. To register for an exam, download the PDF application for that exam from the Compliance & Ethics Institute website: www.complianceethicsinstitute.org

*If you are not present at the specified "Exam Time" as listed above, and as determined by the exam proctor, you will not be allowed to sit for the exam. Actual Exam Duration is 120 minutes for the CCEP and 150 minutes for the CCEP-I per their respective Candidate Handbooks. Time range above includes mandatory exam procedures and proctor instructions.

The Compliance & Ethics Institute and both exams are conducted in English at this time. Agenda is subject to change.

# *Planning to take a certification exam?**

## *The Compliance & Ethics Institute Sessions listed below may be helpful.*

**CCEP Exam: Wednesday, September 17 | 1:30 – 4:30 PM** (Report to Check-In at 1:00 PM)**

**CCEP-I Exam: Wednesday, September 17 | 1:30 – 5:00 PM*** (Report to Check-In at 1:00 PM)**

P1 Ethics & Compliance Risk Management 101: Program Essentials and Effective Practice

P6 Compliance 101

P7 Investigations Workshop

P8 Effectively Managing Corruption and Bribery Risk in Leading Global Markets: Advanced Practice Workshop

P13 Practical Use of The Code of Professional Ethics for Compliance & Ethics Professionals

P14 Investigations Workshop (continued)

101 Conflicts of Interest: Identifying Risks and Mitigating Harm without Unnecessary Restrictions

103 Driving Business Accountability: Leveraging Investigation Learnings to Improve Compliance Programs

106 Proactively Detect Identity Theft and Privacy Breaches by Insiders

108 Justifying a Compliance Budget Increase in a Time of Scarcity

202 Accountability – If Everyone Wants It, Why is It So Hard to Get?

204 Case Study: Building an International Compliance Programme

206 How to Measure the Effectiveness of Your Ethics and Compliance Program

208 Lie Detection for Compliance and Ethics Professionals

301 Global Antitrust Compliance and Risk – Creating an Effective Program

302 Culture Shift: Moving From a Check-the-Box Mentality to One of Ethical Performance

304 Anticorruption at the Crossroads in Europe

307 Managing the Costs of Misconduct: The New Normal of Investigations, Voluntary Disclosures and Enforcement

308 Strengthening Your Ethics & Compliance Program with Tone from the Middle

401 Global Privacy and Data Protection Risk: Implementing Best Practices Now to Comply with Impending Regulatory Changes

403 Training and Communicating with a Global Workforce

405 Implementing Compliance Programs in a Consensus Culture

407 Pay – to – Play Pitfalls: A Rising Threat to Your Business Plan

501 Government Contracting and Relationships: Challenges, Opportunities and Effective Management of Risk

502 How to Build a Corporate Ethical Culture to Improve Compliance and Prevent Fraud

503 Trust and Verify: Investigations and Compliance Forensic Tools

506 Bring Your Own Device (BYOD) – They are here and they are not going away. Understanding the benefits, risks and establishing a commonsense strategy for Personally Owned Devices (PODs) in the Workplace

507 The Five Essential Elements of Corporate Compliance: A Practical Guide to an Effective Compliance Program As Seen Through the Eyes of a Compliance Officer, the DOJ and the SEC

601 Global Records and Information Management Risk: Proactive and Practical Approaches to Effective Management

605 Compliance Program Officers and Counsel: How to Respond to Organizational Compliance Matters

608 Investigations: Strategy and Conducting Interviews

705 The Role of Legal in Compliance

706 Getting the Most Out of Compliance Committees

803 Making it Real – Tying Compensation to Compliance Using a Compliance Scorecard

W4 Making the Code of Conduct Resonate Across Borders

W5 Board Training: Ten Things to Ensure Your Board Knows About Ethics & Compliance

W6 Developing and Implementing a Thriving Compliance Program: Bird's Eye View vs. Fish Eye View

W10 Global Investigations: An Interactive Workshop

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INTERNATIONAL
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*Exams offered in English only at this time

**Actual exam duration is 120 minutes per the CCEP Candidate Handbook

***Actual exam duration is 150 minutes per the CCEP-I Candidate Handbook

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*The Society of Corporate Compliance and Ethics invites you to attend the*

*10th Annual International*

# Compliance & Ethics Awards Dinner

**Monday**
**September 15, 2014**
**7:00–9:00 PM**
**Hyatt Regency Chicago**

## 2014 AWARD RECIPIENTS

WSJ's Risk & Compliance Journal.
accepted by Ben DiPietro

Donna C. Boehme, Principal,
Compliance Strategists LLC

Daniel R. Levinson, Inspector General,
U.S. Department of Health
and Human Services

Smith Debnam, accepted
by Jennifer Quillen

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& ETHICS PROFESSION

***RSVP REQUESTED***

*Admission is complimentary for all conference attendees. Non-conference attendees are invited to purchase a ticket for $50. Please contact SCCE to RSVP if you did not originally register for dinner on your registration form or if you need to register a guest. Business casual attire is appropriate.*

# CONTINUING EDUCATION UNITS

**SCCE is in the process of applying for additional credits. If you do not see information on your specific accreditation and would like to make a request, please contact us at 952-933-4977 or 888-277-4977. Visit SCCE's website, www.corporatecompliance.org, for up-to-date information.**

**ASIS:** Participants completing this course may be eligible to receive Continuing Professional Education credit or CPEs toward ASIS re-certification. Individuals seeking re-certification credit should check with ASIS and review the filing process at https://www.asisonline.org/Certification/Recertification/Pages/default.aspx. SCCE will provide all supporting documentation required for participants to submit to ASIS for credit approval.

**Compliance Certification Board (CCB):** CCB has awarded a maximum of 25.2 CEUs for these accreditations: Certified Compliance & Ethics Professional (CCEP)®, Certified Compliance & Ethics Professional–Fellow (CCEP-F), Certified Compliance & Ethics Professional–International (CCEP-I); Certified in Healthcare Compliance (CHC)®, Certified in Healthcare Compliance–Fellow (CHC-F), Certified in Healthcare Privacy Compliance (CHPC)®, Certified in Healthcare Research Compliance (CHRC)®. Additional CCB credits only may be earned for participation in the Speed Networking and/or Speed Mentoring sessions at the Sunday Pre-conference. A limit of 1.5 CCB credits per year may be earned by participating in SpeedNetworking or SpeedMentoring sessions.

**STANDARD BREAKOUT SESSIONS**

**Sunday:** 6.6 CCB

**Monday:** 7.2

**Tuesday:** 7.2

**Wednesday:** 4.2

**CCB MAXIMUM TOTAL:** 25.2 CEU

**CLE:** The Society of Corporate Compliance and Ethics is a State Bar of California Approved MCLE provider, a Pennsylvania Accredited Provider, and a Texas Accredited Sponsor. An approximate maximum of 21 clock hours of CLE credit will be available to attendees of this conference. All CLE credits will be awarded based on individual attendance. SCCE is in the process of applying to ALL MCLE STATES for CLE approval prior to the event. To view the current status of continuing legal education credits for this conference, go to: www.complianceethicsinstitute.org > Certification (tab) > Continuing Education Approved (drop-down menu) > CLE (link).

**(ISC)2:** The (ISC)2 does not endorse or "approve" any events or education in advance, however any curriculum that falls within at least one of the 10 domains of knowledge for the CISSP can be used by participants in continuing education activities to satisfy their CPE credit needs. Portions of this event may qualify for CPE credits. All (ISC)2 members are responsible for validating CPE credit worthiness no matter what the circumstances. SCCE will provide all supporting documentation required for members to submit to (ISC)2 for credit approval. To view the (ISC)2 10 domains of knowledge visit https://www.isc2.org/sscp/default.aspx and view the links within the Certifications tab drop-down menu.

**NASBA/CPE:** The Society of Corporate Compliance and Ethics is registered with the National Association of State Boards of Accountancy (NASBA) as a sponsor of continuing professional education on the National Registry of CPE sponsors, Sponsor Identification No: 105638. State boards of accountancy have final authority on the acceptance of individual courses for CPE credit and may not accept one-half credits. To verify if your state board of accountancy has adopted one-half credits, please visit our website at www.hcca-info.org/accountancycredits. Complaints regarding registered sponsors may be addressed to the National Registry of CPE Sponsors, 150 Fourth Avenue North, Suite 700, Nashville, TN 37219-2417. Website: www.nasba.org. A recommended maximum of 25.0 credits based on a 50-minute hour will be granted for the entire learning activity. This program addresses topics that are of a current concern in the compliance environment. This is an update, group-live activity. For more information regarding administrative policies such as complaints or refunds, call the SCCE at (888) 277-4977 or (952) 933-4977.

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# REGISTRATION

JOIN US IN CELEBRATING SCCE'S 10TH ANNIVERSARY

Compliance & Ethics Institute | September 14–17, 2014 | Hyatt Regency Chicago | Chicago, IL

NAME _____

*(please type or print)*

## 1 Please fill out your demographic information

Thank you for taking a moment to share your demographic information with SCCE. It will help us create better networking opportunities for you.

### What is your functional job title? Please select one.

- ☐ Academic/Professor
- ☐ Administration
- ☐ Analyst
- ☐ Asst Compliance Officer
- ☐ Attorney (In-House Counsel)
- ☐ Attorney (Outside Counsel)
- ☐ Audit Analyst
- ☐ Audit Manager/Officer
- ☐ Billing Manager/Officer
- ☐ Charger Master
- ☐ Chief Compliance Officer
- ☐ Chief Executive Officer
- ☐ Chief Financial Officer
- ☐ Chief Information Officer
- ☐ Chief Medical Officer
- ☐ Chief Operating Officer
- ☐ Clinical
- ☐ Coder
- ☐ Compliance Analyst
- ☐ Compliance Coordinator
- ☐ Compliance Director
- ☐ Compliance Fraud Examiner
- ☐ Compliance Officer
- ☐ Compliance Specialist
- ☐ Consultant
- ☐ Controller
- ☐ Corporate Responsibility & Performance
- ☐ Ethics & Integrity Officer
- ☐ Executive Director
- ☐ General Corporate Counsel
- ☐ Human Resources
- ☐ Information Technology
- ☐ Nurse
- ☐ Privacy Officer
- ☐ President
- ☐ Quality Assurance
- ☐ Regulatory Affairs
- ☐ Reimbursement Coordinator
- ☐ Risk Management
- ☐ Security/Services Technology
- ☐ Trainer/Educator
- ☐ Vice President
- ☐ Other (please indicate below)

List others not listed here: _____

_____

_____

### What certifications do you hold? Select all that apply.

| | | | | | |
|---|---|---|---|---|---|
| ☐ ACHE | ☐ CCEP-I | ☐ CHPC | ☐ DDS | ☐ MHA | ☐ PhD |
| ☐ AIC | ☐ CCS | ☐ CHRC | ☐ ESQ | ☐ MPA | ☐ PMP |
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| ☐ BBA | ☐ CFE | ☐ CIPP | ☐ ISS | ☐ MSHA | ☐ RN |
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| ☐ CAMS | ☐ CHE | ☐ CPHQ | ☐ MA | ☐ NHA | |
| ☐ CCEP | ☐ CHP | ☐ CUSECO | ☐ MBA | ☐ PCI | |

List others not listed here: _____

_____

_____

### What best describes the industry you work for? Please select one.

- ☐ Accounting/Auditing
- ☐ Administrative and Support Services
- ☐ Advertising/Marketing/Public Relations
- ☐ Aerospace/Aviation/Defense
- ☐ Agriculture
- ☐ Airlines
- ☐ Architectural Services
- ☐ Arts/Entertainment/Media
- ☐ Automotive/Motor Vehicles/Parts
- ☐ Banking
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- ☐ Chemical/Polymers/Fibers
- ☐ Computer Hardware
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- ☐ Construction
- ☐ Consulting Services
- ☐ Consumer Products
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- ☐ Human Resources/Recruiting
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- ☐ Manufacturing and Production
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- ☐ Supply Chain/Logistics
- ☐ Telecommunications
- ☐ Textiles
- ☐ Tobacco
- ☐ Transportation/Warehousing
- ☐ Veterinary Services
- ☐ Utilities
- ☐ Waste Management Services
- ☐ Other (please indicate below)

List others not listed here: _____

_____

_____

### Are you a first-time attendee of this conference?

- ☐ This is my first Compliance & Ethics Institute

**REGISTRATION CONTINUES ON NEXT PAGE (OVER)**

# REGISTRATION

JOIN US IN CELEBRATING SCCE'S 10TH ANNIVERSARY

Compliance & Ethics Institute | September 14–17, 2014 | Hyatt Regency Chicago | Chicago, IL

## 2 Please type or print your contact information

○ Mr. ○ Mrs. ○ Ms. ○ Dr.

Member ID

First Name MI

Last Name

Credentials

Job Title

Name of Employer

Street Address

City/Town

State/Province/Country Zip/Postal Code

Phone Fax

Email (required for registration confirmation)

## 3 Select your sessions

Please select ONE session per time slot to assist SCCE in room planning. You are not obligated to attend selected sessions, but note that sessions marked with a † below are limited to 50 participants. You must pre-register to reserve admission to these sessions.

**SATURDAY, SEPTEMBER 13**

○ Register me for the Volunteer Project, 11:00 AM–3:30 PM*

**SUNDAY, SEPT 14**
**PRE-CONFERENCE**

**9 AM–12 PM**
○P1
○P2
○P3
○P4
○P5
○P6
○P7

**1:30–4:30 PM**
○P8
○P9
○P10
○P11
○P12
○P13
○P14

**SPECIAL REQUEST FOR DIETARY ACCOMMODATION**
○Gluten Free
○Kosher
○Vegetarian
○Vegan
○Other

**MONDAY, SEPT 15**

○**Yoga*** **6:30–7:30 AM**

**Breakouts 11 AM–12 PM**
○101
○102
○103
○104
○105
○106
○107
○108
○AD1*† **FULL**
○AD2*†

**Breakouts 1:30–2:30 PM**
○201
○202
○203
○204
○205
○206
○207
○208
○AD3*†
○AD4*†

**Breakouts 3–4 PM**
○301
○302
○303
○304
○305
○306
○307
○308
○AD5*†
○AD6*†

**Breakouts 4:30–5:30 PM**
○401
○402
○403
○404
○405
○406
○407
○408
○AD7*† **FULL**
○AD8*†

○ International Compliance & Ethics Awards Dinner, 7–9 PM (FREE)*

**TUESDAY, SEPT 16**

○**Yoga*** **6:30–7:30 AM**

**Breakouts 11 AM–12 PM**
○501
○502
○503
○504
○505
○506
○507
○508
○AD9*†
○AD10*†

**Breakouts 1:30–2:30 PM**
○601
○602
○603
○604
○605
○606
○607
○608
○AD11*†

**Breakouts 3–4 PM**
○701
○702
○703
○704
○705
○706
○707

**Breakouts 4:15–5:15 PM**
○801
○802
○803
○804
○805
○806
○807

**WEDNESDAY, SEPT 17**
**POST-CONFERENCE**

**Breakouts 8–9:45 AM**
○W1
○W2
○W3
○W4
○W5
○W6

**Breakouts 10–11:45 AM**
○W7
○W8
○W9
○W10
○W11
○W12

*Pre-registration required

## 4 Choose your options

*PRICES LISTED REFLECT SAVINGS*

☐ SCCE Members.....$1,099
☐ Membership Renewal & Registration.....$1,394
☐ Non-Members.....$1,249
☐ New Membership & Registration*.....$1,299
☐ Pre-Conference Registration Morning.....$175
☐ Pre-Conference Registration Afternoon.....$175
☐ Post-Conference Registration.....$175
☐ Discount: 5 or more from same company.....($100)

*New members only. (Dues regularly $295 annually.)

## Compliance & Ethics Institute Session Recordings

| | PURCHASE on/before 9/17/14 | after 9/17/14 |
|---|---|---|
| ☐ Non-attendees: Online learning | $699 | $799 |
| ☐ Non-attendees: DVDs | $799 | $899 |
| ☐ Registered Attendees: Online learning | $299 | $399 |
| ☐ Registered Attendees: DVDs | $399 | $499 |
| ☐ Multi-user licensing fee* | $99 | $99 |

*Need to purchase 1 multi-user licensing fee for every 100 users.

**TOTAL** $ _____

## 5 Choose your payment method

○ Check enclosed (payable to SCCE)
○ I authorize SCCE to charge my credit card (choose card below):
CREDIT CARD: ○ American Express ○ MasterCard ○ Visa

Due to PCI Compliance, **please do not provide any credit card information via email**. You may email this form (without credit card information) and call SCCE at 952.933.4977 or 888.277.4977 with your credit card information.

Credit Card Account Number

Credit Card Expiration Date

Cardholder's Name

Cardholder's Signature

CEI2014

# DETAILS

## How to Register

**MAIL** Include registration form with check payable to:
SCCE, 6500 Barrie Road, Suite 250, Minneapolis, MN 55435, United States

**ONLINE** Visit www.complianceethicsinstitute.org **FAX** Include billing information and fax to +1 952 988 0146

**QUESTIONS?** Call +1 952 933 4977 or 888 277 4977 or email helpteam@corporatecompliance.org

## Conference Hotel

Hyatt Regency Chicago
151 East Wacker Drive
Chicago, IL 60601, USA
phone +1 312-565-1234
Hotel Website
Make Hotel Reservations or call +1 888 421 1442

The group rate is $264 per night single/double occupancy plus tax (currently at 16.4% per room per night and subject to change). Additional persons are $25 each and upgraded rooms are available for additional charge. When making your reservation via telephone, please reference the group SCCE Compliance & Ethics Institute to receive the special rate. These rates are good until August 24, 2014, or when the group room block is full (whichever comes first). Reservation requests received after this cut-off date or after the group block is filled (whichever comes first) will be accepted on a space and rate availability basis only. Hotel accommodations are not included in your conference registration fee. Complimentary Basic guest room internet is included in the group rate for all attendees who are booked within the group room block.

**Hotel Guarantee Policy:** All reservations require a credit card guarantee. One night's room and tax will be charged if the guest cancels after 3:00 pm 48 hours prior to arrival date.

**Hotel Cancellation Policy:** If you wish to cancel, please do so prior to 3:00 pm 48 hours prior to your scheduled arrival to arrival to avoid cancellation penalties.

**Registration Payment Terms:** Checks are payable to SCCE. Credit cards accepted: American Express, MasterCard, or Visa. SCCE will charge your credit card the correct amount should your total be miscalculated.

**Tax Deductibility:** All expenses incurred to maintain or improve skills in your profession may be tax deductible; including tuition, travel, lodging and meals. Please consult your tax advisor.

**Cancellations/Substitutions:** You may send a substitute in your place or request a conference credit. Conference credits are issued in the full amount of the registration fees paid and are good for 12 months from the date of the cancelled event. Conference credits may be used toward any SCCE service. If you need to cancel your participation, notify us prior to the start date of the event by email at helpteam@corporatecompliance.org or by fax at +1 952 988 0146. Please note that if you are sending a substitute, an additional fee may apply.

## Group Discounts

**5 or more:** $100 discount for each registrant
**10 or more:** $150 discount for each registrant

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

**Special Needs/Concerns:** Prior to your arrival, please call SCCE at +1 952 933 4977 or 888 277 4977 if you have a special need and require accommodation to participate in the Compliance & Ethics Institute.

**Dress Code:** Business casual dress is appropriate for conference attendees.

**Meals:** Continental breakfast, lunch, and refreshment breaks are provided on Monday and Tuesday only. Coffee will be served on Sunday and Wednesday.

**Prerequisites/Advanced Preparation:** None.

**Recording:** No unathorized audio or video recording of SCCE conferences is allowed.

**Agreements & Acknowledgements:** I agree and acknowledge that I am undertaking participation in SCCE events and activities as my own free and intentional act, and I am fully aware that possible physical injury might occur to me as a result of my participation in these events. I give this acknowledgement freely and knowingly and assert that I am, as a result, able to participate in SCCE events, and I do hereby assume responsibility for my own well-being. I agree and acknowledge that SCCE plans to take photographs at the SCCE Compliance & Ethics Institute and reproduce them in SCCE educational, news, or promotional material, whether in print, electronic, or other media, including the SCCE website. By participating in the SCCE Compliance & Ethics Institute, I grant SCCE the right to use my name, photograph, and biography for such purposes.

## LEARN MORE & REGISTER ONLINE
www.complianceethicsinstitute.org

**SOCIETY OF CORPORATE COMPLIANCE AND ETHICS**
6500 Barrie Road, Suite 250, Minneapolis, MN 55435 United States
PHONE +1 952 933 4977 or 888 277 4977 | FAX +1 952 988 0146
www.corporatecompliance.org | helpteam@corporatecompliance.org

Society of Corporate Compliance and Ethics
6500 Barrie Road, Suite 250
Minneapolis, MN 55435

*SCCE's Annual*

# Compliance & Ethics Institute

## September 14–17, 2014

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*Learn more at* ***www.complianceethicsinstitute.org***