

Society of Corporate Compliance & Ethics 15th Annual

COMPLIANCE & ETHICS INSTITUTE

SEPTEMBER 25-28 | SHERATON GRAND | CHICAGO

REGISTER NOW
JOIN US IN
CHICAGO



150+
SPEAKERS

8 LEARNING
TRACKS

1500+
ATTENDEES

100+
SESSIONS

Learn more and register at 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 2016 conference will offer the latest compliance information on hot topics and current events. Sessions are 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 25. 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 28. The interactive sessions are designed to cover some of the most important and timely topics.

1500+

ATTENDEES

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 2016 Compliance & Ethics Institute Planning Committee



Marjorie W. Doyle, JD, CCEP-F, CCEP-I, Case Study Track Program Chair; Marjorie Doyle & Associates, LLC



Al Gagne, MBA CCEP, Advanced Discussion Group Track Program Chair; Former Director, Ethics and Compliance, Textron Systems Corporation (retired)



Samantha E. Greves, CCEP, General Compliance/Hot Topics Track Program Co-Chair; Senior Ethics Analyst at Duke Energy Corporation



Kristy Grant-Hart, JD, Multi-National/International Track Program Co-Chair; Founder and Managing Director, Spark Compliance Consulting; Author, *How to Be a Wildly Effective Compliance Officer*



Shin Jae Kim, CCEP, CCEP-I, Multi-National/International Track Program Co-Chair; Partner, TozziniFreire Advogados



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



Roy Snell, CHC, CCEP, IT Compliance Track Program Chair; CEO, Society of Corporate Compliance and Ethics



Joshua Toas, CCEP, CCEP-I General Compliance/Hot Topics Track Program Co-Chair; Chief Compliance Officer, Research Foundation for SUNY



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



Art Weiss, JD, CCEP-F, CCEP-I, Ethics Track Program Chair; Chief Compliance and Ethics Officer, TAMKO Building Products

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

FOLLOW 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 learning 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 among them. But no matter what you choose, you'll find our tracks to be an 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.

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.

RISK

Effectively Managing Risk Across Your Organization

Risk and how to effectively manage it is a top priority for global organizations. Designed by our Risk Track Program Chair, Greg Triguba, these engaging and insightful sessions are focused on best practices and the effective management of risk across all major ethics and compliance focus areas facing global organizations today. Led by leading experts and practitioners in the field, participants will gain valuable perspective on program strategies, practical solutions, and cutting edge methods that can be used to most effectively manage and mitigate their organizational risks.

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

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.

IT COMPLIANCE

This track is designed to meet the specific needs of the IT community on the hot compliance topics.

MULTI-NATIONAL/ INTERNATIONAL

Global compliance and ethics programmes face added and fast changing 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.

* Advanced Discussion Groups will be filled on a first-come, first-served basis. Attendance is limited to the first 50 attendees. Pre-registration is not available for these sessions.

8 LEARNING TRACKS

Don't miss SCCE's 10th Annual **Volunteer Project**

Saturday, September 24
11:30 AM – 3:30 PM



HELP OUR VETERANS

About the Volunteer Project

In addition to networking with your peers and listening to expert speakers, attending SCCE's Compliance Institute gives you the opportunity to help a Chicago-area charity. Registration is free for this event and provides you with a volunteer t-shirt, lunch and transportation to and from the project location. It is 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.

Volunteers we'll be assisting the Volunteers of America Illinois chapter with landscaping, painting & light repair work around the Hope Manor Apartment building. Clothes should be able to get dirty.

About Hope Manor Apartments

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.



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

Time of project subject to change.



PROGRAM AT A GLANCE

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Saturday, September 24

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

Sunday, September 25

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.; Caroline McMichen, Chief Ethics & Compliance Officer, Molson Coors Brewing Company
	P2 Ethics and Compliance Training from A to Z: How to Create Outstanding Programs in 2016 – Greg Walters, Trial Attorney, U.S. Department of Housing & Urban Development
	P3 Leveraging Collaboration and Innovation to Explore Professional Responsibility Challenges by Industry – Gretchen A. Winter, Executive Director, Center for Professional Responsibility in Business and Society, University of Illinois at Urbana-Champaign College of Business; Kathryn Rybka, Lecturer of Business Administration, University of Illinois at Urbana-Champaign College of Business
	P4 The Changing Landscape of Sanctions and Business Opportunities in Iran, Russia and Cuba – Janet K. Kim, Partner, Baker & McKenzie LLP
	P5 Criminal, Civil and Administrative Enforcement Developments and Compliance Professionals – Gabriel L. Imperato, Managing Partner, Broad and Cassel
	P6 Cyber Threats, Information Security and Compliance: Future Trends and Leading Practices in an Evolving Threat Environment – Pamela Passman, President and CEO, Center for Responsible Enterprise and Trade, (CREATE); Craig Moss, COO, Center for Responsible Enterprise and Trade, (CREATE)
	P7 Compliance 101 – Debbie Troklus, Managing Director, Aegis Compliance and Ethics Center; Sheryl Vacca, Senior Vice President and Chief Compliance & Audit Officer, University of California
	P8 Leading with Influence – Marilyn Gorman, Executive Coach
	P9 Investigations Workshop Part I (9:00–10:00 AM): Beginning the Investigation and Interviewing the Reporter – Albert G. 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, Principal, Winter Compliance LLC Part III (11:15 AM–12:00 PM): Taking Effective Interviews – Meric C. Bloch, Principal, Winter Compliance LLC
12:00 – 1:30 PM	Lunch (on your own)
1:30 PM – 4:30 PM PRE-CONFERENCE AFTERNOON BREAKOUT SESSIONS (includes 15-minute break)	P10 Social Media: Risks and Redemption – Kortney Q. Nordrum, Project Manager, SCCE/HCCA
	P11 The ABCs of Ethical Leadership – Jane L. Mitchell, Director, J&M Ltd.
	P12 Strengthening Culture Through Innovative Training – Steven Priest, President, Integrity Insight International; Saira Jesrai, Senior Compliance Officer
	P13 Leveraging Your Anti-Bribery Compliance Program to Make Sanctions Compliance Easier – Anne-Marie Zell, Manager, Member & Advisory Services, TRACE International, Inc.; Catherine L. Razzano, Assistant General Counsel & Director, General Dynamics Corporation; Ryan P. Fayhee, Partner, Baker & McKenzie LLP, Former National Export Control Coordinator, National Security Division, US DOJ, Washington, D.C.
	P14 The Legal Risks of Compliance & Ethics Programs – Joseph E. Murphy, Senior Advisor, Compliance Strategists
	P15 The Future of IT Compliance . . . and How to Plan for IT – John DeLong, Berkman Center for Internet & Society, Harvard University
	P16 SpeedNetworking (1:30 - 2:30 PM) SpeedMentoring (3:30 - 4:30 PM)
	P17 Leadership Skills to Advance Your Program – Marjorie W. Doyle, Marjorie Doyle & Associates; Kris Pugsley, Global Communications Manager and Change Management, ON Semiconductor
	P18 Investigations Workshop (continued from P9) 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 – Albert G. Gagne, Former Director, Ethics & Compliance, Textron Systems Corporation (retired) Part VI (3:45–4:30 PM): Q&A Panel – Meric C. Bloch, Principal, Winter Compliance LLC; Albert G. Gagne, Former Director, Ethics & Compliance, Textron Systems Corporation (retired); Latour (LT) Lafferty, Partner, Holland & Knight LLP
4:30 – 6:00 PM	Opening Reception in Exhibit Hall Sponsored by LRN
5:30 – 6:30 PM	Authors' Reception and Compliance & Ethics Academy Reunion

RISK	ETHICS	CASE STUDIES	MULTI-NATIONAL/ INTERNATIONAL	COMPLIANCE LAWYER	IT COMPLIANCE	GENERAL COMPLIANCE/ HOT TOPICS	INVESTIGATIONS WORKSHOP	ADVANCED DISCUSSION GROUPS
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Agenda subject to change

Monday, September 26

6:30–7:30 AM	Yoga
7:00 AM–6:00 PM	Registration Open
7:00–8:15 AM	Continental Breakfast in Exhibit Hall <i>Sponsored by Broad and Cassel</i>
8:15–8:30 AM	Opening Remarks
8:30–9:30 AM	Keynote Address: Sidetracked: Why Our Decisions Get Derailed, and How We Can Stick to the Plan – <i>Francesca Gino, Professor, Harvard Business School; Author, Sidetracked: Why Our Decisions Get Derailed, and How We Can Stick to the Plan</i>
9:30–10:30 AM	Keynote Address: Investigative Interviewing: What Researchers Have Found Works and Doesn't Work – <i>Michael W. Johnson, CEO Clear Law Institute</i>
10:30–11:00 AM	Networking Break in Exhibit Hall <i>Sponsored by Workplace Answers</i>
11:00 AM – 12:00 PM BREAKOUT SESSIONS	101 From FCPA Prosecutors to Company Protectors: Lessons from Former DOJ FCPA Unit Prosecutors on How to Best Protect Your Company from the Risks of Corruption – <i>Maria Gonzalez Calvet, Executive Counsel, GE Energy Management and GE Latin America; Nathaniel Edmonds, Partner, Paul Hastings LLP, Former Assistant Chief (FCPA Unit), Criminal Division, Fraud Section, US DOJ, Washington, D.C.</i>
	102 Organizational Ethics: Who Needs It? – <i>Marjorie W. Doyle, Marjorie Doyle & Associates; Art Weiss, Chief Compliance and Ethics Officer, TAMKO Building Products, Inc.</i>
	103 A Conversation with The Priceline Group, Inc.: Driving a High Touch International E&C Program Strategy – <i>Eduardo Andrade, SVP, Global Compliance & Ethics Officer, The Priceline Group, Inc.; Nita Drakatos, Compliance Manager, The Priceline Group, Inc.; Marsha H. Ershaghi Hames, Senior Leader Education Advisory Services, LRN</i>
	104 Big Data, Big Issues: Global Challenges and Effective Solutions – <i>Jonathan P. Armstrong, Partner, Cordery; James Lin, Chief Technology Officer, Regulatory DataCorp (RDC)</i>
	105 Compliance For Subsidiaries, JVs and Other Affiliates – <i>Jeffrey M. Kaplan, Partner, Kaplan & Walker LLP</i>
	106 Information Security and the Compliance Officer – <i>Ralph Villanueva, Senior IT Compliance Analyst, Las Vegas Sands Corporation</i>
	107 Key Insights in Managing Third-Party Compliance and Ethics Risks – <i>Brian K. Lee, Practice Leader, CEB Compliance & Legal Practice</i>
	108 Compliance Is Ruff: A Dog's Approach – <i>Kimberly A. Lansford, Chief Compliance Officer, Shriners Hospitals for Children; Carol Lansford, Service Dog Trainer; Gabe II, Service Dog, Warrior Canine Connection</i>
	AD1* Take a Swim in the Compliance Fish Tank – <i>John Falcetano, Managing Director, Action Compliance Services, LLC</i> *Advanced Discussion Groups will be filled on a first-come, first-served basis. Attendance is limited to the first 50 attendees. Pre-registration is not available for these sessions.
	AD2* Big Picture E&C Program Challenges: A Day in the Life of the Successful Compliance Officer – <i>Greg Triguba, Senior Practice Leader, Ethics, Compliance and Risk, Affiliated Monitors, Inc.</i> *Advanced Discussion Groups will be filled on a first-come, first-served basis. Attendance is limited to the first 50 attendees. Pre-registration is not available for these sessions.
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 Conflicts of Interest: Exploring Risks, Harms and Controls – <i>Rebecca Walker, Partner, Kaplan & Walker LLP; Lewis Segall, Senior Counsel, Ethics and Compliance, Google Inc.</i>
	202 Finding Common Ethical Ground in Your Multicultural Organization – <i>Courtney A. Sander, Senior Regulatory Compliance Analyst, Petco Animal Supplies, Inc.</i>
	203 The Seven Deadly Sins of Government Officials & Employees: Why Integrity Matters – <i>Jeffrey B. Norman, Chief Compliance Officer, City of Atlanta; Jabu M. Sengova, Associate Ethics Officer, City of Atlanta</i>
	204 Best Practices and Advice: Your Up-to-Date Guide to Human Rights Law, the Modern Slavery Act, and Your Company's Obligations in Transparency and Compliance – <i>Kristy Grant-Hart, Founder and Managing Director, Spark Compliance Consulting; Author, How to Be a Wildly Effective Compliance Officer; Sarah Powell, Global Compliance Manager, Pearson</i>
	205 Form I-9 - Risk Assessment and Mitigation Strategies – <i>Alessandra Bortolotti, Compliance Client Services Manager, Berry Appleman & Leiden LLP</i>
	206 You Already Have Zero Privacy - Get Over It! – <i>Paul E. Fiorelli, Professor of Legal Studies and Co-Director, Cintas Institute for Business Ethics, Xavier University</i>
	207 Building a Culture of Compliance - A View from Capitol Hill – <i>Deborah S. Mayer, Chief Counsel & Staff Director, Select Committee on Ethics - US Senate</i>
	208 If CNBC Called Today, Would You Be Ready? – <i>Grace Keith, Director PR & Content, Caliber Corporate Advisers</i>
	AD3* Retaliation, Real or Imagined - What You Can Do to Address Employee Concerns – <i>Albert G. Gagne, Former Director, Ethics & Compliance, Textron Systems Corporation (retired)</i> *Advanced Discussion Groups will be filled on a first-come, first-served basis. Attendance is limited to the first 50 attendees. Pre-registration is not available for these sessions.
	AD4* Metrics: Advanced Techniques for Evaluating Your Compliance & Ethics Program – <i>Marjorie W. Doyle, Marjorie Doyle & Associates</i> *Advanced Discussion Groups will be filled on a first-come, first-served basis. Attendance is limited to the first 50 attendees. Pre-registration is not available for these sessions.
2:30–3:00 PM	Networking Break in Exhibit Hall

RISK	ETHICS	CASE STUDIES	MULTI-NATIONAL/ INTERNATIONAL	COMPLIANCE LAWYER	IT COMPLIANCE	GENERAL COMPLIANCE/ HOT TOPICS	INVESTIGATIONS WORKSHOP	ADVANCED DISCUSSION GROUPS
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Agenda subject to change

PROGRAM AT A GLANCE

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Monday, September 26

3:00 PM – 4:00 PM BREAKOUT SESSIONS	301	Global Privacy and Data Protection Risks: Protecting Corporate Digital Assets – David J. Heller, Enterprise Risk Management and General Auditor, Edison International; Jeremy Batterman, Associate Director, Information Security and Incident Response, Navigant Consulting, Inc.
	302	Ethics Ambassadors: Your Diplomatic Corps for Ethics & Compliance - The Key to a Values-Driven Approach – Ruth N. Steinholtz, Values Based Business Ethics Advisor, AretéWork LLP
	303	Gift & Entertainment, Conflicts and Corruption: An Interplay of Risks and Best Practices to Address Them – Lisa S. Hughes, Vice President, Deputy Chief Compliance Officer, NBCUniversal; Randi J. Roberts, Vice President, Compliance, NBCUniversal
	304	Creating, Implementing and Managing Effective Global Communication and Training Programs on a Budget – Renata Moreti, Director, North America Compliance, Carlson Wagonlit Travel; Johan Thorell, Director, EMEA Compliance, Carlson Wagonlit Travel; Vivian Zhou, China Compliance Manager, Carlson Wagonlit Travel
	305	The Personal Liability of Corporate Officers for Foreign Corrupt Practices – David G. Hawkes, Head of Special Litigations, World Bank Group Integrity Vice Presidency; Paul Haynes, Lead Investigator, World Bank Group Integrity Vice Presidency
	306	Compromising Merchants: A Live Hack Demo – John Bartholomew, Senior Vice President of Sales, Security Metrics
	307	Ready, Set, Go: Your Next Career Move – Adelle Elia, Adelle Elia, Code Services Knowledge Leader, LRN; Paige Shannon, Federal Services Counsel & Compliance Officer, Kforce Inc.
	308	Compliance 3.0: Leveraging Social Media to Drive a Culture of Compliance – Louis A. Sapirman, VP, Associate Gen Counsel & CCO, Dun & Bradstreet; Thomas R. Fox, Principal, Advanced Compliance, TOMFOX.LAW.COM
	AD5*	Suppliers and Other Third Party Engagement – Eric R. Feldman, Senior Vice President and Managing Director, Corporate Ethics and Compliance Programs, Affiliated Monitors, Inc. *Advanced Discussion Groups will be filled on a first-come, first-served basis. Attendance is limited to the first 50 attendees. Pre-registration is not available for these sessions.
	AD6*	The Yate's Memo's Impact on Internal Investigations – Michael Volkov, CEO, Volkov Law Group LLC *Advanced Discussion Groups will be filled on a first-come, first-served basis. Attendance is limited to the first 50 attendees. Pre-registration is not available for these sessions.
4:00 – 4:30 PM		Networking Break in Exhibit Hall
4:30 PM – 5:30 PM BREAKOUT SESSIONS	401	Export Controls Risk: Challenges, Strategies, and Effective Management – Brian Warshawsky, Systemwide Manager of Export Control Compliance and Empowered Official, University of California Office of the President; Luanna Putney, Associate Chancellor and Senior Advisor to the Chancellor, University of California Merced
	402	From Villains to Heroes: Fostering Ethical Behavior in Organizations – Patricia Colombo, General Manager of Legal, Compliance and Regulatory Affairs, FUJIFILM Brasil
	403	How an Organization Created the Model Compliance Committee – Walter E. Johnson, Director of Compliance & Ethics, Kforce Government Solutions; Frank Ruelas, Facility Compliance Professional, St. Joseph's Hospital and Medical Center/Dignity Health
	404	Conducting Effective Third Party Due Diligence In China – Allan Matheson, Managing Director, Blue Umbrella
	405	Preserving the Attorney-Client Privilege and Attorney Work Product Protection in Internal and Government Investigations – Eric J. Gorman, Partner, Skadden Arps; Lawrence Oliver, II, Chief Counsel, Investigations, The Boeing Company
	406	Top Tips for Managing Global Data Privacy Compliance – Robert J. Bond, Head of DataProtection and Cyber Security Law, Charles Russell Speechlys LLP
	407	Return on Investment (ROI) for Compliance Programs: Challenges and Options – Sheryl Vacca, Senior Vice President/Chief Compliance & Audit Officer, University of California; David S. Lane, Deputy Compliance Officer, University of California - Office of the President
	408	Keeping Compliance Simple Without Dumbing it Down – Ricardo Pellafone, Creative Director, Broadcat; John Partridge, Partner, Gibson, Dunn & Crutcher LLP
	AD7*	Compliance as a Unique Sales Differentiator – Janet K. Himmelreich, Head, Client Compliance Services CoE, BT Global Services; Sally March, Director, Drummond March & Co *Advanced Discussion Groups will be filled on a first-come, first-served basis. Attendance is limited to the first 50 attendees. Pre-registration is not available for these sessions.
	AD8*	Sorry, this seat is taken!: Getting Your Ethics and Compliance Priorities Taken Seriously When You Don't Have a Seat at The C-Suite Table – Mark W. Ewald, Senior Director, Ethics & Compliance Services, Devry Education Group; Nikita N. Williams, Manager Ethics & Compliance Services, Devry Education Group *Advanced Discussion Groups will be filled on a first-come, first-served basis. Attendance is limited to the first 50 attendees. Pre-registration is not available for these sessions.
5:30 – 7:00 PM		Networking Reception in Exhibit Hall Sponsored by Bureau van Dijk
7:00 – 9:00 PM		International Compliance & Ethics Awards Dinner (Pre-registration required)

Tuesday, September 27

6:30 – 7:30 AM	Yoga
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 – 8:50 AM	Keynote Address: Enforcement Trends – Bill Baer, Principal Deputy Associate Attorney General, U.S. Department of Justice
8:50 – 9:30 AM	Keynote Address: Human Trafficking and Modern Slavery: The Next Compliance Challenge – Gwendolyn Hassan, Managing Counsel, Global Compliance & Ethics, CNH Industrial, LLC; William Shepherd, Partner, Holland & Knight; Adam Turteltaub (Moderator), Vice President, Strategic Initiatives and International Programs at SCCE
9:30 – 10:30 AM	Keynote Address: How to Be a Wildly Effective Compliance Officer – Kristy Grant-Hart, Founder and Managing Director, Spark Compliance Consulting; Author, How to Be a Wildly Effective Compliance Officer
10:30 – 11:00 AM	Networking Break in Exhibit Hall

RISK	ETHICS	CASE STUDIES	MULTI-NATIONAL/ INTERNATIONAL	COMPLIANCE LAWYER	IT COMPLIANCE	GENERAL COMPLIANCE/ HOT TOPICS	INVESTIGATIONS WORKSHOP	ADVANCED DISCUSSION GROUPS
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Agenda subject to change

Tuesday, September 27

11:00 AM – 12:00 PM BREAKOUT SESSIONS	501	Global Antitrust Compliance and Risk - Creating an Effective Antitrust Compliance Program – Timothy Bridgeford, Executive Director, Antitrust Compliance, J.P. Morgan; Pedro de la Torre, Global Compliance Officer & Corporate Counsel, The Chemours Company
	502	Considering an Ethical Decision Tree? Help Your Employees Make the Right Decision When Other Company Documents Don't Have the Answer – Samantha E. Greves, Senior Ethics Analyst, Duke Energy Corporation
	503	Courage at our Core: Inspiring Employees to Speak Up – Cindy Yanasak, Compliance & Ethics Program Manager, Progressive Corporation; Eileen M. Xenarios, Business Process Consultant, Progressive Insurance
	504	Compliance in South America: Challenges and Effective Strategies – Shin Jae Kim, Partner, TozziniFreire Advogados; Renata Almeida, Partner, TozziniFreire Advogados; Fernanda Beraldi, Ethics & Compliance Director, Latin America & Corporate Counsel, Cummins Inc.
	505	How Internal Controls Are Needed to Augment Compliance Programs – Russ A. Berland, Partner, Dentons
	506	Germ Theory and Modern Information Security Threats: Why We are Entering the Age of Mandatory Cyber Hygiene – Joseph Grettenberger, Risk & Compliance Manager, Workfront, Inc.; Benjamin T. Wilson, VP Compliance & Industry Relations, DigiCert, Inc.
	507	Soft Skills Required for a Hard Profession – Carolyn Brue, Vice President, Global Ethics & Compliance and Assistant General Counsel, Cargill, Incorporated; Colleen Dorsey, Director of Organizational Ethics & Compliance, University of St. Thomas School of Law, Minnesota
	508	Five Things About Compliance We Wish Someone Told Us – Michelle Beistle, Counsel and Chief Compliance Officer - Ethics and Privacy, Unisys Corporation; Rebekah Spires, Compliance & Ethics Officer, Louis Berger Group, Inc.; Charlotte D. Young, Chief Ethics and Compliance Officer, The Nature Conservancy
	AD9*	Tools for Enhancing Employee Participation in Training – Art Weiss, Chief Compliance and Ethics Officer, TAMKO Building Products, Inc. *Advanced Discussion Groups will be filled on a first-come, first-served basis. Attendance is limited to the first 50 attendees. Pre-registration is not available for these sessions.
	AD10*	From Bangkok to Bogota and Boston to Brussels, Global ABC and FCPA Benchmarks, Best Practices and Bootcamps - One Size Does Not Fit All – Jay Rosen, VP Legal & Corporate Language Solutions, Merrill Corporation *Advanced Discussion Groups will be filled on a first-come, first-served basis. Attendance is limited to the first 50 attendees. Pre-registration is not available for these sessions.
12:00 – 1:00 PM		Networking Lunch
1:00 PM – 2:00 PM BREAKOUT SESSIONS	601	M&A Transactions: Addressing Compliance and Ethics Risk in the Newly-Acquired Entity – Kasey T. Ingram, General Counsel, ISK Americas Incorporated; Daniel R. Harper, General Counsel, GEA Farm Technologies, Inc.
	602	The Good Reasons Why People Do the Wrong Things – Jason B. Meyer, President, LeadGood, LLC; Amy E. Hutchens, President, CLEAResources, LLC; Heather Reilly Powell, Principal, Compliance Clarity LLC
	603	The Highs and Lows of Trying to Join Dots and How Values and Ethics Help us to Find an Organization's Soul – Jane L. Mitchell, Director, J&M Ltd.; Robert Smith, Director, Business Compliance & Ethics, Serco Group plc
	604	Effectively Complying With Ever Increasing Data Localization Requirements: Tips, Tools, and Tactics for Transferring, Moving, Storing, and Accessing Data Around the Globe in an Increasingly Restrictive World – Web Hull, Privacy, Data Protection, & Compliance Advisor, Global Privacy and Compliance
	605	At What Cost? A DLA Piper Film on Corporate Governance and Compliance Issues – Angela J. Crawford, Compliance and Investigations Partner, DLA Piper LLP; Brett Ingeman, Partner, DLA Piper LLP
	606	Payment Card Industry (PCI) Compliance: Our Journey and Lessons Learned – Kent W. Swagler, Director, Corporate Compliance and Ethics, BiState Development
	607	Critical E&C Insights From NAVEX Global's Benchmarking Reports – Carrie Penman, Chief Compliance Officer and Senior Vice President Advisory Services, NAVEX Global
	608	Laugh and Learn: Using Creative Compliance Training Methods – Alan Arnold, Vice President, Deputy General Counsel, and Chief Compliance Officer, Delta Air Lines, Inc.; Scott Hilsen, Managing Director, KPMG
	AD11*	Achieving Supervisor Engagement in Your Compliance Culture – Kirsten Liston, Managing Partner, Rethink Compliance *Advanced Discussion Groups will be filled on a first-come, first-served basis. Attendance is limited to the first 50 attendees. Pre-registration is not available for these sessions.
	AD12*	Does Defensible Compliance Mean Understood Compliance? – Richard T. Bistrong, CEO, Front-Line Anti-Bribery LLC; Former FCPA Violator, FBI/UK Cooperator *Advanced Discussion Groups will be filled on a first-come, first-served basis. Attendance is limited to the first 50 attendees. Pre-registration is not available for these sessions.
2:00 – 2:30 PM		Networking Break
2:30 PM – 3:30 PM BREAKOUT SESSIONS	701	Government Contracts: Controlling Risk in Working Relationships with Uncle Sam – Steve Epstein, Chief Counsel, Ethics and Compliance, The Boeing Company; Danica Irvine, Senior Attorney, Standards of Conduct Office, DoD Office of General Counsel
	702	Extra! Extra! Read All About It: Getting the Word Out About Your Ethics Reporting Program – Karen M. Aavik, Wealth Management Compliance Officer/FNFG Ethics Officer, First Niagara Financial Group
	703	Using the REM Model to Drive Learning in Compliance Trainings – Charlotte D. Young, Chief Ethics and Compliance Officer, The Nature Conservancy; Grace Wu de Plaza, Deputy Ethics & Compliance Officer, The Nature Conservancy; Chanda Carpenter, Learning Manager, Technology Learning Center, The Nature Conservancy
	704	Compliance Challenges in India: Why Your Compliance Program May Not Translate – Laurel Burke, Associate General Counsel - Compliance, Regal Beloit; David W. Simon, Partner, Foley & Lardner LLP; Sherbir Panag, Partner and Chair, Compliance & Investigations Practice, MZM Legal
	705	The Ethical, Professional and Personal Challenges of Being Both a Company's Lawyer and its C&E Professional – Rebecca Walker (moderator), Partner, Kaplan & Walker LLP; Anne Tkacs, Managing Director, Ethics and Compliance, Southern Company Gas; Odell Guyton, Vice President, Global Compliance, Jabil Circuit, Inc.; Carol Helliker, Senior Vice President, Deputy General Counsel and Chief Ethics and Compliance Officer, CenterPoint Energy, Inc.
	706	Information Security (InfoSec) for the Compliance Professional - You May Not Be Responsible for the Program but You Need to Know the Concepts and Understand the Language! – Jim A. Donaldson, Chief Compliance, Privacy and Information Security Officer, Baptist Health Care
	707	Election Season 2016: 10 Compliance Tips to Avoid a Political Scandal – Darrin Lim, Partner, Political Law Compliance Counsel, Nielsen Merksamer LLP
	708	Engaging the Evolving Workforce in Compliance – Shannon M. Masson, Senior Counsel Compliance Officer, ArcelorMittal USA; Jeff Brandeis, Growth Markets Sales Director, Wolters Kluwer ELM Solutions; Heather N. Yanak, Managing Director & Founder, Cameo Advisory Group

RISK	ETHICS	CASE STUDIES	MULTI-NATIONAL/ INTERNATIONAL	COMPLIANCE LAWYER	IT COMPLIANCE	GENERAL COMPLIANCE/ HOT TOPICS	INVESTIGATIONS WORKSHOP	ADVANCED DISCUSSION GROUPS
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Agenda subject to change

Tuesday, September 27

3:30–3:45 PM	Networking Break
3:45 PM – 4:45 PM BREAKOUT SESSIONS	801 Third Party Compliance Program: Reducing Risk While Optimizing Relationships – Michael McLaughlin, VP Legal, Chief Ethics & Compliance Officer, Dell; Kristi Kevern, Director, Operational Compliance, Dell
	802 The Impact of Ethical Leadership – Ann G. Skeet, Director of Leadership Ethics, Markkula Center for Applied Ethics
	803 A View From the Other Side: Tales of a Compliance Liaison – Jeannette Woo, Manager, Regulatory Affairs Compliance Pacific Gas and Electric Company; Sahar Oswald, Manager, Customer Care Compliance, Pacific Gas and Electric
	804 Presenting Your Compliance Training Program to Asia Pacific Business Units - Tailoring training to the region and cultural considerations for maximum impact and engagement – Mary Shirley, Director of Training, Communications & Investigations, Fresenius Medical Care, Asia Pacific
	805 Organizational Sentencing Guidelines: Past, Present and Future – Eric Morehead, Principal Consultant, Morehead Compliance Consulting LLC; Kathleen Grilli, General Counsel, US Sentencing Commission
	806 Privacy Breach Response: What's Your Compliance and Ethics IQ? – Rick Kam, President & Co-Founder, ID Experts
	807 Ethics and Compliance Programs in the Age of Spins, Mergers and Acquisitions – Cristina M. Potter, Corporate Ethics Officer, Engility Corporation; Tom McDaniel, Director, Ethics & Compliance, Harris Corporation
	808 Investigations: Strategy and Eliciting the Most Important Information – Michele A. Yaroma, Special Agent, FBI

Wednesday, September 28

7:30 AM – 12:00 PM	Registration Open
8:00 AM – 9:45 AM POST-CONFERENCE BREAKOUT SESSIONS	W1 The Wolf in Sheep's Clothing: Do You Know Where Your Next Risk Will Come From? – Louis G. Perold, Global Compliance Manager, Jabil Circuit, Inc.; Krista Muszak, Regional Compliance - Americas, Bristol-Myers Squibb Company
	W2 Challenges of Organizational Restructures: Keeping Ethics at the Forefront – Lisa Gross, Ethics Analysis Senior Manager, Lockheed Martin; Darren Hill, Ethics Senior Manager, Lockheed Martin; Denise G. Drennan, Ethics Officer, Lockheed Martin
	W3 Ethics & Compliance Program Review - A Look at Four Corporate Compliance Programs – Vanessa R. Wisnoski, Senior Integrity & Compliance Analyst, Marathon Oil Corporation; Yuhok S. Raymaker, Director, Ethics & EEO Compliance, Waste Management; Jacqueline L. Phillips, VP Ethics and Compliance, Spectra Energy Corporation; Amy T. Lilly, Director Ethics & Compliance, CenterPoint Energy, Inc.
	W4 Foreign Agents, Partners & Intermediaries: You Can't Live with Them, but You Can't Live Without Them – James M. Lord, Shareholder, Inman Flynn Biesterfeld & Brentlinger, PC; Andy Hinton, Vice President and Chief Compliance Officer, Google Inc.; Harvey W. Woodford, Vice President, Chief Ethics & Compliance Officer, Avnet, Inc.
	W5 Top Labor and Employment Risk Areas – Earl M. (Chip) Jones, III, Shareholder, Littler Mendelson P.C.; Paul E. Bateman, Shareholder, Littler Mendelson P.C.
	W6 Detect Data Breaches by Insiders and Hackers Posing as Insiders, Even if Only Done Once – Alan Norquist, CEO & Founder, Veriphys, Inc.; John Vastano, CSO, Veriphys, Inc.
	W7 Crisis Management for Ethics and Compliance Professionals – Eunice Jordan, Legal & Compliance Consultant, DTCC
	W8 Are You Experienced? Applying Experiential Education to Ethics – Michael R. Levin, Senior Director of Compliance: Ethics & Business Practices, Freddie Mac; Jason Lunday, Consultant, IntegrityFactor
9:45 – 10:00 AM	Networking Break
10:00 AM – 11:45 AM POST-CONFERENCE BREAKOUT SESSIONS	W9 How Boards Really Approach Risk Management – Matt Kelly, Editor & CEO, Radical Compliance
	W10 Navigating the Rough Waters of Ethics and Compliance Risks – Helen Goodwin, Compliance & Ethics Professional; Jana Utter, Vice President Enterprise Risk Management, Centene Corporation
	W11 iCare: Tyco's Compliance Liaison Program - How a Pilot Program Became a Cornerstone of the Compliance Department – Katherine Snell, Ombudsman/Senior Manager, Compliance & Ethics, Tyco; Valerie Raye, NPD Manager - LSP, Tyco Global Supply Chain
	W12 If You Think You Are Too Far From Money Laundering and Terrorism, This Session is For You! – Mónica Ramírez Chimal, Managing Director/Partner, Asserto RSC
	W13 Around the World in 60 Minutes: Recent Developments in U.S. Trade Controls – Peter Lichtenbaum, Partner, Covington & Burling LLP; John C. Pisa-Relli, Managing Director, Global Trade Compliance, Accenture
	W14 In Pursuit of Clean Earnings: Dodging an SEC Investigation or Litigation – Susan Markel, Managing Director, AlixPartners; Former Chief Accountant - Division of Enforcement, US Securities and Exchange Commission
	W15 Gaming the Seven Elements – Barbara L. Harmon, Compliance & Ethics Lead, Alyeska Pipeline Service Company
	W16 Using Employee Engagement Data to Spot and Address Risk Areas – William Kruse, Vice President Law & Counsel, Regulatory Compliance Officer, Gallup Inc.; Jim Harter, Chief Scientist of International Workplace Management and Well-Being, Gallup Inc.
1:00 – 1:30 PM	Exam Check-In: Certified Compliance & Ethics Professional (CCEP)[®] 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)

RISK	ETHICS	CASE STUDIES	MULTI-NATIONAL/ INTERNATIONAL	COMPLIANCE LAWYER	IT COMPLIANCE	GENERAL COMPLIANCE/ HOT TOPICS	INVESTIGATIONS WORKSHOP	ADVANCED DISCUSSION GROUPS
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Agenda subject to change



CONNECT WITH YOUR PEERS BECOME A MENTOR FIND A MENTOR

**EARN
1.5 CEUs***

SUNDAY, SEPTEMBER 25

SpeedNetworking: 1:30–2:30 PM

SpeedMentoring: 3:30–4:30 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.

Find a connection and support the development of the profession.

Learn more at **complianceethicsinstitute.org/speedmentors**

*A maximum of 1.5 CCB credits for networking may be awarded per year. We welcome all attendees of the 15th 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.



Karen M. Aavik, [702], First Vice President, Wealth Management Compliance Officer, FNFG Ethics Officer, First Niagara Financial Group, Inc., Buffalo, NY



Renata Almeida, [504], Partner, TozziniFreire Advogados



Eduardo Andrade, [103], SVP, Global Compliance & Ethics Officer, The Priceline Group, Inc.



Jonathan P. Armstrong, [104], Partner, Cordery, London, UK



Alan Arnold, [608], Vice President, Deputy General Counsel, and Chief Compliance Officer, Delta Air Lines, Inc.



Bill Baer, [GS], Principal Deputy Associate Attorney General, U.S. Department of Justice

John Bartholomew, [306], Senior Vice President of Sales, Security Metrics, Orem, UT



Paul E. Bateman, [W5], Shareholder, Littler Mendelson P.C., Chicago, IL



Jeremy Batterman, [301], Associate Director, Information Security and Incident Response, Navigant Consulting, Inc.



Michelle Beistle, [508], CCEP-I, Counsel and Chief Compliance Officer – Ethics and Privacy, Unisys Corporation



Russ A. Berland, [505], Partner, Dentons



Fernanda Beraldi, [504], Ethics & Compliance Director, Latin America & Corporate Counsel, Cummins Inc.



Richard T. Bistrong, [AD12], CEO, Front-Line Anti-Bribery LLC; Former FCPA Violator, FBI/UK Cooperator



Meric C. Bloch, [P9, P18], CCEP-F, JD, CFE, Principal, Winter Compliance LLC., St. Petersburg, FL



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Jeff Brandeis, [708], Growth Markets Sales Director, Wolters Kluwer ELM Solutions



Timothy Bridgeford, [501], Executive Director, Antitrust Compliance, J.P. Morgan



Laurel Burke, [704], Associate General Counsel – Compliance, Regal Beloit



Chanda Carpenter, [703], Learning Manager, Technology Learning Center, The Nature Conservancy, New Port Richey, FL



Patricia Colombo, [402], General Manager of Legal, Compliance and Regulatory Affairs, FUJIFILM Brasil



Angela J. Crawford, [605], Compliance and Investigations Partner, DLA Piper LLP

Pedro de la Torre, [501], Global Compliance Officer & Corporate Counsel, The Chemours Company



John DeLong, [P15], Berkman Center for Internet & Society, Harvard University



Jim A. Donaldson, [706], Chief Compliance, Privacy and Information Security Officer, Baptist Health Care, Pensacola, FL



Colleen Dorsey, [507], Director of Organizational Ethics & Compliance, University of St. Thomas School of Law, Minnesota



Marjorie W. Doyle, [P17, 102, AD4], JD, CCEP-F, CCEP-I, Marjorie Doyle & Associates, LLC, Landenberg, PA



Nita Drakatos, [103], Compliance Manager, The Priceline Group, Inc.



Denise G. Drennan, [W2], Ethics Officer, Lockheed Martin



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Adelle Elia, [307], CCEP, Code Services Knowledge Leader, LRN



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Albert G. Gagne, [P9, P18, AD3], CCEP, Advanced Discussion Group Track Program Chair; Former Director, Ethics & Compliance, Textron Systems Corporation (retired), Salem, NH



Francesca Gino, [GS], Professor, Harvard Business School; Author of *Sidetracked: Why Our Decisions Get Derailed, and How We Can Stick to the Plan*



Maria Gonzalez Calvet, [101], Executive Counsel, GE Energy Management & GE Latin America



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Eric J. Gorman, [405], Partner, Skadden Arps



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Jim Harter, [W16], Chief Scientist of International Workplace Management and Well-Being, Gallup Inc.



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Paul Haynes, [305], Lead Investigator, World Bank Group Integrity Vice Presidency



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Lisa S. Hughes, [303], Vice President, Deputy Chief Compliance Officer, NBCUniversal



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Michael W. Johnson, [GS], CEO, Clear Law Institute



Walter E. Johnson, [403], CCEP, CCEP-I, Director of Compliance & Ethics, Kforce Government Solutions



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Eunice Jordan, [W7], Legal & Compliance Consultant, DTCC



Rick Kam, [806], President & Co-Founder, ID Experts, Portland, OR



Jeffrey M. Kaplan, [105], Jeffrey M. Kaplan, Partner, Kaplan & Walker LLP, Princeton, NJ



Grace Keith, [208], Director PR & Content, Caliber Corporate Advisers



Matt Kelly, [W9], Editor & CEO, Radical Compliance, Boston, MA



Kristi Kevern, [801], Director, Operational Compliance, Dell



Janet K. Kim, [P4], Partner, Baker & McKenzie LLP, Washington, DC



William Kruse, [W16], Vice President Law & Counsel, Regulatory Compliance Officer, Gallup Inc.



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David S. Lane, [407], Deputy Compliance Officer, University of California – Office of the President



Carol Lansford, [108], Service Dog Trainer



Kimberly A. Lansford, [108], Chief Compliance Officer, Shriners Hospitals for Children



Brian K. Lee, [107], Practice Leader, CEB Compliance & Legal Practice, Arlington, VA



Michael R. Levin, [W8], CCEP, Senior Director of Compliance: Ethics & Business Practices, Freddie Mac



Peter Lichtenbaum, [W13], Partner, Covington & Burling LLP



Amy T. Lilly, [W3], Director, Ethics & Compliance, CenterPoint Energy, Inc.



Darrin Lim, [707], Partner, Political Law Compliance Counsel, Nielsen Merksamer LLP

SPEAKERS

15TH ANNUAL COMPLIANCE & ETHICS INSTITUTE | SEPTEMBER 25-28 | SHERATON GRAND CHICAGO



James Lin, [104], Ph.D., Chief Technology Officer, Regulatory DataCorp (RDC), King of Prussia, PA



Kirsten Liston, [AD11], Managing Partner, Rethink Compliance



James M. Lord, [W4], Shareholder, Inman Flynn Biesterfeld & Brentlinger, PC



Jason Lunday, [W8], Consultant, IntegrityFactor



Sally March [AD7], JD, CCEP, CCEP-I, Director, Drummond March & Co, London, UK



Susan Markel [W14], Managing Director, AlixPartners; Former Chief Accountant - Division of Enforcement, US Securities and Exchange Commission, Washington, DC



Shannon M. Masson, [708], Senior Counsel Compliance Officer, ArcelorMittal USA



Allan Matheson, [404], Managing Director, Blue Umbrella, Hong Kong, China



Deborah S. Mayer, [207], Chief Counsel & Staff Director, Select Committee on Ethics – US Senate



Tom McDaniel, [807], Director, Ethics & Compliance, Harris Corporation



Amy E. McDougal, [602], CCEP, President, CLEAResources, LLC, Leesburg, VA



Michael McLaughlin, [801], VP Legal, Chief Ethics & Compliance Officer, Dell



Caroline McMichen, [P1], CCEP, Chief Ethics & Compliance Officer, Molson Coors Brewing Company, Denver, CO



Jason B. Meyer, [602], JD, President, LeadGood, LLC, Pennington, NJ



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Renata Moreti, [304], Director, North America Compliance, Carlson Wagonlit Travel, São Paulo, Brazil



Craig Moss, [P6], COO, Center for Responsible Enterprise and Trade, (CREATE)



Eric Morehead, [805], Principal Consultant, Morehead Compliance Consulting LLC



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Krista Muszak, [W1], Corporate Compliance Senior Analyst, Helmerich & Payne



Kortney Q. Nordrum, [P10], Esq., Project Manager & Social Media Expert, SCCE & HCCA, Minneapolis, MN



Jeffrey B. Norman, [203], Chief Compliance Officer, City of Atlanta



Alan Norquist, [W6], CEO & Founder, Veriphyr, Inc., Los Altos, CA



Lawrence Oliver, II, [405], Chief Counsel, Investigations, The Boeing Company



Sahar Oswald, [803], Manager, Customer Care Compliance, Pacific Gas and Electric Company



Sherbir Panag, [704], Partner and Chair, Compliance & Investigations Practice, MZM Legal



John Partridge, [408], Partner, Gibson, Dunn & Crutcher LLP, Denver, CO



Pamela Passman, [P6], President and CEO, Center for Responsible Enterprise and Trade – *CREATE.org*



Ricardo Pellafone, [408], Creative Director, Broadcat, Dallas, TX



Carrie Penman, [607], Chief Compliance Officer and Senior Vice President, Advisory Services, NAVEX Global



Louis G. Perold, [W1], Global Compliance Manager, Jabil Circuit, Inc.



Jacqueline L. Phillips, [W3], VP Ethics and Compliance, Spectra Energy Corporation



John C. Pisa-Relli, [W13], Managing Director, Global Trade Compliance, Accenture



Cristina M. Potter, [807], Corporate Ethics Officer, Engility Corporation



Sarah Powell, [204], Global Compliance Manager, Pearson



Steven Priest, [P12], President, Integrity Insight International, Evanston, IL



Kris Pugsley, [P17], CCEP, Global Communications Manager and Change Management, ON Semiconductor, Phoenix, AZ



Luanna Putney, [401], Associate Chancellor and Senior Advisor to the Chancellor, University of California Merced



Mónica Ramírez Chimal, [W12], Managing Director/ Partner, Asserto RSC, Mexico City, Mexico



Valerie Raye, [W11], NPD Manager – LSP, Tyco Global Supply Chain



Yuhok S. Raymaker, [W3], Director, Ethics & EEO Compliance, Waste Management



Catherine L. Razzano, [P13], Assistant General Counsel & Director, General Dynamics Corporation



Heather Reilly Powell, [602], Principal, Compliance Clarity LLC



Randi J. Roberts, [303], Vice President, Compliance, NBCUniversal



Jay Rosen, [AD10], Vice President, Legal & Corporate Language Solutions, Merrill Corporation, Los Angeles, CA



Frank Ruelas, [403], Facility Compliance Professional, St. Joseph's Hospital and Medical Center/Dignity Health



Kathryn Rybka, [P3], Lecturer of Business Administration, University of Illinois at Urbana-Champaign College of Business



Courtney A. Sander, [202], Senior Regulatory Compliance Analyst, Petco Animal Supplies, Inc.



Louis A. Sapirman, [308], VP, Associate General Counsel & Chief Compliance Officer, Dun & Bradstreet

Lewis Segall, [201], Senior Counsel, Ethics and Compliance, Google Inc.



Jabu M. Sengova, [203], Associate Ethics Officer, City of Atlanta



Paige Shannon [307], Esq., CCEP, Senior Associate General Counsel, Kforce, Inc., Reston, VA



William Shepherd, [GS], Partner, Holland & Knight



Mary Shirley, [804], Director of Training, Communications & Investigations, Fresenius Medical Care, Asia Pacific



David W. Simon, [704], Partner, Foley & Lardner LLP



Ann G. Skeet, [802], Director of Leadership Ethics, Markkula Center for Applied Ethics



Robert Smith, [603], Director, Business Compliance & Ethics, Serco Group plc



Katherine Snell, [W11], Ombudsman/Senior Manager, Compliance & Ethics, Tyco



Rebeka Spires, [508], CCEP, Compliance & Ethics Officer, Louis Berger Group, Inc.



Ruth N. Steinholtz, [302], Values Based Business Ethics Advisor, AretéWork LLP



Kent W. Swagler, [606], CCEP, Director, Corporate Compliance and Ethics, BiState Development



Johan Thorell, [304], Director of Compliance, EMEA, Carlson Wagonlit Travel, London, UK



Anne Tkacs, [705], Managing Director, Ethics and Compliance, Southern Company Gas



Greg Triguba, [P1, AD2], JD, CCEP, CCEP-I, Senior Practice Leader, Ethics, Compliance and Risk, Affiliated Monitors, Inc., Highlands Ranch, CO



Debbie Troklus, [P7], CCEP-F, CCEP-I, CHC-F, CHRC, CHPC, Managing Director, Aegis Compliance and Ethics Center, Louisville, KY



Adam Turteltaub, [GS], CCEP, CHC, Vice President of Membership Development, Society of Corporate Compliance & Ethics



Jana Utter, [W10], Vice President Enterprise Risk Management, Centene Corporation



Sheryl Vacca, [P7, 407], CCEP-F, CCEP-I, CHC-F, CHRC, CHPC, Senior Vice President/Chief Compliance & Audit Officer, University of California, Sacramento, CA



John Vastano, [W6], CSO, Veriphyr, Inc., Los Altos, CA



Ralph Villanueva, [106], Senior IT Compliance Analyst, Las Vegas Sands Corporation, Las Vegas, NV



Michael Volkov [AD6], JD, Former Federal Prosecutor; CEO, The Volkov Law Group, LLC Bethesda, MD



Rebecca Walker, [201, 705], JD, Compliance Lawyer Track Program Chair; Partner, Kaplan & Walker LLP, Santa Monica, CA



Greg Walters, [P2], JD, Trial Attorney, U.S. Department of Housing and Urban Development, Denver, CO



Brian Warshawsky [401], Systemwide Manager of Export Control Compliance and Empowered Official, University of California Office of the President



Art R. Weiss [102, AD9], JD, CCEP-F, CCEP-I, Chief Compliance & Ethics Officer, TAMKO Building Products, Joplin, MO



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Gretchen A. Winter, [P3], Executive Director, Center for Professional Responsibility in Business and Society, University of Illinois at Urbana-Champaign College of Business



Vanessa R. Wisnoski, [W3], Senior Integrity & Compliance Analyst, Marathon Oil Corporation



Jeannette Woo, [803], Manager, Regulatory Affairs Compliance Pacific Gas and Electric Company



Harvey W. Woodford, [W4], Vice President, Chief Ethics & Compliance Officer, Avnet, Inc.



Grace C. Wu de Plaza, [703], JD, Deputy Ethics & Compliance Officer, The Nature Conservancy, Arlington, VA



Eileen M. Xenarios, [503], Business Process Consultant, Progressive Insurance



Michele A. Yaroma [808], Special Agent, FBI, Washington, D.C.



Heather N. Yanak, [708], Managing Director & Founder, Cameo Advisory Group, Houston, TX



Cindy Yanasak, [503], Compliance & Ethics Program Manager, Progressive Corporation, Mayfield Village, OH



Charlotte D. Young, [508, 703], Chief Ethics and Compliance Officer, The Nature Conservancy, Arlington, VA



Anne-Marie Zell, [P13], Manager, Member & Advisory Services, TRACE International, Inc., Annapolis, MD



Vivian Zhou, [304], China Compliance Manager, Carlson Wagonlit Travel, Beijing, China



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SATURDAY, SEPTEMBER 24

11:30 AM–3:30 PM

Volunteer Project

Come to the annual meeting 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 is a great networking opportunity with fellow conference attendees, speakers and SCCE board members.

3:00–7:00 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 2017 Annual Meeting!

SUNDAY, SEPTEMBER 25

7:30 AM–6:00 PM

Registration Open

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.

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

- 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 Ethics and Compliance Training from A to Z: How to Create Outstanding Programs in 2016

Sunday, 9:00 AM–12:00 PM

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

- Comprehensive review of all basic presentation skills necessary to provide outstanding and memorable live ethics and compliance training. Leave the session with a new mastery of these critical professional skills.
- Enrich your knowledge of how to present both short briefings and longer training sessions. Learn to read an audience and make them fully engage with your message. Maximize your persuasive speaking abilities in all types of professional communications.
- New for 2016: Pump-up your presentations with the latest communication ideas and trends involving posture, voice and visual aids used by professional speakers to win over audiences. Learn how to make these work for you and your own speaking style.

CASE STUDY TRACK

P3 Leveraging Collaboration and Innovation to Explore Professional Responsibility Challenges by Industry

Sunday, 9:00 AM–12:00 PM

Gretchen A. Winter, Executive Director, Center for Professional Responsibility in Business and Society, University of Illinois at Urbana-Champaign College of Business

Kathryn Rybka, Lecturer of Business Administration, University of Illinois at Urbana-Champaign College of Business

- The University of Illinois College of Business/Center for Professional Responsibility in Business and Society partners with industry to create a case study that uses real data in a fictional setting to engage students with real business problems that have professional responsibility and ethical considerations.
- Learn how students work in interdisciplinary teams that mirror real world business teams and then consult with industry experts over nearly three weeks to prepare interactive presentations that will be judged by industry experts.
- Experience and hear about the model, learn about the collaboration, and consider duplicating it within your industry and with your favorite college of business!

INTERNATIONAL/MULTI-NATIONAL TRACK

P4 The Changing Landscape of Sanctions and Business Opportunities in Iran, Russia and Cuba

Sunday, 9:00 AM–12:00 PM

Janet K. Kim, Partner, Baker & McKenzie LLP

COMPLIANCE LAWYER

P5 Criminal, Civil and Administrative Enforcement Developments and Compliance Professionals

Sunday, 9:00 AM–12:00 PM

Gabriel L. Imperato, Managing Partner, Broad and Cassel

- Federal Principles for Prosecution of Organizations and Individuals and the Consequences for Compliance Professionals
- Whistleblowers and False Claims Act Liability: Risk and Response
- Enforcement and Compliance; Strategies for Effective Compliance for Organizations

IT COMPLIANCE

P6 Cyber Threats, Information Security and Compliance: Future Trends and Leading Practices in an Evolving Threat Environment

Sunday, 9:00 AM–12:00 PM

Pamela Passman, President and CEO, Center for Responsible Enterprise and Trade, (CREATE)

Craig Moss, COO, Center for Responsible Enterprise and Trade, (CREATE)

- Through scenario role-playing, take on different roles in a cross functional team that must prepare for and respond to cyber incidents and the loss of critical, sensitive corporate information.
- Learn how to identify and address top vulnerabilities; gain insights into the role of compliance and ethics in cybersecurity and the protection of confidential information.
- Understand future trends that impact every company's evolving digital landscape, including the impact on its supply chain and managing insider and third party actions that can impact your organizations approach to enterprise risk management and compliance.

GENERAL COMPLIANCE/HOT TOPICS TRACK

P7 Compliance 101

Sunday, 9:00 AM – 12:00 PM

Debbie Troklus, Managing Director, Aegis Compliance and Ethics Center

Sheryl Vacca, Senior Vice President and Chief Compliance & Audit Officer, University of California

- 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.

GENERAL COMPLIANCE/HOT TOPICS TRACK

P8 Leading with Influence

Sunday, 9:00 AM – 12:00 PM

Marilyn Gorman, Executive Coach

INVESTIGATIONS WORKSHOP

P9 Investigations Workshop

Sunday, 9:00 AM – 12:00 PM

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

Albert G. 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, Principal, Winter Compliance LLC

- 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, Principal, Winter Compliance LLC

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

2:00–1:30 PM

Lunch (*on your own*)

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

Pre-Conference Afternoon Breakout Sessions

RISK TRACK

P10 Social Media: Risks and Redemption

Sunday, 1:30 –4:30 PM

Kortney Q. Nordrum, Project Manager, SCCE/HCCA

- Learn how and where to look for social media risks—and what you're looking for.
- Discover best practices for mitigating social media risk and what makes using social media "worth it."
- Mini-Workshop: Each attendee will develop a baseline social media policy you can take home, implement, and build upon.

ETHICS TRACK

P11 The ABCs of Ethical Leadership

Sunday, 1:30 –4:30 PM

Jane L. Mitchell, Director, J&M Ltd.

- Interactive workshop to guide leaders to a more thorough understanding of ethical values.
- Learn how to embed ethics through your behaviors and values-based leadership.
- Effectively connect the dots between ethical knowledge and employee engagement.

CASE STUDY TRACK

P12 Strengthening Culture Through Innovative Training

Sunday, 1:30 –4:30 PM

Steven Priest, President, Integrity Insight International

Saira Jesrai, Senior Compliance Officer

- Boards, leaders, and even the DOJ and SEC are focused on strengthening cultures of integrity.
- Most of the standard tools in the Compliance and Ethics Officer toolkit are not highly effective in changing a culture.
- See how MMC and other leading organizations have created innovative training that addresses core compliance issues and has engaged employees and leaders to think about and strengthen the behaviors that strengthen a high performance culture of integrity.

INTERNATIONAL/MULTI-NATIONAL TRACK

P13 Leveraging Your Anti-Bribery Compliance Program to Make Sanctions Compliance Easier

Sunday, 1:30 –4:30 PM

Anne-Marie Zell, Manager, Member & Advisory Services, TRACE International, Inc.

Catherine L. Razzano, Assistant General Counsel & Director, General Dynamics Corporation

Ryan P. Fayhee, Partner, Baker & McKenzie LLP, Former National Export Control Coordinator, National Security Division, US DOJ, Washington, D.C.

- The evolving sanctions landscape: Current U.S. sanctions regimes and how to adapt to changes.
- How existing anti-bribery risk assessment and due diligence processes can be the foundation for sanctions-focused programs.
- Best practices for training employees on compliance with sanctions regimes.

COMPLIANCE LAWYER

P14 The Legal Risks of Compliance & Ethics Programs

Sunday, 1:30 –4:30 PM

Joseph E. Murphy, Senior Advisor, Compliance Strategists

- How can your compliance and ethics program create legal risks for your company?
- Are labor and privacy laws being misused to undercut corporate self-policing?
- What can you do to protect your company?

IT COMPLIANCE

P15 The Future of IT Compliance . . . and How to Plan for IT

Sunday, 1:30 –4:30 PM

John DeLong, Berkman Center for Internet & Society, Harvard University

- Market trends and technological developments such as artificial intelligence are rapidly changing the IT landscape.
- Building on some case studies, we will explore the likely future demands, next practices, and techniques for IT compliance programs in the future.
- Learn how organizations can start adapting now to best future-proof their investments in IT compliance.

GENERAL COMPLIANCE/HOT TOPICS TRACK

P16 Speed Events

Sunday, 1:30 – 4:30 PM

SpeedNetworking (1:30 - 2:30 pm)

Additional Separate Registration required
www.complianceethicsinstitute.org/speedmentors

- A series of quick introductions to the types of people you've indicated you want to meet with via the online registration process, making it an efficient way to quickly connect with peers who share your challenges.
- Structured and informal opportunity to expand your national and international professional network, helping you to meet a variety of colleagues in a friendly, no-commitment setting.
- One-to-one connections leading to conversations that extend beyond the conference and really have become the backbone of the compliance profession.

SpeedMentoring (3:30 - 4:30 pm)

Additional Separate Registration required
www.complianceethicsinstitute.org/speedmentors

- A series of one-to-one discussions with mentors or mentees (depending on the profile you've completed in the online registration process).
- Structured and informal opportunity to expand your professional relationships in the compliance and ethics industry.
- Create lasting relationships and opportunities to support the development of the compliance and ethics industry.

GENERAL COMPLIANCE/HOT TOPICS TRACK

P17 Leadership Skills to Advance your Program

Sunday, 1:30 – 4:30 PM

Marjorie W. Doyle, Marjorie Doyle & Associates

Kris Pugsley, Global Communications Manager and Change Management, ON Semiconductor

- Enhancing leadership with updated communication skills.
- Establishing useful relationships.
- Successful engagement of others.

INVESTIGATIONS WORKSHOP

P18 (continued from P9) 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

Albert G. 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, Principal, Winter Compliance LLC

Albert G. Gagne, Former Director, Ethics & Compliance, Textron Systems Corporation (retired)

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

4:30–6:00 PM

Opening Reception in Exhibit Hall

5:30–6:30 PM

Authors' Reception and Compliance & Ethics Academy Reunion

MONDAY, SEPTEMBER 26

6:30–7:30 AM

Yoga

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

8:30–9:30 AM

Keynote Address – Sidetracked: Why Our Decisions Get Derailed, and How We Can Stick to the Plan

Francesca Gino, Professor, Harvard Business School; Author of *Sidetracked: Why Our Decisions Get Derailed, and How We Can Stick to the Plan*

- What biases most affect your decisions and get us off track?
- Specific situations or decisions that were influenced by systematic errors.
- How to be a better decision maker in the future.

9:30–10:30 AM

Keynote Address – Investigative Interviewing: What Researchers Have Found Works and Doesn't Work

Michael W. Johnson, CEO Clear Law Institute

- Learn from a former U.S. Department of Justice attorney how to avoid common investigative interviewing techniques whose validity has been questioned by researchers and some courts.
- Learn how to use newer, scientifically validated interviewing techniques proven to obtain more information from witnesses.
- Learn advanced interviewing techniques proven to make it easier to differentiate between truth-tellers and those who are deceptive.

10:30–11:00 AM

Networking Break in Exhibit Hall

Sponsored by Workplace Answers

11:00 AM–12:00 PM

Concurrent Breakout Sessions

RISK TRACK

101 From FCPA Prosecutors to Company Protectors: Lessons from Former DOJ FCPA Unit Prosecutors on How to Best Protect Your Company from the Risks of Corruption

Monday, 11:00 AM – 12:00 PM

Maria Gonzalez Calvet, Executive Counsel, GE Energy Management and GE Latin America

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

- Overview of 2016 developments defining the risks, challenges, and enforcement trends in global hot spots around the world from Asia to Africa and the Americas.
- Discussion of how to interpret new DOJ and SEC policies and past FCPA enforcement actions to improve your anti-corruption policies, internal audit program and investigative responses.
- Engage in real-world exercises and scenarios that take a deep dive into global anti-corruption program design, risk identification and assessment, and effective investigative strategies.

ETHICS TRACK

102 Organizational Ethics: Who Needs It?

Monday, 11:00 AM – 12:00 PM

Marjorie W. Doyle, Marjorie Doyle & Associates

Art Weiss, Chief Compliance and Ethics Officer, TAMKO Building Products, Inc.

CASE STUDY TRACK

103 A Conversation with The Priceline Group, Inc.: Driving a High Touch International E&C Program Strategy

Monday, 11:00 AM – 12:00 PM

Eduardo Andrade, SVP, Global Compliance & Ethics Officer, The Priceline Group, Inc.

Nita Drakatos, Compliance Manager, The Priceline Group, Inc.

Marsha H. Ershaghi Hames, Senior Leader Education Advisory Services, LRN

- Ethics Ambassador Program: building momentum for trust and growth through enthusiastic champions, owning & driving key messages deep into regional offices.
- Scaling multi-generational education & communication needs through high touch experiential, animation & interactive polling strategies. Balancing the integration white hot issues such as Data Security, Data Privacy, and Social Media.
- Learn how to thread purpose with impact by connecting headlines to situational dilemmas, with a consistent pulse on audience engagement.



INTERNATIONAL/MULTI-NATIONAL TRACK

104 Big Data, Big Issues: Global Challenges and Effective Solutions

Monday, 11:00 AM – 12:00 PM

Jonathan P. Armstrong, Partner, Cordery

James Lin, Chief Technology Officer, Regulatory DataCorp (RDC)

- Technology has a huge impact on compliance including investigations & prevention. Global rules have local impact & the law is changing especially in Europe.
- How can multinational businesses cope with the pace of change?
- How can multinational businesses use big data to minimize third party risk?

COMPLIANCE LAWYER

105 Compliance For Subsidiaries, JVs and Other Affiliates

Monday, 11:00 AM – 12:00 PM

Jeffrey M. Kaplan, Partner, Kaplan & Walker LLP

- How should a parent company assess compliance risks for subsidiaries, JVs and other affiliates?
- What are best practices approaches for overseeing compliance training, auditing, investigations and other program functions by an affiliate?
- How can a parent company avoid creating liability based on too much involvement in an affiliate's compliance program?

IT COMPLIANCE

106 Information Security and the Compliance Officer

Monday, 11:00 AM – 12:00 PM

Ralph Villanueva, Senior IT Compliance Analyst, Las Vegas Sands Corporation

- How to handle IT professionals at work.
- Discuss the role of the compliance officer in an IT department.
- How to get results from your IT professionals.

GENERAL COMPLIANCE/HOT TOPICS TRACK

107 Key Insights in Managing Third-Party Compliance and Ethics Risks

Monday, 11:00 AM – 12:00 PM

Brian K. Lee, Practice Leader, CEB Compliance & Legal Practice

- Compliance's current process for managing third-party risk focuses on setting and enforcing standards for third-party behavior, which places a heavy operational burden on the business.
- Best-in-class programs account for the time and cost considerations that drive business stakeholders' behavior.
- The best companies make third-party compliance costs transparent, reduce the drag associated with due diligence, and harness the self-interest of third parties to their advantage.

GENERAL COMPLIANCE/HOT TOPICS TRACK

108 Compliance Is Ruff: A Dog's Approach

Monday, 11:00 AM – 12:00 PM

Kimberly A. Lansford, Chief Compliance Officer, Shriners Hospitals for Children

Carol Lansford, Service Dog Trainer

Gabe II, Service Dog, Warrior Canine Connection

- Techniques used in the service dog training industry to gain compliance and correct unwanted behaviors.
- Methods utilized in the service dog training industry to work through challenging or difficult situations.
- How to apply these techniques and methods to enhance the effectiveness of a compliance program.

ADVANCED DISCUSSION GROUPS

AD1* Take a Swim in the Compliance Fish Tank

Monday, 11:00 AM – 12:00 PM

***Advanced Discussion Groups will be filled on a first-come, first-served basis. Attendance is limited to the first 50 attendees. Pre-registration is not available for these sessions.**

John Falcetano, Managing Director, Action Compliance Services, LLC

- The audience will vote and select hot compliance topics for discussion.
- The audience will be divided into two groups, those inside the compliance fish tank and those outside the compliance fish tank.
- The group inside the compliance fish tank discusses the hot compliance topic for ten minutes followed by five minutes of questions by those outside the fish tank; the groups will then reverse roles and continually repeat the exercise until the session is completed.

8 LEARNING TRACKS

ADVANCED DISCUSSION GROUPS

AD2* Big Picture E&C Program Challenges: A Day in the Life of the Successful Compliance Officer

Monday, 11:00 AM – 12:00 PM

***Advanced Discussion Groups will be filled on a first-come, first-served basis. Attendance is limited to the first 50 attendees. Pre-registration is not available for these sessions.**

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

- Survey and explore some major challenges and frustrations that E&C leaders can face in day-to-day practice.
- Navigate through a real-world scenario that illustrates systemic challenges and its impact to ethics and compliance program effectiveness.
- Collaborate and discuss practical strategies and solutions for addressing big picture challenges and leading successful change in the organization.

12:00–1:00 PM

Networking Lunch

1:00–1:30 PM

Dessert and Networking Break in Exhibit Hall

1:30–2:30 PM

Concurrent Breakout Sessions

RISK TRACK

201 Conflicts of Interest: Exploring Risks, Harms and Controls

Monday, 1:30–2:30 PM

Rebecca Walker, Partner, Kaplan & Walker LLP

Lewis Segall, Senior Counsel, Ethics and Compliance, Google Inc.

- Explore the ways in which conflicts of interest harm organizations.
- Explore best practices in conflicts of interest controls: policies, training, pre-approvals, ethics walls and other controls.
- Explore global perspectives and challenges in the field, and the importance of culture to conflicts management.

ETHICS TRACK

202 Finding Common Ethical Ground in Your Multicultural Organization

Monday, 1:30–2:30 PM

Courtney A. Sander, Senior Regulatory Compliance Analyst, Petco Animal Supplies, Inc.

- Today's businesses are comprised of multicultural stakeholders. How does this complicate your ethics program?
- Explore how personal values impact ethical performance in your organization.
- Identify the organization's responsibilities to its stakeholders to create, implement, and enforce an organizational code of ethics and values-based culture that goes beyond legal compliance.

CASE STUDY TRACK

203 Seven Deadly Sins of Government Officials & Employees: Why Integrity Matters

Monday, 1:30–2:30 PM

Jeffrey B. Norman, Chief Compliance Officer, City of Atlanta

- Jabu M. Sengova**, Associate Ethics Officer, City of Atlanta
- Explore and discuss the seven prevalent breaches that lead government officials and employees to violate the public trust in administration of public sector programs and services.
 - Discuss how accountability and organizational structure of government affects the viability, effectiveness and implementation of compliance and ethics programs.
 - Learn the essential fundamentals of conducting internal investigations involving government employees.

INTERNATIONAL/MULTI-NATIONAL TRACK

204 Best Practices and Advice: Your Up-to-Date Guide to Human Rights Law, the Modern Slavery Act, and Your Company's Obligations in Transparency and Compliance

Monday, 1:30–2:30 PM

Kristy Grant-Hart, Founder and Managing Director, Spark Compliance Consulting; Author, *How to Be a Wildly Effective Compliance Officer*

Sarah Powell, Global Compliance Manager, Pearson

- Get up-to-the-minute information on the most pressing supply chain and human rights transparency disclosure requirements in the US and UK.
- Ensure you're meeting your company's obligations under the new UK Modern Slavery Act, California Transparency in Supply Chain Act and US Federal Contracting laws.
- Gather best practices to streamline your supply chain due diligence and audits with your FCPA/anti-corruption program for maximum effectiveness with minimal duplication.

COMPLIANCE LAWYER

205 Form I-9 - Risk Assessment and Mitigation Strategies

Monday, 1:30–2:30 PM

Alessandra Bortolotti, Compliance Client Services Manager, Berry Appleman & Leiden LLP

- Form I-9 employment eligibility verification within the context of risk assessment.
- Strategies to identify, remedy and prevent exposure to risks.
- Ideas for structuring compliant Form I-9 processes.

IT COMPLIANCE

206 You Already Have Zero Privacy – Get Over It!

Monday, 1:30–2:30 PM

Paul E. Fiorelli, Professor of Legal Studies and Co-Director, Cintas Institute for Business Ethics, Xavier University

- Does employer drug testing and reviewing social media sights promote gamesmanship?
- Do citizens have a right to be forgotten?
- How phishing and pretexting can lead to identity theft?

GENERAL COMPLIANCE/HOT TOPICS TRACK

207 Building a Culture of Compliance – A View from Capitol Hill

Monday, 1:30–2:30 PM

Deborah S. Mayer, Chief Counsel & Staff Director, Select Committee on Ethics – US Senate

- Outreach/building relationships. Discuss no cost ways to create buy in at all levels. Discuss how the Senate structure has influenced the Committee's approach to this.
- Making it relevant. Discuss how to make ethics/compliance relevant and engaging to different audiences within your organization.
- Using the worst case scenarios to your advantage. Discuss how to use violations/missteps in a constructive way without having a chilling effect on engagement with your audience/community.

GENERAL COMPLIANCE/HOT TOPICS TRACK

208 If CNBC Called Today, Would You Be Ready?

Monday, 1:30–2:30 PM

Grace Keith, Director PR & Content, Caliber Corporate Advisers

- As the media continues to take a closer look at the compliance department within any company, especially around news stories of fines and other infractions - it's becoming increasingly important that the compliance team be media-ready.
- Journalists are always looking for new sources when it comes to the topic of compliance, are you equipped with the tools and techniques you need to serve as a thought leader in the space?
- In this interactive 'Media 101' session, we will discuss (and role-play) common media interview pitfalls and ways to avoid them as well as some key tips on how to handle typical media inquiries.

ADVANCED DISCUSSION GROUPS

AD3* Retaliation, Real or Imagined – What You Can Do to Address Employee Concerns

Monday, 1:30–2:30 PM

***Advanced Discussion Groups will be filled on a first-come, first-served basis. Attendance is limited to the first 50 attendees. Pre-registration is not available for these sessions.**

Albert G. Gagne, Former Director, Ethics & Compliance, Textron Systems Corporation (retired)

- Why employees fear retaliation.
- Forms of retaliation.
- The compliance officer's and management's role in identifying and mitigating employee concerns and how to best communicate zero tolerance for any form of retaliation in the workplace.

ADVANCED DISCUSSION GROUPS

AD4* Metrics: Advanced Techniques for Evaluating Your Compliance & Ethics Program

Monday, 1:30–2:30 PM

***Advanced Discussion Groups will be filled on a first-come, first-served basis. Attendance is limited to the first 50 attendees. Pre-registration is not available for these sessions.**

Marjorie W. Doyle, Marjorie Doyle & Associates

2:30–3:00 PM

Networking Break in Exhibit Hall

3:00 PM–4:00 PM

Concurrent Breakout Sessions

RISK TRACK

301 Global Privacy and Data Protection Risks: Protecting Corporate Digital Assets

Monday, 3:00–4:00 PM

David J. Heller, Enterprise Risk Management and General Auditor, Edison International

Jeremy Batterman, Associate Director, Information Security and Incident Response, Navigant Consulting, Inc.

- Building and running a risk based cyber security program.
- Understanding the essentials of privacy law in the U.S.
- Cyber security and privacy update with a focus on the U.S. and the EU.

ETHICS TRACK

302 Ethics Ambassadors: Your Diplomatic Corps for Ethics & Compliance - The Key to a Values-Driven Approach

Monday, 3:00–4:00 PM

Ruth N. Steinholtz, Values Based Business Ethics Advisor, AretéWork LLP

- What are ethics ambassadors and why are they effective in achieving a strong ethical culture and improved compliance?
- The business case for your diplomatic corps: How to get the executive team to buy into the concept.
- How do you create and sustain an ethics ambassador corps in a global organisation.

CASE STUDY TRACK

303 Gift & Entertainment, Conflicts and Corruption: An Interplay of Risks and Best Practices to Address Them

Monday, 3:00–4:00 PM

Lisa S. Hughes, Vice President, Deputy Chief Compliance Officer, NBCUniversal

Randi J. Roberts, Vice President, Compliance, NBCUniversal

- Discussion of interplay among several compliance risk areas - Gifts & Entertainment, Conflicts of Interest and Anti-Corruption.
- Examination of BHP Billiton and other key cases involving these risk areas, their resolution and what we can learn from them.
- Best Practices For Effectively Addressing These Risks.

INTERNATIONAL/MULTI-NATIONAL TRACK

304 Creating, Implementing and Managing Effective Global Communication and Training Programs on a Budget

Monday, 3:00–4:00 PM

Renata Moreti, Director, North America Compliance, Carlson Wagonlit Travel

Johan Thorell, Director, EMEA Compliance, Carlson Wagonlit Travel

Vivian Zhou, China Compliance Manager, Carlson Wagonlit Travel

- No budget? No problem! Learn how to be creative with minimal resources.
- Overcoming US-centric and Local Biases - Know how to tailor your communications and training programs to take advantage of local cultural norms.
- Leveraging other teams - how to engage business teams to support Compliance's work.

COMPLIANCE LAWYER

305 The Personal Liability of Corporate Officers for Foreign Corrupt Practices

Monday, 3:00–4:00 PM

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

Paul Haynes, Lead Investigator, World Bank Group Integrity Vice Presidency

- Personal consequences and individual sanctions that corporate officers can face if their company is involved in a case of overseas fraud and corruption and the triggers of personal liability.
- The global jurisdictional frameworks for personal liability that the Multilateral Development Banks use to address fraud and corruption and public debar individual corporate officers and their companies in the context of development.
- Compliance programs and other options that are available to individuals to mitigate their personal liability risks both as a preventative measure and if fraud or corruption have occurred on their watch.

IT COMPLIANCE

306 Compromising Merchants: A Live Hack Demo

Monday, 3:00–4:00 PM

John Bartholomew, Senior Vice President of Sales, Security Metrics

- Learn why merchants are continually under attack from hackers, and why they don't know where they are vulnerable.
- Identify through the Live Hack Demo how easily unprotected credit card data can be stolen.
- Discuss past compromises, hacking methodology, live hacking examples, and how the Payment Card Industry Data Security Standard protects merchant data.

GENERAL COMPLIANCE/HOT TOPICS TRACK

307 Ready, Set, Go: Your Next Career Move

Monday, 3:00–4:00 PM

Adelle Elia, Adelle Elia, Code Services Knowledge Leader, LRN

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

- Ready: Understand what employers are looking for in mid-career ethics and compliance professionals: 2016 skills, specializations, and experience. Explore ideas for building those skills and specializations while still in your current role.
- Set: Learn how to find and tap into compliance-friendly peer and networking groups in your community, see how to build your online presence specifically towards an ethics and compliance focus.
- Go: Understand how retained search services work, and how they find strong candidates for compliance directors and executives. Hear the latest on job search sites (e.g. SCCE Board) and places to spot compliance openings.

GENERAL COMPLIANCE/HOT TOPICS TRACK

308 Compliance 3.0: Leveraging Social Media to Drive a Culture of Compliance

Monday, 3:00–4:00 PM

Louis A. Sapirman, VP, Associate Gen Counsel & CCO, Dun & Bradstreet

Thomas R. Fox, Principal, Advanced Compliance, TOMFOX.LAW.COM

- Leveraging innovative social media tools to further compliance.
- Social Media-the key to a two-way conversation with compliance.
- Social Media as a tool to engage business leaders and train employees.

ADVANCED DISCUSSION GROUPS

AD5* Suppliers and Other Third Party Engagement

Monday, 3:00–4:00 PM

***Advanced Discussion Groups will be filled on a first-come, first-served basis. Attendance is limited to the first 50 attendees. Pre-registration is not available for these sessions.**

Eric R. Feldman, Senior Vice President and Managing Director, Corporate Ethics and Compliance Programs, Affiliated Monitors, Inc.

ADVANCED DISCUSSION GROUPS

AD6* The Yate's Memo's Impact on Internal Investigations

Monday, 3:00–4:00 PM

***Advanced Discussion Groups will be filled on a first-come, first-served basis. Attendance is limited to the first 50 attendees. Pre-registration is not available for these sessions.**

Michael Volkov, CEO, Volkov Law Group LLC

4:00–4:30 PM

Networking Break in Exhibit Hall

4:30 PM–5:30 PM

Concurrent Breakout Sessions

RISK TRACK

401 Export Controls Risk: Challenges, Strategies, and Effective Management

Monday, 4:30–5:30 PM

Brian Warshawsky, Systemwide Manager of Export Control Compliance and Empowered Official, University of California Office of the President

Luanna Putney, Associate Chancellor and Senior Advisor to the Chancellor, University of California Merced

- Overview of global export compliance risks, challenges, and enforcement trends.
- Explore and share best practices in assessing global export risk and discuss strategies for effective management.
- Share real-world scenarios related to export control compliance challenges and practical solutions that made a difference.

ETHICS TRACK

402 From Villains to Heroes: Fostering Ethical Behavior in Organizations

Monday, 4:30–5:30 PM

Patricia Colombo, General Manager of Legal, Compliance and Regulatory Affairs, FUJIFILM Brasil

- Why unethical behavior occurs in organizations and the importance of the ethical culture inside the company.
- The good, the bad and the misguided employee: how managers inadvertently encourage deviant behavior.
- Suggestions for creating and maintaining an ethically-oriented culture: how to get employees to want act ethically.

CASE STUDY TRACK

403 How an Organization Created the Model Compliance Committee

Monday, 4:30–5:30 PM

Walter E. Johnson, Director of Compliance & Ethics, Kforce Government Solutions

Frank Ruelas, Facility Compliance Professional, St. Joseph's Hospital and Medical Center/Dignity Health

- Move the Compliance Committee from becoming just another “meeting” to one that is an effective work group in dealing with Compliance issues.
- Understanding and managing the life cycle of planning a Compliance Committee meeting that avoids wasted time and promotes action oriented discussions and decision making.
- How to design and manage an agenda that makes the best use of a Compliance Committee's meeting time while prompting effective interaction among the committee members.

INTERNATIONAL/MULTI-NATIONAL TRACK

404 Conducting Effective Third Party Due Diligence In China

Monday, 4:30–5:30 PM

Allan Matheson, Managing Director, Blue Umbrella

- A review of existing third party information available to risk professionals, demonstrating how it can be utilized to support due diligence processes.
- Common frustrations and misconceptions relating to conducting due diligence in China.
- Review of legal, regulatory and economic challenges pertaining to conducting third party due diligence in China.

COMPLIANCE LAWYER

405 Preserving the Attorney-Client Privilege and Attorney Work Product Protection in Internal and Government Investigations

Monday, 4:30–5:30 PM

Eric J. Gorman, Partner, Skadden Arps

Lawrence Oliver, II, Chief Counsel, Investigations, The Boeing Company

- Asserting and preserving the attorney-client privilege and attorney work product protection in the context of an internal investigation: legal, ethical and practical considerations.
- What to do with the feds come knocking: additional factors to consider regarding the privilege and work product protection in the midst of a government investigation.
- Collateral implications: treatment of the privilege and work product protection in collateral litigation concerning an investigation.

IT COMPLIANCE

406 Top Tips for Managing Global Data Privacy Compliance

Monday, 4:30–5:30 PM

Robert J. Bond, Head of DataProtection and Cyber Security Law, Charles Russell Speechlys LLP

- Current hot topics in data privacy and cyber security.
- Making data privacy compliance a core ethical and compliance issue for the Board.
- What the future holds for data protection and how to prepare for it.

GENERAL COMPLIANCE/HOT TOPICS TRACK

407 Return on Investment (ROI) for Compliance Programs: Challenges and Options

Monday, 4:30–5:30 PM

Sheryl Vacca, Senior Vice President/Chief Compliance & Audit Officer, University of California

David S. Lane, Deputy Compliance Officer, University of California - Office of the President

- Explore various approaches to “Return on Investment” (ROI) for compliance programs
- Documenting indicators for ROI on compliance programs takes different tools and method than traditional models of ROI.
- Discussions will highlight challenges for defining ROI for compliance programs – detailing and explaining possible options and alternatives.

GENERAL COMPLIANCE/HOT TOPICS TRACK

408 Keeping Compliance Simple Without Dumbing it Down

Monday, 4:30–5:30 PM

Ricardo Pellafone, Creative Director, Broadcat

John Partridge, Partner, Gibson, Dunn & Crutcher LLP

- What the government practically expects of your training and communications.
- Why you need to make things simple without dumbing it down and how to do it.
- How to check if your training and communications are working.

ADVANCED DISCUSSION GROUPS

AD7* Compliance as a Unique Sales Differentiator

Monday, 4:30–5:30 PM

***Advanced Discussion Groups will be filled on a first-come, first-served basis. Attendance is limited to the first 50 attendees. Pre-registration is not available for these sessions**

Janet K. Himmelreich, Head, Client Compliance Services CoE, BT Global Services

Sally March, Director, Drummond March & Co

- Can your compliance program actually help your company sell more business?
- Having a strong, well-supported compliance program can not only enhance your company’s reputation, but can help you make the cut when bidding for new business.
- Marketing your Compliance Program (internally and externally) as a Competitive Advantage.

ADVANCED DISCUSSION GROUPS

AD8* Sorry, this seat is taken!: Getting Your Ethics and Compliance Priorities Taken Seriously When You Don’t Have a Seat at The C-Suite Table

Monday, 4:30–5:30 PM

***Advanced Discussion Groups will be filled on a first-come, first-served basis. Attendance is limited to the first 50 attendees. Pre-registration is not available for these sessions.**

Mark W. Ewald, Senior Director, Ethics & Compliance Services, DeVry Education Group

Nikita N. Williams, Manager Ethics & Compliance Services, DeVry Education Group

- Having a clear understanding of your organization’s culture and leadership style.
- Communicating your objectives in a manner that reflects your familiarity with the C-Suite priorities, perspectives and goals. (Read the SEC filings, attend town hall meetings, etc.)
- Establishing a positive reputation for providing solutions rather than pointing out problems.

5:30–7:00 PM Networking Reception in Exhibit Hall

7:00 – 9:00 PM

International Compliance & Ethics Awards Dinner (RSVP)

TUESDAY, SEPTEMBER 27

6:30–7:30 AM

Yoga

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

8:30–8:50 AM

Keynote Address – Enforcement Trends

Bill Baer, Principal Deputy Associate Attorney General, U.S. Department of Justice

8:50–9:30 AM

Keynote Address – Human Trafficking and Modern Slavery: The Next Compliance Challenge

Gwendolyn Hassan, Managing Counsel, Global Compliance & Ethics, CNH Industrial, LLC

William Shepherd, Partner, Holland & Knight

Adam Turteltaub (Moderator), Vice President of Membership Development, Society of Corporate Compliance & Ethics

- Understanding human trafficking and modern slavery.
- The emerging legal requirements for the private sector.
- What organizations should be doing now.

9:30–10:30 AM

Keynote Address – How to Be a Wildly Effective Compliance Officer

Kristy Grant-Hart, Founder and Managing Director, Spark Compliance Consulting; Author, *How to Be a Wildly Effective Compliance Officer*

- Learn specific influence, persuasion and motivation techniques to help you be a powerful business asset.
- Find out how to deal with burnout and learn when to say, “That’s not my job!”
- Super-charge how you and others perceive you and your role.

10:30–11:00 AM

Networking Break in Exhibit Hall

11:00 AM–12:00 PM

Concurrent Breakout Sessions

RISK TRACK

501 Global Antitrust Compliance and Risk - Creating an Effective Antitrust Compliance Program

Tuesday, 11:00 AM–12:00 PM

Timothy Bridgeford, Executive Director, Antitrust Compliance, J.P. Morgan

Pedro de la Torre, Global Compliance Officer & Corporate Counsel, The Chemours Company

- Overview of global legislation, enforcement activity and trends in the evolving antitrust compliance environment.
- Learn how to conduct a comprehensive, global risk assessment to uncover antitrust risk in your organization.
- Learn how to effectively promote antitrust compliance in your organization and create an effective antitrust compliance program to mitigate global risk.

ETHICS TRACK

502 Considering an Ethical Decision Tree? Help Your Employees Make the Right Decision When Other Company Documents Don't Have the Answer

Tuesday, 11:00 AM–12:00 PM

Samantha E. Greves, Senior Ethics Analyst, Duke Energy Corporation

- Your employees are bound to encounter a scenario that isn't covered in your training programs, code of conduct, policies and procedures, or other company documents.
- Learn about the process to create an ethical decision making tree, including the development of a model, questions to consider, designing the layout, and disseminating the finished product.
- Hear best practices to incorporate into your tree and potential challenges you may need to overcome.

CASE STUDY TRACK

503 Courage at our Core: Inspiring Employees to Speak Up

Tuesday, 11:00 AM–12:00 PM

Cindy Yanasak, Compliance & Ethics Program Manager, Progressive Corporation

Eileen M. Xenarios, Business Process Consultant, Progressive Insurance

- Learn how to fight fear as one of the primary reasons employees don't report wrongdoing, stand up for what they believe to be right and communicate bad news promptly.
- Learn how Progressive helps our employees learn how to welcome open, honest disagreement and encourage constructive debate to help build trust, promote open communication and fuel innovation.
- Participate in an Ethical Art Show discussion, one of the innovative components of our "Courage at the Core" initiative.

INTERNATIONAL/MULTI-NATIONAL TRACK

504 Compliance in South America: Challenges and Effective Strategies

Tuesday, 11:00 AM–12:00 PM

Shin Jae Kim, Partner, TozziniFreire Advogados

Renata Almeida, Partner, TozziniFreire Advogados

Fernanda Beraldi, Ethics & Compliance Director, Latin America & Corporate Counsel, Cummins Inc.

- Overview of Brazil anti-corruption legislation and enforcement trends. Impact of recent high profile investigations. Elements of an effective compliance program under the Brazil legislation.
- Emerging and key risks affecting South American countries: what are the major compliance risks your organization is facing when doing business in South America.
- Reviewing your anti-corruption compliance strategy for South America. Best practices for effective risk mitigation.

COMPLIANCE LAWYER

505 How Internal Controls Are Needed to Augment Compliance Programs

Tuesday, 11:00 AM–12:00 PM

Russ A. Berland, Partner, Dentons

- Learn what it takes to "devise and maintain a system of internal accounting controls" as required by the FCPA and similar statutes.
- Explore how to build internal partnerships with key stakeholders, such as Finance or Controllershship, to implement internal controls that augment your compliance programs.
- Explore COSO, the framework for internal controls and how to deal with some CFO's misunderstanding of "materiality" for FCPA and other anti-fraud controls.

IT COMPLIANCE

506 Germ Theory and Modern Information Security Threats: Why We are Entering the Age of Mandatory Cyber Hygiene

Tuesday, 11:00 AM–12:00 PM

Joseph Grettenberger, Risk & Compliance Manager, Workfront, Inc.

Benjamin T. Wilson, VP Compliance & Industry Relations, DigiCert, Inc.

- Learn what is required to successfully deter the most common IT-related fraud, abuse and modern cyber threats.
- Discover what cyber hygiene is and what it can do for your IT Compliance Program.
- Hear lessons learned in various industry applications.

GENERAL COMPLIANCE/HOT TOPICS TRACK

507 Soft Skills Required for a Hard Profession

Tuesday, 11:00 AM–12:00 PM

Carolyn Brue, Vice President, Global Ethics & Compliance and Assistant General Counsel, Cargill, Incorporated

Colleen Dorsey, Director of Organizational Ethics & Compliance, University of St. Thomas School of Law, Minnesota

- How to develop skills and techniques for increasing message persuasiveness.
- How to develop skills for instigating behavioral and attitude change.
- How to manage unwanted persuasion.

GENERAL COMPLIANCE/HOT TOPICS TRACK

508 Five Things About Compliance We Wish Someone Told Us

Tuesday, 11:00 AM–12:00 PM

Michelle Beistle, Counsel and Chief Compliance Officer – Ethics and Privacy, Unisys Corporation

Rebeka Spires, Rebeka Spires, Compliance & Ethics Officer, Louis Berger Group, Inc.

Charlotte D. Young, Chief Ethics and Compliance Officer, The Nature Conservancy

- New to compliance and ethics? Don't worry, we were all new at one time.
- In this session, we will share lessons learned from our first years in compliance and ethics.
- And the five things we wish someone had told us when we were just starting in our compliance and ethics roles.

100+ SESSIONS

ADVANCED DISCUSSION GROUPS

AD9* Tools for Enhancing Employee Participation in Training

Tuesday, 11:00 AM – 12:00 PM

***Advanced Discussion Groups will be filled on a first-come, first-served basis. Attendance is limited to the first 50 attendees. Pre-registration is not available for these sessions.**

Art Weiss, Chief Compliance and Ethics Officer, TAMKO Building Products, Inc

ADVANCED DISCUSSION GROUPS

AD10* From Bangkok to Bogota and Boston to Brussels, Global ABC and FCPA Benchmarks, Best Practices and Bootcamps – One Size Does Not Fit All

Tuesday, 11:00 AM – 12:00 PM

***Advanced Discussion Groups will be filled on a first-come, first-served basis. Attendance is limited to the first 50 attendees. Pre-registration is not available for these sessions.**

Jay Rosen, VP Legal & Corporate Language Solutions, Merrill Corporation

- How do companies choose to communicate their anti-bribery values to their global workforce?
- If your compliance program is starting at 0, how to resist the urge to go straight to 60 mph? How to ease yourself out onto the anti-bribery and anti-corruption road.
- What are specific FCPA/Global Compliance risks that keep you challenged?

12:00–1:00 PM

Networking Lunch

1:00–2:00 PM

Concurrent Breakout Sessions

RISK TRACK

601 M&A Transactions: Addressing Compliance and Ethics Risk in the Newly-Acquired Entity

Tuesday, 1:00–2:00 PM

Kasey T. Ingram, General Counsel, ISK Americas Incorporated

Daniel R. Harper, General Counsel, GEA Farm Technologies, Inc.

- Overview of the challenges, considerations and risks that arise after acquiring a new entity.
- Discuss strategies for effectively integrating ethics and compliance programs and related infrastructure in the newly-acquired entity.
- Share practical tips and solutions for effectively mitigating the risks that may arise during the integration process.

ETHICS TRACK

602 The Good Reasons Why People Do the Wrong Things

Tuesday, 1:00–2:00 PM

Jason B. Meyer, President, LeadGood, LLC

Amy E. McDougal, President, CLEAResources, LLC

Heather Reilly Powell, Principal, Compliance Clarity LLC

- It isn't always greed, or the "Rogues," that lead to misconduct. Sometimes, people are impelled to break the rules by their own values – for what they think are ethical reasons.
- Hear about the kind of motivations for misconduct that have been blind spots for typical compliance messaging. We'll share examples – including some from healthcare, education, government and defense – that could arise in any sector.
- Learn successful strategies to help employees follow their hearts and still follow the rules. You may just be saving the careers of your most dedicated teammates!

CASE STUDY TRACK

603 The Highs and Lows of Trying to Join Dots and How Values and Ethics Help us to Find an Organization's Soul

Tuesday, 1:00–2:00 PM

Jane L. Mitchell, Director, J&M Ltd.

Robert Smith, Director, Business Compliance & Ethics, Serco Group plc

- When Serco recently hit the news, for the wrong reasons, it was suddenly no longer the biggest company people had never heard of. The lessons learned before and during that time, and now, show a company courageous enough to tackle some difficult truths
- This case study session explores how one of the world's largest companies set about inspiring leaders, managers and staff to use values and ethics across the globe, and determine how a common purpose can be meaningful for everyone.
- Joining dots is critical to make sense of what it means to operate with an ethical culture. Sustainable success will come from understanding the dots and connecting them in meaningful ways for all stakeholders. We will explore the mysteries and the myths.

INTERNATIONAL/MULTI-NATIONAL TRACK

604 Effectively Complying with Ever Increasing Data Localization Requirements: Tips, Tools and Tactics for Transferring, Moving, Storing and Accessing Data around the Globe in an Increasingly Restrictive World

Tuesday, 1:00–2:00 PM

Web Hull, Privacy, Data Protection, & Compliance Advisor, Global Privacy and Compliance

- Russia, the EU, Vietnam and a growing list of other countries have data localization laws that prohibit or restrict the transfer of Personally Identifiable information to other countries. This session will survey these laws and offer practical solutions.
- Find out how to assure that your cloud computing and other third parties and vendors are in compliance, and how to remediate those that are not.
- Help your IT, HR, Sales, and other departments be compliant in using their computing networks and assets such as email servers, employee data bases, and Customer Relationship Management systems.

COMPLIANCE LAWYER

605 At What Cost? A DLA Piper Film on Corporate Governance and Compliance Issues

Tuesday, 1:00–2:00 PM

Angela J. Crawford, Compliance and Investigations Partner, DLA Piper LLP

Brett Ingerman, Partner, DLA Piper LLP

- A film shared in three segments with time for discussion and comments after each segment.
- Fictional drama depicting a corporation dealing with multiple compliance, legal and regulatory issues.
- View the trailer: <http://bit.ly/1QHzSoy>

IT COMPLIANCE

606 Payment Card Industry (PCI) Compliance: Our Journey and Lessons Learned

Tuesday, 1:00–2:00 PM

Kent W. Swagler, Director, Corporate Compliance and Ethics, BiState Development

- What is PCI and what does it take to achieve compliance?
- BiState plan to achieve compliance.
- The results and lessons learned.

GENERAL COMPLIANCE/HOT TOPICS TRACK

607 Critical E&C Insights From NAVEX Global's Benchmarking Reports

Tuesday, 1:00–2:00 PM

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

- Data-based strategies to combat organizational resistance to change so you can stay ahead of emerging and evolving risk.
- Identifying and addressing blind spots in the legal defensibility of key program elements.
- Best practices for addressing root-cause issues of program problems, including fragmented ownership and lack of dedicated budgets.

GENERAL COMPLIANCE/HOT TOPICS TRACK

608 Laugh and Learn: Using Creative Compliance Training Methods

Tuesday, 1:00–2:00 PM

Alan Arnold, Vice President, Deputy General Counsel, and Chief Compliance Officer, Delta Air Lines, Inc.

Scott Hilsen, Managing Director, KPMG

- Mark Twain said “Never let formal education get in the way of learning.” However, compliance training these days oftentimes is conducted through monotonous online courses or slide decks. That kind of formal compliance training can impede learning.
- Employees learn more and stay interested from training when it is entertaining. Injecting humor into learning initiatives helps wake people up and vastly increases topic retention.
- The session will discuss creative methods and leading practices to increase the effectiveness of compliance training through humor and other engaging approaches, including examples from Delta Airlines' innovative training program.

ADVANCED DISCUSSION GROUPS

AD11* Achieving Supervisor Engagement in Your Compliance Culture

Tuesday, 1:00–2:00 PM

***Advanced Discussion Groups will be filled on a first-come, first-served basis. Attendance is limited to the first 50 attendees. Pre-registration is not available for these sessions.**

Kirsten Liston, Managing Partner, Rethink Compliance

ADVANCED DISCUSSION GROUPS

AD12* Does Defensible Compliance Mean Understood Compliance?

Tuesday, 1:00–2:00 PM

***Advanced Discussion Groups will be filled on a first-come, first-served basis. Attendance is limited to the first 50 attendees. Pre-registration is not available for these sessions.**

Richard T. Bistrong, CEO, Front-Line Anti-Bribery LLC; Former FCPA Violator, FBI/UK Cooperator

- There is a robust debate about “what does the DOJ want” in terms of a compliance program that might be defensible to the regulators. Does such a regulatory centered focus shift the thinking away from what is needed in the field for compliance to be understood and embraced?
- Is there a danger that “defensible compliance” might lead to a one-size-fits-all approach where regional calibration and scale is needed?
- Participate in a discussion as to have “defensible compliance” and “understood” compliance as partners to a successful program, where attendees will be surveyed as to the current gaps and those will be prioritized by concern and discussed. Real-world take aways will conclude the group discussion.

2:00–2:30 PM

Networking Break

2:30–3:30 PM

Concurrent Breakout Sessions

RISK TRACK

701 Government Contracts: Controlling Risk in Working Relationships with Uncle Sam

Tuesday, 2:30–3:30 PM

Steve Epstein, Chief Counsel, Ethics and Compliance, The Boeing Company

Danica Irvine, Senior Attorney, Standards of Conduct Office, DoD Office of General Counsel

- Identify the ethical challenges arising from working with government personnel, including exchanging of gifts, protection of proprietary information, providing transportation to government visitors, social interactions in the workplace, and the revolving employment door between government and industry.
- Share real-life examples of situations, which, if not properly handled, can lead to contract terminations, IG investigations, suspensions and debarment.
- Learn best practices for anticipating and addressing risk while fostering positive and enduring relationships with government customers and government personnel with whom you work on a continuing basis.

ETHICS TRACK

702 Extra! Extra! Read All About It: Getting the Word Out About Your Ethics Reporting Program

Tuesday, 2:30–3:30 PM

Karen M. Aavik, Wealth Management Compliance Officer/FNFG Ethics Officer, First Niagara Financial Group

- Learn how to customize your ethics reporting program training to meet the unique needs of your firm's various stakeholders.
- Identify ways to use your organization's resources to heighten awareness of your ethics reporting program.
- Explore techniques for measuring the success of your efforts and using that data to implement effective program awareness enhancements.

CASE STUDY TRACK

703 Using the REM Model to Drive Learning in Compliance Trainings

Tuesday, 2:30–3:30 PM

Charlotte D. Young, Chief Ethics and Compliance Officer, The Nature Conservancy

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

Chanda Carpenter, Learning Manager, Technology Learning Center, The Nature Conservancy

- This session will discuss The Nature Conservancy's practical approach to adult learning through training (Relevant; Emotional; Memorable).
- Discussion will include effective learning techniques as applied to a multi-tiered training platform.
- The training life cycle will also be discussed, from planning content through design and delivery to assessing effectiveness.

INTERNATIONAL/MULTI-NATIONAL TRACK

704 Compliance Challenges in India: Why Your Compliance Program May Not Translate

Tuesday, 2:30–3:30 PM

Laurel Burke, Associate General Counsel - Compliance, Regal Beloit

David W. Simon, Partner, Foley & Lardner LLP

Sherbir Panag, Partner and Chair, Compliance & Investigations Practice, MZM Legal

- Some policies and procedures global companies deploy in the rest of the world likely will not be effective in India. We will focus on India-specific opportunities such as due diligence, training and G&E thresholds that impact effective E&C implementation.
- What unique challenges are posed by the legal and enforcement landscape in India? Consider enforcement trends that foreign companies need to note and the unique role criminal law plays in commercial disputes.
- How can challenges for US based in-house professionals and outside lawyers conducting internal investigations in India be mitigated? Reflect on cultural, legal and practical implications of conducting cross border work.

COMPLIANCE LAWYER

705 The Ethical, Professional and Personal Challenges of Being Both a Company's Lawyer and its C&E Professional

Tuesday, 2:30–3:30 PM

Rebecca Walker, (Moderator) Partner, Kaplan & Walker LLP

Anne Tkacs, Managing Director, Ethics and Compliance, Southern Company Gas

Odell Guyton, Vice President, Global Compliance, Jabil Circuit, Inc.

Carol Helliker, Senior Vice President, Deputy General Counsel and Chief Ethics and Compliance Officer, CenterPoint Energy, Inc.

- Many company lawyers also serve as the company's compliance officer or director. Hear practical guidance and strategies from experienced C&E lawyers who have navigated the dual roles successfully.
- Strategies to use when professional obligations collide and perception problems arise.
- Some practical tips on how to respond when your JD didn't prepare you for this!

IT COMPLIANCE

706 Information Security (InfoSec) for the Compliance Professional – You May Not Be Responsible for the Program but You Need to Know the Concepts and Understand the Language!

Tuesday, 2:30–3:30 PM

Jim A. Donaldson, Chief Compliance, Privacy and Information Security Officer, Baptist Health Care

- Security from the ground-up - Understanding the necessary elements of every InfoSec program regardless of organization size and complexity.
- You can't have privacy without an effective InfoSec program - how to hardwire your privacy and InfoSec efforts for ultimate data protection.
- It's all in the documentation - how to document your InfoSec program in a way that demonstrates compliance.

GENERAL COMPLIANCE/HOT TOPICS TRACK

707 Election Season 2016: 10 Compliance Tips to Avoid a Political Scandal

Tuesday, 2:30–3:30 PM

Darrin Lim, Partner, Political Law Compliance Counsel, Nielsen Merksamer LLP

- Elections, campaign activity and political contributions pose unique compliance challenges.
- Don't get caught off guard with federal and state elections this year.
- Learn 10 important tips to safeguard your organization and avoid a political scandal.

GENERAL COMPLIANCE/HOT TOPICS TRACK

708 Engaging the Evolving Workforce in Compliance

Tuesday, 2:30–3:30 PM

Shannon M. Masson, Senior Counsel Compliance Officer, ArcelorMittal USA

Jeff Brandeis, Growth Markets Sales Director, Wolters Kluwer ELM Solutions

Heather N. Yanak, Managing Director & Founder, Cameo Advisory Group

- Discuss changes in the nature and makeup of the workforce today and the challenges this presents for compliance.
- Exchange ideas on how companies can capitalize on mobility to effectively address compliance audiences.
- Talk about best practices for style, delivery, and approach around compliance content to best reach the evolving workforce.

3:30–3:45 PM

Networking Break

3:45–4:45 PM

Concurrent Breakout Sessions

RISK TRACK

801 Third Party Compliance Program: Reducing Risk While Optimizing Relationships

Tuesday, 3:45–4:45 PM

Michael McLaughlin, VP Legal, Chief Ethics & Compliance Officer, Dell

Kristi Kevern, Director, Operational Compliance, Dell

- How to align the program with your company's third party strategy (with focus on distribution and channel). How can you take smart risks to enable growth and gain buy in from senior leadership?
- How to develop a comprehensive, yet not "one size fits all", program. How can you leverage best practices from other parts of the business to streamline where possible?
- How can technology and data help to monitor risk and optimize both parties, throughout the relationship? Dell will provide details around their journey and direct feedback from their own channel and distribution partners, as well as business leaders.

ETHICS TRACK

802 The Impact of Ethical Leadership

Tuesday, 3:45–4:45 PM

Ann G. Skeet, Director of Leadership Ethics, Markkula Center for Applied Ethics

- The field of leadership ethics is evolving to explore various models of ethical leadership. Drawing on 25 years in leadership roles across sectors and selected ethics scholars' work, I will share a model demonstrating the impact of ethical leadership.
- Practical, applied examples will be provided for ways leaders can signal ethical conduct expectations consistent with their organization's mission and goals. Four distinct phases of the model will be explored.
- Roles in management, leadership and governance will be explored. A case is made for the need for people in formal leadership roles to have both strong character and values and be able to identify and execute specific actions to have maximum input.

CASE STUDY TRAC K

803 A View From the Other Side: Tales of a Compliance Liaison

Tuesday, 3:45 – 4:45 PM

Jeannette Woo, Manager, Regulatory Affairs Compliance Pacific Gas and Electric Company

Sahar Oswald, Manager, Customer Care Compliance, Pacific Gas and Electric

- A case study detailing the implementation of a compliance program within a business unit and their collaboration with the central compliance function.
- Integrating risk and compliance into your company's strategic planning process and get a seat at the table.
- Blending tone at the top with mood at the middle to deliver superior compliance accountability throughout a diverse business function.

INTERNATIONAL/MULTI-NATIONAL TRACK

804 Presenting Your Compliance Training Program to Asia Pacific Business Units - Tailoring training to the region and cultural considerations for maximum impact and engagement

Tuesday, 3:45 – 4:45 PM

Mary Shirley, Director of Training, Communications & Investigations, Fresenius Medical Care, Asia Pacific

- An overview of unique business practices that exist in Asia that are not encountered in the U.S and how these may impact on how your compliance training is received in the Asia Pacific region.
- How to deal with customary cultural practices such as the giving of red envelopes with cash at festive seasons and how to address this practice while respecting historical practices.
- Tailoring your approach and delivery to gain the most effective engagement with training attendees.

COMPLIANCE LAWYER

805 Organizational Sentencing Guidelines: Past, Present and Future

Tuesday, 3:45 – 4:45 PM

Eric Morehead, Principal Consultant, Morehead Compliance Consulting LLC

Kathleen Grilli, General Counsel, US Sentencing Commission

- Just what is the US Sentencing Commission? How does it work? And why should you care?
- A look at the evolution of the Organizational Sentencing Guidelines and their impact
- What are some possible changes we might see to the Sentencing Guidelines in the future?

IT COMPLIANCE

806 Privacy Breach Response: What's Your Compliance and Ethics IQ?

Tuesday, 3:45 – 4:45 PM

Rick Kam, President & Co-Founder, ID Experts

- Learn how to maximize breach response effectiveness and customer satisfaction and minimize litigation and regulatory risks.
- Hear best practices for mounting an effective security incident response strategy, including meeting compliance and exceeding customer expectations.
- Examine what your ethical obligations are to protect consumers and provide identity protection when a data breach hits.

GENERAL COMPLIANCE/HOT TOPICS TRACK

807 Ethics and Compliance Programs in the Age of Spins, Mergers and Acquisitions

Tuesday, 3:45 – 4:45 PM

Cristina M. Potter, Corporate Ethics Officer, Engility Corporation

Tom McDaniel, Director, Ethics & Compliance, Harris Corporation

- Due to shrinking government market space, many of the large U.S. Defense contractors have had to learn to adapt in order to survive.
- Presenters will share the effects and opportunities each of these "life events" has brought to them and their respective programs.
- Presenters will also describe how their ethics and compliance programs have adapted to their new "normal".

GENERAL COMPLIANCE/HOT TOPICS TRACK

808 Investigations: Strategy and Eliciting the Most Important Information

Tuesday, 3:45 – 4:45 PM

Michele A. Yaroma, Special Agent, FBI

- Discover how to develop a comprehensive strategy and prepare an outline that can provide a roadmap to achieve a more systematic and thorough investigation.
- Learn how to prepare for interviews by developing and posing appropriate questions in the proper sequence to gain the most complete information.
- Create an environment and employ time-tested techniques which will prompt interviewees to provide truthful and accurate information.

WEDNESDAY, SEPTEMBER 28

7:30 AM–12:00 PM

Registration Open

8:00–9:45 AM

Post-Conference Breakout Sessions

RISK TRACK

W1 The Wolf in Sheep's Clothing: Do You Know Where Your Next Risk Will Come From?

Wednesday, 8:00–9:45 AM

Louis G. Perold, Global Compliance Manager, Jabil Circuit, Inc

Krista Muszak, Regional Compliance – Americas, Bristol-Myers Squibb Company

- This unique workshop experience will examine and explore ethics and compliance risks across global organizations from various angles and perspectives to stay nimble in the ever changing world of risk management.
- Attendees will engage in interactive, real-world exercises to collaborate, discuss strategy, and share experience across industries related to effective risk identification and management.
- Session takeaways will include an overview of best practices for effective risk mitigation and how to stay proactive and vigilant to risk vulnerabilities.

ETHICS TRACK

W2 Challenges of Organizational Restructures: Keeping Ethics at the Forefront

Wednesday, 8:00–9:45 AM

Lisa Gross, Ethics Analysis Senior Manager, Lockheed Martin

Darren Hill, Ethics Senior Manager, Lockheed Martin

Denise G. Drennan, Ethics Officer, Lockheed Martin

- What can ethics and compliance do? Identify warning signs, pulse the organization, coordinate to shore up consistency in the process, communicate key messages, educate leaders and employees.
- What can leaders do? Solicit input, watch for attitude and morale shifts, remain transparent and build trust.
- What can employees do? Ask questions, listen to messages being delivered, refrain from gossip.

CASE STUDY TRACK

W3 Ethics & Compliance Program Review - A Look at Four Corporate Compliance Programs

Wednesday, 8:00–9:45 AM

Vanessa R. Wisnoski, Senior Integrity & Compliance Analyst, Marathon Oil Corporation

Yuhok S. Raymaker, Director, Ethics & EEO Compliance, Waste Management

Jacqueline L. Phillips, VP Ethics and Compliance, Spectra Energy Corporation

Amy T. Lilly, Director Ethics & Compliance, CenterPoint Energy, Inc.

- How each of the speaker companies have structured their ethics and compliance programs, including staffing and reporting structure.
- What areas of responsibilities are handled by the ethics and compliance programs for each of the speaker companies, including primary and secondary responsibilities.
- What data and metrics are used when reporting to executive management and/or at board meetings for each of the speaker companies.

INTERNATIONAL/MULTI-NATIONAL TRACK

W4 Foreign Agents, Partners & Intermediaries: You Can't Live with Them, but You Can't Live Without Them

Wednesday, 8:00–9:45 AM

James M. Lord, Shareholder, Inman Flynn Biesterfeld & Brentlinger, PC

Andy Hinton, Vice President and Chief Compliance Officer, Google Inc.

Harvey W. Woodford, Vice President, Chief Ethics & Compliance Officer, Avnet, Inc.

- Strategies for identifying and addressing corruption related risks posed by international third parties.
- How to determine the appropriate level of due diligence for your agents and partners in a cost-effective manner.
- Practical tips to relieve the tension between business managers and compliance officers arising from third party relationships while still managing risk.

COMPLIANCE LAWYER

W5 Top Labor and Employment Risk Areas

Wednesday, 8:00–9:45 AM

Earl M. (Chip) Jones, III, Shareholder, Littler Mendelson P.C.

Paul E. Bateman, Shareholder, Littler Mendelson P.C.

- From the impacts of the “shared” economy to pay practice compliance, learn the emerging risks in the labor and employment law field.
- Learn how to identify and mitigate these key risk areas.
- Learn how to handle a whistleblower complaining about high risk activities.

IT COMPLIANCE

W6 Detect Data Breaches by Insiders and Hackers Posing as Insiders, Even if Only Done Once

Wednesday, 8:00–9:45 AM

Alan Norquist, CEO & Founder, Veriphys, Inc.

John Vastano, CSO, Veriphys, Inc.

- Hackers who steal credentials with phishing or other attacks would seem impossible to detect. Join this session and learn techniques to address these challenges.
- A review of the current state of data theft by insiders and hackers posing as insiders.
- Walk away with tools and techniques you and your organization can utilize with software you already have to address these data breach challenges.

GENERAL COMPLIANCE/HOT TOPICS TRACK

W7 Crisis Management for Ethics and Compliance Professionals

Wednesday, 8:00–9:45 AM

Eunice Jordan, Legal & Compliance Consultant, DTCC

- The key to managing any crisis is your ability to be situationally aware and the ability to detect those situations that have the potential to create collateral damage. This session will help you identify those situations requiring early crisis management.
- Provide you with some tactics to help you manage the conversation in the face of a crisis, to quell internal chatter and dispel any external speculation and suspicion.
- Interactive segment where real life circumstances and the situational paths that can ensue are examined providing a brainstorming opportunity to manage and prevent similar crisis's, leveraging the expertise of participants.

GENERAL COMPLIANCE/HOT TOPICS TRACK

W8 Are You Experienced? Applying Experiential Education to Ethics

Wednesday, 8:00–9:45 AM

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

Jason Lunday, Consultant, IntegrityFactor

- Objectives, strategies and types of experiential education in principle and application.
- How adults learn and why ethics lends itself to experiential education.
- A participatory workshop for developing and delivering experiential education.

9:45–10:00 AM

Networking Break

10:00–11:45 AM

Post-Conference Breakout Sessions

RISK TRACK

W9 How Boards Really Approach Risk Management

Wednesday, 10:00–11:45 AM

Matt Kelly, Editor & CEO, Radical Compliance

- See how Fortune 1000 do (or do not) structure risk management duties in their charters.
- Discuss how to develop a framework for risk management your boards can implement.
- Exchange thoughts and best practices on how compliance executives can help their boards build ERM methodically.

ETHICS TRACK

W10 Navigating the Rough Waters of Ethics and Compliance Risks

Wednesday, 10:00–11:45 AM

Helen Goodwin, Compliance & Ethics Professional

Jana Utter, Vice President Enterprise Risk Management, Centene Corporation

- Chart the Course: Map your ethics and compliance risk coordinates jointly with your ERM team.
- Stay the Course: Use your risk map as a lighthouse to actively manage your ethics and compliance risks.
- Maintain the Course: Keep a scorecard to check the accuracy of your ethics and compliance risk findings and make mid-course corrections.

CASE STUDY TRACK

W11 iCare: Tyco's Compliance Liaison Program - How a Pilot Program Became a Cornerstone of the Compliance Department

Wednesday, 10:00–11:45 AM

Katherine Snell, Ombudsman/Senior Manager, Compliance & Ethics, Tyco

Valerie Raye, NPD Manager – LSP, Tyco Global Supply Chain

- We will share the details of a cultural crisis that gave birth to the iCare program.
- We will discuss the unanticipated positive results of implementation of the pilot that included an award.
- We will talk about where we are taking the program now and share lessons learned.

INTERNATIONAL/MULTI-NATIONAL TRACK

W12 If you think you are too far from money laundering and terrorism, this session is for you!

Wednesday, 10:00–11:45 AM

Mónica Ramírez Chimal, Managing Director/ Partner, Asserto RSC

- Money laundering and terrorism are growing faster and becoming more sophisticated. It is not a sole responsibility for the governments or financial sector; the causes that generated them are many and different. Therefore it is essential to know what they are.
- There are key and essential factors to prevent and combat both. It is not necessary to implement more than many companies used as internal controls; it is only time needed in order to re align controls you already have by another scope. KYC is the basic.
- “Willful blindness” is a term used in money laundering that many companies and persons do. Everybody has the exposure to those risks; but not accepting or denying makes it easier for the criminals.

COMPLIANCE LAWYER

W13 Around the World in 60 Minutes: Recent Developments in U.S. Trade Controls

Wednesday, 10:00–11:45 AM

Peter Lichtenbaum, Partner, Covington & Burling LLP

John C. Pisa-Relli, Managing Director, Global Trade Compliance, Accenture

- Key sanctions developments – opportunities (and risks) created by the Iran nuclear agreement; does easing the Cuba embargo matter to business; and challenges from the Russia “smart sanctions”.
- Export control reform at the end of the Obama administration – how should the exporting community assess the impact of reform; the cloud, cyber issues and other high tech challenges; and what lies ahead in the next Administration?
- Compliance best practices based on recent enforcement cases; how to investigate trade control issues; how to disclose violations; and how to fix problems.

GENERAL COMPLIANCE/HOT TOPICS TRACK

W14 In Pursuit of Clean Earnings: Dodging an SEC Investigation or Litigation

Wednesday, 10:00–11:45 AM

Susan Markel, Managing Director, AlixPartners; Former Chief Accountant – Division of Enforcement, US Securities and Exchange Commission

- What are clean earnings?
- SEC Enforcement Landscape and Hot Topics.
- The case for a strong corporate governance, compliance and controls system as a Cost Prevention Center able to deliver a positive ROI.

GENERAL COMPLIANCE/HOT TOPICS TRACK

W15 Gaming the Seven Elements

Wednesday, 10:00–11:45 AM

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

- Network with compliance and ethics colleagues while reviewing the seven elements of an effective compliance program.
- Explore subliminal messaging techniques to communicate compliance and ethics expectations.
- Strengthen the effectiveness of your compliance and ethics communication and training program through the use of games that create opportunities for employees to interact and connect with each other.

GENERAL COMPLIANCE/HOT TOPICS TRACK

W16 Using Employee Engagement Data to Spot and Address Risk Areas

Wednesday, 10:00–11:45 AM

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

Jim Harter, Chief Scientist of International Workplace Management and Well-Being, Gallup Inc.

- Actively Disengaged employees consistently create risk within organizations. Learn to spot areas of active disengagement and how to address them before they become whistleblower issues.
- Research data from within your organization can be used to address culture problems which lead to risk pockets. Learn how to look for stories in the data and address cultures that aren't living up to your organization's chosen ethics.
- Great managers prevent problems. Learn to use data in your organization to spot great managers and support them and to find managers who need a hand in creating a workplace that fosters reduced risk.

1:00 PM

Check-In for CCEP™ and CCEP-I® Certification Exams

1:30–4:30 PM

Certified Compliance & Ethics Professional (CCEP)® Exam*

(Pre-registration required; offered in English only; Actual exam duration is 120 minutes per the candidate handbook).

1:30–5:30 PM

Certified Compliance & Ethics Professional – International (CCEP-I)® Exam* (Pre-registration required; offered in English only;

Actual exam duration is 150 minutes per the candidate handbook)

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.

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. 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 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 (888) 580-8373 or (952) 988-0141.

EXHIBITORS AT THE 2016 COMPLIANCE & ETHICS INSTITUTE®

Meet with representatives from companies with solutions for you

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Aegis Compliance & Ethics Center LLP
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Helios Digital Learning, Inc.
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International Screening Solutions, Inc.
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TRACE International
Twist and Shout Media LTD
V-Comply
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BE PART OF SCCE'S SILENT AUCTION TO BENEFIT AMERICA'S FUND



The Silent Auction will be held at the Sheraton Chicago September 25-27, 2016 during SCCE's 2016 Compliance & Ethics Institute.

Our 2015 auction raised more than \$10,000 for America's Fund, a charity dedicated to providing resources and financial support to critically injured members of the US Armed Forces and their families. Help us raise even more in 2016!

You can help by donating an item to auction.

Here are some ideas: handmade jewelry, handmade art, handmade quilts, gift baskets, electronics (GoPro, iPad, bluetooth speakers), gift cards to restaurants & popular stores, or tickets to sporting events.

If you have questions or would like to speak with someone about the auction, please contact Kortney Nordrum at 952-405-7928 or Kortney.nordrum@corporatecompliance.org.

Learn more at **complianceethicsinstitute.org/silentauction**

Donations can be mailed to the SCCE Office at: 6500 Barrie Road, Suite, 250, Minneapolis, Minnesota 55435.

SCCE would like to thank our Conference Sponsors


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GOLD



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

12th Annual International
**Compliance & Ethics
Awards Dinner**

Monday, September 26, 2016, 7:00–9:00 pm
Sheraton Ballroom 4-7, Level 4 , Sheraton Grand Chicago

2016 award recipients:

Kimberly Brandt, Chief Oversight Counsel,
U.S. Senate Finance Committee, Majority Staff

Thomas R. Fox, Principal, Advanced Compliance,
TomFoxlaw.com

Competition Bureau Canada

Dun & Bradstreet

Special Recognition: The U.S. Sentencing
Commission on the 25th Anniversary of the
Organizational Guidelines

Learn more at
[complianceethicsinstitute.org/
InternationalAwards.aspx](http://complianceethicsinstitute.org/InternationalAwards.aspx)

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.

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
- ☐ AIC
- ☐ APA
- ☐ BA
- ☐ BBA
- ☐ BS
- ☐ BSN
- ☐ CAMS
- ☐ CCEP
- ☐ CCEP-I
- ☐ CCS
- ☐ CCS-P
- ☐ CEM
- ☐ CFE
- ☐ CGMS
- ☐ CHC
- ☐ CHE
- ☐ CHP
- ☐ CHPC
- ☐ CHRC
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- ☐ CIP
- ☐ CIPP
- ☐ CPA
- ☐ CPC
- ☐ CPHQ
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- ☐ DDS
- ☐ ESQ
- ☐ FCA
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- ☐ LLM
- ☐ MA
- ☐ MBA
- ☐ MHA
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- ☐ MPH
- ☐ MS
- ☐ MSHA
- ☐ MSN
- ☐ MT
- ☐ NHA
- ☐ PCI
- ☐ PhD
- ☐ PMP
- ☐ RHIA
- ☐ RHIT
- ☐ RN
- ☐ SADR
- ☐ SCLA

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
- ☐ Biotechnical and Pharmaceutical
- ☐ Chemical/Polymers/Fibers
- ☐ Computer Hardware
- ☐ Computer Services
- ☐ Computer Software
- ☐ Construction
- ☐ Consulting Services
- ☐ Consumer Products
- ☐ Customer Service/Call Center
- ☐ Education/Training/Library
- ☐ Electronics
- ☐ Energy
- ☐ Engineering
- ☐ Environmental Services
- ☐ Finance/Economics
- ☐ Financial Services
- ☐ Forest Products
- ☐ Government/Policy
- ☐ Healthcare
- ☐ Higher Education
- ☐ Hospitality/Tourism
- ☐ Human Resources/Recruiting
- ☐ Information Technology
- ☐ Installation/Maintenance/Repair
- ☐ Insurance
- ☐ Internet/E-Commerce
- ☐ Law Enforcement/Security Services
- ☐ Legal
- ☐ Manufacturing and Production
- ☐ Military
- ☐ Mining
- ☐ Operations Management
- ☐ Personal Care and Service
- ☐ Publishing/Printing
- ☐ Purchasing
- ☐ Real Estate/Mortgage
- ☐ Research & Development
- ☐ Restaurant and Food Service
- ☐ Retail/Wholesale
- ☐ Science
- ☐ Sports and Recreation/Fitness
- ☐ 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)

2. PLEASE TYPE OR PRINT YOUR CONTACT INFORMATION

☐ Mr. ☐ Mrs. ☐ Ms. ☐ Dr.

Member ID

First Name

MI

Last Name

Credentials

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Name of Employer

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Fax

Email (Required for confirmation and conference information)

3. SELECT YOUR SESSIONS

Please select ONE session per time slot. **Advanced Discussion Groups are not listed below because they will be filled on a first-come, first-served basis. Attendance is limited to the first 50 attendees.**

SATURDAY, SEPTEMBER 24
☐ Register me for the Volunteer Project*

SUNDAY, SEPT 25
PRE-CONFERENCE

- 9 AM – 12 PM

OP1

OP2

OP3

OP4

OP5

OP6

OP7

OP8

OP9

1:30 – 4:30 PM

OP10

OP11

OP12

OP13

OP14

OP15

OP16a†

OP16b†

OP17

OP18
- +

\$175

+

\$175

MONDAY, SEPT 26

- ☐ Group Fitness*
6:30 – 7:30 AM

Breakouts

11 AM – 12 PM

OP101

OP102

OP103

OP104

OP105

OP106

OP107

OP108

Breakouts

3 – 4 PM

OP301

OP302

OP303

OP304

OP305

OP306

OP307

OP308
- Breakouts

1:30 – 2:30 PM

OP201

OP202

OP203

OP204

OP205

OP206

OP207

OP208

Breakouts

4:30 – 5:30 PM

OP401

OP402

OP403

OP404

OP405

OP406

OP407

OP408

☐ International Compliance & Ethics Awards Dinner*
7:00–9:00 PM (FREE)

TUESDAY, SEPT 27

- ☐ Group Fitness*
6:30 – 7:30 AM

Breakouts

11 AM – 12 PM

OP501

OP502

OP503

OP504

OP505

OP506

OP507

OP508

Breakouts

2:30 – 3:30 PM

OP701

OP702

OP703

OP704

OP705

OP706

OP707

OP708
- Breakouts

1:30 – 2:30 PM

OP601

OP602

OP603

OP604

OP605

OP606

OP607

OP608

Breakouts

3:45 – 4:45 PM

OP801

OP802

OP803

OP804

OP805

OP806

OP807

OP808

WEDNESDAY, SEPT 28
POST-CONFERENCE

- +

\$175

Breakouts

8 – 9:45 AM

OW1

OW2

OW3

OW4

OW5

OW6

OW7

OW8

Breakouts

10 – 11:45 AM

OW9

OW10

OW11

OW12

OW13

OW14

OW15

OW16

4. CHOOSE YOUR REGISTRATION OPTIONS

(Registration fees are as listed and considered net of any local withholding taxes applicable in your country of residence.)

PRICES LISTED REFLECT SAVINGS

on/before 9/2/16

after 9/2/16

☐ SCCE Members.....

\$1,149

\$1,199

☐ Non-Members.....

\$1,299

\$1,349

☐ New Membership & Registration*.....

\$1,349

\$1,399

☐ Pre-Conference Registration Morning.....

\$175

\$175

☐ Pre-Conference Registration Afternoon.....

\$175

\$175

☐ Post-Conference Registration.....

\$175

\$175

☐ Discount: 5 or more from same company.....

(\$100)

(\$100)

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

SESSION AUDIO RECORDINGS

PURCHASE on/before 9/28/16

after 9/28/16

☐ REGISTERED ATTENDEES: Online learning (All recorded sessions)

\$399

\$499

☐ REGISTERED ATTENDEES: DVDs (All recorded sessions)

\$499

\$599

☐ NON-ATTENDEES: Online learning (All recorded sessions)

\$699

\$799

☐ NON-ATTENDEES: DVDs (All recorded sessions)

\$799

\$899

☐ Multi-user licensing fee*

\$199

\$199

*Need to purchase 1 multi-user licensing fee for every 1000 users.

Individual sessions will be available for purchase.

TOTAL \$

SPECIAL REQUEST FOR DIETARY ACCOMMODATION

☐ Gluten Free

☐ Kosher

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5. CHOOSE YOUR PAYMENT METHOD

☐ Invoice me

☐ Check enclosed (payable to SCCE)

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CREDIT CARD: ☐ American Express ☐ MasterCard ☐ Visa ☐ Discover

Credit Card Account Number

Credit Card Expiration Date

Cardholder's Name

Cardholder's Signature

*PRE-REGISTRATION REQUIRED
† Additional separate registration required.
Visit complianceethicsinstitute.org/speedmentors

WAYS TO REGISTER

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

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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
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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.

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. Refunds will not be issued. Conference credits are issued in the full amount
of the registration fees paid, and will expire 12 months from the date of the original cancelled
event. Conference credits may be used towards any SCCE service or product. If a credit is applied
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cancel your participation, notification is required by email at helpteam@corporatecompliance.org,
prior to the start date of the event. Please note that if you are sending a substitute, an additional
fee may apply.

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,
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Make a hotel reservation online at <http://bit.ly/2016-cei> or call
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**Sheraton Grand Chicago is the official conference hotel for the
2016 Compliance & Ethics Institute.**

NOTICE: Neither SCCE nor any hotel it is affiliated with will ever
contact you to make a hotel reservation. If you receive a call
soliciting reservations on behalf of SCCE or the event, it is likely
from a room poacher and may be fraudulent. We recommend you
make reservations directly with the hotel using the phone number
or web link in this brochure. If you have concerns or questions,
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at taci.tolzman@corporatecompliance.org

The group rate is \$279 per night; rates quoted are for single/double occupancy
plus tax (currently at 16.4% per room per night and subject to change). When
making your reservation via telephone, please reference the group SCCE
Compliance & Ethics Institute 2016 to receive the special rate. These rates are
good until Friday, September 2nd, 2016 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.

**We do recommend that you book your hotel room early
with the Sheraton Grand Chicago directly either using the
conference hotel booking site or by calling +1 312 464 1000**

Hotel Guarantee Policy: All reservations require a first night's room/suite
rate deposit, plus resort fee and tax at time that reservation is made. If you need
to cancel your reservation you must do so 48 hours in advance of your confirmed
arrival date to receive a refund of this deposit.

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

Extra Person Charge: Rates are based on single or double occupancy. If
there are more than 2 people in the room, there will be a \$35.00 USD additional
charge per person (regardless of age) per night. Maximum of four people per room.

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 unauthorized audio or video recording of SCCE conferences
is allowed.

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.

SOCIETY OF CORPORATE COMPLIANCE AND ETHICS

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*Savings reflect inclusion of Pre-conference and Post-conference sessions
free (a value of \$525) plus a \$50 early registration discount.



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