

The Society of Corporate Compliance & Ethics 16th Annual

# Compliance & Ethics Institute

October 15-18, 2017 • Caesars Palace • Las Vegas, NV

**4 DAYS**  
OF PROFESSIONAL  
DEVELOPMENT  
& NETWORKING



## Join us in Las Vegas!

- Follow a track: ♦ Risk ♦ Ethics ♦ Compliance Lawyer  
♦ Case Studies ♦ General Compliance/Hot Topics  
♦ Multinational/International ♦ Investigations Workshop  
♦ IT compliance ♦ Advanced Discussion Groups

**150+**  
SPEAKERS

**8** LEARNING  
TRACKS

**100+**  
SESSIONS

Learn more and register at [complianceethicsinstitute.org](http://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 2017 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, October 15. 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, October 18. The interactive sessions are designed to cover some of the most important and timely topics.

## Learning Objectives

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

## Who Should Attend

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

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

## SCCE would like to thank the 2017 Compliance & Ethics Institute Planning Committee



**John DeLong**, CCEP,  
IT Compliance Track Program Chair;  
Berkman Klein Center for Internet  
& Society at Harvard University



**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 Kelen Greves**, CCEP,  
General Compliance/Hot Topics Track  
Program Co-Chair; Lead 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



**Roy Snell**, CHC, CCEP,  
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;  
Principal, Compliance Integrity  
Solutions



**Adam Turteltaub**, CHC, CCEP,  
Vice President, Strategic Initiatives  
and International Programs, 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



# 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.

## 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 in-house and outside counsel

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

## MULTI-NATIONAL/ INTERNATIONAL

### Global compliance and ethics programmes face added 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.

## IT COMPLIANCE

### The intersection of Information Technology and Compliance & Ethics

Our lives and our organizations are filled with Information Technology and it is bringing both huge benefit and also a huge liability. Compliance and Ethics officers have to constantly learn to keep up with the ever accelerating range of products, services, and expectations around privacy, security, data protection, cybersecurity, and even the growing number of tasks that are now performed by machine. The IT Track sessions will empower the compliance community to help their organizations responsibly and effectively address the intersection of Information Technology and Compliance & Ethics, helping to bridge and benefit both of these professions.

## 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.

## 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.

# 8 LEARNING TRACKS

\* 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.



**NEW  
FOR 2017**

# COMPLIANCE PROFESSIONAL SKILLS DEVELOPMENT

## PRE-CONFERENCE WORKSHOP OCTOBER 15, 2017

Join us on Sunday, October 15th at the CEI in Las Vegas to sharpen your professional skills. This full day pre-conference workshop will cover everything from communication and listening skills, to influence and collaboration.

Also polish up your negotiation skills and learn new ways to network and manage your business contacts.

Don't miss this great opportunity to gain professional skills development!

### **Influencing Others**

*Sunday, 9:00–9:45 AM*

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

### **Listening Skills**

*9:45–10:30 AM*

**Walter E. Johnson**, CCEP,  
CHC, CHPC, CCEP-I,  
Director of Compliance & Ethics,  
Kforce Government Solutions

*10:30–10:45 Break*

### **Collaboration**

*10:45–11:25 AM*

**Kristy Grant Hart**, CCEP-I,  
Owner, Spark Compliance Consulting

**Angelika Flamm**,  
Deputy Group Compliance Director,  
Royal Mail Group

### **Contacts and Networking**

*11:25 AM–12:00 PM*

**Samantha Kelen Greves**,  
Lead Ethics Analyst,  
Duke Energy Corporation

### **Communication**

*1:30–2:30 PM*

**Kyle Zamcheck**,  
Speech Coach,  
The Speech Improvement Company

### **Negotiation**

*2:30–3:30 PM*

**Dan Roach**,  
General Counsel and  
Chief Compliance Officer,  
Optum 360

*3:30–3:45 Break*

### **Q&A Panel**

*3:45–4:30 PM*

**Dan Roach**, General Counsel  
and Chief Compliance Officer,  
Optum 360

**Walter E. Johnson**, CCEP,  
CHC, CHPC, CCEP-I,  
Director of Compliance & Ethics,  
Kforce Government Solutions

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

**Samantha Kelen Greves**,  
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# Program at a Glance

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## SATURDAY, OCTOBER 14

10:30 AM–3:30 PM	<b>Volunteer Project</b> (Pre-registration required)
3:00–7:00 PM	<b>Registration Open</b>

## SUNDAY, OCTOBER 15

7:30 AM–6:00 PM	<b>Registration Open</b>
7:30 –8:30 AM	<b>SpeedNetworking</b> (Requires a separate registration form. Please see website for details and to sign up.)
9:00 AM–4:30 PM	<b>PW Compliance Professional Skills Development Pre-Conference Workshop</b> – See page 4 for more information.
<b>9:00 AM–12:00 PM</b> <b>BREAKOUT SESSIONS</b> <small>INCLUDES 15-MINUTE BREAK</small>	<b>P1 Ethics &amp; Compliance Risk Management 101: Program Essentials and Effective Practice</b> – Greg A. Triguba, Principal, Compliance Integrity Solutions; Caroline McMichen, Chief Ethics & Compliance Officer, Molson Coors Brewing Company
	<b>P2 Marked as Read: The Story of the Ineffective Code of Conduct</b> – Ed Petry, Vice President, Advisory Services, NAVEX Global; Elizabeth Lewis, Content Director, NAVEX Global
	<b>P3 The Good Reasons Why People Do the Wrong Things</b> – Jason B. Meyer, President, LeadGood, LLC; Amy E. McDougal, President, CLEAResources, LLC
	<b>P4 Foreign Agents, Partners &amp; Intermediaries: You Can't Live with Them, but You Can't Live Without Them</b> – James M. Lord, Shareholder, Inman Flynn; Harvey W. Woodford, VP, Chief Ethics & Compliance Officer, Avnet, Inc.; Andy Hinton, VP, Global Ethics & Compliance, Google; Xavier Oustalnier, Partner, StoneTurn Group
	<b>P5 Global Investigations in an International World: Managing investigations in the face of a proliferation of new anti-bribery laws and cooperation among governments</b> – Ann Sultan, Attorney, Miller & Chevalier; Todd Braunstein, Head of Legal Investigations, Willis Towers Watson
	<b>P6 Navigating IT Compliance: How can Business and Legal Teams Collaborate to Achieve Joint Objectives?</b> – Gene Stavrou, Associate Director Business Integrity, Mondelez International; Theodore L. Banks, Partner-President, Scharf Banks Marmor LLC - Compliance & Competition Consultants, LLC; Heidi Rudolph, Managing Director, Morae Global
	<b>P7 Communicate Ethics with Movie Clips, Viral Videos and News Feeds</b> – Bryan Belknap, Creative Director, Resonate Pictures
	<b>P8 Return on Investment (ROI): Documenting and Supporting the Value-Added for a Compliance Program</b> – David S. Lane, Deputy Compliance Officer, Univ of CA - Office of President; Sheryl Vacca, Chief Risk Officer, Providence St. Joseph Health
	<b>P9 Investigations Workshop</b> <b>Part I (9:00–10:00 AM): Beginning the Investigation and Interviewing the Reporter</b> – Albert G. Gagne, Former Director, Ethics & Compliance, Textron Systems Corporation (retired); Latour (LT) Lafferty, Partner, Holland & Knight LLP <b>Part II (10:00–11:00 AM): Planning the Investigation</b> – Meric C. Bloch, Corporate Director, Investigations, Shriners Hospitals for Children <b>Part III (11:15 AM–12:00 PM): Revealing and Evaluating Documents</b> – Latour (LT) Lafferty, Partner, Holland & Knight LLP
	<b>12:00–1:30 PM</b> <b>Lunch</b> (on your own)
12:00–1:30 PM	<b>SpeedMentoring</b> (Lunch provided for pre-registered attendees. Requires a separate registration form. Please see website for details and to sign up.)
<b>1:30 PM–4:30 PM</b> <b>BREAKOUT SESSIONS</b> <small>INCLUDES 15-MINUTE BREAK</small>	<b>P10 Social Media: Risks and Redemption</b> – Kortney Q. Nordrum, Investigations & Risk Consultant, Deluxe Corporation
	<b>P11 Ethical Train Wrecks and Other Avoidable Disasters: Practical Steps to Heading off Misconduct Before It Happens</b> – Chris Osborn, ReelTime CLE
	<b>P12 Blow It All Up? How to Really Tackle a Ruinous Corporate Culture: Lessons from Wells Fargo and Beyond</b> – Eric O. Morehead, Principal Consultant, Morehead Compliance Consulting; Steve C. Morang, Senior Manager - Leader Fraud, Frank, Rimmerman + Co. LLP
	<b>P13 Responding to a globalized law enforcement in transnational bribery: A U.S., German and Indian perspective</b> – David W. Simon, Partner, Foley & Lardner; Sherbir Panag, Partner, Law Offices of Panag & Babu; David Rieks, Attorney, Roxin LLP
	<b>P14 New Mandate, New Mindset: Making a Successful Transition Into a Compliance &amp; Ethics Career (What Lawyers, In-House Counsel &amp; Others in Transition Need To Know)</b> – Donna C. Boehme, Principal, Compliance Strategists LLC; Judith L. Nocito, Senior Advisor, Compliance Strategists; Patrick J. Gnazzo, Principal, Better Business Practices
	<b>P15 IT for Non-IT Compliance Professionals</b> – Frank Ruelas, Facility Compliance Professional, St. Joseph's Hospital and Medical Center/Dignity Health
	<b>P16 Compliance 101</b> – Debbie Troklus, Managing Director, Aegis Compliance and Ethics Center; Sheryl Vacca, Chief Risk Officer, Providence St. Joseph Health
	<b>P17 Training Strategy - The New Environment: More, Less, Opportunities and Tactics</b> – Christian E. Whicker, Director, Corporate Compliance, Duke Energy; Jason B. Meyer, President, LeadGood, LLC; Ronnie Feldman, President, L&E Creative Communications
	<b>P18 Investigations Workshop</b> (continued from P9) <b>Part IV (1:30–2:30 PM): Taking Effective Interviews</b> – Meric C. Bloch, Corporate Director, Investigations, Shriners Hospitals for Children <b>Part V (2:45–3:45 PM): Preparing the Investigation Report</b> – Albert G. Gagne, Former Director, Ethics & Compliance, Textron Systems Corporation (retired) <b>Part VI (3:45–4:30 PM): Q&amp;A Panel</b> – Meric C. Bloch, Corporate Director, Investigations, Shriners Hospitals for Children; Albert G. Gagne, Former Director, Ethics & Compliance, Textron Systems Corporation (retired); Latour (LT) Lafferty, Partner, Holland & Knight LLP
	<b>4:30–6:00 PM</b> <b>Opening Tailgate Reception in Exhibit Hall</b> (Don't forget to wear your team jersey!)

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, OCTOBER 16

6:30–7:30 AM	<b>Group Fitness</b> <i>(Pre-registration required)</i>
7:00 AM–6:00 PM	<b>Registration Open</b>
7:00–8:15 AM	<b>Continental Breakfast in Exhibit Hall</b> <i>Sponsored by Broad and Cassel LLP</i>
8:15–8:30 AM	<b>Opening Remarks</b>
8:30–9:30 AM	<b>Keynote Address: The Life of an Ethics and Compliance Professional</b> – <i>Marjorie W. Doyle, Marjorie Doyle &amp; Associates, LLC</i>
9:30–10:30 AM	<b>Keynote Address: Why They Do It: Inside the Mind of the White-Collar Criminal</b> – <i>Eugene Soltes, Jakurski Family Associate Professor of Business Administration at Harvard Business School and Author of Why They Do It: Inside the Mind of the White-Collar Criminal</i>
10:30–11:00 AM	<b>Networking Break in Exhibit Hall</b>
<b>11:00 AM–12:00 PM</b> <b>BREAKOUT SESSIONS</b>	<b>101 Global Antitrust Compliance - Assessing Antitrust Risks and Creating an Effective Antitrust Compliance Program</b> – <i>Tim Bridgeford, Global Head - Antitrust Compliance, JP Morgan; Douglas Tween, Partner, Linklaters LLP</i>
	<b>102 Five Months to a Fantastic Code of Conduct</b> – <i>Michael R. Levin, Senior Director of Compliance: Ethics &amp; Business Practices, Freddie Mac</i>
	<b>103 Snitches Get Stitches and Wind Up in Ditches: A Tale of Two Whistleblowers</b> – <i>Paul E. Fiorelli, Professor of Legal Studies and Co-Director, Cintas Institute for Business Ethics, Xavier University</i>
	<b>104 Trade Controls: Key Compliance Challenges</b> – <i>Peter L. Flanagan, Partner, Covington &amp; Burling LLP; John Pisa-Relli, Managing Director, Trade Compliance, Accenture</i>
	<b>105 E-Verify and Form I-9 Compliance Under a Reasonable Yet Enforcing Government</b> – <i>Melissa A. Hadel, HRIS Analyst, Allegis Group</i>
	<b>106 How IT Departments Can Be Powerful Allies in Promoting Compliance</b> – <i>Frank Ruelas, Facility Compliance Professional, St. Joseph's Hospital and Medical Center/ Dignity Health</i>
	<b>107 ABC, AML and Export Control-The broadening and convergence of compliance requirements</b> – <i>Thomas R. Fox, Compliance Evangelist, Advanced Compliance Solutions; Vanessa Rossi, FCPA Compliance Counsel, Baker Hughes, a GE Company</i>
	<b>108 Leveraging innovation and technology to enhance your compliance program and manage third party risk</b> – <i>Pia Vining, Senior Director, Due Diligence, TRACE International; Gregory Bates, Counsel, Miller and Chevalier</i>
	<b>109 If the Wall Street Journal Calls, Will You Be Ready?</b> – <i>Grace E. Keith, Managing Director, Caliber Corporate Advisers; Ben DiPietro, Editor-Reporter, Wall Street Journal; Kitty Holt, Ethics &amp; Compliance Officer, Plan International USA</i>
	<b>AD1* Big Picture E&amp;C Program Challenges: A Day in the Life of the Successful Compliance Officer</b> – <i>Greg A. Triguba, Principal, Compliance Integrity Solutions</i>
<b>1:30 PM–2:30 PM</b> <b>BREAKOUT SESSIONS</b>	<b>AD2* Retaliation: Real or Imagined, How Are You Addressing It in Your Organization?</b> – <i>Albert G. Gagne, Former Director, Ethics &amp; Compliance, Textron Systems Corporation (retired)</i>
	<b>AD3* Internal Investigations in the Yates Memorandum</b> – <i>Kurt Stitche, Interim Chief Compliance Officer, Tenneco Inc.</i>
	<b>12:00–1:00 PM</b> <b>Networking Lunch</b>
	<b>1:00–1:30 PM</b> <b>Dessert and Networking Break in Exhibit Hall</b>
	<b>201 Privacy from Zero to Sixty - Developing a Global Privacy Program</b> – <i>Charlotte D. Young, Chief Ethics and Compliance Officer, The Nature Conservancy; Michelle Beistle, Counsel and Chief Compliance Officer, Unisys Corporation; Marian Waldmann Agarwal, Of Counsel, Morrison &amp; Foerster LLP</i>
	<b>202 Transformational Narratives: Where Ethics and Corporate Compliance Meet</b> – <i>Douglas Kelly, Lead Legal Editor, EverFi; Carmen Poole, Lead Instructional Writer, Everfi</i>
	<b>203 Case Study: The Story of AppNexus: How C-Level Commitment Creates an Ethical Culture</b> – <i>Janine Yancey, President &amp; CEO, Emtrain</i>
	<b>204 Due process: Build confidence in your compliance investigation process and convey a positive tone at the top</b> – <i>Cedric Bourgeois, Principal Investigator, UNESCO</i>
	<b>205 Background Screening Compliance Essentials</b> – <i>Angela Preston, Senior VP and Counsel, Corporate Ethics and Compliance, Sterling Talent Solutions</i>
	<b>206 The Compliance Officer and the Digital Era</b> – <i>Samantha Simms, Global Data Protection and Privacy Officer, Carlson Wagonlit Travel; Johan E. Thorell, Director EMEA Compliance, Carlson Wagonlit Travel</i>
<b>2:30–3:00 PM</b>	<b>207 From Oversight to Impact: 3 Critical Ways Your Board Can Make a Difference in Compliance</b> – <i>Erica Salmon Byrne, EVP, Ethisphere Institute</i>
	<b>208 Compliance is Ruff: A Dog's Approach</b> – <i>Kimberly A. Lansford, Chief Compliance Officer, Penn State Health; Carol Lansford, Executive Director, Valor Service Dogs; Gabe II, Service Dog, Warrior Canine Connection</i>
	<b>209 Identifying and Controlling Compliance Risk When Providing Services to the U.S. Government</b> – <i>Steve Epstein, Chief Counsel Ethics &amp; Compliance, Boeing Company; Danica Irvine, Senior Attorney, Department of Defense Office of General Counsel</i>
	<b>AD4* The ABCs of Conflicts of Interest: Awareness, Bias and Corruption</b> – <i>Cynthia S. Morrison, Legal Project Manager, Armstrong Teasdale, LLP</i>
	<b>AD5* Dealing With Short-Term Orientation Management</b> – <i>Theodore L. Banks, Partner-President, Scharf Banks Marmor LLC - Compliance &amp; Competition Consultants, LLC</i>
	<b>AD6* Instant Benchmarking for Your Important Issues</b> – <i>Steven Priest, President, Integrity Insight International</i>
<b>2:30–3:00 PM</b>	<b>Networking Break in Exhibit Hall</b>

\*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.

RISK	ETHICS	CASE STUDIES	MULTI-NATIONAL/ INTERNATIONAL	COMPLIANCE LAWYER	IT COMPLIANCE	GENERAL COMPLIANCE/ HOT TOPICS	INVESTIGATIONS WORKSHOP	ADVANCED DISCUSSION GROUPS
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# Program at a Glance

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## MONDAY, OCTOBER 16

3:00–4:00 PM BREAKOUT SESSIONS	301	<b>The Risks in Assessing Risk</b> – Adam Turteltaub, Vice President, Strategic Initiatives and International Programs, SCCE/HCCA
	303	<b>Ethics and Compliance Training from A to Z: How to Create Your Very Best Programs in 2017 Using both Proven Methods and the Latest Research</b> – Greg Walters, Associate General Counsel, Peace Corps
	304	<b>The Never Ending Story: Money Laundering</b> – Monica Ramirez, Partner, Asserto RSC
	305	<b>Recent Developments in Compliance and Ethics Law</b> – Rebecca Walker, Partner, Kaplan & Walker LLP; Joseph E. Murphy, Senior Advisor, Compliance Strategists
	306	<b>Data Discovery and Classification - A Digital Swiss Army Knife for Privacy and Security Compliance</b> – Scott M. Giordano, Director, Data Protection and Managed Privacy Services, Robert Half Legal Consulting
	307	<b>Can't Miss Insights from the 2017 Hotline Benchmark Report</b> – Carrie Penman, Chief Compliance Officer and Senior Vice President, Advisory Services, NAVEX Global; Eddy O'Mara, Operations Manager, Advisory Services, NAVEX Global
	308	<b>Linguistic Cues to Deception</b> – Michael W. Johnson, CEO, Clear Law Institute
	309	<b>Turn of a Century: How does a company with over 100 years of history in the gas, electric and steam industry implement a corporate compliance program while the industry undergoes unprecedented changes?</b> – Tayo Kurzman, Section Manager, Consolidated Edison of New York, Inc.; Kevin Jamieson, Dir BEC-Compliance Mgmt, Consolidated Edison Company of NY
	AD7*	<b>Challenges of working with Intermediaries in Emerging Markets</b> – Shin Jae Kim, Multi-National/International Track Program Co-Chair, Partner, TozziniFreire Advogados, São Paulo, Brazil; Renata Muzzi Gomes de Almeida, Partner, TozziniFreire Advogados, São Paulo, Brazil
	AD8*	<b>Suppliers and Other Third Party Engagement</b> – Eric R. Feldman, Senior Vice President and Managing Director, Corporate Ethics and Compliance Programs, Affiliated Monitors, Inc.
	AD9*	<b>Playing Well in the Sandbox: Developing and Sustaining Effective Relationships with Your Business Partners</b> – Karen M. Aavik, SVP/Director of Corporate and Wholesale Practices, KeyBank, N.A
4:00–4:30 PM		<b>Networking Break in Exhibit Hall</b>
4:30–5:30 PM BREAKOUT SESSIONS	401	<b>Conflicts of Interest: Exploring Best Practices</b> – Rebecca Walker, Partner, Kaplan & Walker LLP
	402	<b>Fostering an Ethical Culture Through Leadership: Challenges, Risks, and Rewards</b> – Rick L. Crosser, Professor of Accounting, Metropolitan State University of Denver
	403	<b>Fostering a Compliance Culture at Travelers</b> – Stacy Walsh, Senior Counsel, Legal, The Travelers Companies, Inc.; Jennifer Drost, Chief Ethics and Compliance Officer & Senior Counsel, Travelers Canada; Tim Glasby, Compliance Director (Solicitor) & MLRO, Europe, Travelers
	404	<b>Conducting Effective Third Party Due Diligence in China</b> – Allan Matheson, Managing Director, Blue Umbrella
	405	<b>Preserving the Attorney-Client Privilege and Attorney Work Product Protection in Internal and Government Investigations</b> – Eric J. Gorman, Partner, Skadden Arps; Lawrence Oliver, Chief Counsel, Investigations, The Boeing Company
	406	<b>Lessons Learned in Compliance Automation at NSA - Leveraging Technology to Aid the Compliance Profession</b> – Jason Marburg, Compliance Officer, National Security Agency; Melissa Lipple, Technical Director, National Security Agency
	407	<b>Program &amp; Ethical Tone Assessment Tradecraft of Independent Corporate Monitors</b> – John Hanson, President, International Association of Independent Corporate Monitors
	408	<b>Is It Time for an Incentive Mine Sweep?</b> – Richard T. Bistrong, CEO, Front-Line Anti-Bribery LLC; Marc Hodak, Partner, Farient Advisors, LLC
	AD10*	<b>Tools for Enhancing Employee Participation in Training</b> – Art Weiss, Chief Compliance and Ethics Officer, TAMKO Building Products, Inc.
	AD11*	<b>From Bangkok to Bogota and Boston to Brussels, Global ABC and FCPA Benchmarks, Best Practices and Bootcamps - One Size Does Not Fit All</b> – Jay Rosen, VP Business Development & Monitoring Specialist, Affiliated Monitors, Inc.
	AD12*	<b>Hindsight - What Worked and What Didn't Work in Our Aim to be Effective Ethics and Compliance Officers</b> – Sonal J. Shah, Chief Ethics and Compliance Officer, Stanford University
5:30–7:00 PM		<b>Networking Reception in Exhibit Hall</b> Sponsored by Assent Compliance
7:00–9:00 PM		<b>International Compliance &amp; Ethics Awards Dinner</b> (Pre-registration required)

## TUESDAY, OCTOBER 17

6:30–7:30 AM	<b>Group Fitness</b> (Pre-registration required)
7:00 AM–5:30 PM	<b>Registration Open</b>
7:00–8:15 AM	<b>Continental Breakfast in Exhibit Hall</b>
8:15–8:30 AM	<b>Opening Remarks</b>
8:30–9:30 AM	<b>Keynote Address - Easiest Catch: Don't be Another Fish in the 'Net'</b> – Mark Lanterman, Chief Technology Officer, Computer Forensic Services
9:30–10:30 AM	<b>Keynote Address - Multipliers: How the Best Leaders Make Everyone Smarter</b> – Liz Wiseman, Bestselling Author, Speaker & Executive Advisor, Author of Multipliers: How the Best Leaders Make Everyone Smarter
10:30–11:00 AM	<b>Networking Break in Exhibit Hall</b>

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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, OCTOBER 17

11:00 AM – 12:00 PM BREAKOUT SESSIONS	501	<b>From FCPA Prosecutors to Company Protectors: Top 10 Lessons Learned from the Front Lines of FCPA Enforcement</b> – Nathaniel Edmonds, Partner, Paul Hastings LLP; Maria Gonzalez Calvet, Executive Counsel, GE Energy Mgmt. & GE Latin America; Rebecca Rohr, Vice President, Anti-Corruption and Global Trade, Ethics & Compliance Office, Hewlett Packard Enterprise
	502	<b>How to Reduce Rationalization Risk in the Fraud Triangle through Effective Ethical Decision Making Training</b> – Fermeen Fazal, Chief Counsel and Director of Ethics and Compliance, Universal Pegasus International
	503	<b>Creating a Mobile First Code of Conduct</b> – Krishna Juvvadi, Director, Uber Technologies, Inc.; Michael Lane, Managing Director, Designory
	504	<b>Culture &amp; Compliance: Strategies for Africa</b> – Letitia Adu-Ampoma, Director, Peverett Maxwell (Africa)
	505	<b>How to Determine if an Incident is a Data Breach to Meet Compliance Obligations</b> – Alex Wall, Sr Counsel & Global Privacy Officer, RADAR
	506	<b>Everyone should have an IT compliance officer or suffer the consequences: Why the IT compliance function matters and how it can boost company-wide compliance efforts</b> – Ralph Villanueva, Senior IT Compliance Analyst, Las Vegas Sands Corporation
	507	<b>Building a Compliance Champion Network</b> – Karl Schneider, Assoc Mgr Sales Compliance, AGDC
	508	<b>10 Easy Hacks to Give Your Ethics &amp; Compliance Program a Boost</b> – Caveni Wong, Founder and Principal, Principle Compliance
	AD13*	<b>Breaking Down the Walls of How We Communicate to the Workforce and Support Functions</b> – Richard T. Bistrong, CEO, Front-Line Anti-Bribery LLC
	AD2b (repeat)*	<b>Retaliation: Real or Imagined, How Are You Addressing It in Your Organization?</b> – Albert G. Gagne, Former Director, Ethics & Compliance, Textron Systems Corporation (retired)
12:00 – 1:00 PM	AD8b (repeat)*	<b>Suppliers and Other Third Party Engagement</b> – Eric R. Feldman, Senior Vice President and Managing Director, Corporate Ethics and Compliance Programs, Affiliated Monitors, Inc.
	<b>Networking Lunch</b>	
	601	<b>Corporate Culture: Does Yours Offer More “Shock” than “Awe”? A Practical Overview and Tips for Cultural Assessments and Tune-Ups</b> – Beth Colling, Vice President and Chief Compliance Officer, CDM Smith, Inc.; Peter C. Anderson, Attorney, Beveridge & Diamond, P.C.
	602	<b>Transformational Leadership: Raising the Ethical Bar</b> – Patricia Colombo, Legal, Compliance and RA Director, FUJIFILM do Brasil
	603	<b>Bids Gone Bad: Lessons Learned from Planning a Procurement Fraud Training</b> – Krystle M. Baker, Investigator, City of Philadelphia Office of Inspector General; Stephanie F. Tipton, Deputy Chief Integrity Officer, City of Philadelphia
	604	<b>Data Privacy and Ethics</b> – Robert J. Bond, Partner & Notary Public, Bristows LLP; Jennifer Lattimore, Sr. Counsel, WestRock; Art Hernandez, Director of Global Compliance, RPM International Inc.
	605	<b>Antitrust Compliance Considerations for Lawyers</b> – Joseph E. Murphy, Senior Advisor, Compliance Strategists; Michael Paik, Regional Compliance Officer North America, thyssenkrupp North America, Inc.
	606	<b>Monitoring Compliance in the Age of Artificial Intelligence: Lessons from the Caremark Case</b> – John DeLong, Berkman Klein Center for Internet & Society, Harvard University
	607	<b>How to prove your program works</b> – Ricardo P. Pellafone, Founder, Broadcat; John Partridge, Partner, Gibson, Dunn & Crutcher LLP
	608	<b>The Relationship Roadmap: How CECOs Can Turn Turf Battles Into High-Performing Working Relationships</b> – Donna C. Boehme, Principal, Compliance Strategists LLC; Judith L. Nocito, Senior Advisor, Compliance Strategists; Stephen M. Naughton, Senior Adviser, StoneTurn Consulting
1:00 – 2:00 PM BREAKOUT SESSIONS	AD14*	<b>Responding to Global Compliance Risk in our Supply Chains</b> – Travis Miller, General Counsel, Assent Compliance
	AD10b (repeat)*	<b>Tools for Enhancing Employee Participation in Training</b> – Art Weiss, Chief Compliance and Ethics Officer, TAMKO Building Products, Inc.
	<b>Networking Break</b>	
	701	<b>Don't Buy Trouble in M&amp;A Transactions: Effectively Managing Ethics and Compliance Risk During the Deal</b> – Kasey T. Ingram, General Counsel & Chief Compliance Officer, ISK Americas Incorporated
	702	<b>Pressure Points: Why Ethical People Make Unethical Choices from Prison to Redemption</b> – Marsha H. Ershaghi-Hames, Managing Director Strategy & Development, LRN; Rashmi Airan, Ethics Keynote & Consultant, Ethics Integrated, LLC
	703	<b>Building a Community, Building a Career</b> – Julia Pallozzi-Ruhm, Deputy Director of Compliance, National Security Agency; Kira A. Fuller, Compliance Officer, National Security Agency
	704	<b>Latin America's Davids and Goliaths: Small and large economy lessons learned on fighting corruption and operating in the region</b> – Saskia Zandieh, Attorney, Miller and Chevalier; Alexina Guiomar Jackson, Director and Senior Counsel, Ethics and Compliance, AES Corporation
	705	<b>Structuring a successful C&amp;E Department within the Legal Department</b> – Harvey W. Woodford, VP, Chief Ethics & Compliance Officer, Avnet, Inc.; Chris Miller, North America Regional Compliance Officer, General Motors; Ann Tkacs, Managing Director of Ethics & Compliance, Southern Company Gas; Heather Axe, Associate General Counsel & Deputy Compliance Officer, Korn Ferry International
	706	<b>From start-up to IPO - How to design and build a compliance program from scratch</b> – Sean Coutain, Deputy Chief Compliance Officer, Snap Inc.; Dominic Perella, Deputy General Counsel, Snap Inc.
	707	<b>Organizational Sentencing Guidelines: Past, Present, and Future</b> – Kathleen Grilli, General Counsel, US Sentencing Commission; Eric O. Morehead, Principal Consultant, Morehead Compliance Consulting
2:30 – 3:30 PM BREAKOUT SESSIONS	708	<b>Conducting an Internal Compliance Program Survey</b> – Ahmed Salim, Regional Compliance Officer, Presence Health
	AD15*	<b>Stories from the Front Lines and How You Can Learn from These Experiences</b> – Maryann Clifford, Ethics & Compliance Professional; Diane Nobles, Ethics & Compliance Professional
	AD11b (repeat)*	<b>From Bangkok to Bogota and Boston to Brussels, Global ABC and FCPA Benchmarks, Best Practices and Bootcamps - One Size Does Not Fit All</b> – Jay Rosen, VP Business Development & Monitoring Specialist, Affiliated Monitors, Inc.
	<b>Networking Break</b>	
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3:30 – 3:45 PM	<b>Networking Break</b>	
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## TUESDAY, OCTOBER 17

3:45– 4:45 PM BREAKOUT SESSIONS	801	<b>Cyber Security: One of the Most Critical Risk Mitigation Efforts for Your Organization that Can Bridge the Gap between Compliance and Ethics</b> – Charles Shugg, Partner/Chief Operating Officer, Sylint Group, Inc.
	802	<b>Inside the Mind of the Whistleblower: Understanding What Motivates Employees to Report Ethical Concerns</b> – Karen M. Aavik, SVP/Director of Corporate and Wholesale Practices, KeyBank, N.A
	803	<b>Small budget, small progress?</b> – Kitty Holt, Ethics & Compliance Officer, Plan International USA
	804	<b>Eradicating Human Trafficking - Compliance Challenges</b> – Amy E. McDougal, President, CLEAResources, LLC; Ryan C. Berry, CEO, Chaintegrity
	805	<b>US Government Contracting Compliance: Managing Supply Chain Ethics and Compliance Risk for the World's Single Largest Buyer</b> – Glenn A. Sweatt, Counsel, Pillsbury Winthrop Shaw Pittman; Richard Oliver, Partner, Pillsbury Winthrop Shaw Pittman
	806	<b>How to Get More LinkedIn Views than Roy: Practical Tips for Improving Your LinkedIn Profile &amp; Getting Employers to Seek You Out</b> – Brenda K. Manning, Privacy & Regulatory Affairs Director, University of Minnesota Physicians
	807	<b>Government Focus on Whistleblower Retaliation</b> – Monica K. Loseman, Partner, Gibson, Dunn & Crutcher LLP; Tim McCormack, Partner, Constantine Cannon LLP; Sarah Poppy Alexander, Attorney, Constantine Cannon LLP
	808	<b>The Next Generation of Compliance Program Effectiveness: Moving From Bolt On to Built In</b> – Jennifer Childs Kugler, Principal Executive Advisor, CEB, now Gartner

## WEDNESDAY, OCTOBER 18

7:30 AM–12:00 PM	Registration Open	
8:00– 9:30 AM BREAKOUT SESSIONS	W1	<b>Managing Trade Compliance Risks: Exports, Imports, Human Trafficking and other Challenges</b> – Gwendolyn Hassan, Managing Counsel, Global Compliance & Ethics, CNH Industrial
	W2	<b>Creating and Maintaining an Ethical Culture: How to get your employees to act ethically, even when no one is looking</b> – Jennifer Drost, Chief Ethics and Compliance Officer & Senior Counsel, Travelers Canada; Tim Glasby, Compliance Director (Solicitor) & MLRO, Europe, Travelers
	W3	<b>General Electric's Risk Roll Up: Targeting the Elusive Tone in the Middle</b> – Joseph Suich, Chief Compliance Officer & Counsel, GE Power
	W4	<b>Is it still possible to fly under the radar? The multiple layers of liability for overseas corruption that corporate officers and companies face and how compliance programs can address them</b> – David G. Hawkes, Head of Special Litigations, World Bank Group Integrity Vice Presidency; Paul Haynes, Lead Investigator, World Bank
	W5	<b>Big Data and Secondary Uses of Data: Practical Tips to Avoid Privacy Pitfalls and Regulatory Risk</b> – Corey Dennis, Director of Privacy & Counsel, PPD; Asra Ali, Compliance and Risk Manager, HealthScape Advisors; Laura Merten, CCEP, Chief Privacy Officer, Advocate Health Care
	W6	<b>IT Prevention Requires More Than 1 Day a Year - The Other 364 Days a Year</b> – Rick Shaw, President, Awareity
	W7	<b>Around the World in 80 Minutes</b> – Jonathan Armstrong, Partner, Cordery; Mary Shirley, Senior Director, Ethics and Compliance, Fresenius Medical Care North America; Kristine Robidoux, Senior Compliance and Regulatory Counsel, Gran Tierra Energy Inc.
	W8	<b>Compliance Program 3.0 - The Data Driven Compliance Program</b> – Neha Gupta, Chief Executive Officer, True Office Learning; Lana D. Radchenko, Director - Corporate Compliance, Sempra Energy; Vinca Russell, Global E&C Training and Comms Manager, Ingersoll Rand; Luiza Wilson, CCEP, Director, Global Compliance Programs, Hilton Worldwide
9:30–9:45 AM	Networking Break	
9:45– 11:15 AM BREAKOUT SESSIONS	W9	<b>The Wolf In Sheeps Clothing: Do You Know Where Your Next Risk Is Coming From?</b> – Krista Muszak, Global Compliance Manager, Tech Data; Louis J. Perold, Global Compliance Manager, Jabil
	W10	<b>Join Our Investigation: An Experiential Session from Helpline Call to Final Report</b> – Wendy W. Evans, Sr Corporate Ethics Investigator, Lockheed Martin; Roxane MacGillivray, Senior Ethics Investigator, Lockheed Martin
	W11	<b>Impact of Compliance within Organizations</b> – Shawn Washington, CEO, The Circle E Ranch
	W12	<b>Who is the Launderer?</b> – Mónica Ramírez Chimal, Managing Director/Partner, Asserto RSC
	W13	<b>Summary of Changes in Employment Regulations</b> – Paige Shannon, Federal Services Counsel & Compliance Officer, Kforce, Inc.; Adelle Elia, Chief Integrity Officer, Louis Berger
	W14	<b>Handling a Cybersecurity Investigation: A Discussion with a Regulator, a Lawyer, and a Security Expert</b> – Jay J. Johnson, Partner, Jones Day; Chad Pinson, Executive Managing Director, Stroz Friedberg; Shamoil Shipchandler, Regional Director, Fort Worth Regional Office, U.S. Securities
	W15	<b>Do-Re-Mi (Starting at the very beginning)</b> – Lisa Beth B. Lentini, Assistant General Counsel, Compliance, Deluxe Corporation; Kortney Q. Nordrum, Investigations & Risk Consultant, Deluxe Corporation
	W16	<b>Transforming Compliance &amp; Ethics Learning - Lessons from 4 Financial Services Global Leaders</b> – Gary Collins, Managing Director, Compliance Management Division, BNP Paribas; Cassandra Knight, Head of Company Compliance, Morgan Stanley; Melinda Miller, VP Manager Regulatory Compliance, HSBC
1:00–1:30 PM	Exam Check-In: Certified Compliance & Ethics Professional (CCEP) <sup>®</sup> and International Certified Compliance & Ethics Professional (CCEP-I) <sup>®</sup>	
1:30–4:30 PM	Certified Compliance & Ethics Professional (CCEP) <sup>®</sup> Exam (optional)	
1:30–5:30 PM	Certified Compliance & Ethics Professional - International (CCEP-I) <sup>®</sup> Exam (optional)	

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**Karen M. Aavik**, [802, AD9], SVP/Director of Corporate and Wholesale Practices, KeyBank, N.A



**Letitia Adu-Ampoma**, [504], Director, Peverett Maxwell (Africa)



**Rashmi Airan**, [702], Ethics Keynote & Consultant, Ethics Integrated, LLC



**Asra Ali**, [W5], Compliance and Risk Manager, HealthScape Advisors



**Peter C. Anderson**, [601], Attorney, Beveridge & Diamond, P.C.



**Jonathan P. Armstrong**, [W7], Partner, Cordery, London, UK



**Heather Axe**, [705], Associate General Counsel & Deputy Compliance Officer, Korn Ferry International, Los Angeles CA



**Krystle M. Baker**, [603], Investigator, City of Philadelphia Office of Inspector General, Philadelphia, PA



**Theodore L. Banks**, [P6, AD5], Partner-President, Scharf Banks Marmor LLC - Compliance & Competition Consultants, LLC



**Gregory Bates**, [108], Counsel, Miller and Chevalier



**Michelle Beistle**, [201], CCEP-I, Counsel and Chief Compliance Officer, Unisys Corporation



**Bryan Belknap**, [P7], Creative Director, Resonate Pictures



**Ryan C. Berry**, [804], CEO, Chaintegrity, Washington, D.C.



**Richard T. Bistrong**, [408, AD13], CEO, Front-Line Anti-Bribery LLC



**Meric C. Bloch**, [P9, P18], Corporate Director, Investigations, Shriners Hospitals for Children



**Donna C. Boehme**, [P14, 608], Principal, Compliance Strategists LLC



**Robert J. Bond**, [604], Partner & Notary Public, Bristows LLP, London, UK



**Cedric Bourgeois**, [204], Principal Investigator, UNESCO



**Todd Braunstein**, [P5], Head of Legal Investigations, Willis Towers Watson



**Tim Bridgeford**, [101], Global Head - Antitrust Compliance, JP Morgan



**Jennifer Childs Kugler**, [808], Principal Executive Advisor, CEB, now Gartner



**Maryann Clifford**, [AD15], Ethics & Compliance Professional



**Beth Colling**, [601], Vice President and Chief Compliance Officer, CDM Smith, Inc.



**Gary Collins**, [W16], Managing Director, Compliance Management Division, BNP Paribas



**Patricia Colombo**, [602], Legal, Compliance and RA Director, FUJIFILM do Brasil



**Sean Coutain**, [706], Deputy Chief Compliance Officer, Snap Inc.



**Rick L. Crosser**, [402], Professor of Accounting, Metropolitan State University of Denver



**John DeLong**, [606], CCEP, Berkman Klein Center for Internet & Society, Harvard University



**Corey Dennis**, [W5], Director of Privacy & Counsel, PPD Wilmington, NC



**Ben DiPietro**, [109], Editor-Reporter, Wall Street Journal



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



**Jennifer Drost**, [403, W2], Chief Ethics and Compliance Officer & Senior Counsel, Travelers Canada, Toronto, Ontario



**Nathaniel Edmonds**, [501], Partner, Paul Hastings LLP, Former Assistant Chief (FCPA Unit), Criminal Division, Fraud Section, US DOJ, Washington, D.C.



**Adelle Elia**, [W13], CCEP, Chief Integrity Officer, Louis Berger



**Steve Epstein**, [209], Chief Counsel, Ethics and Compliance, The Boeing Company, Washington D.C.



**Marsha H. Ershaghi-Hames**, [702], Ph.D., CCEP, Managing Director Strategy & Development, LRN, Washington, DC



**Wendy W. Evans**, [W10], Sr Corporate Ethics Investigator, Lockheed Martin



**Fermeen Fazal**, [502], Chief Counsel and Director of Ethics and Compliance, Universal Pegasus International



**Eric R. Feldman**, [AD8, AD8b], Senior Vice President and Managing Director, Corporate Ethics and Compliance Programs, Affiliated Monitors, Inc., Redondo Beach, CA



**Ronnie Feldman**, [P17], President, L&E Creative Communications



**Paul E. Fiorelli**, [103], JD, CCEP, Professor of Legal Studies and Co-Director, Cintas Institute for Business Ethics, Xavier University, Cincinnati, OH



**Angelika Flamm**, [PW], Deputy Group Compliance Director, Royal Mail Group, London, UK



**Peter L. Flanagan**, [104], Partner, Covington & Burling LLP, Washington DC



**Thomas R. Fox**, [107], Compliance Evangelist, Advanced Compliance Solutions, Tomfoxxlaw.com, Houston, TX



**Kira A. Fuller**, [703], Compliance Officer, Dept of Defense



**Gabe II**, [208], Service Dog, Warrior Canine Connection



**Albert G. Gagne**, [P9, P18, AD2, AD2b], CCEP, Advanced Discussion Group Track Program Chair; Former Director, Ethics & Compliance, Textron Systems Corporation (retired), Salem, NH



**Scott M. Giordano**, [306], Director, Data Protection and Managed Privacy Services, Robert Half Legal Consulting



**Tim Glasby**, [403, W2], Compliance Director (Solicitor) & MLRO, Europe, Travelers, London, UK



**Patrick J. Gnazzo**, [P14], Principal, Better Business Practices



**Maria Gonzalez Calvet**, [501], Executive Counsel, GE Energy Mgmt. & GE Latin America



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



**Kristy Grant-Hart, [PW],** Founder and Managing Director, Spark Compliance Consulting; Author of *How to Be a Wildly Effective Compliance Officer*, London, UK



**Kathleen Grilli, [707],** General Counsel, US Sentencing Commission



**Samantha Kelen Greves, [PW],** Senior Ethics Analyst, Duke Energy, Charlotte, NC



**Alexina Guimaraes Jackson, [704],** Director and Senior Counsel, Ethics and Compliance, AES Corporation

**Neha Gupta, [W8],** Chief Executive Officer, True Office Learning



**Melissa A. Hadel, [105],** HRIS Analyst, Allegis Group



**John Hanson, [407],** CPA, CFE, CCEP, President, International Association of Independent Corporate Monitors



**Gwendolyn Hassan, [W1],** JD, CCEP, Managing Counsel, Global Compliance & Ethics, CNH Industrial, LLC, Oak Park, IL



**David G. Hawkes, [W4],** Head of Special Litigations, World Bank Group Integrity Vice Presidency



**Paul Haynes, [W4],** Lead Investigator, World Bank



**Art Hernandez, [604],** Director of Global Compliance, RPM International Inc.



**Andy Hinton, [P4],** VP, Global Ethics & Compliance, Google



**Marc Hodak, [408],** Partner, Farient Advisors, LLC



**Kitty Holt, [109, 803],** Ethics & Compliance Officer, Plan International USA



**Kasey T. Ingram, [701],** JD, CCEP, General Counsel, ISK Americas Incorporated, Cleveland, OH



**Danica Irvine, [209],** Senior Attorney, Department of Defense Office of General Counsel



**Shin Jae Kim, [AD7],** CCEP, CCEP-I, Multi-National/International Track Program Co-Chair; Partner, TozziniFreire Advogados, São Paulo, Brazil

**Kevin Jamieson, [309],** Dir BEC - Compliance Mgmt, Consolidated Edison Company of NY



**Jay J. Johnson, [W14],** Partner, Jones Day



**Michael W. Johnson, [308],** CEO, Clear Law Institute



**Walter E. Johnson, [PW],** Director of Compliance & Ethics, Kforce Government Solutions



**Krishna Juvvadi, [503],** Director, Uber Technologies, Inc.



**Grace E. Keith, [109],** Managing Director, Caliber Corporate Advisers



**Douglas Kelly, [202],** Lead Legal Editor, EverFi



**Cassandra Knight, [W16],** Head of Company Compliance, Morgan Stanley



**Tayo Kurzman, [309],** Section Manager, Consolidated Edison of New York, Inc.



**Latour (LT) Lafferty, [P9, P18],** Esq., CCEP, CHC, Partner, Holland & Knight LLP, Tampa, FL



**David S. Lane, [P8],** Deputy Compliance Officer, University of California - Office of President



**Michael Lane, [503],** Managing Director, Designory, Chicago, IL



**Carol Lansford, [208],** Executive Director, Valor Service Dogs



**Kimberly A. Lansford, [208],** Chief Compliance Officer, Penn State Health



**Mark Lanterman, [GS],** Chief Technology Officer, Computer Forensic Services, Minnetonka, MN



**Jennifer Lattimore, [604],** Sr. Counsel, WestRock, Norcross, GA



**Lisa Beth B. Lentini, [W15],** Assistant General Counsel, Compliance, Deluxe Corporation



**Michael R. Levin, [102],** Senior Director of Compliance: Ethics & Business Practices, Freddie Mac



**Elizabeth Lewis, [P2],** Content Director, NAVEX Global



**Melissa Lippelle, [406],** Technical Director, National Security Agency



**James M. Lord, [P4],** Shareholder, Inman Flynn



**Monica K. Loseman, [807],** Partner, Gibson, Dunn & Crutcher LLP, Denver, CO



**Roxane MacGillivray, [W10],** Senior Ethics Investigator, Lockheed Martin



**Brenda K. Manning, [806],** JD, CHC, CHPC, Privacy & Regulatory Affairs Director, University of Minnesota Physicians



**Jason Marburg, [406],** Compliance Officer, National Security Agency



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



**Tim McCormack, [807],** Partner, Constantine Cannon LLP



**Amy E. McDougal, [P3, 804],** CCEP, President, CLEAResources, LLC, Leesburg, VA



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



**Laura Merten, [W5],** CCEP, Chief Privacy Officer, Advocate Health Care



**Jason B. Meyer, [P3, P17],** JD, President, LeadGood, LLC, Pennington, NJ



**Chris Miller, [PW],** North America Regional Compliance Officer, General Motors, Detroit, MI



**Melinda Miller, [W16],** VP Manager Regulatory Compliance, HSBC



**Travis Miller, [AD14],** General Counsel, Assent Compliance



**Steve C. Morang, [P12],** Senior Manager - Leader Fraud, Frank, Rimmerman + Co. LLP



**Eric O. Morehead, [P12, 707],** Principal Consultant, Morehead Compliance Consulting



**Cynthia S. Morrison, [AD4],** Legal Project Manager, Armstrong Teasdale, LLP





**Joseph E. Murphy**, [305, 605], JD, CCEP, CCEP-I, Senior Advisor, Compliance Strategists, Haddonfield, NJ



**Krista Muszak**, [W9], Global Compliance Manager, Tech Data, Clearwater, FL



**Renata Muzzi Gomes de Almeida**, [AD7], Partner, TozziniFreire Advogados, São Paulo, Brazil



**Stephen M. Naughton**, [608], Senior Adviser, StoneTurn Consulting, Chicago, IL



**Diane Nobles**, [AD15], Ethics & Compliance Professional



**Judith L. Nocito**, [P14, 608], Senior Advisor, Compliance Strategists



**Jenny O'Brien**, [P14], Chief Compliance Officer, UnitedHealthcare, Minneapolis, MN



**Kortney Q. Nordrum**, [P10, W15], Esq., Investigations & Risk Consultant, Deluxe Corporation, Minneapolis, MN



**Eddy O'Mara**, [307], Operations Manager, Advisory Services, NAVEX Global



**Lawrence Oliver**, [405, 805], Chief Counsel, Investigations, The Boeing Company



**Richard Oliver**, [805], Partner, Pillsbury Winthrop Shaw Pittman



**Chris Osborn**, [P11], ReelTime CLE



**Xavier Oustalniol**, [P4], CPA (NY,CA), CFF, CIRA, Partner, StoneTurn Group, San Francisco, CA



**Michael Paik**, [605], Regional Compliance Officer North America, thyssenkrupp North America, Inc., Chicago, IL



**Julia F. Pallozzi-Ruhm**, [703], Deputy Director of Compliance, National Security Agency



**Sherbir Panag**, [P13], Partner, Law Offices of Panag & Babu



**John Partridge**, [607], Partner, Gibson, Dunn & Crutcher LLP, Denver, CO



**Ricardo P. Pellafone**, [607], Founder, Broadcat, Dallas, TX



**Carrie Penman**, [307], Chief Compliance Officer and Senior Vice President, Advisory Services, NAVEX Global



**Dominic Perella**, [706], Deputy General Counsel, Snap Inc.



**Louis J. Perold**, [W9], Global Compliance Manager, Jabil



**Ed Petry**, [P2], Vice President, Advisory Services, NAVEX Global



**Chad Pinson**, [W14], Executive Managing Director, Stroz Friedberg



**John Pisa-Relli**, [104], Managing Director, Trade Compliance, Accenture



**Carmen Poole**, [202], Lead Instructional Writer, Everfi



**Sarah Poppy Alexander**, [807], Attorney, Constantine Cannon LLP, San Francisco, CA



**Angela Preston**, [205], Senior VP and Counsel, Corporate Ethics and Compliance, Sterling Talent Solutions



**Steven Priest**, [AD6], President, Integrity Insight International



**Lana D. Radchenko**, [W8], Director - Corporate Compliance, Sempra Energy



**Mónica Ramírez Chimal**, [304, W12], Managing Director/Partner, Asserto RSC, Mexico City, Mexico



**Kristine Robidoux**, [W7], Senior Compliance and Regulatory Counsel, Gran Tierra Energy Inc.



**Dan Roach**, [PW], General Counsel and Chief Compliance Officer, Optum 360



**Rebecca Rohr**, [501], Vice President, Anti-Corruption and Global Trade, Ethics & Compliance Office, Hewlett Packard Enterprise



**Jay Rosen**, [AD11, AD11b], VP Business Development & Monitoring Specialist, Affiliated Monitors, Inc., Los Angeles, CA



**Vanessa Rossi**, [107], FCPA Compliance Counsel, Baker Hughes, a GE Company



**Heidi Rudolph**, [P6], Managing Director, Morae Global



**Frank Ruelas**, [P15, 106], Facility Compliance Professional, St. Joseph's Hospital and Medical Center/ Dignity Health



**Vinca Russell**, [W8], CCEP, Global E&C Training and Comms Manager, Ingersoll Rand



**Ahmed Salim**, [708], Regional Compliance Officer, Presence Health



**Erica Salmon Byrne**, [207], EVP, Ethisphere Institute



**Karl Schneider**, [507], Assoc Mgr Sales Compliance, AGDC



**Sonal J. Shah**, [AD12], Chief Ethics and Compliance Officer, Stanford University



**Paige Shannon** [W13], Esq., CCEP, Federal Services Counsel & Compliance Officer, Kforce, Inc., Reston, VA



**Rick Shaw**, [W6], President, Awareity



**Shamoil Shipchandler**, [W14], Regional Director, Fort Worth Regional Office, U.S. Securities



**Mary Shirley**, [W7], Senior Director, Ethics and Compliance, Fresenius Medical Care North America



**Charles Shugg**, [801], Partner/Chief Operating Officer, Sylint Group, Inc.



**David Rieks**, [P13], Attorney, Roxin LLP



**Samantha Simms**, [206], Global Data Protection and Privacy Officer, Carlson Wagonlit Travel



**David W. Simon**, [P13], Partner, Foley & Lardner



**Eugene Soltes**, [GS], Jakurski Family Associate Professor of Business Administration at Harvard Business School and Author of *Why They Do It: Inside the Mind of the White-Collar Criminal*



**Gene Stavrou**, [P6], Associate Director Business Integrity, Mondelez International



**Kurt Stichter** [AD3], JD, CCEP, Interim Chief Compliance Officer, Tenneco Inc.



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Approval quantities and types vary by state or certifying body. For entities that have granted prior approval for this event, credits will be awarded in accordance with their requirements. **CEU totals are subject to change.**

Upon request, SCCE may submit this course to additional states or entities for consideration. If you would like to make a request, please contact us at 952-933-4977 or 888-277-4977 or email [ccb@compliancecertification.org](mailto:ccb@compliancecertification.org). Visit SCCE's website, [corporatecompliance.org](http://corporatecompliance.org), for up-to-date information.

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**Compliance Certification Board (CCB)®:** CCB has awarded a maximum of 24.6 CEUs for these certifications: Certified in Healthcare Compliance (CHC)®, Certified in Healthcare Compliance– Fellow (CHC-F)®, Certified in Healthcare Privacy Compliance (CHPC)®, Certified in Healthcare Research Compliance (CHRC)®, Certified Compliance & Ethics Professional (CCEP)®, Certified Compliance & Ethics Professional–Fellow (CCEP-F)®, Certified Compliance & Ethics Professional–International (CCEP-I)®.

### STANDARD BREAKOUT SESSIONS

Sunday: 6.6 | Monday: 7.2 | Tuesday: 7.2 | Wednesday: 3.6

CCB MAXIMUM TOTAL: 24.6 CCB CEU

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Be part of SCCE's 2017

# SILENT AUCTION TO BENEFIT AMERICA'S FUND

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The Silent Auction will be held at Caesars Palace in Las Vegas Oct 15-18, 2017 during SCCE's Compliance & Ethics Institute.

Our 2016 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 2017!

You can help by donating an item to the silent auction.

Here are some ideas: handmade jewelry, art, and quilts, gift baskets, electronics (Beats headphones, GoPro, iPad), 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 Jill Burke at [Jill.Burke@corporatecompliance.org](mailto:Jill.Burke@corporatecompliance.org).

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

Donations can be mailed to the SCCE Office at: 6500 Barrie Road, Suite, 250, Minneapolis, Minnesota 55435. Items should arrive on or before Friday, September 29. After this date, please bring your donation directly to the Silent Auction desk located near registration.



## SATURDAY, OCTOBER 14

10:30 – 3:30 PM

### Volunteer Project

Come to the annual meeting early and help us give back to the community! Registration is free 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 plus we'll automatically enter you into a drawing for a free registration to the 2017 Annual Meeting!

## SUNDAY, OCTOBER 15

7:30 AM – 6:00 PM

### Registration Open

9:00 AM – 12:00 PM

(includes 15 minute break)

### PRE-CONFERENCE MORNING BREAKOUT SESSIONS

7:30 – 8:30 AM

### SpeedNetworking

(Requires a separate registration form. Please see website for details and to sign up.)

9:00 AM – 4:30 PM

**PW Compliance Professional Skills Development Pre-Conference Workshop** – See page 4 for more information.

#### RISK TRACK

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

Sunday, 9:00 AM – 12:00 PM

**Greg A. Triguba**, Principal, Compliance Integrity Solutions

**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 Marked as Read: The Story of the Ineffective Code of Conduct

Sunday, 9:00 AM – 12:00 PM

**Ed Petry**, Vice President, Advisory Services, NAVEX Global

**Elizabeth Lewis**, Content Director, NAVEX Global

- Your organization's code of conduct is the foundational document that expresses your commitment to values, ethics and compliance, so how can you make it as effective as possible?
- Learn how to make reading the code of conduct more than a check box for your employees.
- Get unique insight into how to ensure your code reinforces your company values, instructs behavior and is intuitive and compelling enough to actually be meaningful to those who read it.

#### CASE STUDY TRACK

### P3 The Good Reasons Why People Do the Wrong Things.

Sunday, 9:00 AM – 12:00 PM

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

**Amy E. McDougal**, President, CLEAResources, 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 blindspots for typical compliance messaging. We'll share examples based on research and experience.
- 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 compliance allies!

#### INTERNATIONAL/MULTI-NATIONAL TRACK

### P4 Foreign Agents, Partners & Intermediaries: You Can't Live with Them, but You Can't Live Without Them

Sunday, 9:00 AM – 12:00 PM

**James M. Lord**, Shareholder, Inman Flynn

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

**Andy Hinton**, VP, Global Ethics & Compliance, Google

**Xavier Oustalniol**, Partner, StoneTurn Group

- This expert panel consisting of Chief Compliance Officers at global companies and a former DOJ prosecutor will address best practices for managing global third-party risk.
- Through the use of hypotheticals, the panel will discuss recurring issues faced by compliance officers in managing third party risk, such as where the third party is "the only show in town," mitigating measures, and how much diligence is enough.
- The panel will also discuss lessons learned from recent enforcement actions involving third parties, what the new international anti-corruption standard (ISO 370001) means for third parties, and automated processes for managing third-party risk.

#### COMPLIANCE LAWYER TRACK

### P5 Global Investigations in an International World: Managing investigations in the face of a proliferation of new anti-bribery laws and cooperation among governments

Sunday, 9:00 AM – 12:00 PM

**Ann Sultan**, Attorney, Miller and Chevalier

**Todd Braunstein**, Head of Legal Investigations, Willis Towers Watson

- The effects of political developments, elections, and new laws on corporate considerations.
- Voluntary disclosure considerations, including double-jeopardy and persistent tensions between the U.S. government's expectations of cooperation and foreign legal restrictions.
- Whistleblower considerations, including varying legal standards across jurisdictions and the increasingly trans-national character of the SEC whistleblower program.

# 150+ SPEAKERS

## IT COMPLIANCE TRACK

### P6 Navigating IT Compliance: How can Business and Legal Teams Collaborate to Achieve Joint Objectives?

*Sunday, 9:00 AM – 12:00 PM*

**Gene Stavrou**, Associate Director Business Integrity, Mondelez International

**Theodore L. Banks**, Partner-President, Scharf Banks Marmor LLC – Compliance & Competition Consultants, LLC

**Heidi Rudolph**, Managing Director, Morae Global

- Discuss the appropriate and emerging role(s) of the business and the legal team in IT compliance.
- Learn about the compliance implications of today's technology including Blockchain, social media, the Internet of Things, 3d printing, online profiles by Google, and pervasive distribution by Amazon.
- Talk about how to communicate the implications of new technology to all appropriate groups in the organization including through the use of a business value filter to prioritize IT compliance efforts.

## GENERAL COMPLIANCE/HOT TOPICS TRACK

### P7 Communicate Ethics with Movie Clips, Viral Videos and News Feeds

*Sunday, 9:00 AM – 12:00 PM*

**Bryan Belknap**, Creative Director, Resonate Pictures

- This practical class will help participants tap into free outlets – movie clips, viral videos, memes and current events – to reinforce a company's compliance goals and values.
- Attendees will gain the ability to utilize the conversations already swirling around employees for creating memorable (and fun!) illustrations that weave a culture of compliance into their lives.
- You will walk away with new compliance memes created in class and the skill to make more tips from movie clips, YouTube, etc. when you get back in the office.

## GENERAL COMPLIANCE/HOT TOPICS TRACK

### P8 Return on Investment (ROI): Documenting and Supporting the Value-Added for a Compliance Program

*Sunday, 9:00 AM – 12:00 PM*

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

**Sheryl Vacca**, Chief Risk Officer, Providence St. Joseph Health

- Explore methods and tools to document the value-added for a compliance program.
- Apply proven ROI methods from industry to various compliance platforms.
- Develop a ROI program for your environment.

## 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

- Focus on investigation fundamentals and getting as much information as possible from the reporter.

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

**Meric C. Bloch**, Corporate Director, Investigations, Shriners Hospitals for Children

- Focus on determining the precise allegation and making the investigation plan and strategy for conducting the investigation.

#### Part III (11:15 AM–12:00 PM): Revealing and Evaluating Documents

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

- Understanding the critical role of documents. Be able to identify and explain the purpose of documents.

#### 12:00 – 1:30 PM Lunch (on your own)

#### 12:00 – 1:30 PM SpeedMentoring (Lunch provided for pre-registered attendees. Requires a separate registration form. Please see website for details and to sign up.)

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

### PRE-CONFERENCE MORNING BREAKOUT SESSIONS

## RISK TRACK

### P10 Social Media: Risks and Redemption

*Sunday, 1:30–4:30 PM*

**Kortney Q. Nordrum**, Investigations & Risk Consultant, Deluxe Corporation

- 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 to take home, implement and build upon.

## ETHICS TRACK

### P11 Ethical Train Wrecks and Other Avoidable Disasters: Practical Steps to Heading off Misconduct Before It Happens

*Sunday, 1:30–4:30 PM*

**Chris Osborn**, ReelTime CLE

- This engaging, highly interactive workshop provides a fresh and practical perspective on the fundamental question, "Why do 'good' employees go 'bad'?" Movie clips from "Changing Lanes" starring Ben Affleck are the focal point of a lively discussion.
- Participants will explore the intersection of ethical and compliance-related decision-making and the manifold sources of stress encountered in various industries and enterprises. We'll offer several practical tools that can be effective in any setting.
- You'll also better understand the relationship between stress & decision-making regarding ethical and compliance-related issues, and learn to identify (and assist) personnel at high risk for misconduct before their situations erupt into full-blown crisis.

## CASE STUDY TRACK

### P12 Blow It All Up? How to Really Tackle a Ruinous Corporate Culture: Lessons from Wells Fargo and Beyond

*Sunday, 1:30–4:30 PM*

**Eric O. Morehead**, Principal Consultant, Morehead Compliance Consulting

**Steve C. Morang**, Senior Manager - Leader Fraud, Frank, Rimerman + Co. LLP

- What can an organization do if there is a clear disconnect between the tone in the C-Suite and the tone at the bottom of the organization? What are some practical steps organizations have taken to build the bridge to the middle and beyond?
- Culture on a budget. When organizations have faced culture issues it's sometimes hard to know where to start or where to put resources. What are practical (and inexpensive) solutions to address culture issues across an organization?
- What does the data mean? Organizations gather more data as time goes on, but it can sometimes be hard to cut through the noise to find actionable solutions. What are some ways to use data and not feel confused, or used, by it?

# 100+ SESSIONS

## INTERNATIONAL/MULTI-NATIONAL TRACK

### P13 Responding to a globalized law enforcement in transnational bribery: A U.S., German and Indian perspective

*Sunday, 1:30–4:30 PM*

**David W. Simon**, Partner, Foley & Lardner

**Sherbir Panag**, Partner, Law Offices of Panag & Babu

**David Rieks**, Attorney, Roxin LLP

- With the help of a case study spanning the United States, Germany and India - the speakers will set the stage for risks and challenges that companies are likely to face when responding to a cross-border bribery investigation.
- Focus on the globalized law enforcement environment and the need for a harmonious investigation / defense strategy.
- Each speaker will shed light on the distinctive elements of each country's legal system and the best practices that should be deployed, including - ensuring privilege, data privacy, cooperation with law enforcement, disclosure decision making, etc.

## COMPLIANCE LAWYER TRACK

### P14 New Mandate, New Mindset: Making a Successful Transition Into a Compliance & Ethics Career (What Lawyers, In-House Counsel & Others in Transition Need To Know)

*Sunday, 1:30–4:30 PM*

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

**Judith L. Nocito**, Senior Advisor, Compliance Strategists

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

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

## IT COMPLIANCE TRACK

### P15 IT for Non-IT Compliance Professionals

*Sunday, 1:30–4:30 PM*

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

- Develop and broaden a practical knowledge base of IT concepts and principles and how they apply in supporting the organization's compliance program.
- Learn some of the key challenges that IT professionals face in maintaining an effective IT network within the organization and how Compliance and IT can collaborate effectively to deal with these challenges.
- Identify auditing and monitoring opportunities where IT and Compliance can partner in obtaining useful data to help assess key processes that maintain the security of the IT system.

## GENERAL COMPLIANCE/HOT TOPICS TRACK

### P16 Compliance 101

*Sunday, 1:30–4:30 PM*

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

**Sheryl Vacca**, Chief Risk Officer, Providence St. Joseph Health

- 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

### P17 Training Strategy – The New Environment: More, Less, Opportunities and Tactics

*Sunday, 1:30–4:30 PM*

**Christian E. Whicker**, Director, Corporate Compliance, Duke Energy

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

**Ronnie Feldman**, President, L&E Creative Communications

- Discuss today's dynamic compliance training environment with expert educators and fellow practitioners – new complexities, options, expectations and challenges – and learn how training has become less about procurement and more like being a media programming executive.
- Explore the best strategies for educating in this new environment, to effectively engage your audiences and elevate behavior.
- See and share new tactics for educating in this environment, including non-traditional but simple and inexpensive approaches to animation, whiteboards, video, social media, and values-based messaging.

## INVESTIGATIONS WORKSHOP

### P18 (continued from P9) Investigations Workshop

*Sunday, 1:30–4:30 PM*

Part IV (1:30–2:30 PM):

#### Taking Effective Interviews

**Meric C. Bloch**, Corporate Director, Investigations, Shriners Hospitals for Children

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

Part V (2:45–3:45 PM):

#### Preparing the Investigation Report

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

- Stick to the facts and benefits of a good report.

Part VI (3:45–4:30 PM):

#### Q&A Panel

**Meric C. Bloch**, Corporate Director, Investigations, Shriners Hospitals for Children

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

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

*4:30 – 6:00 PM*

**Opening Tailgate Reception in Exhibit Hall** (*Don't forget to wear your team jersey!*)

# MONDAY, OCTOBER 16

*6:30 – 7:30 AM*

**Group Fitness** (*Pre-registration required*)

*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 - The Life of an Ethics and Compliance Professional**

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

- The evolution of our profession
- Pieces of hard fought wisdom; Today's challenges
- Getting through to the Board for support

*9:30 – 10:30 AM*

**Keynote Address - Why They Do It: Inside the Mind of the White-Collar Criminal**

**Eugene Soltes**, Jakurski Family Associate Professor of Business Administration at Harvard Business School and Author of *Why They Do it: Inside the Mind of the White-Collar Criminal*

*10:30 – 11:00 AM*

**Networking Break in Exhibit Hall**



11:00 AM – 12:00 PM

## CONCURRENT BREAKOUT SESSIONS

### RISK TRACK

#### 101 Global Antitrust Compliance - Assessing Antitrust Risks and Creating an Effective Antitrust Compliance Program

*Monday, 11:00 AM – 12:00 PM*

**Tim Bridgeford**, Global Head – Antitrust Compliance, JP Morgan

**Douglas Tween**, Partner, Linklaters LLP

- 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

#### 102 Five Months to a Fantastic Code of Conduct

*Monday, 11:00 AM – 12:00 PM*

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

- Creating a Code of Conduct doesn't have to take two years to write and implement. Learn how Freddie Mac completely reimaged its Code, encouraged stakeholder engagement, and re-launched its Code program.
- Practical guidance to get the job done – selling the idea to senior management; revamping the values; making it user-friendly.
- When you hear other companies' stories of trials and tribulations, you can be the one who smiles and says "We did in months what other companies took years to accomplish!"

### CASE STUDY TRACK

#### 103 Snitches Get Stitches and Wind Up in Ditches: A Tale of Two Whistleblowers

*Monday, 11:00 AM – 12:00 PM*

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

- Learn the biggest fears whistleblowers have, and explore the case study of Mark Whitacre from ADM.
- Evaluate the story of Michael Woodford and Olympus' \$1.7 billion fraud.
- Review how whistleblowers can misinterpret situations, how companies can deal with that, and analyze how to reduce the "trust vacuum" between employers and employees.

### INTERNATIONAL/MULTI-NATIONAL TRACK

#### 104 Trade Controls: Key Compliance Challenges

*Monday, 11:00 AM – 12:00 PM*

**Peter L. Flanagan**, Partner, Covington & Burling LLP

**John Pisa-Relli**, Managing Director, Trade Compliance, Accenture

- Experienced in-house and outside counsel will address important and difficult challenges for trade compliance programs, including both substantive and implementation issues.
- Part I will address substantive challenges, including: identifying persons related to restricted parties, managing technology controls, and relationships with third party suppliers and customers.
- Part II will address practical considerations for implementing a truly effective compliance program, such as: developing clear policies and procedures, cross-cultural issues, program scalability, and training vs. communication.

### COMPLIANCE LAWYER

#### 105 E-Verify and Form I-9 Compliance Under a Reasonable Yet Enforcing Government

*Monday, 11:00 AM – 12:00 PM*

**Melissa A. Hadel**, HRIS Analyst, Allegis Group

- E-Verify Listens and I-9 Central.
- 9+ Years Experience and Stories of Common Fraudulent Documentation and Scenarios at a Staffing Agency.
- Increasing ICE Presence & I-9 Audits: Don't Wait Unprepared! Self Checks, Internal Audits, and Daily Best Practices.

### IT COMPLIANCE TRACK

#### 106 How IT Departments Can Be Powerful Allies in Promoting Compliance

*Monday, 11:00 AM – 12:00 PM*

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

- Explore the availability of data that the Information Technology (IT) department collects daily to develop quantitative assessments on the appropriate use of IT assets within the organization and their positive or negative impact on overall compliance.
- Develop processes that allow IT to perform its duties and obligations in a manner that promotes the accountability of those within the organization that are tasked with promoting IT security within their respective departments.
- Identify ways to help IT develop its own effective processes to promote compliance with organizational policies and procedures that are in alignment with standard practices that exist within most well run IT departments.

### GENERAL COMPLIANCE/HOT TOPICS TRACK

#### 107 ABC, AML and Export Control- The broadening and convergence of compliance requirements

*Monday, 11:00 AM – 12:00 PM*

**Thomas R. Fox**, Compliance Evangelist, Advanced Compliance Solutions

**Vanessa Rossi**, FCPA Compliance Counsel, Baker Hughes, a GE Company

- The Panama Papers leaks and others have demonstrated the need for more information on shell corporations and more robust and earlier due diligence when onboarding new third parties.
- Regulators are now looking to non-financial institutions to determine the extent of the anti-money laundering procedures and protocols as part of their enforcement actions involving fraud and corruption.
- More robust AML and export controls compliance, frequently supported by technology, provides greater and more robust information to the FCPA compliance specialist to enable them to make a more well-rounded decision regarding use of third parties.

### GENERAL COMPLIANCE/HOT TOPICS TRACK

#### 108 Leveraging innovation and technology to enhance your compliance program and manage third party risk

*Monday, 11:00 AM – 12:00 PM*

**Pia Vining Senior Director**, Due Diligence, TRACE International

**Gregory Bates**, Counsel, Miller and Chevalier

- How companies can allocate compliance resources to more effectively identify, manage and mitigate bribery and other compliance related risks.
- Improving your anti-bribery risk assessment procedures: How to measure business bribery risk and develop an internal risk matrix.
- Reducing third party screening costs, overcoming due diligence obstacles and managing relationships.

### GENERAL COMPLIANCE/HOT TOPICS TRACK

#### 109 If the Wall Street Journal Calls, Will You Be Ready?

*Monday, 11:00 AM – 12:00 PM*

**Grace E. Keith**, Managing Director, Caliber Corporate Advisers

**Ben DiPietro**, Editor-Reporter, Wall Street Journal

**Kitty Holt**, Ethics & Compliance Officer, Plan International USA

- In this interactive media training session, we will discuss common media interview pitfalls and ways to avoid them as well as some key tips on how to handle typical media inquiries - from a PR professional and editor with decades of experience.
- As the media continues to take a closer look at regulations, compliance and the compliance function within any organization (regardless of the size or industry), it's increasingly important that the Compliance team be ready for their next call from media.
- As compliance professionals face a number of challenges when it comes to ensuring the right message around compliance is portrayed to the broader public, the media can be a very valuable resource.

## ADVANCED DISCUSSION GROUPS

### AD1\* Big Picture E&C Program Challenges: A Day in the Life of the Successful Compliance Officer

*Monday, 11:00 AM – 12:00 PM*

**Greg A. Triguba**, Principal, Compliance Integrity Solutions

- 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.

## ADVANCED DISCUSSION GROUPS

### AD2\* Retaliation: Real or Imagined, How Are You Addressing It in Your Organization?

*Monday, 11:00 AM – 12:00 PM*

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

- This Advanced Discussion Group will focus on the challenges compliance professionals face preserving a "Speak-Up" culture in light of potential retaliation from others within their organizations.
- We'll discuss current events such as the challenges faced by organizations struggling to mend their cultures after being exposed for rampant misconduct.
- We'll identify and discuss best practices employed by session participants.

## ADVANCED DISCUSSION GROUPS

### AD3\* Internal Investigations in the Yates Memorandum

*Monday, 11:00 AM – 12:00 PM*

**Kurt Stichter**, Interim Chief Compliance Officer, Tenneco Inc.

- The Yates Memorandum has increased government focus on criminal prosecutions of individuals.
- Corporate internal investigation programs have to incorporate improvements needed to meet the standards set out in the Yates Memorandum.
- This Advanced Discussion Group will focus on common challenges companies face in improving their internal investigation programs.

**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 Privacy from Zero to Sixty - Developing a Global Privacy Program

*Monday, 1:30 – 2:30 PM*

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

**Michelle Beistle**, Counsel and Chief Compliance Officer, Unisys Corporation

**Marian Waldmann Agarwal**, Of Counsel, Morrison & Foerster LLP

- This session will discuss how to develop a global privacy program, with a practical focus.
- It will include two perspectives from Privacy Officers: First, how to start a program from the beginning, where none exists; and, second, how to enhance an existing program and take it to the next level.
- There will be a risk-based focus on addressing requirements related to notice, collection and use of information, cross-border data transfer agreements, supervision of third party providers, and security measures. We also will discuss lessons learned.

## ETHICS TRACK

### 202 Transformational Narratives: Where Ethics and Corporate Compliance Meet

*Monday, 1:30 – 2:30 PM*

**Douglas Kelly**, Lead Legal Editor, EverFi

**Carmen Poole**, Lead Instructional Writer, Everfi

- How to teach ethics. Ethics compliance training is well established, but not always effective. We identify critical tools that compliance professionals can use to reinforce their organization's ethics programs.
- How ethics facilitates compliance. When employees are taught ethics effectively, they become motivated and empowered to "do the right thing." We explain how "doing the right thing" relates to modern compliance programs.
- How to achieve compliance. When employees are motivated and empowered, they create a culture of compliance. We provide steps to guide along a culture of compliance within an organization.

## CASE STUDY TRACK

### 203 Case Study: The Story of AppNexus: How C-Level Commitment Creates an Ethical Culture

*Monday, 1:30 – 2:30 PM*

**Janine Yancey**, President & CEO, Emtrain

- Case study for ethics & compliance training from global technology leader AppNexus, including leadership's commitment to build a culture that views ethical decision-making as a competitive advantage and allows for mistakes as learning tools.
- Illustrate the role that creating an ethical culture plays in creating a high performing organization, then sharing best practices informed by real successes and challenges for implementing this approach in attendees' own organization.
- Demonstrate ROI of innovative workforce training methods versus 'check the box' trainings and detailed use cases, including immersive ongoing dialogue, Emtrain's Workplace Color Spectrum, and social engagement tool.

## INTERNATIONAL/MULTI-NATIONAL TRACK

### 204 Due process: Build confidence in your compliance investigation process and convey a positive tone at the top

*Monday, 1:30 – 2:30 PM*

**Cedric Bourgeois**, Principal Investigator, UNESCO

- Meet the challenge of maintaining consistent policies throughout an organization spanning multiple jurisdictions despite the different legal frameworks relating to admissibility of evidence, data privacy and labor law.
- Implementing the due process involves a review and also the development of behavioral skills that will show in the interactions with witnesses and subjects.
- Beyond the legal aspects, the due process will convey positive values and reduce resentment or mistrust. Even better, it might lead investigations to become a catalyst for social dialogue and for a culture of integrity.

## COMPLIANCE LAWYER TRACK

### 205 Background Screening Compliance Essentials

*Monday, 1:30 – 2:30 PM*

**Angela Preston**, Senior VP and Counsel, Corporate Ethics and Compliance, Sterling Talent Solutions

- Attendees will learn about the recent wave of class action cases alleging FCRA violations in the background screening process. The session will cover the specific sections of the FCRA where employers are at risk, and offer tips and best practices.
- Participants will learn how to update their policies and procedures to be in compliance with the 2012 EEOC Guidance and avoid being the next enforcement target. The session will cover recent litigation and offer practical solutions and templates.
- This session will identify cities and states with ban the box laws and jurisdictions with new restrictions on criminal background checks. Learn how to update your applications, policies and procedures to comply with ban the box and other state laws.

## IT COMPLIANCE TRACK

### 206 The Compliance Officer and the Digital Era

*Monday, 1:30 – 2:30 PM*

**Samantha Simms**, Global Data Protection and Privacy Officer, Carlson Wagonlit Travel

**Johan E. Thorell**, Director EMEA Compliance, Carlson Wagonlit Travel

- My company has a new digital strategy. What should I do now? Avoiding common privacy pitfalls when carrying out privacy impact assessments for new digital products and processes.
- Regulating without regulations. Managing the risks from emerging trends in big data analytics, virtual commerce, smart environments and robotics.
- IT 3.0 brings business opportunities and compliance challenges in equal measure. Learn how to redesign your organization's privacy program for new digital business initiatives.

## GENERAL COMPLIANCE/HOT TOPICS TRACK

### 207 From Oversight to Impact: 3 Critical Ways Your Board Can Make a Difference in Compliance

*Monday, 1:30 – 2:30 PM*

**Erica Salmon Byrne**, EVP, Ethisphere Institute

- Too often, boards settle for passive oversight of compliance programs, missing out on opportunities for more active, and effective, roles that only the board can perform.
- Learn how your board can make a powerful impact on compliance results through active involvement in three key areas: supporting the CCO, promoting C-Suite compliance and ethical leadership, and instilling a positive organizational culture.
- Understand the unique synergies and connections between these initiatives – how efforts in each area contribute to success in the others.

## GENERAL COMPLIANCE/HOT TOPICS TRACK

### 208 Compliance is Ruff: A Dog's Approach

*Monday, 1:30 – 2:30 PM*

**Kimberly A. Lansford**, Chief Compliance Officer, Penn State Health

**Carol Lansford**, Executive Director, Valor Service Dogs

**Gabe II**, Service Dog, Warrior Canine Connection

- Techniques used in the service dog training industry to gain compliance and correct unwanted behaviors.
- Methods used 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.

## RISK TRACK

### 209 Identifying and Controlling Compliance Risk When Providing Services to the U.S. Government

*Tuesday, 1:00 – 2:00 PM*

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

**Danica Irvine**, Senior Attorney, Department of Defense Office of General Counsel

- When contractor employees are working side-by-side with government employees, they face unique compliance and ethics issues that can trip up even the most well-intentioned employees. Normally innocuous working relationships can trigger violations.
- Acceptance of gifts, protection of proprietary and non-public data, travel arrangements, office solicitations of employees and the revolving door of present risks that must be addressed before the issues arise.
- This presentation provides guidance from experienced contractor and government ethics officials on how to identify and address the unique compliance risks when contractor and government employees work as a team.

## ADVANCED DISCUSSION GROUPS

### AD4\* The ABCs of Conflicts of Interest: Awareness, Bias and Corruption

*Monday, 1:30–2:30 PM*

**Cynthia S. Morrison**, Legal Project Manager, Armstrong Teasdale, LLP

- Awareness: Disclosure is often the organization's solution to conflicts of interest. How effective is disclosure as a remedy? Transparency is good; accuracy and objectivity are better.
- Bias: Do you underestimate the severity of bias caused by conflicts? Can we properly navigate conflicts with objectivity? Consider the opposite – what are you inclined to believe?
- Corruption cannot exist without a conflict of interest. Often the corrupt act and/or inherent conflict go undetected for years. Understanding the relationship between conflicts and corruption can lead to new ways to deter and detect misconduct.

## ADVANCED DISCUSSION GROUPS

### AD5\* Dealing With Short-Term Orientation Management

*Monday, 1:30–2:30 PM*

**Theodore L. Banks**, Partner-President, Scharf Banks Marmor LLC – Compliance & Competition Consultants, LLC

- What are common arguments used to resist investment in compliance programs?
- What examples are available to demonstrate the value of compliance to short-term investors?
- What can be used to make compliance part of the business plans of private equity/venture capital companies?

## ADVANCED DISCUSSION GROUPS

### AD6\* Instant Benchmarking for Your Important Issues

*Monday, 1:30–2:30 PM*

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

- Participants will drive this session. They will identify important issues they would like to see addressed by their peers.
- Steve Priest will select about a dozen of these issues and use anonymous voting technology as well as roundtable conversation to provide instant insight and benchmarking.
- Participants will leave the session with practical, actionable steps to take back to their organizations.

**2:30 – 3:00 PM**

### Networking Break in Exhibit Hall

**3:00 – 4:00 PM**

### CONCURRENT BREAKOUT SESSIONS

## RISK TRACK

### 301 The Risks in Assessing Risk

*Monday, 3:00 – 4:00 PM*

**Adam Turteltaub**, Vice President, Strategic Initiatives and International Programs, SCCE/HCCA

- We'll look at behavioral research that shows how bad humans can be at assessing risk.
- Interactive segments will test the audience's ability to assess risk and probability.
- Finally, this session will suggest how to avoid falling into the common traps.

## CASE STUDY TRACK

### 303 Ethics and Compliance Training from A to Z: How to Create Your Very Best Programs in 2017 Using both Proven Methods and the Latest Research

*Monday, 3:00 – 4:00 PM*

**Greg Walters**, Associate General Counsel, Peace Corps

- Review in detail all of the basic and advanced presentation elements required for both live and online ethics and compliance training.
- Learn how to create and present both short briefings and longer training sessions and understand how audience engagement can be managed in all situations.
- New for 2017: Review the latest in training techniques including how to structure training using emotional content and audience participation for outstanding and memorable programs that audiences will love and remember.

## INTERNATIONAL/MULTI-NATIONAL TRACK

### 304 The Never Ending Story: Money Laundering

*Monday, 3:00 – 4:00 PM*

**Mónica Ramírez Chimal**, Managing Director/Partner, Asserto RSC

- Definition of key concepts in order not to misunderstand money laundering and the difference with terrorist financing.
- New for 2017: presentation of different cases of money laundering worldwide for financial and non-financial sectors to gain a deeper understanding of how the criminal does it.
- An update of basic controls any company should have to protect itself from money laundering in accordance with key international regulations.

*\* 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.*



## COMPLIANCE LAWYER TRACK

### 305 Recent Developments in Compliance and Ethics Law

*Monday, 3:00 – 4:00 PM*

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

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

- Review recent developments in U.S. and other law related to compliance and ethics, including case law, deferred prosecution agreements and C&E-related government pronouncements.
- Explore the legal treatment of privilege in the C&E context, whistleblower cases, cases regarding director and officer compliance oversight responsibilities, and other C&E-related case law developments.
- Consider strategies and advantages of using C&E legal developments in risk assessment, training and in other ways to enhance your program.

## IT COMPLIANCE TRACK

### 306 Data Discovery and Classification - A Digital Swiss Army Knife for Privacy and Security Compliance

*Monday, 3:00 – 4:00 PM*

**Scott M. Giordano**, Director, Data Protection and Managed Privacy Services, Robert Half Legal Consulting

- Data Discovery and Classification (DDC) is the identification of the sensitivity of a given electronic communication, document, or file, and tagging it accordingly.
- When integrated with policies, procedures, and controls, it offers a disproportionate ability to meet privacy, security, and information governance compliance requirements (GDPR, HIPAA, PCI-DSS, DFARS).
- In this presentation, we'll examine how DDC works in principle and review case studies of DDC success in practice.

## GENERAL COMPLIANCE/HOT TOPICS TRACK

### 307 Can't Miss Insights from the 2017 Hotline Benchmark Report

*Monday, 3:00 – 4:00 PM*

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

**Eddy O'Mara**, Operations Manager, Advisory Services, NAVEX Global

- Learn how to compare internal hotline data year over year to help answer crucial questions about your compliance program effectiveness.
- Identify how your program's performance matches up to industry norms.
- Hear the most impactful findings from the NAVEX Global 2017 Ethics & Compliance Hotline Benchmark Report, and how they can be applied to your organization's E&C program.

## GENERAL COMPLIANCE/HOT TOPICS TRACK

### 308 Linguistic Cues to Deception

*Monday, 3:00 – 4:00 PM*

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

- This brand new session will present recent research on linguistic cues to deception. You will watch videos and examine transcripts to look for scientifically validated signs of deception and truthfulness.
- Learn the significance of potential cues to deception, such as the amount of detail, presence of verifiable details, presence of spatial, temporal, and process oriented details, use of equivocations, use of pronouns, and use of passive voice.
- Learn about Statement Validity Assessment, which looks for signs of truthfulness, such as a witness who tells the story in a chronologically disorganized manner, reproduces conversations, and describes her subjective mental state.

## GENERAL COMPLIANCE/HOT TOPICS TRACK

### 309 Turn of a Century: How does a company with over 100 years of history in the gas, electric and steam industry implement a corporate compliance program while the industry undergoes unprecedented changes?

*Monday, 3:00 – 4:00 PM*

**Tayo Kurzman**, Section Manager, Consolidated Edison of New York, Inc.

**Kevin Jamieson**, Dir BEC- Compliance Mgmt, Consolidated Edison Company of NY

- Define our brand: How to leverage an existing Ethics and Compliance program, while distinguishing the operational, regulatory compliance group and creating its own identity.
- Failure is an option: Create a compliance culture that fosters the ability for employees to identify and escalate issues and fix processes to become more compliant.
- Communication plan: Use simple messages and designated points of contact from stakeholder groups to roll out program information to business units; push out messages with a strong tone at the top while building support with management and line employees.

## ADVANCED DISCUSSION GROUPS

### AD7\* Challenges of working with Intermediaries in Emerging Markets

*Monday, 3:00–4:00 PM*

**Shin Jae Kim**, Multi-National/International Track Program Co-Chair; Partner, TozziniFreire Advogados, São Paulo, Brazil

**Renata Muzzi Gomes de Almeida**, Partner, TozziniFreire Advogados, São Paulo, Brazil

- How to react when you learn that a relevant intermediary is allegedly involved in a corruption scandal?
- Who should be involved to assess the situation?
- What kind of information you need to gather?

## ADVANCED DISCUSSION GROUPS

### AD8\* Suppliers and Other Third Party Engagement

*Monday, 3:00–4:00 PM*

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

- Explore the compliance risks that companies face in dealing with suppliers, partners, agents, business intermediaries and other third parties.
- Identify and share cost-effective best practices in the contracting, management, and oversight of third parties.
- Learn new strategies for implementing sound business practices that help to demonstrate due diligence and mitigate compliance risk.

## ADVANCED DISCUSSION GROUPS

### AD9\* Playing Well in the Sandbox: Developing and Sustaining Effective Relationships with Your Business Partners

*Monday, 3:00–4:00 PM*

**Karen M. Aavik**, SVP/Director of Corporate and Wholesale Practices, KeyBank, N.A.

- Explore effective ways to become – and remain – engaged with your business partners.
- Identify proven methods for delivering key compliance messages in an effective and constructive manner.
- Learn critical “do’s” and “don’ts” for ensuring productive partnerships throughout your compliance career.

*4:00 – 4:30 PM*

### Networking Break in Exhibit Hall

*4:30 – 5:30 PM*

## CONCURRENT BREAKOUT SESSIONS

## RISK TRACK

### 401 Conflicts of Interest: Exploring Best Practices

*Monday, 4:30 – 5:30 PM*

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

- Overview of conflicts of interest risk and its impact on organizations.
- Explore the conflicts of interest compliance controls of leading organizations, including conflicts policies, training, and oversight.
- Review conflicts of interest questionnaires, approval methodologies and audits.

## ETHICS TRACK

### 402 Fostering an Ethical Culture Through Leadership: Challenges, Risks, and Rewards

**Monday, 4:30 – 5:30 PM**

**Rick L. Crosser**, Professor of Accounting, Metropolitan State University of Denver

- Session attendees will benefit from a series of real-world case study videos which amplify barriers to ethical behavior and leadership.
- Attendees will explore why good people sometimes do evil and assess ways to change moral reasoning by re-examining organizational ethics and values and using them as guiding stars.
- Attendees will identify leadership challenges when ethical dilemmas surface and how to become resilient to unexpected, often tumultuous change.

## CASE STUDY TRACK

### 403 Fostering a Compliance Culture at Travelers

**Monday, 4:30 – 5:30 PM**

**Stacy Walsh**, Senior Counsel, Legal, The Travelers Companies, Inc.

**Jennifer Drost**, Chief Ethics and Compliance Officer & Senior Counsel, Travelers Canada

**Tim Glasby**, Compliance Director (Solicitor) & MLRO, Europe, Travelers

Learn how Travelers works across international business units to create a cohesive culture of compliance by:

- Implementing “ethical culture” training to supplement the Travelers Code of Business Conduct and Ethics.
- Developing a communication strategy to keep focus on compliance and the Code outside of the annual Code training and certification.
- Embedding compliance into the business culture by developing the group as a strategic business partner.

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

*\*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.*

## COMPLIANCE LAWYER TRACK

### 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**, Chief Counsel, Investigations, The Boeing Company

- Internal investigations - how to protect privileged communications and attorney work product during an internal investigation: Legal, ethical, and practical considerations.
- Government investigations - what to do when the government comes knocking: additional factors to consider regarding the privilege and work product protection in the midst of a government investigation.
- Cooperating with the government while protecting the privilege and attorney work product and the use and treatment of privileged information and work product in a government investigation.

## IT COMPLIANCE TRACK

### 406 Lessons Learned in Compliance Automation at NSA – Leveraging Technology to Aid the Compliance Profession

**Monday, 4:30 – 5:30 PM**

**Jason Marburg**, Compliance Officer, National Security Agency

**Melissa Lippie**, Technical Director, National Security Agency

- Managing rules and requirements – Gain a deeper understanding of how to integrate compliance processes based on common knowledge of the legal and policy rules rather than ad hoc procedures based on limited interpretation. This enables organizations to link operational activities to the rules under which they apply.
- Operating under multiple rule sets – Explore the challenges associated with the complexity and volume of rules in organizations and learn how technology can offer the best option for addressing this increase in scale and complexity.
- Automation activities – In this area, we will cover automation of rules for business functions, internal controls and monitoring, and compliance activities. Discover the lessons learned from NSA's perspective, to include challenges and dependencies.

## GENERAL COMPLIANCE/HOT TOPICS TRACK

### 407 Program & Ethical Tone Assessment Tradecraft of Independent Corporate Monitors

**Monday, 4:30 – 5:30 PM**

**John Hanson**, President, International Association of Independent Corporate Monitors

- Scope and role(s) of Independent Corporate Monitors.
- Techniques used by Monitors to assess Corporate Compliance & Ethics Programs.
- Techniques used by Monitors to assess Ethical Tone.

## GENERAL COMPLIANCE/HOT TOPICS TRACK

### 408 Is It Time for an Incentive Mine Sweep?

**Monday, 4:30 – 5:30 PM**

**Richard T. Bistrong**, CEO, Front-Line Anti-Bribery LLC

**Marc Hodak**, Partner, Farient Advisors, LLC

- Even the strongest accountability and compliance programs won't always overcome the problems of perverse incentives. Moreover, most bad incentive systems remain invisible to management until it's too late.
- Formal incentive programs often have design features that create unintended consequences. Look at Wells Fargo, & VW, among others, for examples of how even well intentioned goals can go awry and channel behaviors in unintended directions.
- Hear from a leader and respected Professor in compliance and governance systems, along with someone who spent his entire career in a heavily incentivized environment, for how you can look for, and mitigate, incentive land mines in your organization.

## ADVANCED DISCUSSION GROUPS

### AD10\* Tools for Enhancing Employee Participation in Training

**Monday, 4:30 – 5:30 PM**

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

- Getting employees to pay attention to your training.
- Helping them enjoy the training.
- Track results of your training.

## ADVANCED DISCUSSION GROUPS

### AD11\* From Bangkok to Bogota and Boston to Brussels, Global ABC and FCPA Benchmarks, Best Practices and Bootcamps – One Size Does Not Fit All

**Monday, 4:30 – 5:30 PM**

**Jay Rosen**, VP Business Development & Monitoring Specialist, Affiliated Monitors, Inc.

- 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?

## ADVANCED DISCUSSION GROUPS

### AD12\* Hindsight – What Worked and What Didn't Work in Our Aim to be Effective Ethics and Compliance Officers

**Monday, 4:30–5:30 PM**

**Sonal J. Shah**, Chief Ethics and Compliance Officer, Stanford University

- What worked: Technical skills – most important being subject matter expertise, communication skills – most important being active listening, leadership skills – most important being integrity.
- What didn't work: Lack of respect, humility, patience, quality and timeliness.
- Tools shared: Communication, reporting, management and leadership tools; including the Sutton Rectangle, Dimensions of Success Triangle, Continuum of Professional Growth, the Venn Diagram of Risk, etc...

**5:30 – 7:00 PM**

### Networking Reception in Exhibit Hall *Sponsored by Assent Compliance*

**7:00 – 9:00 PM**

### International Compliance & Ethics Awards Dinner (RSVP)

## TUESDAY, OCTOBER 17

**6:30 – 7:30 AM**

### Group Fitness (Pre-registration required)

**7:00 AM – 5:30 PM**

### Registration Open

**7:00 – 8:15 AM**

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

**8:15 – 8:30 AM**

### Opening Remarks

**8:30 – 9:30 AM**

### Keynote Address - Easiest Catch: Don't be Another Fish in the 'Net'

**Mark Lanterman**, Chief Technology Officer, Computer Forensic Services

- Realistic advice for cyber protection
- Recent, high profile cyber-crime events in the news
- The dangerous threats that could affect you

**9:30 – 10:30 AM**

### Keynote Address - Multipliers: How the Best Leaders Make Everyone Smarter

**Liz Wiseman**, Bestselling Author, Speaker & Executive Advisor, Author of *Multipliers: How the Best Leaders Make Everyone Smarter*

**10:30 – 11:00 AM**

### Networking Break in Exhibit Hall

**11:00 AM – 12:00 PM**

### CONCURRENT BREAKOUT SESSIONS

#### RISK TRACK

### 501 From FCPA Prosecutors to Company Protectors: Top 10 Lessons Learned from the Front Lines of FCPA Enforcement

**Tuesday, 11:00 AM – 12:00 PM**

**Nathaniel Edmonds**, Partner, Paul Hastings LLP

**Maria Gonzalez Calvet**, Executive Counsel, GE Energy Mgmt. & GE Latin America

**Rebecca Rohr**, Vice President, Anti-Corruption and Global Trade, Ethics & Compliance Office, Hewlett Packard Enterprise

- Overview of 2017 Developments defining the risks, challenges, and enforcement trends in global hot spots around the world from Asia to Africa and the Americas.
- Analysis of new DOJ and SEC policies and past enforcement actions to improve your anti-corruption policies and procedures, internal audit program and investigative responses.
- Discussion of how to manage increasing anti-corruption risks with the same (or fewer) compliance resources.

#### ETHICS TRACK

### 502 How to Reduce Rationalization Risk in the Fraud Triangle through Effective Ethical Decision Making Training

**Tuesday, 11:00 AM – 12:00 PM**

**Fermeen Fazal**, Senior Counsel/Director of Compliance, Universal Pegasus International

- Have you tried to train employees on ethical decision making but find yourself repeating generic phrases like "walk the walk," "tone at the top," and "inner moral compass?" If you are ready for some fresh approaches, this session is for you!
- This session will describe a decision-making model using the great philosophers of the past with a practical set of questions that will guide your employees to the ethical choice when they land in a gray area.
- Learn how pop-culture can help employees understand and absorb ethics messaging, including movies, music, and books.

## CASE STUDY TRACK

### 503 Creating a Mobile First Code of Conduct

**Tuesday, 11:00 AM – 12:00 PM**

**Krishna Juvvadi**, Director, Uber Technologies, Inc.

**Michael Lane**, Managing Director, Designory

- Publicly-held companies, issuers under the Sarbanes-Oxley Act, are required to establish and communicate codes of conduct. Other privately-held companies, non-issuers, are also creating codes of conduct as part of their control environment.
- Whether written or communicated informally, a code of conduct defines behavior expectations for both management and other employees.
- Uber and Designory created a mobile first code of conduct that allows our employees to access the code on their smartphones. Smartphone access allows them to quickly find answers to common questions and access policies and trainings while in the field.

## INTERNATIONAL/MULTI-NATIONAL TRACK

### 504 Culture & Compliance: Strategies for Africa

**Tuesday, 11:00 AM – 12:00 PM**

**Letitia Adu-Ampoma**, Director, Peverett Maxwell (Africa)

- Common challenges to implementing international compliance standards/frameworks in African subsidiaries and operations.
- Solutions - It's all in the psychology, the communication and the approach.
- Rules vs Principles : Stories to learn from.

## COMPLIANCE LAWYER TRACK

### 505 How to Determine if an Incident is a Data Breach to Meet Compliance Obligations

**Tuesday, 11:00 AM – 12:00 PM**

**Alex Wall**, Sr Counsel & Global Privacy Officer, RADAR

- Understand the complexities of the data breach legal and regulatory landscape and how you fit into it.
- Learn how to assess and diagnose if your privacy or security incident is a reportable breach that requires notification.
- Learn best practices to protect your customers' sensitive data, your reputation, how to minimize risks, and fulfill compliance obligations with state and federal laws, and your business partners

*\* 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.*



## IT COMPLIANCE TRAK

### 506 Everyone should have an IT compliance officer or suffer the consequences: Why the IT compliance function matters and how it can boost company-wide compliance efforts

*Tuesday, 11:00 AM – 12:00 PM*

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

- Reasons why IT compliance can make or break compliance program within the company.
- How to make IT compliance enhance overall compliance.
- Discuss problems and remedies in implementing a robust IT compliance program.

## GENERAL COMPLIANCE/HOT TOPICS TRACK

### 507 Building a Compliance Champion Network

*Tuesday, 11:00 AM – 12:00 PM*

**Karl Schneider**, Assoc Mgr Sales Compliance, AGDC

- This session will discuss the value of a Compliance Champion Network for building a culture of responsibility.
- A Compliance Champion Network can be key in helping to drive Tone at the Middle.
- We will review the history of a highly successful Compliance Champion Network that has been in existence for 11 years.

## GENERAL COMPLIANCE/HOT TOPICS TRACK

### 508 10 Easy Hacks to Give Your Ethics & Compliance Program a Boost

*Tuesday, 11:00 AM – 12:00 PM*

**Caveni Wong**, Founder and Principal, Principle Compliance

- Improving your E&C program can be easier and less costly than you think.
- It takes a little perspective and time (start with an hour a week) away from the weeds to do things that can make a big difference.
- Learn 10 easy hacks from this presentation that will give your program a big boost.

## ADVANCED DISCUSSION GROUPS

### AD13\* Breaking Down the Walls of How We Communicate to the Workforce and Support Functions

*Tuesday, 11:00 AM – 12:00 PM*

**Richard T. Bistrong**, CEO, Front-Line Anti-Bribery LLC

- How can compliance leaders get others in the organization, including those in support functions, to understand that ethics and compliance is “everyone’s business?”
- How can compliance leaders communicate and express themselves in ways which are understandable and compact, while enduringly powerful?
- If the goal is that “what we expect to be happening is actually happening,” how can we break down organizational walls to ‘lean in,’ and get to ‘what we don’t know.’

## ADVANCED DISCUSSION GROUPS

### AD2b (repeat)\* Retaliation: Real or Imagined, How Are You Addressing It in Your Organization?

*Tuesday, 11:00 AM – 12:00 PM*

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

- This Advanced Discussion Group will focus on the challenges Compliance Professionals face preserving a “Speak-Up” culture in light of potential retaliation from others within their organizations.
- We’ll discuss current events such as the challenges faced by organizations struggling to mend their cultures after being exposed for rampant misconduct.
- We’ll identify and discuss best practices employed by session participants.

## ADVANCED DISCUSSION GROUPS

### AD8b (repeat)\* Suppliers and Other Third Party Engagement

*Tuesday, 11:00 AM – 12:00 PM*

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

- Explore the compliance risks that companies face in dealing with suppliers, partners, agents, business intermediaries and other third parties.
- Identify and share cost-effective best practices in the contracting, management, and oversight of third parties.
- Learn new strategies for implementing sound business practices that help to demonstrate due diligence and mitigate compliance risk.

*12:00 – 1:00 PM*

## Networking Lunch

*1:00 – 2:00 PM*

## CONCURRENT BREAKOUT SESSIONS

## RISK TRACK

### 601 Corporate Culture: Does Yours Offer More “Shock” than “Awe”? A Practical Overview and Tips for Cultural Assessments and Tune-Ups

*Tuesday, 1:00 – 2:00 pm.*

**Beth Colling**, Vice President and Chief Compliance Officer, CDM Smith, Inc.

**Peter C. Anderson**, Attorney, Beveridge & Diamond, P.C.

- Learn key concepts around corporate culture, the importance of culture and why it matters.
- Discover the factors that contribute to a cultural decline.
- Obtain a checklist of signals for detecting “good” culture versus a “bad” one, complete with steps to help promote and maintain a positive corporate culture.

## ETHICS TRACK

### 602 Transformational Leadership: Raising the Ethical Bar

*Tuesday, 1:00 – 2:00 PM*

**Patricia Colombo**, Legal, Compliance and RA Director, FUJIFILM do Brasil

- Understanding the role of leadership in an effective compliance program.
- Making leaders advocate on behalf of Compliance.
- How to create an ethical organizational climate through the leadership.

## CASE STUDY TRACK

### 603 Bids Gone Bad: Lessons Learned from Planning a Procurement Fraud Training

*Tuesday, 1:00 – 2:00 PM*

**Krystle M. Baker**, Investigator, City of Philadelphia Office of Inspector General

**Stephanie F. Tipton**, Deputy Chief Integrity Officer, City of Philadelphia

- This case study details the implementation of a training to help participants identify and prevent wrong-doing in the contracting process at the City of Philadelphia.
- Issues such as contractor over-billing, bribes and kickbacks, and conflicts of interest are explored in this interactive training program.
- We will also share lessons learned from planning this training and provide some tips on how to tailor our training to meet your organization's needs.

## INTERNATIONAL/MULTI-NATIONAL TRACK

### 604 Data Privacy and Ethics

*Tuesday, 1:00 – 2:00 PM*

**Robert J. Bond**, Partner & Notary Public, Bristows LLP

**Jennifer Lattimore**, Sr. Counsel, WestRock

**Art Hernandez**, Director of Global Compliance, RPM International Inc.

- Was privacy a guiding principle when the internet was created?
- What roles do ethics and transparency play in the digital economy?
- Why ethics, privacy by design and accountability are fundamental to data privacy compliance.

## COMPLIANCE LAWYER TRACK

### 605 Antitrust Compliance Considerations for Lawyers

*Tuesday, 1:00 – 2:00 PM*

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

**Michael Paik**, Regional Compliance Officer North America, thyssenkrupp North America, Inc.

- What do the regulators look for in an antitrust compliance program?
- How your company can meet those expectations, both in the US and globally.
- How technology can complicate antitrust compliance matters, as well as help prevent and detect potential antitrust violations.

## IT COMPLIANCE TRACK

### 606 Monitoring Compliance in the Age of Artificial Intelligence: Lessons from the Caremark Case

*Tuesday, 1:00 – 2:00 PM*

**John DeLong**, CCEP, Berkman Klein Center for Internet & Society, Harvard University

## GENERAL COMPLIANCE/HOT TOPICS TRACK

### 607 How to prove your program works

*Tuesday, 1:00 – 2:00 PM*

**Ricardo P. Pellafone**, Founder, Broadcast

**John Partridge**, Partner, Gibson, Dunn & Crutcher LLP

- We're all familiar with best practices and benchmarking, but those can only tell you what you're doing relative to your peers; not whether your program actually works.
- And you need to be able to show your business leaders that your program works if you want continued funding, headcount, and influence.
- In this session, we'll walk through how to measure (in dollars) if your program is changing employee behavior without having to use surveys, quizzes, or external consultants.

## GENERAL COMPLIANCE/HOT TOPICS TRACK

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

*Tuesday, 1:00 – 2:00 PM*

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

**Judith L. Nocito**, Senior Advisor, Compliance Strategists

**Stephen M. Naughton**, Senior Adviser, StoneTurn Consulting

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

## ADVANCED DISCUSSION GROUPS

### AD14\* Responding to Global Compliance Risk in our Supply Chains

*Tuesday, 1:00 – 2:00 PM*

**Travis Miller**, General Counsel, Assent Compliance

- Review of the supplier, intermediary, and customer engagement relationship risks to corporations from a global supply chain perspective.
- Focus will be on identifying product (CE Mark, RoHS/ELV, REACH); behavioral (corruption/bribery, labor violations, slavery); and business continuity (code of conduct, trade regulations, contingency planning) risks and legal liabilities posed by third parties.
- Discussion of best practices for the corporate compliance department to identify risk, mitigate liabilities, and perform defensible due diligence on supply chain partners.

## ADVANCED DISCUSSION GROUPS

### AD10b (repeat)\* Tools for Enhancing Employee Participation in Training

*Tuesday, 1:00 – 2:00 PM*

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

- Getting employees to pay attention to your training.
- Helping them enjoy the training.
- Track results of your training.

### 2:00 – 2:30 PM Networking Break

### 2:30 – 3:30 PM CONCURRENT BREAKOUT SESSIONS

## RISK TRACK

### 701 Don't Buy Trouble in M&A Transactions: Effectively Managing Ethics and Compliance Risk During the Deal

*Tuesday, 2:30 – 3:30 PM*

**Kasey T. Ingram**, General Counsel & Chief Compliance Officer, ISK Americas Incorporated

- Provide an overview of the ethics; compliance challenges, considerations; risks that arise during the M&A transaction process.
- Share practical tips & solutions for effectively conducting pre-acquisition compliance due diligence & mitigating associated risk.
- Discuss strategies for effectively integrating ethics & compliance programs and related infrastructure once the deal closes.

## ETHICS TRACK

### 702 Pressure Points: Why Ethical People Make Unethical Choices from Prison to Redemption

*Tuesday, 2:30 – 3:30 PM*

**Marsha H. Ershaghi-Hames**, Managing Director Strategy & Development, LRN

**Rashmi Airan**, Ethics Keynote & Consultant, Ethics Integrated, LLC

- Reflections after Prison: Learn how ethical vigilance takes a moment-by-moment proposition.
- Discuss why doing the right thing, even when it hurts, can create opportunity.
- Gain a firsthand testimony around lessons learned and why it's important to build practice in recognizing blind spots.

## CASE STUDY TRACK

### 703 Building a Community, Building a Career

*Tuesday, 2:30 – 3:30 PM*

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

**Kira A. Fuller**, Compliance Officer, National Security Agency

- Learn how the National Security Agency built a skill community and fosters the development of its compliance professionals.
- Explore how the Agency identified core competencies, knowledge and skills, and a developmental path for compliance officers.
- Identify creative ways to offer training and other developmental opportunities for compliance professionals (even on a shoestring budget)!

## INTERNATIONAL/MULTI-NATIONAL TRACK

### 704 Latin America's Davids and Goliaths: Small and large economy lessons learned on fighting corruption and operating in the region

*Tuesday, 2:30 – 3:30 PM*

**Saskia Zandieh**, Attorney, Miller and Chevalier

**Alexina Guiomar Jackson**, Director and Senior Counsel, Ethics and Compliance, AES Corporation

- Recent anti-corruption developments in Latin American economies of all sizes, including: Lava Jato in Brazil; new legislation in Chile, Colombia, Mexico and Peru; Guatemala's investigation of a former president; and El Salvador's new AML legislation.
- What small and large Latin American countries might learn from each other in Latin America's fight against corruption.
- Best practices in the area of anti-corruption compliance for multi-national companies operating in Latin America.

## COMPLIANCE LAWYER

### 705 Structuring a successful C&E Department within the Legal Department

**Tuesday, 2:30 – 3:30 PM**

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

**Chris Miller**, North America Regional Compliance Officer, General Motors

**Ann Tkacs**, Managing Director of Ethics & Compliance, Southern Company Gas

**Heather Axe**, Associate General Counsel & Deputy Compliance Officer, Korn Ferry International

- Relationship between C&E and regulatory compliance.
- Jurisdiction of the Department.
- Relationship with General Counsel, CEO and Board.

## GENERAL COMPLIANCE/HOT TOPICS TRACK

### 706 From start-up to IPO - How to design and build a compliance program from scratch

**Tuesday, 2:30 – 3:30 PM**

**Sean Coutain**, Deputy Chief Compliance Officer, Snap Inc.

**Dominic Perella**, Deputy General Counsel, Snap Inc.

- Benchmarking
- Customization
- Automation

## GENERAL COMPLIANCE/HOT TOPICS TRACK

### 707 Organizational Sentencing Guidelines: Past, Present, and Future

**Tuesday, 2:30 – 3:30 PM**

**Kathleen Grilli**, General Counsel, US Sentencing Commission

**Eric O. Morehead**, Principal Consultant, Morehead Compliance Consulting

- The U.S. Sentencing Commission and the Evolution of the Organizational Sentencing Guidelines.
- Guidelines Influence and Current Sentencing Data on Organizations.
- What might the future hold for the Organizational Sentencing Guidelines?

## GENERAL COMPLIANCE/HOT TOPICS TRACK

### 708 Conducting an Internal Compliance Program Survey

**Tuesday, 2:30 – 3:30 PM**

**Ahmed Salim**, Regional Compliance Officer, Presence Health

- Importance of conducting a comprehensive and effective compliance survey.
- Implementing the survey within your organization and analyzing the results.
- Using the findings from the survey to drive process and outcome improvements.

## ADVANCED DISCUSSION GROUPS

### AD15\* Stories from the Front Lines and How You Can Learn from These Experiences

**Tuesday, 2:30 – 3:30 PM**

**Maryann Clifford**, Ethics & Compliance Professional

**Diane Nobles**, Ethics & Compliance Professional

- As ethics and compliance professionals, we know that compelling stories are one of the best ways to engage your workforce and help them learn. This session will share our most impactful experiences as Chief E&C Officers in four global companies.
- A candid discussion of what worked well within our businesses and teams and what did not work so well and why. We will share how external events shaped our work and roles.
- Be prepared for the unexpected when working in ethics and compliance as we follow the changes in our businesses. These stories will bring to life how you can use change to strengthen your function and the business.

## ADVANCED DISCUSSION GROUPS

### AD11b (repeat)\* From Bangkok to Bogota and Boston to Brussels, Global ABC and FCPA Benchmarks, Best Practices and Bootcamps – One Size Does Not Fit All

**Tuesday, 2:30 – 3:30 PM**

**Jay Rosen**, VP Business Development & Monitoring Specialist, Affiliated Monitors, Inc.

- 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?

**3:30 – 3:45 PM**

### Networking Break

**3:45 – 4:45 PM**

## CONCURRENT BREAKOUT SESSIONS

## RISK TRACK

### 801 Cyber Security: One of the Most Critical Risk Mitigation Efforts for Your Organization that Can Bridge the Gap between Compliance and Ethics

**Tuesday, 3:45 – 4:45 PM**

**Charles Shugg**, Partner/Chief Operating Officer, Sylint Group, Inc.

- CCEOs are guardians of an organization's inherent responsibility to protect employee, customer and shareholder interests. Reduce your organization's reputational risk as well as its brand by embracing proactive cyber security measures.
- Cyber security goes hand in hand with compliance and ethics. Both require smooth integration with business objectives, training and the fortitude to ensure the organization remains true to its respected reputation and brand.
- Increase the compliance and ethics arrows in your quiver. Champion cyber security measures and add teeth to your compliance efforts while denying the potential electronic "means and methods" to committing unethical behavior.

## ETHICS TRACK

### 802 Inside the Mind of the Whistleblower: Understanding What Motivates Employees to Report Ethical Concerns

**Tuesday, 3:45 – 4:45 PM**

**Karen M. Aavik**, SVP/Director of Corporate and Wholesale Practices, KeyBank, N.A.

- Identify what key factors motivate - and deter - potential ethics reporting program Callers, and how to use that information to enhance your firm's culture of ethics.
- Learn methods for identifying the presence of one or more of those factors within your organization, and how to mitigate the impact of those deterrents.
- Explore how to effectively communicate your findings to the Board of Directors and senior management, and to use that information to generate support for necessary changes within your firm.

## CASE STUDY TRACK

### 803 Small budget, small progress?

**Tuesday, 3:45 – 4:45 PM**

**Kitty Holt**, Ethics & Compliance Officer, Plan International USA

- The steps one non-profit took in carrying out a compliance program on a tight budget.
- The importance of prioritizing new activities across the seven elements of an effective program while building on previous work.
- The importance of internal and external benchmarking; relationship building; and other keys in making progress.

*\* 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.*



## INTERNATIONAL/MULTI-NATIONAL TRACK

### 804 Eradicating Human Trafficking - Compliance Challenges

*Tuesday, 3:45 – 4:45 PM*

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

**Ryan C. Berry**, CEO, Chaintegrity

- From Anti-Human Trafficking regulations in the U.S. to the U.K. Modern Slavery Act: Learn about global efforts to combat trafficking in all of its presentations and how you can position your compliance program for maximum compliance.
- In a global economy that includes unscrupulous manpower companies, debt bondage, document servitude and wage and housing violations, hear how compliance officers can address internal and supply chain risks.
- Learn best practices for effective identification of trafficking practices, effective compliance strategies and risk mitigation, and learn about current international and domestic enforcement efforts through case studies.

## COMPLIANCE LAWYER TRACK

### 805 US Government Contracting Compliance: Managing Supply Chain Ethics and Compliance Risk for the World's Single Largest Buyer

*Tuesday, 3:45 – 4:45 PM*

**Glenn A. Sweatt**, Counsel, Pillsbury Winthrop Shaw Pittman

**Richard Oliver**, Partner, Pillsbury Winthrop Shaw Pittman

- The US Government procures \$550 billion in goods and services annually, ranging from complex weapons systems to office supplies. Despite the market potential, pitfalls await unwary contractors who fail to appreciate the unique compliance risks.
- Attendees will learn about the broad based ethics and compliance issues for US Government contractors, with a focus on those areas that are uniquely different or are of heightened importance as compared to typical commercial contracts.
- Special focus will be given to flowdown requirements, and best practices for managing risk throughout your supply chain, especially in the foreign countries where the US Government carries out much of its contracting activity.

## IT COMPLIANCE TRACK

### 806 How to Get More LinkedIn Views than Roy: Practical Tips for Improving Your LinkedIn Profile & Getting Employers to Seek You Out

*Tuesday, 3:45 – 4:45 PM*

**Brenda K. Manning**, JD, CHC, CHPC, Privacy & Regulatory Affairs Director, University of Minnesota Physicians

- Learn valuable tips on how to set up your profile & engage on LinkedIn.
- Gain insight into how to avoid the online job application black hole.
- Learn how to be an online virtual interviewing superstar.

## GENERAL COMPLIANCE/HOT TOPICS TRACK

### 807 Government Focus on Whistleblower Retaliation

*Tuesday, 3:45 – 4:45 PM*

**Monica K. Loseman**, Partner, Gibson, Dunn & Crutcher LLP

**Tim McCormack**, Partner, Constantine Cannon LLP

**Sarah Poppy Alexander**, Attorney, Constantine Cannon LLP

- Recently, the U.S. Securities and Exchange Commission has sought to prioritize investigations and enforcement actions relating to whistleblower retaliation.
- This panel will review these recent enforcement actions and discuss what kinds of conduct may be viewed as sufficiently calling to internal corporate reporting as to warrant a government investigation and response.
- The panel will address how compliance professionals can balance the need to address, investigate and remediate internal reports of misconduct, while being careful not to run afoul of the government's increasing involvement in this area.

## GENERAL COMPLIANCE/HOT TOPICS TRACK

### 808 The Next Generation of Compliance Program Effectiveness: Moving From Bolt On to Built In

*Tuesday, 3:45 – 4:45 PM*

**Jennifer Childs Kugler**, Principal Executive Advisor, CEB, now Gartner

- Discover how compliance activities can become natural parts of business operations while reducing business drag and increasing program impact.
- Learn how to coordinate compliance activities with related assurance activities to avoid overlap and unnecessary burden on employees.
- Assess how employees rate the ease of working with Compliance, as they lose tolerance for projects perceived as outside of their core workload.

## WEDNESDAY, OCTOBER 18

**7:30 AM – 12:00 PM**

**Registration Open**

**8:00 – 9:30 AM**

**POST CONFERENCE BREAKOUT SESSIONS**

## RISK TRACK

### W1 Managing Trade Compliance Risks: Exports, Imports, Human Trafficking and other Challenges

*Wednesday, 8:00 – 9:30 AM*

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

- Explore the key components of a successful trade compliance program.
- Identify common trade compliance gaps and risk areas through discussion of real-life enforcement examples and risk mitigation strategies.
- Learn how Human Trafficking can disrupt your supply chain and the steps your company can take to prevent disruption of your business.

## ETHICS TRACK

### W2 Creating and Maintaining an Ethical Culture: How to get your employees to act ethically, even when no one is looking

*Wednesday, 8:00 – 9:30 AM*

**Jennifer Drost**, Chief Ethics and Compliance Officer & Senior Counsel, Travelers Canada

**Tim Glasby**, Compliance Director (Solicitor) & MLRO, Europe, Travelers

- How to efficiently train and engage an entire organization.
- Ideas on how to deliver the message outside of training on a consistent basis.
- How to elicit feedback and put ideas into place.

## CASE STUDY TRACK

### W3 General Electric's Risk Roll Up: Targeting the Elusive Tone in the Middle

*Wednesday, 8:00 – 9:30 AM*

**Joseph Suich**, Chief Compliance Officer & Counsel, GE Power

- The RRU is a multi-division wide, manager-led, employee driven compliance risk assessment, using a bottom up approach where each manager meets with her or his reports, selecting three of the 16 GE code of conduct topics to discuss.
- 1000s of questions are answered on the spot, thousands are put into a tool where a subject matter expert responds on both to the manager and the concern raiser. The manager then meets with their manager and so on until entire divisions are rolled up, with CEOs of the sub-divisions reporting out to the division CEOs on top compliance issues—as identified by their employees, not by leadership—and action items.
- The process works to drive the unknown unknown issues to the compliance team, makes managers in the middle the face of compliance, requires the managers to better understand the compliance topics to teach them and potentially results in the avoidance of major misses and business interruptions.

## INTERNATIONAL/MULTI-NATIONAL TRACK

### W4 Is it still possible to fly under the radar? The multiple layers of liability for overseas corruption that corporate officers and companies face and how compliance programs can address them

*Wednesday, 8:00 – 9:30 AM*

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

**Paul Haynes**, Lead Investigator, World Bank

- The multiple layers of national and international jurisdictions (World Bank, United Nations, Multilateral Development) that can lead to personal and corporate criminal and administrative liability for overseas corruption and fraud.
- 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.
- Compliance programs and negotiated resolutions that are available specifically to individuals to mitigate the risks of personal liability.

## COMPLIANCE LAWYER TRACK

### W5 Big Data and Secondary Uses of Data: Practical Tips to Avoid Privacy Pitfalls and Regulatory Risk

*Wednesday, 8:00 – 9:30 AM*

**Corey Dennis**, Director of Privacy & Counsel, PPD

**Asra Ali**, Compliance and Risk Manager, HealthScape Advisors

**Laura Merten**, Chief Privacy Officer, Advocate Health Care

- Explore pitfalls and regulatory risks involving the use of big data.
- Learn practical tips to ensure privacy compliance and leverage data for secondary uses.
- Learn best practices for the legal/ethical use of big data to facilitate the improvement of products/services, marketing campaigns, and patient health

## IT COMPLIANCE TRACK

### W6 IT Prevention Requires More Than 1 Day a Year - The Other 364 Days a Year

*Wednesday, 8:00 – 9:30 AM*

**Rick Shaw**, President, Awareity

- Understand how to address the weakest link within organizations - employees and third-party service providers - to ensure situational awareness, policy, procedure, training, and best practice information is continually shared to keep employees compliant.
- Ensure employee certification and compliance is trackable in order to have legal-ready, audit-ready documentation in the event of incidents or other issues, and understand the value and importance of having this real-time information.
- Discover how organizations can save time, money, and other resources by utilizing a central, secure, online platform to achieve compliance and certification tracking goals.

## GENERAL COMPLIANCE/HOT TOPICS TRACK

### W7 Around the World in 80 Minutes

*Wednesday, 8:00 – 9:30 AM*

**Jonathan Armstrong**, Partner, Cordery

**Mary Shirley**, Senior Director, Ethics and Compliance, Fresenius Medical Care North America

**Kristine Robidoux**, Senior Compliance and Regulatory Counsel, Gran Tierra Energy Inc.

- A comprehensive look at some of the main issues affecting compliance globally with a contrast and compare between the main theatres of operation - the Americas, EMEA and Asia Pacific.
- Top rated speakers discuss a wide range of issues including the cyber threat, bribery and corruption, workforce compliance issues (like modern slavery and immigration), privacy, the increasingly global nature of the media.
- Common threads running across borders will help you manage your global operations effectively whilst staying sensitive to local cultures.

## GENERAL COMPLIANCE/HOT TOPICS TRACK

### W8 Compliance Program 3.0 - The Data Driven Compliance Program

*Wednesday, 8:00 – 9:30 AM*

**Neha Gupta**, Chief Executive Officer, True Office Learning

**Lana D. Radchenko**, Director - Corporate Compliance, Sempra Energy

**Vinca Russell**, Global E&C Training and Comms Manager, Ingersoll Rand

**Luiza Wilson**, CCEP, Director, Global Compliance Programs, Hilton Worldwide

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

**9:30 – 9:45 AM Networking Break**

## 9:45 – 11:15 AM POST CONFERENCE BREAKOUT SESSIONS

## RISK TRACK

### W9 The Wolf In Sheeps Clothing: Do You Know Where Your Next Risk Is Coming From?

*Wednesday, 9:45 – 11:15 AM*

**Krista Muszak**, Global Compliance Manager, Tech Data

**Louis J. Perold**, Global Compliance Manager, Jabil

- 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 every changing world of risk management.
- Attendees will collaborate, discuss strategy, and share experience related to effective risk identification and management.
- Session takeaways will include leading practices for effective risk mitigation and how to stay proactive and vigilant to risk vulnerabilities.

## INVESTIGATIONS WORKSHOP

### W10 Join Our Investigation: An Experiential Session from Helpline Call to Final Report

*Wednesday, 8:00 – 9:30 AM*

**Wendy W. Evans**, Sr Corporate Ethics Investigator, Lockheed Martin

**Roxane MacGillivray**, Senior Ethics Investigator, Lockheed Martin

- This experiential learning session builds upon the excellent Investigations Workshop provided to attendees at the pre-conference workshop each year by Meric Bloch and colleagues.
- This session includes a mock investigation. Participants will take the first Helpline Contact and build their investigation from the investigation plan, interviews, evidence-gathering to investigative report.
- This session will provide key learning points to both the new and seasoned investigator to assist them in supporting their organizations.

## CASE STUDY TRACK

### W11 Impact of Compliance within Organizations

*Wednesday, 9:45 – 11:15 AM*

**Shawn Washington**, CEO, The Circle E Ranch

- Compliance professionals are critical in financial organizations in establishing a supervisory system that encourages standards of ethical conduct. Over the past few years, we have seen compliance professionals being held responsible for system failures.
- A recent study explores the impact of compliance within financial institutions as a way to understand the administration of effective programs to prevent deficiencies within firm policies.
- This session will discuss the two-year project and the challenges of compliance officers. It shares common themes, techniques, and practices which might be helpful to the compliance practitioner.

## INTERNATIONAL/MULTI-NATIONAL TRACK

### W12 Who is the Launderer?

*Wednesday, 9:45 – 11:15 AM*

**Mónica Ramírez Chimal**, Managing Director/Partner, Asserto RSC

- Let's think for a while like a criminal...in this way you will be able to find out why money laundering exists and why it keeps growing internationally.
- Discover which are the common weaknesses in companies worldwide...is your company protected? But more importantly, are you?
- Learn why people cross to the evil side and why money laundering should matter to all of us.

## COMPLIANCE LAWYER TRACK

### W13 Summary of Changes in Employment Regulations

*Wednesday, 9:45 – 11:15 AM*

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

**Adelle Elia**, Chief Integrity Officer, Louis Berger

- Understand the most significant E&C related policy changes since the new Administration took office.
- Get an overview of how the changes affect businesses and impact ethics and compliance programs.
- Become familiar with new focus and priorities for Federal Agencies including the Department of Homeland Security, Department of Labor, and Securities and Exchange Commission.

## IT COMPLIANCE TRACK

### W14 Handling a Cybersecurity Investigation: A Discussion with a Regulator, a Lawyer, and a Security Expert

*Wednesday, 9:45 – 11:15 AM*

**Jay J. Johnson**, Partner, Jones Day

**Chad Pinson**, Executive Managing Director, Stroz Friedberg

**Shamoi Shipchandler**, Regional Director, Fort Worth Regional Office, U.S. Securities

- The panel will provide a broad introduction to regulatory investigations and enforcement actions from FTC, FCC, SEC and others in the cybersecurity/privacy space.
- The panel will then engage the audience in a "mock" regulatory investigation of a hypothetical company by a hypothetical agency, soliciting real-time feedback from the audience on appropriate next steps for the company as the investigation develops.
- The presentation on whole will review regulatory requirements; best data protection practices; preservation, privilege and other litigation issues; and effectively interfacing with regulators.

## GENERAL COMPLIANCE/HOT TOPICS TRACK

### W15 Do-Re-Mi (Starting at the very beginning)

*Wednesday, 9:45 – 11:15 AM*

**Lisa Beth B. Lentini**, Assistant General Counsel, Compliance, Deluxe Corporation

**Kortney Q. Nordrum**, Investigations & Risk Consultant, Deluxe Corporation, Minneapolis, MN

- This session will help you bring to life the major steps you should take whether you have a new position, new boss, new business segment, strategy refresh or new responsibilities.
- Musical inspiration from the Beatles, Queen, Aerosmith, Kenny Rogers and ABBA is used to keep themes top of mind for the audience.
- Topics covered will include:- Introductions and making a great impression- Finding easy wins - Learning the business and/or new requirements - Talking strategy - Bringing everything together for the whole package.

## GENERAL COMPLIANCE/HOT TOPICS TRACK

### W16 Transforming Compliance & Ethics Learning - Lessons from 4 Financial Services Global Leaders

*Wednesday, 9:45 – 11:15 AM*

**Gary Collins**, Managing Director, Compliance Management Division, BNP Paribas

**Cassandra Knight**, Head of Company Compliance, Morgan Stanley

**Melinda Miller**, VP Manager Regulatory Compliance, HSBC

- Insights from industry practitioners on how to use learning to shape a culture of compliance and drive day-to-day ethical behavior.
- How to execute a learning program that satisfies both auditors and external regulators in your industry.
- Real world guidance on managing regional versus global compliance learning needs at complex, multi-national institutions.

**1:00 PM**

### Check-In for CCEP and CCEP-I Certification Exams

**1:30 – 4:30 PM**

### Certified Compliance & Ethics Professional (CCEP)<sup>®</sup> 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)<sup>®</sup> 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)<sup>®</sup> or the Certified Compliance & Ethics Professional – International (CCEP-I)<sup>®</sup> 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](http://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.





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.

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

List others not listed here: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

What certifications do you hold? Select all that apply.

- |                                 |                                |                                 |                               |                               |
|---------------------------------|--------------------------------|---------------------------------|-------------------------------|-------------------------------|
| <input type="checkbox"/> ACHE   | <input type="checkbox"/> CCS-P | <input type="checkbox"/> CIPP   | <input type="checkbox"/> LLM  | <input type="checkbox"/> PCI  |
| <input type="checkbox"/> AIC    | <input type="checkbox"/> CEM   | <input type="checkbox"/> CPA    | <input type="checkbox"/> MA   | <input type="checkbox"/> PhD  |
| <input type="checkbox"/> APA    | <input type="checkbox"/> CFE   | <input type="checkbox"/> CPC    | <input type="checkbox"/> MBA  | <input type="checkbox"/> PMP  |
| <input type="checkbox"/> BA     | <input type="checkbox"/> CGMS  | <input type="checkbox"/> CPHQ   | <input type="checkbox"/> MHA  | <input type="checkbox"/> RHIA |
| <input type="checkbox"/> BBA    | <input type="checkbox"/> CHC   | <input type="checkbox"/> CUSECO | <input type="checkbox"/> MPA  | <input type="checkbox"/> RHIT |
| <input type="checkbox"/> BS     | <input type="checkbox"/> CHE   | <input type="checkbox"/> DDS    | <input type="checkbox"/> MPH  | <input type="checkbox"/> RN   |
| <input type="checkbox"/> BSN    | <input type="checkbox"/> CHP   | <input type="checkbox"/> ESQ    | <input type="checkbox"/> MS   | <input type="checkbox"/> SADR |
| <input type="checkbox"/> CAMS   | <input type="checkbox"/> CHPC  | <input type="checkbox"/> FCA    | <input type="checkbox"/> MSHA | <input type="checkbox"/> SCLA |
| <input type="checkbox"/> CCEP   | <input type="checkbox"/> CHRC  | <input type="checkbox"/> FHFMA  | <input type="checkbox"/> MSN  |                               |
| <input type="checkbox"/> CCEP-I | <input type="checkbox"/> CIA   | <input type="checkbox"/> ISS    | <input type="checkbox"/> MT   |                               |
| <input type="checkbox"/> CCS    | <input type="checkbox"/> CIP   | <input type="checkbox"/> JD     | <input type="checkbox"/> NHA  |                               |

List others not listed here: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

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

- |   |  |
|---|--|
| <input type="checkbox"/> Accounting/Auditing                    | <input type="checkbox"/> Higher Education                  |
| <input type="checkbox"/> Administrative and Support Services    | <input type="checkbox"/> Hospitality/Tourism               |
| <input type="checkbox"/> Advertising/Marketing/Public Relations | <input type="checkbox"/> Human Resources/Recruiting        |
| <input type="checkbox"/> Aerospace/Aviation/Defense             | <input type="checkbox"/> Information Technology            |
| <input type="checkbox"/> Agriculture                            | <input type="checkbox"/> Installation/Maintenance/Repair   |
| <input type="checkbox"/> Airlines                               | <input type="checkbox"/> Insurance                         |
| <input type="checkbox"/> Architectural Services                 | <input type="checkbox"/> Internet/E-Commerce               |
| <input type="checkbox"/> Arts/Entertainment/Media               | <input type="checkbox"/> Law Enforcement/Security Services |
| <input type="checkbox"/> Automotive/Motor Vehicles/Parts        | <input type="checkbox"/> Legal                             |
| <input type="checkbox"/> Banking                                | <input type="checkbox"/> Manufacturing and Production      |
| <input type="checkbox"/> Biotechnical and Pharmaceutical        | <input type="checkbox"/> Military                          |
| <input type="checkbox"/> Chemical/Polymers/Fibers               | <input type="checkbox"/> Mining                            |
| <input type="checkbox"/> Computer Hardware                      | <input type="checkbox"/> Operations Management             |
| <input type="checkbox"/> Computer Services                      | <input type="checkbox"/> Personal Care and Service         |
| <input type="checkbox"/> Computer Software                      | <input type="checkbox"/> Publishing/Printing               |
| <input type="checkbox"/> Construction                           | <input type="checkbox"/> Purchasing                        |
| <input type="checkbox"/> Consulting Services                    | <input type="checkbox"/> Real Estate/Mortgage              |
| <input type="checkbox"/> Consumer Products                      | <input type="checkbox"/> Research & Development            |
| <input type="checkbox"/> Customer Service/Call Center           | <input type="checkbox"/> Restaurant and Food Service       |
| <input type="checkbox"/> Education/Training/Library             | <input type="checkbox"/> Retail/Wholesale                  |
| <input type="checkbox"/> Electronics                            | <input type="checkbox"/> Science                           |
| <input type="checkbox"/> Energy                                 | <input type="checkbox"/> Sports and Recreation/Fitness     |
| <input type="checkbox"/> Engineering                            | <input type="checkbox"/> Supply Chain/Logistics            |
| <input type="checkbox"/> Environmental Services                 | <input type="checkbox"/> Telecommunications                |
| <input type="checkbox"/> Finance/Economics                      | <input type="checkbox"/> Textiles                          |
| <input type="checkbox"/> Financial Services                     | <input type="checkbox"/> Tobacco                           |
| <input type="checkbox"/> Forest Products                        | <input type="checkbox"/> Transportation/Warehousing        |
| <input type="checkbox"/> Government/Policy                      | <input type="checkbox"/> Veterinary Services               |
| <input type="checkbox"/> Healthcare                             | <input type="checkbox"/> Utilities                         |
|   | <input type="checkbox"/> Waste Management Services         |
|   | <input type="checkbox"/> Other (please indicate below)     |

List others not listed here: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Are you a first-time attendee of this conference?

☐ This is my first Compliance & Ethics Institute

Registration continues on next page (over)

Registration

2. Please type or print your contact information

☐ Mr. ☐ Mrs. ☐ Ms. ☐ Dr.

Member ID

First Name MI

Last Name

Credentials

Email (Required for confirmation and conference information)

Job Title

Name of Employer

Street Address

City/Town

State/Province/Country Zip/Postal Code

Phone Fax

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.

SUNDAY, OCT 15 PRE-CONFERENCE	MONDAY, OCT 16	TUESDAY, OCT 17
<div><input type="radio"/> Professional Skills Development* 9:00 AM- 4:30 PM Breakouts 9 AM - 12 PM O P1 O P2 O P3 O P4 O P5 O P6 O P7 O P8 O P9 Breakouts 1:30 - 4:30 PM O P10 O P11 O P12 O P13 O P14 O P15 O P16 O P17 O P18 O P19</div>	<div><input type="radio"/> Group Fitness* 6:30 - 7:30 AM Breakouts 11 AM - 12 PM O 101 O 102 O 103 O 104 O 105 O 106 O 107 O 108 O 109 Breakouts 3 - 4 PM O 301 O 302 O 303 O 304 O 305 O 306 O 307 O 308 O 309 Breakouts 1:30 - 2:30 PM O 201 O 202 O 203 O 204 O 205 O 206 O 207 O 208 Breakouts 4:30 - 5:30 PM O 401 O 402 O 403 O 404 O 405 O 406 O 407 O 408</div>	<div><input type="radio"/> Group Fitness* 6:30 - 7:30 AM Breakouts 11 AM - 12 PM O 501 O 502 O 503 O 504 O 505 O 506 O 507 O 508 Breakouts 2:30 - 3:30 PM O 701 O 702 O 703 O 704 O 705 O 706 O 707 O 708 Breakouts 1:00 - 2:00 PM O 601 O 602 O 603 O 604 O 605 O 606 O 607 O 608 Breakouts 3:45 - 4:45 PM O 801 O 802 O 803 O 804 O 805 O 806 O 807 O 808</div>

ADDITIONAL NETWORKING OPPORTUNITIES

- ☐ SATURDAY, OCTOBER 14  
Volunteer Project\*
- ☐ MONDAY, OCTOBER 16  
International Compliance & Ethics Awards Dinner\* 7:00-9:00 PM (FREE)  
This is a ticketed event. You will receive your ticket upon checking into the conference onsite.
- SPEEDNETWORKING and SPEEDMENTORING require a separate registration form. Please see website for details and to sign up.

\*PRE-REGISTRATION REQUIRED

4. Choose your registration options

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

<input type="checkbox"/> SCCE Members Monday/Tuesday .....	\$1,149	after 10/1/17	\$1,199
<input type="checkbox"/> Non-Members: Monday/Tuesday .....	\$1,399	after 10/1/17	\$1,449
<input type="checkbox"/> New Membership & Registration* Monday/Tuesday .....	\$1,349	after 10/1/17	\$1,399
<input type="checkbox"/> Pre-Conference: Sunday Morning.....	\$175	after 10/1/17	\$175
<input type="checkbox"/> Pre-Conference: Sunday Afternoon .....	\$175	after 10/1/17	\$175
<input type="checkbox"/> Post-Conference: Wednesday .....	\$175	after 10/1/17	\$175
<input type="checkbox"/> Discount: 5 or more from same company.....	(\$100)	after 10/1/17	(\$100)
<input type="checkbox"/> Discount: 10 or more from same company.....	(\$150)	after 10/1/17	(\$150)

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

TOTAL \$

Special Request for Dietary Accommodation

☐ Gluten Free ☐ Vegetarian ☐ Vegan ☐ Kosher Style (no shellfish, pork or meat/dairy mixed)

☐ Kosher (Hechsher certified) ☐ Other

5. Choose your payment method

- ☐ INVOICE ME ☐ BY MAIL: Enclose application and check payable to SCCE:  
SCCE 6500 Barrie Road, Suite 250, Minneapolis, MN 55435
- ☐ BY FAX: +1 952 988 0146 - I authorize SCCE to charge my credit card

Due to PCI Compliance, please DO NOT provide any credit card information via email. You may email the application (without credit card information) and call SCCE at +1 952 933 4977 or 888 277 4977 with the credit card information.

CREDIT CARD: ☐ AmericanExpress ☐ MasterCard ☐ Visa ☐ Discover

Credit Card Account Number

Credit Card Expiration Date

Cardholder's Name

Cardholder's Signature

CEI2017

Use of your information - To find out how we may use your information please read our Privacy Statement at corporatecompliance.org/privacy.aspx. By submitting this registration form you agree to the terms and conditions, including the use of your information as stated on page 35.

## Terms and Conditions

**Use of Information:** Your information may be received by exhibitors at a conference as well as our affiliates and partners who we may share it with for marketing purposes. Please note that only postal address information is shared. If you wish to opt-out, please follow the process set out in the Privacy Statement.

**Agreements & Acknowledgements:** I agree and acknowledge that I am undertaking participation in SCCE events and activities as my own free and intentional act, and I am fully aware that possible physical injury might occur to me as a result of my participation in these events. I give this acknowledgement freely and knowingly and assert that I am, as a result, able to participate in SCCE events, and I do hereby assume responsibility for my own well-being. I agree and acknowledge that SCCE plans to take photographs and/or video at the SCCE Compliance & Ethics Institute and reproduce them in SCCE educational, news, or promotional material, whether in print, electronic, or other media, including the SCCE website. By participating in the SCCE Compliance & Ethics Institute, I grant SCCE the right to use my name, photograph, video, and biography for such purposes. As a participant of this event, your name, job title, organization, city, state, and country will be listed on the attendee list that will be distributed to attendees, speakers, and exhibitors of this event.

**Registration Payment Terms:** Checks are payable to SCCE. Credit cards accepted: American Express, MasterCard, Visa, or Discover. SCCE will charge your credit card the correct amount should your total be miscalculated. If you wish to pay using wire transfer funds, please email [helpteam@corporatecompliance.org](mailto:helpteam@corporatecompliance.org) for instructions.

**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 toward any SCCE service or product. If a credit is applied toward an event, the event must take place prior to the credit's expiration date. If you need to cancel your participation, notification is required by email, sent to [helpteam@corporatecompliance.org](mailto: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.

**Group Discounts:** 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.

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

**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.

## Ways to Register

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

**ONLINE** Visit [www.complianceethicsinstitute.org](http://www.complianceethicsinstitute.org)

**FAX** Include billing information and fax to +1 952 988 0146

**QUESTIONS?** Call +1 952 933 4977 or 888 277 4977 or email [helpteam@corporatecompliance.org](mailto:helpteam@corporatecompliance.org)

## Conference Hotel

### Caesars Palace

3570 Las Vegas Boulevard,  
 South, Las Vegas, NV 89109  
 Tel: 866-227-5944  
[bit.ly/caesars-hotel](http://bit.ly/caesars-hotel)

SCCE has contracted a block of rooms available at a discounted rate to conference participants at the conference hotel. Availability is limited. We recommend that you book your hotel room early with Caesars Palace directly either using the conference hotel booking site at <http://bit.ly/caesars-hotel> or call 866-227-5944.

**Hotel Reservations:** Please be advised that SCCE nor any hotel it is affiliated with will ever call you to make a hotel reservation. If you receive a call soliciting you to make a reservation on behalf of SCCE or the event, it is likely being made by a room poacher. This is an unsanctioned solicitation and may be fraudulent. We recommend that you make your reservations directly with the hotel, by using the phone number or link located within this brochure. If you have concerns or questions about the validation of a call, please feel free to contact +1 952.933.4977/ +1 888.277.4977 accordingly.

The group rate is \$229.00 per night for a standard room; rates quoted are for single/double occupancy plus tax (currently 12% per room per night and subject to change). A daily resort fee of \$25.00 (subject to applicable tax) will be added to your reservation upon check-in. The resort fee includes in-room high speed Internet each day (2 devices), daily access to the fitness room at our spa for 2, and local phone calls. When making your reservations via telephone, please reference SCCE Compliance & Ethics Institute 2017 to receive the special rate. Please note that upon booking your reservation, your credit card will be charged a deposit equal to the first night's room and tax. To avoid forfeiture of deposit, please ensure all changes and cancellations are made at least 72 hours prior to scheduled arrival date. These rates are good until Thursday, September 21, 2017 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.

**Hotel Guarantee and Cancellation 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 72 hours in advance of your confirmed arrival date to receive a refund of this deposit.

**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

6500 Barrie Road, Suite 250, Minneapolis, MN 55435 United States  
 PHONE +1 952 933 4977 or 888 277 4977 | FAX +1 952 988 0146  
[www.corporatecompliance.org](http://www.corporatecompliance.org) | [helpteam@corporatecompliance.org](mailto:helpteam@corporatecompliance.org)

LEARN MORE & REGISTER ONLINE  
[complianceethicsinstitute.org](http://complianceethicsinstitute.org)





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

The Society of Corporate Compliance & Ethics 16th Annual

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