



IN-PERSON OR VIRTUAL

20th Annual Compliance & Ethics Institute

September 19-22, 2021

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LAS VEGAS

SCCE's largest conference of the year! Choose from 94 sessions, led by industry professionals, that offer insights and practical solutions for better supporting your organization's compliance and ethics program.

The 2021 CEI includes both in-person and virtual educational opportunities.

IN-PERSON | SEPTEMBER 19-22, 2021

- In-person participants will have access to 94 live sessions to choose from, both virtual and in-person
- Network face-to-face with attendees, speakers, and solution providers
- Earn up to 30 live CCB CEUs
- Take an optional CCB certification exam on the last day

VIRTUAL | SEPTEMBER 20-22, 2021

- Virtual participants will have access to 47 sessions to choose from, including a mixture of live-streamed sessions from Las Vegas on Monday and Tuesday and live virtual sessions on Wednesday
- Earn up to 21.6 live CCB CEUs

Attendees receive access to select on-demand sessions for 60 days starting two weeks after the conference.

Learn more
corporatecompliance.org/2021cei



SCCE[®]
Society of Corporate
Compliance and Ethics

About



For 20 years, SCCE's Compliance & Ethics Institute has been our largest educational and networking event for compliance and ethics professionals across the country, offering attendees the latest in real-world compliance issues, emerging trends, and practical applications.

With many different options to choose from, educational sessions are led by industry leaders, categorized by knowledge level: basic, intermediate, or advanced.

SCCE's mission

The Society of Corporate Compliance and Ethics exists to champion ethical practice and compliance standards and to provide the necessary resources for ethics and compliance professionals and others who share these principles.

In-person and Virtual Opportunities

TOTAL SESSIONS

Sunday

Sunday concurrent sessions to choose from
Onsite SpeedNetworking activity
Fitness Challenge
Sunday evening Tailgate reception

Monday–Tuesday

Access to 3 general sessions Monday-Tuesday
Concurrent sessions to choose from
Exhibit Hall
Networking during scheduled breaks and meals
Fitness Challenge
Volunteer Project
Headshots
Author Book Signing
Access to the 20th Anniversary Reception

Wednesday

Concurrent sessions to choose from
Fitness Challenge
Afternoon onsite certification exam option

IN-PERSON	VIRTUAL
73	47
4	0
Yes	N/A
Yes	N/A
Yes	N/A
Yes	N/A
Yes	Yes
6	3
Connect with 20+ Solution Providers face to face	Download Solution Provider info and connect via email
Yes	N/A
Yes	N/A
Yes	N/A
Yes	N/A
Yes	N/A
Yes	N/A
5	3
Yes	N/A
Yes	No

In-person Activities and Networking Opportunities

Opening Tailgate Reception

Sunday, September 19
4:30–6:00 PM PDT

Make sure to pack your favorite team apparel and join us at our opening tailgate reception! It's a great conversation starter and a fun way to spot your fan friends (and rivals)!

20th Anniversary Networking Reception

Monday, September 20
5:00–6:30 PM PDT

For 20 years, the CEI has been bringing together compliance and ethics professionals from across the country! Join us as we celebrate these relationships, in style, for an evening of good food and good company. Connect with your peers to share your experiences and grow your network.

SpeedNetworking

Sunday, September 19
11:45 AM–12:45 PM PDT

Join us face to face and start networking again! Share your interests for a series of fast, fun meetings. You'll leave the session with new compliance contacts as we enter the new work world. Pre-registration is required. A boxed lunch is provided for pre-registered attendees only. Register Here

Tweet about the conference

Join the online conversation. Include #SCCEci with your online posts.

Fitness Challenge

Sunday, September 19–
Wednesday, September 22

Participate in the CEI Fitness Challenge! Challenge yourself and others to engage in healthy activities while you attend the conference. You can see those who are on-site in Las Vegas and other virtual attendees scores on a leaderboard. The challenge begins at 12:01 AM on Monday, September 20 and will close at 11:59 PM on Monday, October 4. More information can be found on the Fitness Challenge tab in the virtual platform.

Volunteer Project

Monday, September 20
7:15 AM–6:30 PM PDT

Tuesday, September 21
7:00 AM–1:00 PM PDT

Volunteer project area in the exhibit hall

In addition to networking with your peers and learning from experienced speakers, attending SCCE's 20th Annual Compliance & Ethics Institute gives you the opportunity to make a difference in the Las Vegas community. SCCE has partnered with PaintFest to bring a project onsite at this year's CEI to benefit the Foundation for Hospital Art. Stop by to help contribute to a multi-canvas painting. All murals will be donated to a Las Vegas-area hospital. The painting is set up through a color code technique and NO ARTISTIC EXPERIENCE is necessary. It's a great opportunity to meet your fellow conference attendees and let your creative side shine. Click here for more information on the Foundation for Hospital Art.

Headshots

Monday, September 20
7:15 AM–6:30 PM PDT

Tuesday, September 21
7:00 AM–1:00 PM PDT

Volunteer project area in the exhibit hall

Update your professional headshot! Visit the volunteer project area of the exhibit hall to find the headshot booth. Take your complimentary photo and it will be emailed directly to you.

Author Book Signing

Monday, September 20 from
9:30–10:30 AM PDT

SCCE booth

Come to the SCCE booth in the exhibit hall to purchase your personal copy of *The Accidental Compliance Professional* and *IntegrityWorks* signed by author Roy Snell, former SCCE & HCCA CEO. Books will be available for purchase at the SCCE booth or bring your own.

Check out COSMOS®

Navigate the compliance universe with help from our online content platform. It is interactive, versatile, and mobile-friendly. Visit the SCCE booth to see a demo of the capabilities of this exciting tool.

Connect with all exhibitors

Your badge barcode holds the demographic information you provided on your registration form (name, organization, address, city, state, zip code, phone number, and email address). Please note that any exchange of your contact information with exhibitors is at your discretion.

Thank you to our 2021 Compliance & Ethics Institute sponsors

Diamond



Gold



Silver



Bronze





Interested in becoming certified?

The Certified Compliance & Ethics Professional (CCEP)[®] and the Certified Compliance & Ethics Professional-International (CCEP-I)[®] exams will be offered at the in-person Compliance & Ethics Institute on Wednesday September 22, 2021.

Exam check-in: 1:15 PM

Exam Time: CCEP - 2:00 - 5:00 PM | CCEP-I - 2:00 - 6:00 PM

Cost: SCCE Members- \$275 | Non Members- \$375

Individuals must be preapproved to sit for the exams. To qualify, 20 CCB CEUs and the necessary work experience are required.

Compliance & Ethics Institute sessions qualify as follows: one clock hour equals 1.2 CCB CEUs.

For more information on how to apply for the CCEP or CCEP-I exams, visit the website corporatecompliance.org/certification.

Questions? Email: ccb@compliancecertification.org

Attending the Virtual Compliance & Ethics Institute? CCB also offers the flexibility for candidates to take their exam remotely or at a local testing site. Please visit corporatecompliance.org/examinformation for more information.



Schedule at a glance

ALL TIMES LISTED ARE IN PACIFIC DAYLIGHT TIME (PDT)

Sunday, September 19 Pre-Conference (In-person only)

8:00 – 9:30 AM Pre-Conference Breakout Sessions	P1 Polish Your Brand! Make Your Values Apply to Current Issues – Intermediate
	P2 Measuring Program Effectiveness with Data and Metrics – Intermediate
	P3 Conducting Remote Interviews in a Workplace Investigation – Intermediate
	P4 Building Boardroom Gravitas – Intermediate
9:30 – 10:00 AM	Break
10:00 – 11:30 AM Pre-Conference Breakout Sessions	P5 Managing the Most Difficult and Most Important Anti-Corruption Due Diligence Projects – Intermediate
	P6 Effective E&C Risk Management Practice: Program Essentials and Core Practice Considerations – Basic
	P7 How a Grassroots Movement Founded the Compliance Career Connection – Basic
	P8 Social Media: Old Platforms, New Risks – Intermediate
11:30 AM – 1:00 PM	Lunch (<i>On your own</i>)
11:45 AM – 12:45 PM	SpeedNetworking
1:00 – 2:30 PM Pre-Conference Breakout Sessions	P9 What Does Third-Party Compliance Monitoring Look Like in Real Life? – Intermediate
	P10 Board Oversight of Compliance Programs: A Key Driver for Program Independence and Authority – Intermediate
	P11 Sibling Rivalry: How to Manage the Relationship Between Ethics & Compliance and Human Resources – Advanced
	P12 How to Build an Effective Data Privacy Program – Basic
2:30 – 3:00 PM	Break
3:00 – 4:30 PM Pre-Conference Breakout Sessions	P13 Business vs. Private Ethics: Does Such a Distinction Exist/Even Make Sense? – Intermediate
	P14 #MeToo and #Blackat: Investigating Anonymous Workplace Harassment and Discrimination Claims – Intermediate
	P15 Infusing Diversity & Inclusion into Your Compliance Program – Basic
	P16 Synergies, Intersections and Opportunities between ESG and Compliance – Intermediate
4:30 – 6:00 PM	Opening Tailgate Reception (Don't forget to wear your favorite sports apparel!)

Monday, September 20

7:15 – 8:15 AM	Continental Breakfast in Exhibit Hall	
7:15 AM – 6:15 PM	Volunteer Project	
8:15 – 8:30 AM	Welcome and Opening Remarks	
8:30 – 9:30 AM	General Session 1: Canceling the Compliance Culture	Live Broadcast
9:30 – 10:30 AM	Networking Break in Exhibit Hall	
10:30 – 11:30 AM Breakout Sessions	101 A Risk-Based Approach to Managing Employee Hotlines: The Home Depot and International C&E Programs – Intermediate	Live Broadcast
	102 "Does Compliance Validate Parking?" Advice for CCOs on Managing Compliance Program Scope Creep – Intermediate	Live Broadcast
	103 Recent Developments in Compliance Law: Using What's New to Advance Your Program – Intermediate	Live Broadcast
	104 Detecting Deception Using the Cognitive Interview in Investigations – Intermediate	
	105 Beyond an Episode of CSI: Money Laundering Threat – Basic	
	106 Current Developments in Compliance Programs' Ethics Considerations for Compliance Officers and Attorneys – Intermediate	
11:30 AM – 1:00 PM	Lunch (<i>Provided</i>)	
1:00 – 2:00 PM Breakout Sessions	201 How to Make Your Anti-Corruption Compliance Program Best in Class – Advanced	Live Broadcast
	202 Connecting the Dots: How to Bring Abstract Risks to Employee Reality – Intermediate	Live Broadcast
	203 Maybe TV Isn't Rotting Your Brain: Compliance Lessons from Pop Culture – Basic	Live Broadcast
	204 The Convergence of Compliance and Data Governance – Basic	
	205 Compliance Vital Signs: The Impact of the Updated DOJ Guidance on Measuring the Effectiveness of Your Compliance Program – Intermediate	
	206 Tone at the Top: Getting the Culture Right – Basic	
2:00 – 2:30 PM	Coffee Break in Exhibit Hall	
2:30 – 3:30 PM Breakout Sessions	301 Chief Ethics and Compliance Officers as Members of Boards of Directors: Why the Time has Come; What Boards Gain; How CECOs Grow and Benefit; How to Get There – Intermediate	Live Broadcast
	302 How to Defend Your Compliance Program in a Government Investigation or Enforcement Proceeding	Live Broadcast
	303 Communicate Across Cultures and Reach Your Global Workforce – Intermediate	Live Broadcast
	304 Personal Liability for Directors and CCEOs: What the Courts are Trying to Tell Us – Intermediate	
	305 Managing Third-Party Risks at Every Stage of the Vendor Relationship Life Cycle – Intermediate	
	306 Cybersecurity Certifications (ISO 27001, SOC2, etc.): Why They Matter to Your Company & Your Customers – Basic	
3:30 – 4:00 PM	Coffee Break	

Subject Area Key:

ETHICS	CASE STUDIES	COMPLIANCE RISKS	COMPLIANCE LAWYER	GENERAL COMPLIANCE/ HOT TOPICS	INTERNATIONAL/ MULTI-NATIONAL	INVESTIGATIONS	PRIVACY & DATA SECURITY	PROFESSIONAL SKILLS
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Live Broadcast In-person sessions that will be broadcast to our virtual audience.

Agenda subject to change.

Schedule at a glance

ALL TIMES LISTED ARE IN PACIFIC DAYLIGHT TIME (PDT)

Monday, September 20

4:00 – 5:00 PM Breakout Sessions	401 “Oh, the People You’ll Meet...”: Sharing Insights and Tactics to Delivering on the Compliance Value Proposition – Intermediate Live Broadcast
	402 Why Is it So Hard to Create AI Solutions for Anti-Corruption Compliance? – Intermediate Live Broadcast
	403 Government Contractor Update: 2022 – Intermediate Live Broadcast
	404 Supply Chain Risk in the Defense Sector – Basic
	405 Collaboration and How 1 + 1 > 2
5:00 – 6:30 PM	406 Effective Partnership Strategies with Your Board of Directors: 2021 Update – Intermediate
	20th Anniversary Networking Reception

Tuesday, September 21

7:00 – 8:00 AM Early Bird Sessions	EB1 The Beauty and Brains of Actionable Data: From Concept to Reality in Data Storytelling – Intermediate Live Broadcast
	EB2 Willful Blindness: Why We Fail to See What We Need to See – Advanced Live Broadcast
7:00 AM – 1:00 PM	Volunteer Project
7:15 – 8:20 AM	Continental Breakfast in Exhibit Hall
8:20 – 8:30 AM	Welcome and Opening Remarks
8:30 – 9:30 AM	General Session 2: Compose Your World – Innovation and Embracing Change Live Broadcast
9:30 – 10:30 AM	Networking Break in Exhibit Hall
10:30 – 11:30 AM Breakout Sessions	501 ESG and Corporate Social Responsibility: What Compliance Practitioners Need to Know – Basic Live Broadcast
	502 We Supercharged Our Compliance Training and Communications... YOU CAN TOO – Intermediate Live Broadcast
	503 Seeing Around Corners: Global Due Diligence Stories from Mergers and Acquisitions – Intermediate Live Broadcast
	504 Compliance Session TBA
	505 Building Your Ethics and Compliance Analytics Program – Intermediate
11:30 AM – 1:00 PM	506 What Compliance Officers Should Know About Bankruptcy Law – Intermediate
	Lunch (Provided)
1:00 – 2:00 PM Breakout Sessions	601 Writing Investigative Reports: A 6-Step Process – Intermediate Live Broadcast
	602 Is Racism “Misconduct?” – Intermediate Live Broadcast
	603 Re-thinking Employee ‘Engagement’: What’s On Your Compliance Program’s Dating Profile? Live Broadcast
	604 Challenges and Opportunities When Dealing With Mexican Companies – Intermediate
	605 Compliance Diligence in M&A: Best Practices from LOI to Integration – Intermediate
	606 Understanding Biometric Data and the Compliance Requirements Associated with Its Use – Basic
2:00 – 2:30 PM	Coffee Break
2:30 – 3:30 PM	General Session 3: Artificial Intelligence – Implications for Compliance and Ethics Programs Live Broadcast
3:30 – 4:00 PM	Coffee Break
4:00 – 5:00 PM Breakout Sessions	701 Ethics & Compliance in a Lunchbox: You Don’t Need a Full Course Fine Dining Experience to Have an Effective E&C Program – Basic Live Broadcast
	702 Lessons from Sixty Code of Conduct Projects: What Are Five Things You Need for a Best-In-Class Code? – Intermediate Live Broadcast
	703 Data Breaches: Prevention and Management Live Broadcast
	705 Sexual Harassment and Abuse: Addressing the Institutional Risk in a Global Multicultural Organization – Intermediate
	706 Building and Maturing a Compliance Program in a Government Agency – Intermediate

Subject Area Key:

ETHICS	CASE STUDIES	COMPLIANCE RISKS	COMPLIANCE LAWYER	GENERAL COMPLIANCE/ HOT TOPICS	INTERNATIONAL/ MULTI-NATIONAL	INVESTIGATIONS	PRIVACY & DATA SECURITY	PROFESSIONAL SKILLS
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Live Broadcast In-person sessions that will be broadcast to our virtual audience.

Agenda subject to change.

Schedule at a glance

ALL TIMES LISTED ARE IN PACIFIC DAYLIGHT TIME (PDT)

Wednesday, September 22 Post-Conference (In-person only)

8:00 – 9:30 AM Post-Conference Breakout Sessions	W1 Championing Your Compliance Program – Intermediate
	W2 What Compliance Lawyers Should Know about M&A Compliance Due Diligence – Intermediate
	W3 The DOJ's Antitrust Compliance Program Guidance Two Years Along: Where Are Companies Falling Short? – Advanced
	W4 Employer's Guide to Navigating Compliance in Today's Workplace: Diversity & Inclusion Programs, Litigation Trends, and Other Hot Topics – Intermediate
	W5 What the SEC Expects From Your Internal Investigation: Former SEC Enforcement Attorneys Share Their Insights – Advanced
9:30 – 10:00 AM	Coffee Break
10:00 – 11:30 AM Post-Conference Breakout Sessions	W6 Rethinking Compliance Program Effectiveness Reviews – Intermediate
	W7 Who's Afraid of Internal Controls? Not Me! Using Internal Controls to Manage Risk and Make Compliance Programs More Effective – Intermediate
	W8 Privacy by Design: A New Way of Thinking About Privacy Compliance – Advanced
	W9 Training Made EASY: Using Adult Learning Best Practices to Rocket Employee Retention – Intermediate
	W10 Compliance Assessments in 2021: How to Overcome Obstacles in the COVID World – Intermediate
1:15 PM	Exam Check-In: Certified Compliance & Ethics Professional (CCEP) [®] and Certified Compliance & Ethics Professional–International (CCEP-I) [®]
2:00 – 5:00 PM	Onsite Certified Compliance & Ethics Professional (CCEP) [®] Exam <i>(optional)</i>
2:00 – 6:00 PM	Onsite Certified Compliance & Ethics Professional - International (CCEP-I) [®] Exam <i>(optional)</i>

Wednesday, September 22 Post-Conference (Virtual only)

7:00 – 8:00 AM Post-Conference Virtual Sessions	V1 Is Your Policy Management Effective? Tips for Enhancing Your Policies and Management Process – Basic
	V2 The Compliance Olympics: What Were the Gold Medal Performances of the Last 12 Months? – Basic
	V3 Consistent Global Disciplinary Guidelines in a Decentralized Organization – Intermediate
8:00 – 8:15 AM	Break
8:15 – 9:15 AM Post-Conference Virtual Sessions	V4 Thirty Years of Organizational Sentencing Guidelines: Looking Back and Looking Forward – Intermediate
	V5 How to Conduct Independent Investigations on Foreign Operations – Intermediate
	V6 The Role of Leadership in an Effective Compliance Program: Why, How, and What to Do to Effectively Engage Leadership in Your Organization – Intermediate
9:15 – 9:30 AM	Break
9:30 – 10:30 AM Post-Conference Virtual Sessions	V7 Do it Yourself: The Entrepreneurial Mindsets of Ethics & Compliance Training – Basic
	V8 Advanced Investigations in Multi-National Companies – Advanced
	V9 Employment Contracts for your Compliance Officer – Advanced
10:30 – 11:30 AM	Mid-Conference Break
11:30 AM – 12:30 PM Post-Conference Virtual Sessions	V10 10 Compliance Lessons from the Wirecard Scandal – Intermediate
	V11 How to Benchmark and Boost the Value of Your Ethics & Compliance or Whistleblower Hotline – Intermediate
	V12 Culture Wars: Ethics and Compliance from Both Sides of the Atlantic – Intermediate
12:30 – 12:45 PM	Break
12:45 – 1:45 PM Post-Conference Virtual Sessions	V13 Business vs. Private Ethics: Does Such a Distinction Exist/Even Make Sense? – Intermediate
	V14 How to Break Down Silos Through Integrated Risk Management (IRM)
	V15 The Corruption Virus: Boost Your Immunity When Operating in Latin America – Intermediate
1:45 – 2:00 PM	Break
2:00 – 3:00 PM Post-Conference Virtual Sessions	V16 Proposed New EU Due Diligence Law on Human Rights and Environmental Standards is a Potential Compliance Issue—Here's How to Get Ready – Basic
	V17 Requirements and Risks Regarding Data Security for Government Contractors – Intermediate
	V18 Best Practices for M&A Due Diligence for Anti-Corruption: From Initial Idea to Integration – Intermediate
3:00 – 3:15 PM	Break
3:15 – 4:15 PM Post-Conference Virtual Sessions	V19 Practical Tips for Building Data Governance Programs – Basic
	V20 Liaison/Ethics Champion Program – Intermediate
	V21 Cannabis & Your Compliance Program: What Every Compliance Professional Must Know – Basic

Subject Area Key:

ETHICS	CASE STUDIES	COMPLIANCE RISKS	COMPLIANCE LAWYER	GENERAL COMPLIANCE/ HOT TOPICS	INTERNATIONAL/ MULTI-NATIONAL	INVESTIGATIONS	PRIVACY & DATA SECURITY	PROFESSIONAL SKILLS
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Agenda subject to change.

Sunday, September 19

Pre-Conference (In-person only)

8:00–9:30 AM PDT

P1 Polish Your Brand! Make Your Values Apply to Current Issues

Subject Area: Ethics

Level: Intermediate

ART WEISS, Principal, Strategic Compliance and Ethics Advisors; SCCE & HCCA President

MARJORIE W. DOYLE, Principal, Marjorie Doyle & Associates, LLC

- Values are your brand/culture, so it's essential to state them clearly in code and enforce them
- Values must be discussed in view of current issues for clarity with employees on how to act
- Decisions must be made on brand re: safety/COVID-19, climate change, treatment of others beyond the law

P2 Measuring Program Effectiveness with Data and Metrics

Subject Area: General Compliance/Hot Topics

Level: Intermediate

TANJA GROMADZKI, Ethics & Compliance Manager, Americas, TD SYNEX

VALORIE CIECHANOWSKI, Head of Compliance and Privacy, Shockwave Medical, Inc.

- Incorporating data and metrics into your compliance program
- KPIs are more than just numbers—they're critical data for your program!
- Reporting on program effectiveness to key stakeholders of your compliance program

P3 Conducting Remote Interviews in a Workplace Investigation

Subject Area: Investigations

Level: Intermediate

MERIC BLOCH, Vice President, Global Investigations, Booking Holdings, Inc.

- The advantages and disadvantages of remote instead of in-person interviews.
- How to prepare for the remote interview, especially the technological challenges presented.
- Techniques for conducting the interview, including new considerations and how to update your technique to maintain the quality of your questioning.
- How to tighten the other steps in the investigation process so that these other steps augment the new interview techniques.

P4 Building Boardroom Gravitas

Subject Area: Professional Skills

Level: Intermediate

NICK GALLO, Co-CEO; Chief Servant, ComplianceLine, LLC

GIO GALLO, Compliance Line

- Assess personalities and agendas of employees to increase productivity
- Communicate and execute company vision while building a strong culture
- Get the whole team involved

9:30–10:00 AM PDT

Break

10:00–11:30 AM PDT

P5 Managing the Most Difficult and Most Important Anti-Corruption Due Diligence Projects

Subject Area: Case Studies

Level: Intermediate

ASHLEY COSELLI, Senior Ethics and Compliance Counsel, Total American Services

PATRICK GARCIA, Chief Compliance and Integrity Officer, Parker Drilling

DANIEL P. WENDT, Member, Miller & Chevalier

- Summarize important pitfalls to avoid in conducting due diligence in high-risk engagements
- Review how to approach difficult issues for different types of third parties
- Provide practical recommendations for managing stakeholders during the due diligence process

P6 Effective E&C Risk Management Practice: Program Essentials and Core Practice Considerations

Subject Area: Compliance Risks

Level: Basic

GREG TRIGUBA, Principal, Compliance Integrity Solutions, SCCE & HCCA Board Member

CAROLINE MCMICHEN, Former CECO, MolsonCoors; Strategic Advisor, SAI Global

- Gain a deeper understanding of the basic roles, approaches, and fundamentals of effective practice
- Explore challenges, planning considerations, and strategic solutions to achieve successful outcomes
- Leverage risk assessment findings and input to effectively prioritize, manage, and mitigate risk

P7 How a Grassroots Movement Founded the Compliance Career Connection

Subject Area: Professional Skills

Level: Basic

SARAH N. HADDEN, Publisher, Corporate Compliance Insights (CCI Media Group)

JAY ROSEN, VP, Business Development and Monitoring Specialist, Affiliated Monitors, Inc.

- Discover how a random email to a stranger sparked the creation of an online support community for job seekers in compliance and security
- See how the movement jumped from the US to the UK, serving hundreds of job seekers via resume feedback, mock interviews, and networking—all by volunteers
- Learn to tap the power of the new culture of "virtual" networking to craft a career development strategy to maximize success in your own career journey

P8 Social Media: Old Platforms, New Risks

Subject Area: Compliance Risks

Level: Intermediate

KORTNEY Q. NORDRUM, Regulatory Counsel & Chief Compliance Officer, Deluxe Corporation

- Examine what has changed under the new administration (and what we expect to see in the future)
- Detail what these changes mean for your compliance program and employee training
- Delve into best practices and dos and don'ts for managing social media risk

11:30 AM–1:00 PM PDT

Lunch Break

11:45 AM–12:45 PM PDT

SpeedNetworking

Join us face to face and start networking again! Share your interests for a series of fast, fun meetings. You'll leave the session with new compliance contacts as we enter the new work world. Pre-registration is required. A boxed lunch is provided for only pre-registered attendees.

1:00–2:30 PM PDT

P9 What Does Third-Party Compliance Monitoring Look Like in Real Life?

Subject Area: International/Multi-National

Level: Intermediate

RONNIE KANN, Head of Global Ethics & Compliance, Energizer

TRENT SANDIFUR, Taft Law

- Provide practical solutions for monitoring third parties in compliance with the DOJ and SEC guidance
- Evaluate systems, people, and resources for processes that can be automated for ongoing monitoring
- Empower employees by fostering relationships, highlighting milestones, and building self-reliance

P10 Board Oversight of Compliance Programs: A Key Driver for Program Independence and Authority

Subject Area: General Compliance/Hot Topics

Level: Intermediate

REBECCA WALKER, Partner, Kaplan & Walker LLP

PETER ANDERSON, Chief Ethics & Compliance Officer, Carnival Corporation

- Key legal drivers for active and engaged board oversight
- All about board reporting and the C&E officer's relationship with the board
- Critical documentation of the board's role

P11 Sibling Rivalry: How to Manage the Relationship Between Ethics & Compliance and Human Resources

Subject Area: General Compliance/Hot Topics

Level: Advanced

ELLEN M. HUNT, VP - Compliance Program Operations, Chief Privacy Officer, LifePoint Health

LISA R. FINE, Senior Counsel, Compliance, Pearson Education

AMII BARNARD-BAHN, Executive Coach, Author, Speaker, Barnard-Bahn Coaching & Consulting

- The sources of conflict between E&C and HR? How does this tension hurt the organization?
- The benefits when E&C and HR work together; some horror stories when everyone remains in silos
- How to build trust to bridge the gap between the two functions

P12 How to Build an Effective Data Privacy Program

Subject Area: Privacy/Data Security

Level: Basic

SCOTT M. GIORDANO, V.P. and Sr. Counsel, Privacy and Compliance, Spirion

- Understand the principles of an effective data privacy program and demands of typical privacy laws
- Review the necessary technical and organizational components of a program
- Execute a program that advances compliance with privacy laws and contractual obligations

2:30–3:00 PM PDT

Break

3:00–4:30 PM PDT

P13 Applying the Latest DOJ Guidance to Your Program Analytics: A Practical Approach

Subject Area: General Compliance/Hot Topics

Level: Intermediate

KIRSTEN LISTON, Principal, Rethink Compliance

ANDREA FALCIONE, Principal & Head of Advisory Services, Rethink Compliance

- Learn what data and analytics can do for your compliance program — and what they can't
- Ask the right questions: Numbers and graphs are useless without human interpretation
- Get started with analytics tools you can add to your compliance program today

P14 #MeToo and #Blackat: Investigating Anonymous Workplace Harassment and Discrimination Claims

Subject Area: Investigations

Level: Intermediate

ALYSSA-RAE MCGINN, Vice President, Investigations, Dan Schorr, LLC

DAN SCHORR, Owner, Dan Schorr, LLC

- Understand and apply current industry best practices for conducting climate and culture assessments/investigations following allegations of identity-based harassment, discrimination, and other misconduct
- Anticipate challenges in responding to such allegations in a sensitive, prompt, and thorough manner, and learn to identify possible corroboration for anonymous, initially unconfirmed allegations
- Identify obligations under federal and state law and your company's policies and procedures that will guide the response to concerning but anonymous allegations of discrimination and other misconduct

P15 Infusing Diversity & Inclusion into Your Compliance Program

Subject Area: General Compliance/Hot Topics

Level: Basic

CHEYENNE L. ROSS, Arizona VP of Compliance & Regulatory Affairs, Arizona Complete Health

- The importance of including diversity and inclusion initiatives in your compliance program
- Exploring various diversity and inclusion initiatives that can influence your compliance program
- Effectively infusing diversity and inclusion initiatives in compliance programs and measuring the ROI

P16 Synergies, Intersections and Opportunities between ESG and Compliance

Subject Area: General Compliance/Hot Topics

Level: Intermediate

JENNY O'BRIEN, Former UHC Compliance Officer, SCCE & HCCA Board Member

ROY SNELL, Osprey ESG Software, Co-Founder, SCCE & HCCA

LISA BETH LENTINI WALKER, CEO and Founder, Lumen Worldwide Endeavors; SCCE & HCCA Board Member

- ESG basics and how it will impact Compliance professionals
- ESG myths and facts and what's new and not new
- ESG reporting relationships, standards and materiality

4:30–6:00 PM PDT

Opening Tailgate Reception

Make sure to pack your favorite team apparel and join us at our opening tailgate reception! It's a great conversation starter and a fun way to spot your fan friends (and rivals)!

Monday, September 20

7:15–8:15 AM PDT

Continental Breakfast in Exhibit Hall

7:15 AM–6:30 PM PDT

Volunteer Project

Activities Area in the Exhibit Hall

In addition to networking with your peers and learning from experienced speakers, attending SCCE's 20th Annual Compliance & Ethics Institute gives you the opportunity to make a difference in the Las Vegas community. SCCE has partnered with PaintFest to bring a project onsite at this year's CEI to benefit the Foundation for Hospital Art. Stop by to help contribute to a multi-canvas painting. All murals will be donated to a Las Vegas-area hospital. The painting is set up through a color code technique and NO ARTISTIC EXPERIENCE is necessary. It's a great opportunity to meet your fellow conference attendees and let your creative side shine. Click here for more information on the Foundation for Hospital Art.

8:15–8:30 AM PDT

Welcome and Opening Remarks

8:30–9:30 AM PDT

Live Broadcast

General Session 1: Canceling the Compliance Culture

JIM MASSEY, (Moderator) Compliance and ESG Thought Leader and Advisor

MICHELE ABRAHAM, Senior Director, Ethics & Compliance, Cooper Standard

VELEKA PEEPLES-DYER, Founding Member of Chief DC and Principal, Litigation and Government Enforcement, Baker McKenzie

MICHAEL R. LITTENBERG, Partner and Global Head of the ESG, CSR & Business and Human Rights Compliance Practice, Ropes & Gray, LLP

2020 tested the idea that a business can plan and reduce vulnerabilities for every risk. None of us passed. In an era of calling out things that no longer work, compliance must move from uncovering what went wrong to helping stakeholders do what is right. Employees, suppliers, consumers, investors, regulators, society, our planet—all demand to know brands and companies have their back. Business is the most trusted entity in the world, and that trust is only at 61%. Leveraging data and new ways of working, we have the opportunity to expand ethics from executive boardrooms to everywhere business operates. It is time to cancel what we thought was enough and build the next phase of compliance.

9:30–10:30 AM PDT

Networking Break in Exhibit Hall

10:30–11:30 AM PDT

Concurrent Breakout Sessions

Live Broadcast

101 A Risk-Based Approach to Managing Employee Hotlines: The Home Depot and International C&E Programs

Subject Area: Case Studies

Level: Intermediate

MIA REINI, Sr Manager, Corp Compliance & Enterprise Risk Mgmt, The Home Depot

MONICA LOPEZ REINMILLER, Managing Corporate Counsel, Legal Compliance, T-Mobile

- How to use a bot to spot high-risk hotline reports
- Applying risk score and root cause analysis to hotline reports
- Developing dashboards to monitor hotline reports

Live Broadcast

102 “Does Compliance Validate Parking?” Advice for CCOs on Managing Compliance Program Scope Creep

Subject Area: Professional Skills

Level: Intermediate

ADAM D. BALFOUR, Vice President and General Counsel for Compliance and Latin America, Bridgestone

MELANIE A. SPONHOLZ, Chief Compliance Officer, Waud Capital Partners

ELLEN M. HUNT, VP - Compliance Program Operations, Chief Privacy Officer, LifePoint Health

- What is the real role of the CCO and how to add value to your organization?
- Learn how to define the boundaries of your role while also collaborating with others
- Discuss practical scenarios for balancing collaboration and boundaries

Live Broadcast

103 Recent Developments in Compliance Law: Using What’s New to Advance Your Program

Subject Area: Compliance Lawyer

Level: Intermediate

REBECCA WALKER, Partner, Kaplan & Walker LLP

ERIC HINTON, Director, Rowling Center for Business Law & Leadership, Adjunct Professor of Law, Southern Methodist University Dedman School of Law

- Review of the latest C&E guidance and requirements from the DOJ, SEC, EU and others
- Review of recent case law governing board oversight of C&E programs
- Consider strategies for using C&E legal developments to assess and enhance your program

104 Detecting Deception Using the Cognitive Interview in Investigations

Subject Area: Investigations

Level: Intermediate

MICHAEL JOHNSON, CEO, Clear Law Institute

- By watching video of an interview, you will learn which supposed signs of deception are valid and which are not
- Learn how to use the research-based Cognitive Interview to gather more information from each witness and better detect deception
- Learn how to use drawings, the “reverse-order technique,” and spatial and time-based questions in investigative interviews

105 Beyond an Episode Of CSI: Money Laundering Threat

Subject Area: Compliance Risks

Level: Basic

MÓNICA RAMÍREZ CHIMAL, Partner, Asserto RSC

- Get to know what money laundering is and how it differs to terrorist financing
- Listen to international cases to sharpen awareness to the impact money laundering has worldwide
- Learn key practical effective controls that work to minimize the risk of being used to launder money

106 Current Developments in Compliance Programs' Ethics Considerations for Compliance Officers and Attorneys

Subject Area: Ethics

Level: Intermediate

THEODORE L. BANKS, Partner, Scharf Banks Marmor LLC

- This session will provide an overview of the ethical considerations that face anyone involved in compliance activities whether or not they are attorneys
- Recent developments over the last year will be presented, including situations where compliance officers have become personally liable for failures in the compliance programs they were directing
- There will also be a discussion of certain areas, such as technology, posing ethical obligations that might surprise a compliance officer

11:30 AM–1:00 PM PDT

Lunch (Provided)

1:00–2:00 PM PDT

Concurrent Breakout Sessions

Live Broadcast

201 How to Make Your Anti-Corruption Compliance Program Best in Class

Subject Area: International/Multi-National

Level: Advanced

REBECCA ROHR, Vice President, Anti-Corruption & Global Trade, Hewlett Packard Enterprise

- Learn the features of first-rate anti-corruption compliance programs beyond the basics
- Apply lessons from recent FCPA enforcement actions in a practical way for your company
- Using data, analytics, and looking at the future of compliance programs
- FCPA Due Diligence in Cross-Border Transactions

Live Broadcast

202 Connecting the Dots: How to Bring Abstract Risks to Employee Reality

Subject Area: General Compliance/Hot Topics

Level: Intermediate

COURTNEY SANDER, Global Compliance Project Manager, Flowserve Corporation

HARPER E. WELLS, Director, Compliance Insights & Strategy, True Office Learning

- Discuss strategies for delivering training that is focused on behavior change
- Dive in to how to go beyond training to localize and contextualize risk
- Uncover examples of successful programs integrating training, reinforcement, and behavior change

Live Broadcast

203 Maybe TV Isn't Rotting Your Brain: Compliance Lessons from Pop Culture

Subject Area: General Compliance / Hot Topics

Level: Basic

KORTNEY Q. NORDRUM, Regulatory Counsel & Chief Compliance Officer, Deluxe Corporation

- Implementing policies and procedures with the Great British Bake Off and the NFL
- Training and education wisdom from Ted Lasso and Star Wars
- Incentives and discipline through the lens of the The Good Place and The Office

204 The Convergence of Compliance and Data Governance

Subject Area: Case Studies

Level: Basic

DANIELLE E. HERRICK, Sr. Director, Legal Compliance & Ethics, Bloom Energy

- Discuss the role compliance should play in an organization's data governance framework
- Identify ways to proactively address compliance and data governance needs
- List data governance best practices

205 Compliance Vital Signs: The Impact of the Updated DOJ Guidance on Measuring the Effectiveness of Your Compliance Program

Subject Area: General Compliance/Hot Topics

Level: Intermediate

ALAN GIBSON, Director – Legal & Compliance Solutions, Microsoft Corporation

MATT KRAL, Director, Security, Controls & GRC Solutions

NATASHA ELLIS, PwC

- In 2020, the DOJ released updated guidance expanding the criteria for evaluating compliance program effectiveness
- The update specifies that programs must be well designed, implemented in good faith, and operating as expected
- In this session you will learn how data and analytics can be used to measure, report, and demonstrate compliance program effectiveness

206 Tone at the Top: Getting the Culture Right

Subject Area: Ethics

Level: Basic

JAMES M. BLACK, Partner and General Counsel, Silverman Acampora

- Understanding that ethics is why and compliance is how—making sure that clear messages are sent. Don't let ethics be left unsaid on any level; integrate compliance into the life of the company at every level
- Compliance is leadership. Management must lead by example—visible leadership and management commitment to a compliance program and to the culture of compliance and ethics. Management must walk the talk with complete credibility and authenticity
- Doing the right things in the right ways for the right reasons—training across the organization. The tone at the top is not enough; it has to be in the middle and everywhere else. There must be a unity of corporate identity with regard to compliance

2:00–2:30 PM PDT

Coffee Break in Exhibit Hall

2:30–3:30 PM PDT

Concurrent Breakout Sessions

Live Broadcast

301 Chief Ethics and Compliance Officers as Members of Boards of Directors: Why the Time has Come; What Boards Gain; How CECOs Grow and Benefit; How to Get There

Subject Area: General Compliance/Hot Topics

Level: Intermediate

DAVID GREENBERG, Former Senior VP and CECO, Altria Group; Board member, International Seaways; former CEO, LRN

DIANA SANDS, Director, Advisor, Retired C-Suite Executive

CINDY MOEHRING, Board Member, Pyxus International, Former Senior Vice President and Chief Ethics Officer, Walmart Inc.

- Most CECOs often wonder what it would be like NOT just to report to their board, but to switch sides and become a member of a board
- Session to explore all aspects of what it's like, how to get there, and what's in it for both boards and CECO/board members
- We'll also share perspective drawn from our collective experiences with senior leaders in the board search practices of major executive search firms – to help us illuminate the paths to board positions

Live Broadcast

302 How to Defend Your Compliance Program in a Government Investigation or Enforcement Proceeding

Subject Area: Compliance Lawyer

Level: Intermediate

BILL WALDIE, Managing Director, Alvarez & Marsal

KRISTEN MARCELLE, Head of Anti-Bribery and Corruption SGUS, Societe Generale Corporate and Investment Banking

PATRICK CAMPBELL, Partner, Baker & Hostetler, LLP

BRIAN FIELDS, Chief Ethics and Compliance Officer, STO Building Group

- Learn why having an effective compliance program is the best defense to a government investigation
- Learn what you can do now to put your compliance program in the best position to be defended later
- Learn the strategies and techniques for defending your compliance program to a regulator

Live Broadcast

303 Communicate Across Cultures and Reach Your Global Workforce

Subject Area: International/Multi-National

Level: Intermediate

KIRSTEN E. LISTON, Principal, Rethink Compliance

MARY SHIRLEY, Head of Culture of Integrity and Compliance Education, Fresenius Medical Care North America

JACKI CHESLOW, Global Compliance Program Leader, IEEE

- Learn to speak to a global audience of many cultures AND meet new standards for tailored content
- See examples of creative training and communications that work for a global workforce and learn how to apply them in your own organization
- Discuss how and when to develop a single messaging solution and when to provide different (but cost-effective) tracks

304 Personal Liability for Directors and CCEOs: What the Courts are Trying to Tell Us

Subject Area: Compliance Lawyer

Level: Intermediate

FERNANDA BERALDI, Senior Director, Ethics & Compliance, Cummins Inc.

EDWIN BROECKER, Partner, Frost Brown Todd

- Review theories of liability from recent cases imposing liability on directors and CECOs
- Discuss lessons learned and best practices
- Leverage lessons learned to improve program effectiveness and mitigate risks of personal liability

305 Managing Third-Party Risks at Every Stage of the Vendor Relationship Life Cycle

Subject Area: Compliance Risks

Level: Intermediate

AMY B. BORING, Attorney, King & Spalding LLP

SHANNON F. COX, Counsel, King & Spalding LLP

GRANT W. NICHOLS, Partner, King & Spalding LLP

- Explore key compliance risks inherent in relationships with vendors, contractors, and subcontractors
- Understand DOJ and OIG expectations regarding each of the six stages of the vendor management life cycle
- Discuss current best practices to mitigate the risks associated with third-party relationships

306 Cybersecurity Certifications (ISO 27001, SOC2, etc.): Why They Matter to Your Company & Your Customers

Subject Area: Privacy & Data Security

Level: Basic

RACHAEL PASHKEVICH KOONTZ, Senior Associate Counsel, Compliance/Cybersecurity, Morning Consult

- Understand the purpose, value, and limitations of different cybersecurity certifications.
- Use cybersecurity certifications to improve your third-party due diligence
- Differentiate your company from competitors with cybersecurity certifications

3:30–4:00 PM PDT

Coffee Break

4:00–5:00 pm PDT

Concurrent Breakout Sessions

Live Broadcast

401 “Oh, the People You’ll Meet...”: Sharing Insights and Tactics to Delivering on the Compliance Value Proposition

Subject Area: General Compliance/Hot Topics

Level: Intermediate

SAMANTHA E. KELEN, Chief Ethics and Compliance Officer, Cardinal Innovations Healthcare, SCCE & HCCA Board Treasurer

JENNY M. O’BRIEN, Former Chief Compliance Officer, UnitedHealthcare, SCCE & HCCA Board Member

- Overcoming challenging individuals that may be a barrier to achieving your program goals
- Strategies to building lasting partnerships to enable your workplan
- Articulating and delivering on your compliance program value proposition

Live Broadcast

402 Why Is it So Hard to Create AI Solutions for Anti-Corruption Compliance?

Subject Area: International/Multi-National

Level: Intermediate

MEGAN ZWIEBEL, Senior Editor, The Anti-Corruption Report

- Differentiate between the key terms involved in advanced data analytics
- Understand the steps in building an AI model, including building a team and training an algorithm
- Overcome the unique challenges of building an AI model for anti-corruption compliance with creative solutions

Live Broadcast

403 Government Contractor Update: 2022

Subject Area: Compliance Lawyer

Level: Intermediate

PAIGE SHANNON, Compliance Officer and Corporate Counsel, ATI

ADELLE ELIA, VP, Ethics & Compliance Office, WSP USA

- Post-pandemic evolution of labor regulations (worker status, location of work, employee benefits)
- Trends from the Biden administration impacting ethics and compliance programs
- Key compliance changes for federal contractors

404 Supply Chain Risk in the Defense Sector

Subject Area: Compliance Risks

Level: Basic

DAVID KESSLER, Vice President & Associate General Counsel, BAE Systems, Inc.

- Learn about the issues and concerns that face the defense sector with regard to supply chain risk
- Gain an understanding of the new laws and regulations requiring compliance by the defense sector
- Learn best practices for complying with supply chain risk issues in the defense sector

405 Collaboration and How 1 + 1 > 2

Subject Area: Professional Skills

Level: Basic

FRANK RUELAS, Corporate Responsibility Officer, CommonSpirit Health/SJHMC

SCOT LOVEJOY, Chief Pharmacy/Compliance Officer, Agadia Systems, Inc.

- How communication, clear objectives, and conflict management contribute to collaboration
- Signs to look for to spot breakdowns in collaboration and how to address them
- How effective collaborators in history can make us better collaborators today

406 Effective Partnership Strategies with Your Board of Directors: 2021 Update

Subject Area: General Compliance/Hot Topics

Level: Intermediate

MICHAEL L. VOLKOV, CEO, Volkov Law Group LLC

JOHN FONS, In transition

- Chief compliance officers must develop an effective working relationship with its board of directors
- Recent court decisions and on-going cases, including Boeing, have increased risks for board members
- This session will identify positive strategies to increase board engagement and increase board support

5:00–6:30 PM PDT

20th Anniversary Networking Reception

For 20 years, the CEI has been bringing together compliance and ethics professionals from across the country! Join us as we celebrate these relationships, in style, for an evening of good food and good company. Connect with your peers to share your experiences and grow your network.

Tuesday, September 21

7:00–8:00 AM PDT

Early Bird Sessions

Live Broadcast

EB1 The Beauty and Brains of Actionable Data: From Concept to Reality in Data Storytelling

Subject Area: General Compliance/Hot Topics

Level: Intermediate

JOE PEREZ, Senior Systems Analyst, NC Department of Health & Human Services

- Anyone can make a pretty bar graph, but can you make sound decisions based on that graph? How do you turn flashy concepts into actionable visualizations? Can you see the end result? Do you have the vision and drive to make your ideas become reality?
- What value do you see in your data? Does it answer a question, solve a problem, or help you make a decision? Learn how to capitalize on this concept by leveraging your ideas into a cohesive PUSH/PULL strategy for both short term AND long term
- When RIGIDITY meets FLEXIBILITY why do you get COMPLEXITY? In this session, see the five "Stages of the Spectrum" in action while discovering the difference between impact and influence and how that plays into best practices for making data actionable

Live Broadcast

EB2 Willful Blindness: Why We Fail to See What We Need to See

Subject Area: Ethics

Level: Advanced

MICHAEL B. HOOD, Director, 21st Century Learning & Consulting

- Even though each of us may hear the same directions or see the same picture, our brains will process and filter the information differently. These differences can cause us to misinterpret direction leading to unethical behavior and actions
- Have you ever said something that you regretted? Every one of us has, but did you notice how quickly your brain was able to rationalize what you said? Rationalization occurs swiftly and frequently allowing you to justify things you ordinarily wouldn't
- Whenever you see a problem, you try to frame it in order to diagnose what to do. What happens when you frame the problem incorrectly? By creating different frames, you can increase ethicality by considering decision alternatives with different frames

7:00 AM–1:00 PM PDT

Volunteer Project

Activities Area in the Exhibit Hall

In addition to networking with your peers and learning from experienced speakers, attending SCCE's 20th Annual Compliance & Ethics Institute gives you the opportunity to make a difference in the Las Vegas community. SCCE has partnered with PaintFest to bring a project onsite at this year's CEI to benefit the Foundation for Hospital Art. Stop by to help contribute to a multi-canvas painting. All murals will be donated to a Las Vegas-area hospital. The painting is set up through a color code technique and NO ARTISTIC EXPERIENCE is necessary. It's a great opportunity to meet your fellow conference attendees and let your creative side shine. [Click here](#) for more information on the Foundation for Hospital Art.

7:15–8:20 AM PDT

Continental Breakfast in Exhibit Hall

8:20–8:30 AM PDT

Welcome and Opening Remarks

8:30–9:30 AM PDT

Live Broadcast

General Session 2: Compose Your World – Innovation and Embracing Change

KAI KIGHT, Violinist and Innovation Keynote Speaker

Using music as a metaphor, Kai Kight has inspired thousands to reach their own creative potential, inspiring self-realization, questioning conventional thinking, and focusing on how to create change instead of waiting for change. Hear about his artistic transformation and learn how you can incorporate innovative creativity into your own personal and professional life.

9:30–10:30 AM PDT

Networking Break in Exhibit Hall

10:30–11:30 AM PDT

Concurrent Breakout Sessions

Live Broadcast

501 ESG and Corporate Social Responsibility: What Compliance Practitioners Need to Know

Subject Area: General Compliance/Hot Topics

Level: Basic

DAVID HACKETT, Partner, Baker McKenzie

VALERIE CHARLES, Partner, StoneTurn

ROY SNELL, Osprey ESG Software, Co-Founder, SCCE & HCCA

ADAM D. BALFOUR, Vice President and General Counsel for Compliance and Latin America, Bridgestone

- Understand differences between ESG and CSR and recent legal and regulatory developments
- Learn key criteria, risks, and opportunities related to ESG and CSR efforts and related reporting
- Develop and oversee ESG and CSR programs that address legal, regulatory, and reputational risks

Live Broadcast

502 We Supercharged Our Compliance Training and Communications... YOU CAN TOO

Subject Area: General Compliance/Hot Topics

Level: Intermediate

JOSHUA B. TOAS, Chief Compliance Officer, The Research Foundation for SUNY

- Raise the profile of your program through strategic communications
- Leverage key partnerships to expand your training portfolio beyond the mandatory learning curriculum
- Use affordable tools and technology to deliver engaging content

Live Broadcast

503 Seeing Around Corners: Global Due Diligence Stories from Mergers and Acquisitions

Subject Area: International/Multi-National

Level: Intermediate

LISA BETH LENTINI WALKER, CEO and Founder, Lumen Worldwide Endeavors; SCCE & HCCA Board Member

JENNY O'BRIEN, Former UHC Compliance Officer, SCCE & HCCA Board Member

MARIA LANCRI, Attorney, Partner, Squair

- Understand the merger and acquisition lifecycle
- Hear triumphs and trials with integrated due diligence
- Learn tips to avoid being the next headline

504 Compliance Session TBA

505 Building Your Ethics and Compliance Analytics Program

Subject Area: General Compliance/Hot Topics

Level: Intermediate

ANDREW MCBRIDE, Chief Compliance Officer, Albemarle Corporation

- Developing an analytics plan: Defining who wants what and when
- Understanding your analytics resourcing options: In-house, outsource, or both?
- Managing risks, obstacles, and pitfalls when implementing your analytics program

506 What Compliance Officers Should Know About Bankruptcy Law

Subject Area: Compliance Lawyer

Level: Intermediate

ROCCO I. DEBITETTO, Partner, Hahn Loeser & Parks LLP

KASEY T. INGRAM, General Counsel & Chief Compliance Officer, ISK Americas Incorporated

- Understanding the basics of bankruptcy law and the corporate reorganization process
- Recognizing the ethics and compliance risks that may arise during the bankruptcy process
- Ensuring ethics and compliance remain integrated both during and after the reorganization process

11:30 AM–1:00 PM PDT

Lunch (Provided)

1:00–2:00 PM PDT

Concurrent Breakout Sessions

Live Broadcast

601 Writing Investigative Reports: A 6-Step Process

Subject Area: Investigations

Level: Intermediate

MICHAEL JOHNSON, CEO, Clear Law Institute

- How to break the report writing process into 6 discreet steps so that you write more quickly and effectively
- What to include, and not include, in the report to ensure that it is legally defensible
- The rules for clear and concise investigative report writing

Live Broadcast

602 Is Racism “Misconduct?”

Subject Area: General Compliance/Hot Topics

Level: Intermediate

KATRINA C. CAMPBELL, Consultant, Campbell Ethics Consulting

CEDRIC BOURGEOIS, Head of Investigations, UNESCO

- BLM and even #MeToo calls for organizations to take action against people for being racist or sexist. But on what basis can the organization be taking action if there are not specific severe or pervasive acts of discrimination or harassment?
- Mind the gap between stakeholders' expectations and the substantial requirements to differentiate one's general attitude or dislike from an actionable offense
- Highlight the difficulties via examples (investigations and anti-racism task forces)

Live Broadcast

603 Re-thinking Employee ‘Engagement.’ What’s On Your Compliance Program’s Dating Profile?

Subject Area: General Compliance/Hot Topics

Level: Intermediate

ASHA PALMER, Chief Ethics and Compliance Officer, Convercent

SCHERETTA WILSON, Director, Ethics and Compliance, Endo1 Partners

RONNIE KANN, Head of Global Ethics & Compliance, Energizer

- Making your helpline approachable
- Ending policy proliferation, aka the guy that won't stop talking
- Ongoing communication, the foundation of any healthy relationship

604 Challenges and Opportunities When Dealing with Mexican Companies

Subject Area: International/Multi-National

Level: Intermediate

FERNANDO CEVALLOS, President, AMPEC. Mexican Association of Compliance Officers

JAVIER LOPEZ DE OBESO, San Antonio Chapter President, Asociacion de Empresarios Mexicanos (Mexican entrepreneur association)

DANIEL MALDONADO, Partner, Sanchez Devanny Eseverri, S.C.

- Understand the main risk when dealing with Mexican companies
- Know the best practices in Mexico
- Use in your favor the different business associations that promote compliance in Mexico

605 Compliance Diligence in M&A: Best Practices from LOI to Integration

Subject Area: Compliance Risks

Level: Intermediate

FERNANDA BERALDI, Senior Director, Ethics & Compliance, Cummins Inc.

EDWIN BROECKER, Partner, Frost Brown Todd

- Review the importance of compliance diligence in M&A transactions
- Discuss best practices for resolving compliance issues pre-closing
- Understand how a champions network can help to increase compliance awareness and effectiveness

606 Understanding Biometric Data and the Compliance Requirements Associated with Its Use

Subject Area: Privacy & Data Security

Level: Basic

ASHLEY NORRIS, Ph.D., ProctorU

STARR DRUM, Shareholder, Maynard Cooper & Gale

- Learn what “biometric data” and “biometric identifiers” mean under different laws
- Understand legal requirements for using biometric data, including notice and consent requirements
- Examine use cases and court orders to facilitate development of a biometric compliance program

2:00–2:30 PM PDT

Coffee Break

2:30–3:30 PM PDT

Live Broadcast

General Session 3: Artificial Intelligence – Implications for Compliance and Ethics Programs

MATT KELLY (MODERATOR), Editor & CEO, Radical Compliance

KAREN SILVERMAN, CEO and Founder, The Cantellus Group

NAVRINA SINGH, Founder & CEO, Credo AI

BRENDAN KELLEHER, Chief Compliance Officer, SoftBank Group International

When Artificial Intelligence (AI) is utilized in our business operations, new compliance risks often emerge. However, AI can also be utilized to create efficiencies in our compliance programs. Underlying both of these aspects of AI are numerous challenging ethical issues that frame important decisions for our organizations. The conversation in this panel aims to help attendees tackle these ethical issues and make informed decisions about the use of AI in their organizations.

3:30–4:00 PM PDT

Coffee Break

4:00–5:00 PM PDT

Concurrent Breakout Sessions

Live Broadcast

701 Ethics & Compliance in a Lunchbox: You Don’t Need a Full Course Fine Dining Experience to Have an Effective E&C Program

Subject Area: General Compliance/Hot Topics

Level: Basic

REBEKA SPIRES, Director of Compliance & Ethics

ADELLE ELIA, VP, Ethics & Compliance Office, WSP USA

- Hear from four seasoned professionals, including tips on pantry staples (what actually works for them!)
- Hear about what ended up being “convenience store” empty calories (stuff that really didn’t work!)
- Take away a list of secret ingredients (things they wish they had known about from the beginning!)

Live Broadcast

702 Lessons from Sixty Code of Conduct Projects: What Are Five Things You Need for a Best-In-Class Code?

Subject Area: Case Studies

Level: Intermediate

ERIC O. MOREHEAD, Principal Consultant, Morehead Compliance Consulting

- What are the essential, initial steps in preparing for a code project that lead to success?
- What are some key considerations to consider to have the project run smoothly and on time?
- How do you satisfy all the important stakeholders and meet regulator expectations?

Live Broadcast

703 Data Breaches: Prevention and Management

Subject Area: Privacy & Data Security

Level: Advanced

BRAD HAMMER, Attorney –
Founder, Vakaris

- Understand factors contributing to data breaches
- Understand which factors increase the risk of breaching Privacy rules
- Differentiate between breach protection and breach effects mitigation

705 Sexual Harassment and Abuse: Addressing the Institutional Risk in a Global Multicultural Organization

Subject Area: Compliance Risks

Level: Intermediate

KATRINA C. CAMPBELL, Consultant,
Campbell Ethics Consulting

CEDRIC BOURGEOIS, Head of
Investigations, UNESCO

- This session will explore through real life examples how organizations can live up to the expectations of stakeholders in the post-#MeToo era
- How to build an organizational standard when neither common sense nor case law can help you build a consensus across a global footprint?
- How can you maximize the value of each investigation regardless of the outcome? Inconclusive or unsubstantiated outcomes can still lead to important lessons learned for the organization

706 Building and Maturing a Compliance Program in a Government Agency

Subject Area: Case Studies

Level: Intermediate

GARY L. JOHNSON, Director of Internal
Audits, MN Dept of Human Services

SHIREEN K. GANDHI, Chief Compliance
Officer, Minnesota Department of
Human Services

- Design a compliance structure in a government agency where there is no board of directors
- Implement strategies to mature the compliance framework
- Apply safety science theory to improve understanding of noncompliance and increase accountability

Wednesday, September 22

Post-Conference (In-person only)

8:00–9:30 AM PDT

W1 Championing Your Compliance Program

Subject Area: General Compliance/Hot Topics

Level: Intermediate

MATT SILVERMAN, Sr. Manager,
Compliance & Export Control, ASML

- Learn the steps to developing a new champions network at your company
- Review the key ideas and actions to implement when growing an existing champions network
- Understand how a champions network can help to increase compliance awareness and effectiveness

W2 What Compliance Lawyers Should Know about M&A Compliance Due Diligence

Subject Area: Compliance Lawyer

Level: Intermediate

DANIEL R. HARPER, Vice President,
Secretary & General Counsel, Carus, LLC

KASEY T. INGRAM, General Counsel &
Chief Compliance Officer, ISK Americas
Incorporated

ROCCO I. DEBITETTO, Partner, Hahn
Loeser & Parks LLP

- Understanding the basics of M&A and how to prepare for the compliance due diligence process
- Outlining strategy and tactics for mitigating transaction-related compliance and ethics risks
- Integrating compliance and ethics after the deal closes and addressing post-closing risks

W3 The DOJ's Antitrust Compliance Program Guidance Two Years Along: Where Are Companies Falling Short?

Subject Area: Compliance Risks

Level: Advanced

JAMES H. MUTCHNIK, Partner,
Kirkland & Ellis

DOUGLAS M. TWEEN, Partner,
Linklaters LLP

- Learn the US DOJ Antitrust Division's expectations of an effective antitrust compliance program
- Identify, classify, and mitigate the greatest antitrust risk areas
- Master strategies for managing specific antitrust risks in an efficient and cost-effective way

W4 Employer's Guide to Navigating Compliance in Today's Workplace: Diversity & Inclusion Programs, Litigation Trends, and Other Hot Topics

Subject Area: Compliance Lawyer

Level: Intermediate

AMANDA HELM WRIGHT, Associate
General Counsel, TD Ameritrade, Inc.

MELODIE CRAFT, VP Legal & Risk
Management, Chief Compliance
Officer, MGRC

MARGARET PARNELL HOGAN,
Shareholder, Littler

- Discuss how diversity, equity, and inclusion present themselves, how they impact the workplace, how to address the legal risk areas, and aid in developing a pathway forward
- Provide guidance on litigation trends related to the pandemic, including the wave of legal claims employers can expect, how to minimize their potential liability, and best practices for legal proceedings as they continue to take place in a virtual world
- Navigate through challenges employers have faced with local laws that may apply to their operations in a new telework environment as well as legislative changes that occurred before the pandemic and those likely to take effect under a new administration

W5 What the SEC Expects From Your Internal Investigation: former SEC Enforcement Attorneys Share Their Insights

Subject Area: Investigation

Level: Advanced

NICK MORGAN, Partner, Paul Hastings

ANDREW J. DUNBAR, Chief Compliance
Officer, Herbalife Nutrition

JOSE SANCHEZ, Americas Lead Counsel,
Senior Managing Director, Deloitte
Global, Office of General Counsel

- Understanding SECs expectations from internal investigations
- Avoiding common pitfalls with whistleblowers
- Interacting with SEC during parallel investigations

9:30–10:00 AM PDT

Coffee Break

10:00–11:30 AM PDT

W6 Rethinking Compliance Program Effectiveness Reviews

Subject Area: General Compliance/Hot Topics

Level: Intermediate

KIMULET WINZER, Director, SunHawk
Consulting

JAMES A. ROSE, Managing Director,
SunHawk Consulting LLC

- Understand how strategy and enterprise risk management impact compliance program effectiveness
- Learn how to leverage the Three Lines of Defense model to bolster compliance with less effort
- Move beyond the federal sentencing guidelines to broaden organizational design thinking

W7 Who's Afraid of Internal Controls? Not Me! Using Internal Controls to Manage Risk and Make Compliance Programs More Effective

Subject Area: General Compliance/Hot Topics

Level: Intermediate

MARISA ZUSKAR, Senior Director, Huron
Consulting Group

DEENA KING, Chief Compliance Officer,
The University of Texas at Tyler

- Internal controls (ICs) are not as scary or technical as you may think. You are likely using them in your institutional compliance program already. We will uncover the true definition and intent of ICs so they are easier to understand, design, and apply
- We will discuss and share examples of how to balance different types of internal controls—including compliance activities you may not have considered to be controls, such as technology, procedures, and training—to build a strong compliance structure
- We will review how you can use commonly available tools and reference guides, such as the federal "Green Book," the HCCA-OIG Resource Guide, and the new ERM Compliance Guidance from COSO to establish an effective controls-based compliance program

W8 Privacy by Design: A New Way of Thinking About Privacy Compliance

Subject Area: Privacy & Data Security

Level: Advanced

MARTI ARVIN, Executive Advisor,
CynergisTek, Inc.

- Using the NIST Privacy Framework and tying in regulatory obligations such as GLBA, GDPR, CCPA, etc.
- Considerations for data governance when using privacy by design
- Considerations to address fair information practices (transparency, notice, retention, access, etc.)

W9 Training Made EASY: Using Adult Learning Best Practices to Rocket Employee Retention

Subject Area: General Compliance/Hot Topics

Level: Intermediate

NICOLE DI SCHINO, Special Contributor,
Corporate Compliance Insights (CCI
Media Group)

KORTNEY Q. NORDRUM, Regulatory
Counsel & Chief Compliance Officer,
Deluxe Corporation

KRISTY GRANT-HART, Founder & CEO

- Learn the latest research on engagement and retention and how to apply it to YOUR program
- Get practical tips for creating effective, entertaining, and memorable training
- Good training produces measurable results. Learn how to prove effectiveness in accordance with DOJ

W10 Compliance Assessments in 2021: How to Overcome Obstacles in the COVID World

Subject Area: General Compliance/Hot Topics

Level: Intermediate

JACKI CHESLOW, Global Compliance
Program Leader, IEEE

ANDREA FALCIONE, Principal & Head of
Advisory Services, Rethink Compliance

- Benefits of assessment are well documented, but many organizations never bother or don't know where to start. Learn about what typically goes into these initiatives
- Consider IEEE's decision to boldly dive into a program assessment in 2020, one of the most challenging years in modern history
- Hear how IEEE evaluated its compliance risk management universe then crafted and began executing on various improvement plans resulting from its 2020 assessment

1:15 PM PDT

Exam Check-In: Certified
Compliance & Ethics Professional
(CCEP)[®] and Certified Compliance
& Ethics Professional—
International (CCEP-I)[®]

2:00–5:00 PM PDT

Certified Compliance &
Ethics Professional (CCEP)[®]
Exam (Optional)

2:00–6:00 PM PDT

Certified Compliance & Ethics
Professional—International
(CCEP-I)[®] Exam (Optional)

Wednesday, September 22

Post-Conference (Virtual sessions)

7:00–8:00 AM PDT

V1 Is Your Policy
Management Effective? Tips
for Enhancing Your Policies
and Management Process

Subject Area: General Compliance/Hot Topics

Level: Basic

JIAJIA VERONICA XU, Chief Compliance
Officer, Saber Healthcare Group

- Understand the key elements of effective policy management that determine the success thereof
- Learn about techniques to develop, evaluate, manage, and improve your policies and review process
- Apply strategies to promote cross-functional collaboration, engage leaders, and ensure compliance

V2 The Compliance Olympics: What Were the Gold Medal Performances of the Last 12 Months?

Subject Area: International/Multi-National

Level: Basic

JONATHAN ARMSTRONG,
Partner, Cordery

KRISTINE L. ROBIDOUX, Senior
Compliance and Regulatory Counsel,
Gran Tierra Energy Inc.

MARY SHIRLEY, Head of Culture of
Integrity and Compliance Education,
Fresenius Medical Care North America

- They're back! Following on our previous hugely popular program, we'll return with a comprehensive look at some of the main issues affecting compliance globally. We'll contrast and compare between the main theatres of operation—the Americas, EMEA and
- Top-rated speakers discuss a wide range of issues including bribery and corruption, GDPR and data privacy, cyber threats, workforce compliance issues (like modern slavery and immigration), and whether 'legal' is ever enough
- Common threads running across borders will help you manage your global operations effectively whilst staying sensitive to local cultures

V3 Consistent Global Disciplinary Guidelines in a Decentralized Organization

Subject Area: International/Multi-National

Level: Intermediate

ELAINE ONG, Regional Ethics &
Compliance Director, APAC, dentsu
international

KALPANA KOTHARI, Regional Ethics
& Compliance Director, EMEA, dentsu
international

CAVENI WONG, Regional Ethics &
Compliance Director, Americas, Dentsu
Aegis Network

- Review our process and challenges of developing global guidelines covering 68 countries
- Discuss getting buy-in from global, regional, and country stakeholders and subsequent deployment
- Share the challenges faced, lessons learned, regional differences, and what's next

8:00–8:15 AM PDT

Break

8:15–9:15 AM PDT

V4 Thirty Years of Organizational Sentencing Guidelines: Looking Back and Looking Forward

Subject Area: Compliance Lawyer

Level: Intermediate

KATHLEEN GRILLI, General Counsel, US Sentencing Commission

ERIC O. MOREHEAD, Principal Consultant, Morehead Compliance Consulting

- What has been the US Sentencing Commission's role in compliance standards over 30 years?
- What can we learn about compliance from organizational sentencing data and the guidelines influence?
- What might the future of the USSC's role in compliance and ethics look like?

V5 How to Conduct Independent Investigations on Foreign Operations

Subject Area: Investigations

Level: Intermediate

SHIN J. KIM, Partner, TozziniFreire Advogados; SCCE & HCCA Board Member

RENATA MUZZI, Partner, TozziniFreire Advogados

MICHELE CROSS, Principal, Deloitte Financial Advisory Services LLP

- Cross-border investigations often add a layer of complexity beyond the issues seen in domestic work
- Dos and Don'ts when conducting a cross-border internal investigation
- In this session we will discuss how to better handle multijurisdictional internal investigations, especially in times of a growing number of cross boarder government investigations and enforcement

V6 The Role of Leadership in an Effective Compliance Program: Why, How, and What to Do to Effectively Engage Leadership in Your Organization

Subject Area: General Compliance/Hot Topics

Level: Intermediate

ADAM D. BALFOUR, Vice President and General Counsel for Compliance and Latin America, Bridgestone

- Leaders and managers play a key role in building and sustaining a culture of compliance
- Learn why leaders are so key and practical strategies for how to engage leaders in compliance
- Practical tips for how to engage leaders, leverage their voices, and use incentives

9:15–9:30 AM PDT

Break

9:30–10:30 AM PDT

V7 Do it Yourself: The Entrepreneurial Mindsets of Ethics & Compliance Training

Subject Area: Professional Skills

Level: Basic

NICOLE ROSE, Co-Founder, TrainingHats

JASON B. MEYER, President, LeadGood, LLC

- Become empowered to train and communicate more effectively, and save money by doing more in-house
- Understand why your audience and objectives demand a more entrepreneurial approach to C&E training
- Discover how eight mindsets—not technology, big budgets, or special skills—are key to DIY training

V8 Advanced Investigations in Multi-National Companies

Subject Area: International/Multi-National

Level: Advanced

JANNICA HOUBEN, VP, AGC - Global Transformation, Tech Data

KATARZYNA GOLONKA, Regional Compliance Manager, Tech Data Corporation

- Key success factors: Assembling the team, data capture, crisis communication, and reporting
- Comprehensive analysis of investigation process: Counsel, compliance officer, and forensic insights
- Practical examples and mini case studies: Using external vs. internal team

V9 Employment Contracts for your Compliance Officer

Subject Area: Privacy & Data Security

Level: Advanced

KATRIN HAUSSMANN, Partner, Gleiss Lutz

JOSEPH E. MURPHY, Senior Advisor, Compliance Strategists

- Should your CCO have an employment contract
- Include these key points to ensure the CCO's independence and empowerment
- Should others in compliance have this protection?

10:30–11:30 AM PDT

Mid-Conference Break

11:30 AM–12:30 PM PDT

V10 10 Compliance Lessons from the Wirecard Scandal

Subject Area: Case Studies

Level: Intermediate

MIKHAIL REIDER-GORDON, Managing Director, Institutional Ethics & Integrity, Affiliated Monitors, Inc.

- Learn how Wirecard, a listed company, went from 24 billion euros to total collapse in three days after disclosure that 1.9 billion euros did not exist
- Understand how 250 employees plus the entire senior management team are implicated in the fraud that has come to exemplify the hostage-taking of the western banking system by Russian kleptocrats and other illicit activity
- Acquire skills to prevent and detect ethical and legal failures in MNEs by delving into this live case-study and ongoing debacle

V11 How to Benchmark and Boost the Value of Your Ethics & Compliance or Whistleblower Hotline

Subject Area: General Compliance/Hot Topics

Level: Intermediate

ROBERT W. SMITH, Director Business Compliance and Ethics, Serco Group plc

IAN PAINTER, Associate Director, EMEA Marketing, Navex Global

CARRIE PENMAN, General Manager, Lockpath and NetClaim, NAVEX Global

- Leverage our proprietary data and analysis to see how others measure program effectiveness
- Gain insight into how companies are adapting their programs for the new EU Whistleblower Directive
- Learn ways to respond to increased regulation around ethics and compliance programs

V12 Culture Wars: Ethics and Compliance from Both Sides of the Atlantic

Subject Area: General Compliance/Hot Topics

Level: Intermediate

ANNA ROMBERG, Executive Vice President Legal, Compliance and Gov, Getinge

ANN SULTAN, Member, Miller and Chevalier

- How can companies leverage the formal and informal parts of compliance and ethics programs to drive change and compliance throughout their multinational organizations? Lessons learned from in-house and external counsel involved in large FCPA resolutions
- How are cultural differences and approaches reflected in guidance from enforcement authorities and what does this mean for companies facing or potentially facing enforcement action in multiple jurisdictions?
- US and European approaches to ethics and compliance often differ in key ways. How can multinational companies take into account these differences in their global compliance programs?

12:30–12:45 PM PDT

Break

12:45–1:45 PM PDT

V13 Business vs. Private Ethics: Does Such a Distinction Exist/Even Make Sense?

Subject Area: Ethics

Level: Intermediate

HUGH H. PENRI-WILLIAMS, Owner, Glaniad 1865

- Understand the arguments put forth by some that such a distinction can and does exist
- Learn why such arguments are not credible, even dangerously unjustifiable
- Identify practical implications resulting from this diagnosis for compliance and ethics professionals

V14 How to Break Down Silos Through Integrated Risk Management (IRM)

Subject Area: Compliance Risks

Level: Intermediate

JOSH REID, GRC Technologies Service Leader, Crowe

HAYWOOD MARSH, General Manager, Lockpath and NetClaim, NAVEX Global

- Navigate, prioritize, and/or properly communicate the growing, complex risk landscape and gain organizational-wide visibility
- List the risk impact of specific recent and upcoming U.S.-based and global compliance regulations, such as CPRA (CCPA), GDPR, E.U. Whistleblower Act, and/or Germany's Act to Combat Corporate Crimes
- Tips for data integration to fulfill DOJ and COSO guidance

V15 The Corruption Virus: Boost Your Immunity When Operating in Latin America

Subject Area: International/Multi-National

Level: Intermediate

EMANUEL BATISTA, Associate Managing Director, Kroll

PATRICIA COLOMBO, Director of Legal and Compliance, FUJIFILM do Brasil

- Understand the causes and symptoms of corruption in LATAM and how COVID-19 impacted it
- Get a prescription to minimize the spread of corruption within your network of third parties
- How to keep employees safe against corruption virus via effective communication and ongoing training

1:45–2:00 PM PDT

Break

2:00–3:00 PM PDT

V16 Proposed New EU Due Diligence Law on Human Rights and Environmental Standards is a Potential Compliance Issue—Here's How to Get Ready

Subject Area: International/Multi-National

Level: Basic

KATYA LYSOVA, Program Officer, Eurasia, CIPE

MICHELE CRYMES, Program Officer, Center for International Private Enterprise

- Understand how your compliance team needs to prepare for the sweeping requirements of the law
- Differentiate between the law's specific definition of human rights and traditional understandings
- List concrete steps that need to happen to manage the new risks arising from non-compliance

V17 Requirements and Risks Regarding Data Security for Government Contractors

Subject Area: Privacy & Data Security

Level: Intermediate

SCOTT TAKAOKA, Vice President, Aon Cyber Solutions

DAVID SHEIDLOWER, Vice President, Chief Information Security & Priva, Turner Construction Company

LORI ANN LANGE, Peckar & Abramson, P.C.

- Develop an understanding of the crucial elements of the Department of Defense's Cybersecurity Maturity Model Certification (CMMC) and NIST SP 800-171 DoD Assessment Methodology as well as best practices to assess your compliance level and cyber weakness
- Explore compliance procedures and implementation practices, and learn the difference between compliance and true security; develop tactics to leverage compliance requirements to change employee behavior and improve security
- Learn the impact of non-compliance on businesses, including potential False Claims Act liability

V18 Best Practices for M&A Due Diligence for Anti-Corruption: From Initial Idea to Integration

Subject Area: General Compliance/Hot Topics

Level: Intermediate

DANIEL JARMAN, Group Head of Ethics & Compliance, VEON Ltd

SERGIO LEAL, Head of Compliance, North & South America and M&A, Ericsson

DANIEL P. WENDT, Member, Miller & Chevalier

- Summarize strategies for structuring anti-corruption reviews for acquisitions and divestments
- Review key issues that often arise during due diligence for acquisitions and divestments
- Share approaches for effective integration of new companies or assets per DOJ and SEC guidance

3:00–3:15 PM PDT

Break

3:15–4:15 PM PDT

V19 Practical Tips for Building Data Governance Programs

Subject Area: Privacy & Data Security

Level: Basic

VOLKER PASTERNAK, Director of Compliance & International Legal, Electric Power Research Institute (EPRI)

DAVID MARCOS, Chief, Privacy Strategy: Cloud & Artificial Intelligence, Microsoft

SHELLEY AUL, Director, Privacy Office, Early Warning Services

- Challenges of establishing AI compliance and governance
- Interrelationship between privacy, data governance, and AI
- Leveraging lessons learned and best practices, cross-domain, to leapfrog an AI compliance program

V20 Liaison/Ethics Champion Program

Subject Area: Case Studies

Level: Intermediate

JOHN RYAN, Senior Compliance Attorney, Intel Corporation

STELLA ODISHO, Program Manager, Intel Corporation

- Describe Intel's Ethics & Integrity Champion (EIC) network and the benefits of creating a liaison network
- Share best practices from Intel's EIC network
- Discuss challenges in maintaining the liaison group

V21 Cannabis & Your Compliance Program: What Every Compliance Professional Must Know

Subject Area: General Compliance/Hot Topics

Level: Basic

DAVID BEATTY, Director, MC Dean

AMY E. MCDOUGAL, CCEP, CA, President, CLEAResources, LLC

- Explore how domestic and international cannabis legalization impacts your compliance program
- Discover the key ways cannabis legalization affects your risk assessment
- Learn the top five steps all compliance professionals need to take now to mitigate risks

SECTION 1 Attendee Information

☐ Mr ☐ Mrs ☐ Ms ☐ Dr ☐ Other _____ Member/Account ID (if known/applicable) _____

First Name _____ MI _____ Last Name _____

Credentials (CHC, CCEP, etc.) _____ Job Title _____

Organization (name of employer) _____

Street Address _____ City/Town _____

State/Province _____ Zip/Postal Code _____ Country _____

Work Phone _____ Email (required) _____

SECTION 2 Registration

In-Person Options

	On/Before 9/1/21	After 9/1/21
<input type="checkbox"/> Member	\$1,399.00	\$1,599.00
<input type="checkbox"/> Non-Member	\$1,699.00	\$1,899.00
<input type="checkbox"/> Registration + First-Time Membership*	\$1,619.00	\$1,819.00
<input type="checkbox"/> Access to all session recordings	\$100.00	\$100.00
*Save by joining today (first-time members only). Dues renew at \$325.		
<input type="checkbox"/> Group Discount for 3 or More**	(-\$100.00)	(-\$100.00)
<input type="checkbox"/> Group Discount for 10 or More**	(-\$150.00)	(-\$150.00)

**See group discounts in Event Terms and Conditions. Visit corporatecompliance.org/2021cei

TOTAL \$ _____

Dietary Needs Request (for in person attendees only)

☐ Dairy Free ☐ Gluten Free ☐ Kosher ☐ Vegetarian ☐ Vegan ☐ Other _____

Onsite Cell Phone - for emergency onsite use only _____

SCCE Membership: By selecting the Registration + First-Time Membership Offer, you agree to the full membership Terms and Conditions, including the use of your information, viewable at corporatecompliance.org/membership/tandc. To see the full use of your information or if you wish to opt-out, visit corporatecompliance.org/privacy.

Virtual Options

	On/Before 9/1/21	After 9/1/21
<input type="checkbox"/> Member	\$795.00	\$895.00
<input type="checkbox"/> Non-Member	\$1095.00	\$1,195.00
<input type="checkbox"/> Registration + First-Time Membership*	\$1,015.00	\$1,115.00
<input type="checkbox"/> Access to all session recordings	\$100.00	\$100.00
*Save by joining today (first-time members only). Dues renew at \$325.		
<input type="checkbox"/> Group Discount for 3 or More**	(-\$100.00)	(-\$100.00)
<input type="checkbox"/> Group Discount for 10 or More**	(-\$150.00)	(-\$150.00)

**See group discounts in Event Terms and Conditions. Visit corporatecompliance.org/2021cei

TOTAL \$ _____

Opt-Out: Select if you would like to opt-out of the following:

- ☐ Member Magazine Listing: SCCE lists all new members (first and last name, organization, and state or country) in our monthly magazine, *Compliance & Ethics Professional* (CEP).
☐ Online Member Directory: SCCE's member directory lists first and last name, organization, title, address, and phone number.

SECTION 3 Payment

Online registration at corporatecompliance.org/2021cei

Mail to SCCE, 6462 City West Parkway, Eden Prairie, MN 55344 USA Fax to +1 952.988.0146

Email to helpteam@corporatecompliance.org — Due to PCI compliance, do not provide credit card information via email. Email this form without credit card information, then call SCCE at +1 952.933.4977 or 888.277.4977 with your payment.

☐ Invoice me ☐ Check enclosed (payable to SCCE) ☐ Wire transfer requested

☐ I authorize SCCE to charge my credit card: ☐ Visa ☐ MasterCard ☐ Discover ☐ American Express

Credit Card Account Number _____ Expiration Date _____

Cardholder Name _____ Cardholder Signature _____

SECTION 4 Acknowledgements

By submitting this registration, you agree to the full event Terms and Conditions, viewable at corporatecompliance.org/conference/tandc, including the use of your information that may be shared with conference exhibitors, attendees, speakers, affiliates, and partners for promotional and/or networking purposes. To see the full use of your information or if you wish to opt-out, visit corporatecompliance.org/privacy.

By registering for this event, you also agree that you have read and agree to the Personal Accountability Commitment, the Assumption of Risk, and the Liability Waiver and Release viewable on page 3 or at corporatecompliance.org/conference/tandc.

Group Discount Policy: Registration forms must be sent together to ensure that the discount is applied. The group discount is not available through online registration. 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.

Photo/Video Release: By registering for this event, you grant SCCE, or anyone authorized by SCCE, the right to use or publish in print or electronic format, any photographs or video containing your image or likeness for educational, news, or promotional purposes, without compensation.

New Members: By selecting the Registration + First-Time Membership Offer, you agree to the full membership Terms and Conditions, including the use of your information, viewable at corporatecompliance.org/membership/tandc.

Frequently Asked Questions

Where will the conference take place?

ARIA Resort & Casino, 3730 Las Vegas Boulevard South, Las Vegas, NV 89158 | Hotel Website | Online Reservations

A reduced room rate has been setup for attendees. Rates are as follows: Friday, September 17, \$239, Saturday, September 18, \$299, Sunday, September 19 – Tuesday, September 21, \$175 and Wednesday, September 22 is \$125. Rates do not include applicable taxes, currently 13.38% (subject to change) and a daily resort fee of \$39 per room, plus tax. Book your reservations by calling (866)359-7757 and referencing the group code: SSCC0921AR or by booking online. The cutoff date to receive the discounted rate is Saturday, August 21, 2021 or when the group block is full, whichever comes first.

Notice: Neither SCCE nor any hotel it is affiliated with will ever contact you to make a hotel reservation. If you receive a call soliciting reservations on behalf of SCCE or the event, it is likely from a room poacher and may be fraudulent. We recommend you make reservations directly with the hotel using the phone number or web link on the conference website. If you have concerns or questions, please contact +1 952.933.4977 or 888.277.4977.

What is included in the cost of my attendance?

Access to sessions, supplemental conference materials, networking opportunities, exhibitor booths (when available), and a complimentary lunch (for in person attendees only).

What COVID-19 safety precautions will be implemented?

SCCE considers the health and safety of all those at in-person programs our top priority. During these challenging times, SCCE is committed to providing a safe and healthy environment for all our in-person program participants and staff. Although participants should recognize that there is risk involved in attending, SCCE will be following preventative measures to reduce the potential spread of the COVID-19 virus and other communicable diseases at its in-person events in accordance with guidance provided by the CDC, and/or local or state government agencies, and its partnering hotel. SCCE staff will be trained in the knowledge necessary to monitor, enforce, and handle compliance with safety protocols and procedures.

Will I receive a recording of this conference?

Yes, Registered paid attendees (in-person & virtual) will receive 60 days access to sessions recordings approximately 2 weeks post conference. Beyond 60 days, session recordings will be available for purchase. No audio or video recording by attendees is allowed.

Is there a group discount, and if so, what is it?

Yes, we offer group discounts for groups of three or more from the same organization for all our live in-person and virtual events (excluding webinars). Please send all group registration forms together to helpteam@corporatecompliance.org for processing. A separate registration form is required for each registrant. The group discount is NOT available through online registration. 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. For groups of 20 or more, please call +1 952.933.4977 or 888.277.4977 or email helpteam@corporatecompliance.org.

What do I get with "Registration + First Time Membership?"

If you've never been an SCCE member, you can register as a First-Time Member. This gives you SCCE membership at a discounted rate for your first year. You also receive the member rate for the conference. As a member you receive all SCCE member benefits (discounts, *Compliance & Ethics Professional*® (CEP) monthly magazine, *Ethikos*® digital quarterly newsletter, member-exclusive webinars, and more). A full list of benefits can be viewed at corporatecompliance.org/membership. Your membership will begin once payment is received.

How do I use the credit on my account for this event?

You can complete the registration online and select the "Invoice Me" payment option at checkout. Once you receive your confirmation, email helpteam@corporatecompliance.org or call at +1 952.933.4977 or 888.277.4977 to request your credit be applied toward the registration fee.

Can I get the member rate if I am an HCCA member instead of SCCE or vice versa?

Yes. As a member of SCCE or HCCA, you can receive the membership discount for both organizations' events, but this cannot be done online. Please send your registration form via email to helpteam@corporatecompliance.org to complete your registration.

How can I cancel my registration?

If you need to cancel your participation (or send a substitute), your request must be submitted by email to helpteam@corporatecompliance.org. A conference credit will be issued for all registration fees paid (minus any cancellation fee) and will expire 12 months from the date of the original canceled event. Conference credits will not be issued if you do not attend the event and have not requested cancellation prior to the event start date. An additional fee may apply depending upon the membership status of the substitute.

Who can I notify of special needs or concerns prior to the event?

Please call SCCE at +1 952.933.4977 or 888.277.4977 or email helpteam@corporatecompliance.org if you have a special need and/or require accommodation to participate.

Continuing Education FAQ's

Can I earn Continuing Education Units (CEUs) for attending this conference?

Yes. This conference offers live Compliance Certification Board (CCB)® continuing education units (CEUs) for participation. SCCE will be applying for external continuing education units (CEUs). If you would like to make a request, please email ccb@compliancecertification.org. Only written requests from registered attendees will be considered.

How many CEUs will I earn from attending?

CEUs are assessed based on actual attendance and credit type requested. Should the overall number of educational hours the conference offers decrease or increase, the maximum number of CEUs available will be changed accordingly. To see the most up-to-date CEU approval information, go to corporatecompliance.org/2021CEI and then select the "Continuing Education" option on the left-hand menu.

How do I request CEUs following this conference?

Following this conference, you will be provided the Application for Continuing Education Units (CEUs). To receive CEUs, you must submit the completed application to ccb@compliancecertification.org. Only registered attendees are eligible to request CEUs for participation.

When will I receive my CEU certificate for participation?

Once your completed Application for Continuing Education Units (CEUs) has been received by our staff, your CEU account will be updated within 2–4 weeks. To view your CCB CEUs and access your certificate, you can log in to your online corporatecompliance.org account, go to your Account Dashboard, and scroll down to View My CEUs.

I would like to sit for one of the CCB exams following this conference. Will I qualify?

While this conference, if attended in full, can provide you with all the CEUs needed to meet the continuing education requirement, you will also need to review the applicable candidate handbook found at corporatecompliance.org/candidate-handbooks to ensure you meet the work experience requirement.

I have reviewed the Candidate Handbook and want to apply for the exam as soon as the conference concludes. What's next?

Immediately following the conclusion of the conference, if you have reviewed your Candidate Handbook and submitted your Application for Continuing Education Units (CEUs), you can go ahead and apply online for your exam at corporatecompliance.org/apply-exam.

Can I take my exam remotely?

Yes, CCB offers the flexibility for candidates to take their exam remotely, at a local testing site, or following certain SCCE conferences. To learn more about our various testing options, visit SCCE's website, corporatecompliance.org/exam-information.

I have more questions about exams and seeking certification. Who can help me?

For more questions about CCB certifications, call to speak to a Certification Specialist at +1 952.933.4977 or 888.277.4977 or email ccb@compliancecertification.org.

Event Terms and Conditions

Personal Accountability Commitment: Any public space where other people are present holds an inherent risk of exposure to COVID-19 and other communicable diseases. I will take necessary precautions while at the event, including but not limited to, personal hygiene and hand sanitization, adherence to pathway signage, and self-monitoring and self-reporting.

You are asked to contact SCCE at april.kiel@corporatecompliance.org if you experience symptoms of COVID-19 within 10 days after participating in the SCCE event. Any private health or personal data that may be received by SCCE in connection with such measures and precautions will be treated as confidentially as possible. You should not attend an SCCE event if you are experiencing, or within the 10 days prior to the program have experienced, symptoms associated with the flu or COVID-19. You also should not attend if you believe that you may have been exposed to a confirmed or suspected case of COVID-19 or have been diagnosed with COVID-19 and are not yet cleared as non-contagious by state or local public health authorities or the healthcare team responsible for your treatment.

Assumption of Risk: By submitting this registration, I acknowledge the contagious nature of COVID-19 and other communicable diseases, and voluntarily assume the risk that I may be exposed to or infected by COVID-19 or other communicable disease by attending this SCCE event and the consequences of such exposure. It is my choice to participate in this event, knowing that attending this event may increase the risk of becoming exposed to and infected by COVID-19 or other communicable disease. I voluntarily agree to assume the risk of contracting COVID-19 or other communicable disease, and I accept sole responsibility for any injury or illness to myself or others.

Liability Waiver and Release: In consideration of being permitted to participate in the SCCE event, I hereby waive, release from liability, assume all risks, and covenant not to sue SCCE & HCCA or its officers, board members, employees, agents, and representatives (the "SCCE & HCCA Parties") for any expense, loss, damage, personal injury (including loss of life, disability, or serious harm), property damage or theft, negligence, or actions (each, a "Loss") resulting from or arising in connection with my travel to, attendance at, or participation in the SCCE event and any related activities unless said Loss is caused by the sole, gross negligence of SCCE. I further hereby release, agree not to sue, discharge, and hold harmless SCCE & HCCA, its officers, board members, employees, agents, and representatives, from all Losses relating to COVID-19 or other communicable diseases. I understand and agree that this release includes any and all claims based on the actions, omissions, or negligence of SCCE & HCCA, its officers, employees, agents, or representatives.

This assumption of risk and waiver applies even if the undersigned asserts that SCCE & HCCA was at fault for not taking greater precautions to manage exposure or infection from COVID-19 and other communicable diseases. I agree that this waiver and release shall bind me and my personal representatives, shall be enforceable to the fullest and broadest extent of the law, and, if any portion is held invalid, the remainder should continue in full legal force and effect.