

COMPLIANCE & ETHICS PROFESSIONAL

SPECIAL EDITION 2018

CEP

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CORPORATE COMPLIANCE AND ETHICS

SPECIAL EDITION

**HIGHLIGHTS FROM THE
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by Gerry Zack

CEI: A heartfelt farewell to Roy Snell

Welcome to the 2018 special edition of *Compliance & Ethics Professional*, in which we take a look at the recently completed 17th Annual Compliance & Ethics Institute (CEI).

It was another exciting year for CEI, with almost 1,800 people from more than 40 countries in attendance. There were so many great educational sessions to choose from, fun networking activities, and a wonderful selection of vendors to visit with in the exhibit area. While it's always great to visit with people who have been to CEI many times, it was also great to see an energized room filled with more than 170 professionals at the first-time attendee breakfast. They didn't waste any time in developing relationships that will likely last for years.

We were fortunate to have some great keynotes during the general sessions. It began with a lively discussion from author Scott Eblin on overcoming the feeling of being overworked and overwhelmed. On Tuesday morning we were treated to an informative, and perhaps a bit scary, session on artificial intelligence from Amber Mac. And later on Tuesday, the final CEI general session involved a thought-provoking panel discussion on #MeToo led by SCCE board member Jenny O'Brien, with panelists Rebecca Walker, Robin Everhart, and Paul Fiorelli. Along the way, I was privileged to have had the opportunity to present my own general session on how manipulative compliance violators

work, using one of my favorite true stories to illustrate.

But the highlight of this year's CEI for many of us was the heartfelt tribute given to retiring CEO and SCCE co-founder Roy Snell by board member and co-founder Odell Guyton during the opening session. And Roy's speech that followed was classic Roy—all about how much he benefited from all of you, the compliance profession, over the years. No mention of all his major contributions to the profession and this organization. Of course, the tributes to Roy didn't stop there. One of the highlights for me was watching the nonstop parade of people going up to Roy to thank him and wish him happiness in his retirement.

I hope you enjoy the reports on CEI 2018 that are contained in this issue. But even more, I hope to see everyone at CEI 2019 in National Harbor, Maryland, just outside Washington, DC. *

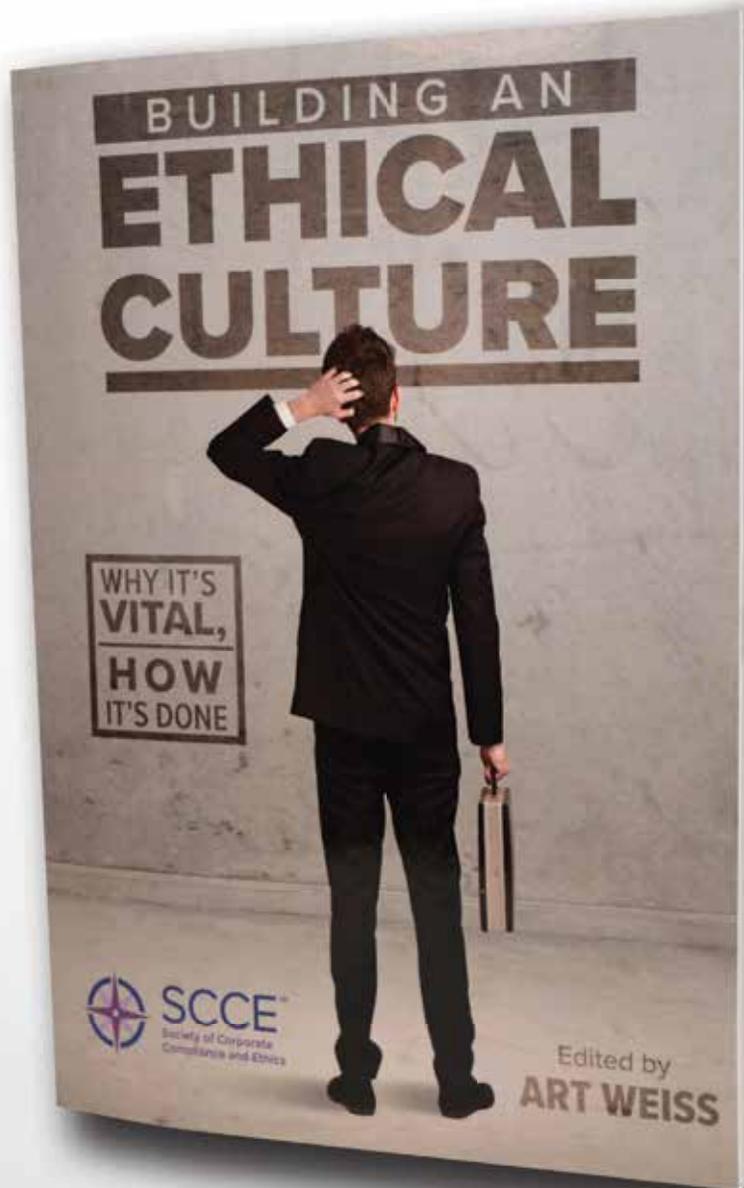


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by Lori Strauss

A great event and a great start

There was no more rewarding way to begin my new term as the President of the Society of Corporate Compliance and Ethics & Health Care Compliance Association than to spend four days at the Compliance & Ethics Institute (CEI). Walking through the exhibit hall and sitting in on sessions, I could feel the energy of the compliance community and see the commitment of our members.



Strauss

Despite the temptations of Las Vegas, the meeting was packed from the breakfast for first-time attendees at 7:15 on Sunday morning, to the end of the networking receptions with the exhibitors on Sunday and Monday nights, and right through the post-conference sessions on Wednesday morning. The conference attendees filled the rooms and filled

the air with discussions about their challenges and new ideas for meeting them.

As I sat in on sessions, I was amazed at how large our profession has become. I don't mean just that we can have 1,800+ people at a conference—rather, how many tough issues compliance is now called upon to tackle and how well-thought-out so many compliance programs are today.

Ours is now truly a global profession in both the issues we tackle and our membership. Approximately 10% of the attendees at the CEI came from outside the US, bringing with them their experiences and appreciation for the opportunity to learn. And it is worth noting that, as I write this, SCCE has just under 1,400 members from outside the US.

I look forward to serving as your board president for the next year and, hopefully, seeing you at the 2019 Compliance & Ethics Institute in National Harbor, Maryland. *





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VOLUME 15, SPECIAL EDITION

by Adam Turteltaub

Keynotes were high notes

To shake things up a bit, there was a change in format for this year's Compliance & Ethics Institute. Instead of having two keynote sessions back-to-back each morning, SCCE split them up. One came in the morning, and one closed out the day.

The new format seemed to work well, and that's due in no small measure to the speakers and their presentations. Scott Eblin, author of *The Next Level*, shared insights into how to improve leadership skills, and he even had the whole audience up on their feet doing a bit of yoga.

Incoming CEO Gerry Zack mesmerized the audience with his tale of a master manipulator and art forger, and told us the signs to

watch out for in our own organizations when people try to manipulate others.

Technology guru Amber Mac shared the potential and risks of artificial intelligence—and left everyone looking differently at the technology around us.

Finally, Jenny O'Brien, chief compliance officer at UnitedHealthcare, led a fascinating panel focused on what we as compliance professionals need to know about the #MeToo movement.

Each of the keynote sessions did what every conference organizer hopes for: they inspired the audience to think deeply and differently about the challenges we all face. *





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- P9** 3 Part Investigations Workshop
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- 309** Managing Third Party Compliance Programs on a Global Scale
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- 702** Unethical Acts—Why We do What We do
- 703** Lights! Camera! Compliance! ...How Making a Movie Changed Our Culture
- 704** While You Were Sleeping: Insights about the Realities of Ethics & Compliance in Asia from a Regional Compliance Director
- 705** To Privilege or Not to Privilege: The Role of Attorney Advice in Performing Risk Assessments and Running a Compliance Program
- 706** Who, What, Why: PC
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POST-CONFERENCE

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GENERAL SESSIONS

- Keynote Address:** Next Level Leadership
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- Keynote Address:** Artificial Intelligence: A Day in Your Life in Compliance & Ethics
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by Kristi Knight

Navigating the technology curve

Compliance professionals must keep ahead of the technology curve to successfully fulfill their role. This theme wove through many of the 2018 CEI sessions, tying together elements of privacy, cyber security, third-party due diligence, and risk assessment.

Attending my first CEI, I was particularly interested in hearing a new perspective on risk and mitigation. As an internal auditor, my role as the “third line of defense” is distinct from compliance professionals who serve as the “second line,” but we share a goal of improving organizational effectiveness. We achieve this shared goal in different ways, but there are many opportunities to collaborate and avoid duplicating efforts.

As technology continues to change the way organizations operate, the way the lines of defense collaborate must change too. In their session on personal identifiable information (PII), Whittney Tom and Nisha Sehn presented an example of changing how and when compliance can work with functional managers—rather than waiting to check if the privacy officer has mapped PII data flows—and be proactively involved to assure 1) that data are mapped and 2) that risks are identified and mitigated. Internal audit can and should be part of this proactive effort.

Megan Moloney added to the technology curve theme in her session on creating cyber incident response plans. An effective plan hinges on understanding data flows before a cyberbreach occurs, and should include mapping of data collection and storage by third parties. Audit and compliance professionals can assist the organization by providing an objective assessment of data ownership, supply chain risks, and the resiliency of response plans.

Matt Kelly, Fernanda Beraldi, and Ed Broecker tackled the question of who should own vendor risk management. The answer requires collaborating with functional managers to understand how anti-bribery, fraud, cybersecurity, and other relevant risks are assessed, and then documenting a formal process owned by the business units. Compliance and internal audit functions can use the shared risk assessment to provide advice, oversight, monitoring, and assurance.

The ultimate challenge for compliance professionals is not just keeping up with the technology curve, but doing so while maintaining the core functions of a successful compliance program. Thanks to the hard work of SCCE staff and members, the resources and support are readily available to those up for the challenge. *

by Jay Rosen

Compliance buyers and outside providers agree: RFPs stink

For the past three years (2015–2017), I was honored to have moderated an Advanced Discussion Group entitled, “From Bangkok to Bogotá and Boston to Brussels, Global ABC and FCPA Benchmarks, Best Practices and Boot Camps: One Size Does Not Fit All.” This year I needed a new topic. In collaboration with Mary Shirley from Fresenius, we came up with “Secrets from In-house Ethics & Compliance Buyers: How to Keep the Gate and Your Sanity.”

Many in-house compliance officers (COs) and personnel feel that they are consistently bombarded by vendors. Things got so bad for one CO during the Compliance & Ethics Institute coffee breaks, she would speed through the exhibit hall, eyes down, careful not to draw the attention of any of the booth personnel. No matter how many tchotchkes or iPad raffles, this CO did not have product needs or was happy with her current vendor.

In our session, we had attendees from in-house counsel (COs and support staff), outside counsel (who in this case are vendors), and solutions providers representing ethics and compliance training, case management, and hotline solutions. Although the vendors were in the minority, they held

their own and presented their side of the story. One said, “Of course we do not expect to develop a best-friend relationship immediately. This takes time. What we are looking to do is to build trust with our potential client over time, and if the need arises, then we have a foundation to work from.”

One CO from a global energy company shared that he needs to have global vendors in place before a situation occurs, so it is critical for him to not only have ongoing vendor relationships, but also have contracts in place and vendors engaged in advance of a problem arising.

Both the in-house buyers and solution providers agreed that the RFP process is cumbersome, exhausting, and often requires gathering information that does not speak directly to in-house needs. Finally, the room agreed that for the most part, their vendors observe the proper etiquette, but sometimes a few bad apples ruin it for the whole profession.

In closing, I asked everyone to remember that sometimes we’re the buyer and (in the case of an in-house counsel going back to the big law firm), sometimes we are the solution provider. As Mark Knopfler said in a song, “Sometimes you’re the windshield; sometimes you’re the bug.” *

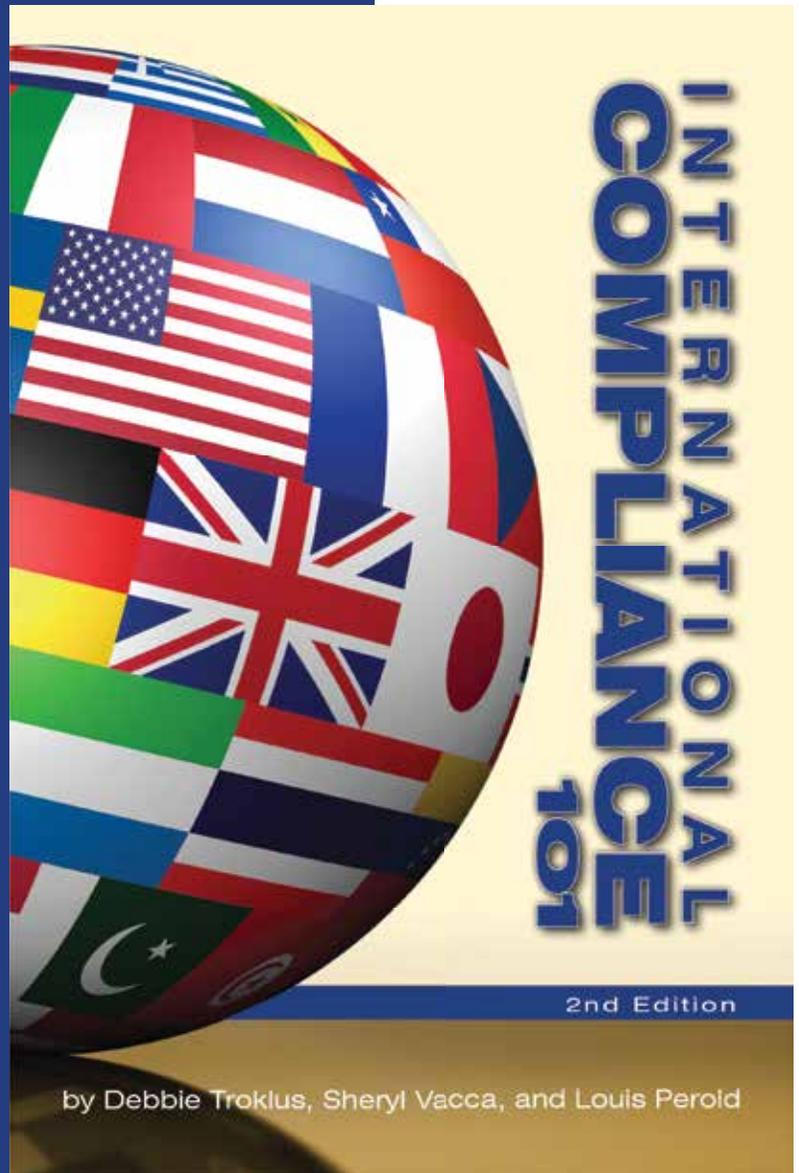
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by Liz Ray

SCCE booth was buzzing

The SCCE Booth was buzzing with activity at the 17th Annual Compliance & Ethics Institute in Las Vegas! Attendees flocked to the booth to visit our publications, certification, and social media teams. Staff was able to help people find the books, membership, or conference information they were looking for.

When attendees were done getting the important questions asked, they moved on to have some fun at our prize wheel! Attendees spun for their chance at one of several prizes, along with stocking up on goodies from our takeaway table. *



by Nancy Gordon

SCCE Publication's booth

A wealth of publications displayed in the SCCE booth gave attendees the chance to spend quality time with a wide range of expert guidance found in SCCE's books, magazines, and newsletters. Some visitors chose to stock up on the latest tools, while others just enjoyed the time to read and reflect.

This year's top sellers (beyond perennial best seller, *Compliance 101*) included the new edition of *International Compliance 101* and *Investigative Interviewing*. Many visitors came by the booth to pick up their complimentary copies of *Report on Supply Chain Compliance*, SCCE's new newsletter that will be available in January 2019 for subscription. *



by Doug Stupca

Compliance, ethics, and social media

The 17th Annual Compliance & Ethics Institute gathered people from around the world to tweet, blog, and share their CEI experience!

At this year's CEI, nearly 300 compliance and ethics professionals used #SCCEeci on Twitter to connect with others. Attendees were able to visit our LinkedIn Booth to create,

polish, or add that one missing piece to their profiles.

Finally, attendees visited our Social Media Booth to tell their CEI story and become featured on our blog, complianceandethics.org. Whether it was their first time or tenth time, everyone was sharing their CEI experience in one way or another! *



TWEETING AT THE MEETING

Lisa Fine @Irfine - 24h
Great trip around the world with @armstrongjp @KrisRobidoux and Mary Shirley on the final day of #sccceei.



Heather Mark, Ph.D. @drheathermark - Oct 23
Great point made today - how many US Compliance professionals have "international" in their titles, but have no passport? Understanding culture is vitally important to global compliance programs. #sccceei

Walter E. Johnson @walter_johnson1 - 19h
Best of luck to all the candidates sitting for the CCEP and the CCEP-I today. I wish you much success! To the 1st timers, I hope you enjoyed the #SCCEei as much as I did. I look forward to hearing about your achievements next year in my home state!

Matt Kelly @compliancecraze - Oct 24
Why yes, I did pull together a bunch of social media posts from the @SCCE 2018 conference. Have a look to see what's been happening. #Compliance #FOIA #SCCEei #GRC butfly(2)0skmuc



DeAnna Nuenken @dnuenken1 - Oct 20
Happy to be here for the 2018 #SCCEei volunteered at #ThriveSquare this morning then ran into outgoing CEO @RaylineSCCI and got my first selfie of the week w. It's going to be a great week!



Jonathan Armstrong @armstrongjp - 18h
Thanks to all at #SCCEei @SCCE for your participation today + thanks to @KrisRobidoux & @maryshirley for all of your hard work on the panel!



amber mac @ambermac - Oct 27
Just so everyone @SCCE knows, I won't be able to do this at tomorrow's keynote unless I have a little more time to practice 😂 #SCCEei



Marsha Ershaghi @zappyfibra
Energizing headstands led by @ScottEblin @SCCE #sccceei activating the next level of #leadership

Amie Mayo @SCCEBHGCA @AmieSCCEBHGCA - Oct 20
What a great way to kick off @SCCE annual Compliance and Ethics Institute. #SCCEei



SCCE @SCCE - Oct 21
More bloggers sharing their #SCCEei experience and getting some free Starbucks!



Fernanda Beraldi @FernandaBeraldi - Oct 24
Hi @compliancecraze @debrowlee and I in 15 min to discuss Vendor Risk Management @SCCE #sccceei see you there! #compliance



by Liz Ray

Exhibit hall activities

The exhibit hall was the fun place to be to connect with attendees, exhibitors and sponsors, and SCCE staff at the 2018 Compliance & Ethics Institute! The exhibit hall offered caricatures, free t-shirts, a prize wheel, head shots, and great food and beverages. We hope you found new products, services, or industry information to boost your compliance program—and had fun! Plan now to join us again in 2019! *



by Taci Gregory

Fitness Challenge

The Fitness Challenge returned for the second year at the CEI, and it sure kept everyone moving! With more than 375 participants and the prizes given at random, attendees were on the move to try and win. The challenge included steps tracked between Monday morning and Tuesday afternoon. Check out these stats:

- 11 Fitness Challenge participants exceeded 60,000 paces
- 18 Fitness Challenge participants exceeded 40,000 paces
- 39 Fitness Challenge participants exceeded 25,000 paces

- 89 Fitness Challenge participants exceeded 10,000 paces
- 378 Fitness Challenge participants, in total, exceeded 4.4 million paces! *



by Adam Turteltaub

SCCE International Awards

Each year at the Compliance & Ethics Institute, we recognize individuals and organizations that have gone above and beyond to elevate our profession. In the past, we have done so on Monday night at an awards dinner. To enable more members of the compliance and ethics community to share in the event, SCCE did something different in 2018: An award winner was recognized on Monday and Tuesday at the start of the general sessions.

Joe Murphy presented an award to Brazil's Ministry of Transparency and Comptroller-General of the Union "for its work in encouraging effective compliance programs in

Brazil." Minister Wagner de Campos Rosário accepted the award, saying, "The recognition of the Ministry's work towards the promotion of integrity in Brazil gratifies us greatly, as it is the result of many efforts undertaken over the last years."

On Tuesday, Ty Francis, MBE, presented an award to the UK's Institute of Business Ethics (IBE), which "has been a hub for discussion, research, and practical advice for more than 30 years." Philippa Foster Back, CBE, director of IBE, accepted the award and cited the importance of "ongoing and sustainable relationships with your stakeholders, based on mutual benefit, respect, and integrity." *





by Taci Gregory

Braindates

At this year's CEI, SCCE was excited to offer a new up-and-coming way to network with other conference goers: Braindates, which offered a more targeted approach to meet people and discuss topics relevant to what each attendee was looking for. The Braindates lounge was buzzing all three days, and great connections were made.

Here's what some people had to say about their experience:

"I felt like I had a supportive environment to meet the right people at CEI. The logistics of meeting people are removed because you have the Braindate team to guide you through your experience. It was a great structured way to meet a friend that you never knew that you had!"

– Jonathan Armstrong, Technology & Compliance Lawyer at Cordery

"It was amazing! I was happy that I had a SCCE password problem, so I had the chance to connect with the Braindate team by email, and I had the chance to meet them on-site. So after that, everything was smooth from there. My Braindate experience was the highlight of the conference! And the conference was the highlight of my multiple conference attendance confirmations over the year."

– Angelo Paparelli, Certified Immigration Specialist at Syefarth

"Braindates, it's like Uber for networking, [and] it's great to connect people who have the same backgrounds! I don't have anything against small talk, but these conversations are much more purposeful, and we can cut straight to the chase. It's a great tool to use as an exhibitor to meet people...and share tips."

– Chris Osborn, Facilitator/Consultant at ReelTime CLE

"I think it was a great opportunity to meet with people who had common interests as opposed to a random meeting. It's much more focused and targeted. I created my Braindate profile several weeks ago and have done multiple Braindates. It's an efficient system to connect with people at a large event."

– John Jacobs, Senior Principal Consultant at ACA Compliance

"Braindate was a terrific addition to the SCCE annual meeting. It is a fantastic way to meet other compliance professionals, and share information in a comfortable and relaxed setting. The Braindate staff was attentive, supportive, and invaluable to coordinating successful sessions. They are an important component of the Braindate function."

– Michael Volkov, CEO at The Volkov Group *



by Amie Mayo

CEI attendees give back

Thirty-seven volunteers participated in this year's Compliance & Ethics Institute volunteer project. Attendees gathered on Saturday morning to help package food for those in need at Three Square Food Bank.

Three Square is an affiliate of Feeding America that serves four counties in Southern Nevada. They source wholesome food, raise funds, and rely on volunteers to help support their programs. Three Square estimates that one in seven Southern

Nevada residents are food insecure. This equates to more than 271,000 people who do not have enough to eat, many of whom are children.

Our team was assigned to prepare non-perishable food items for the Backpack for Kids program. Many hands make for light work! We created more than 4,300 bags of nutritious and easy-to-prepare food for children to take home on the weekend.

For more information about Three Square programs, visit threesquare.org. *



by Jill E. Burke

Silent Auction

The Silent Auction at the Compliance & Ethics Institute is always a favorite activity for attendees! This year we raised more than \$6,000 to benefit America's Fund! Items in the auction ranged from unique artwork to the always popular jewelry collections of Marjorie Doyle. We appreciate everyone's participation, and whether you donated or bid on an item, America's Fund thanks you! It was once again our honor to support this

organization and the great work they do for our veterans. *



by Darren Hockley, MD

My SCCE experience

It was great to hear about the added emphasis organizations are placing upon learner engagement when it comes to compliance and ethics training during the 2018 Compliance & Ethics Institute. As an eLearning provider, I've had lots of interesting conversations with attendees who are looking for a fresh approach to their training—that is, a way to counter waning attention spans and increase the motivation levels of their learners.

Attendees at this year's show have been keen to discuss how courses make use of gamification (the introduction of video game techniques, such as point scoring and collecting rewards, as well as training courses) to capture the attention of learners and avoid staleness. It's important for employers to understand that gamification is not “dumbing

down” or diluting computer-based learning. Rather, it is a method through which to engage and challenge learners to apply their knowledge—and it's highly effective.

We also enjoyed lots of discussion around the use of microlearning as a training tool. Microlearning denotes very specific eLearning courses that are usually only a few minutes in length; the compact and highly relevant nature of these “mini” courses is specifically designed to combat the increased distraction levels felt by modern learners, and it has proven to increase knowledge retention.

In summary, we've had another interesting and busy show. There was a lot to talk with attendees interested in fresh eLearning solutions and what the future of computer-based training may hold. *





by Kitty Holt

Silver and gold

I have attended seven CEIs in the past eight years (deciding that skipping the one held on my 25th wedding anniversary was in the best interest of my marriage), and this one was my favorite, for four reasons:

Silver and gold

There is an old song: “Make new friends but keep the old. One is silver and the other gold.” This year’s CEI had both.

Gold: Over the past few years, I have met a number of people at the CEI. Some of us who work at nonprofits across the US have formed an informal group and make a point of talking several times a year, conducting an annual benchmarking survey, and getting together for dinner, and this year was no different.

Silver: Though an introvert by nature, I work hard to meet new people, and that includes speaking at the CEI as often as SCCE will have me, introducing myself to people who are standing alone, and, this year, participating in a Braintdate and meeting for lunch with complete strangers who posted on SCCE*net* that they wanted to get together. These conversations gave me great ideas for my organization’s compliance program, invaluable contacts, and even the names of some national parks I need to visit!

Exhibitors

Over the years, I have gone from avoiding eye contact with the exhibitors (sorry!) to realizing they are there to provide us with solutions to our problems. This year I talked to a number of them, including an evening out with one of them, and an hour with another as we walked through how to use one of their products. I look forward to continuing to connect with them.

The sessions

I brought home many takeaways from the sessions and will spend time over the next week reviewing my notes and the handouts, and then laying out next steps. It’s clear how hard the planning committee works to bring in so many excellent speakers on a variety of relevant topics.

The location

I like to make the most of any location I am in, so a colleague from another nonprofit and I fly in a day early and share a room at our expense, and then we venture out into the beautiful locations beyond Vegas, including the Grand Canyon and Zion National Park. As compliance officers, we all have very challenging jobs, and enjoying the great outdoors is a great way to reinvigorate.

Here’s to next year’s CEI in Maryland! *

by Ben DiPietro

Mister Rogers' compliance neighborhood

On my flight home from SCCE's Compliance & Ethics Institute, I watched the documentary movie about Fred "Mister" Rogers: *Won't You Be My Neighbor*.

It's a heartwarming look at the ordained minister from Pittsburgh, Pennsylvania, whose children's television show was devoted to explaining feelings to little kids that had no idea what feelings were, why they were having them, and what they could do to manage them. He showed them compassion as he explained the world to them and how they fit into it.

Mister Rogers was the embodiment of a decent person, the model of an ethical man.

He wasn't afraid to tackle serious subjects—he did shows explaining the assassination of Robert Kennedy in 1968, he shared a pool of water with a black character to refute the hate that surrounded the civil rights movement, and he came out of retirement in 2001 to discuss what happened on 9/11.

If he were alive today, Mister Rogers would be needed more than ever in these divisive times.

Because of his ability to speak truth when it was hard or dangerous to do so, to stand up for what was right, to promote doing the right thing because it's the right thing to do, Mister Rogers would have been a great compliance officer.

The themes he emphasized—behaving properly, showing others respect, admitting wrongdoing, and being held accountable—are the messages I hear every year at SCCE.

The best compliance trait Mister Rogers possessed: He was an excellent listener. And he knew the most important skill he could impart to the millions of children whose lives he touched was to get them to become good listeners.

Fred Rogers understood if people couldn't properly listen, they would never really make a connection, never fully understand each other.

That word—listening—is the word I heard the most at this year's SCCE. And with good reason: Listening is the key to any good ethics and compliance program.

Compliance people work tirelessly to foster cultures of integrity—cultures based on respectful listening, transparency, and accountability—but there is much work to be done to make sure all are heard, included, and considered.

Mister Rogers would be proud of the way the ethics and compliance profession doggedly keeps working to perpetuate the values he so cherished. And he would be very happy to know that people are listening to one another. *

by John Orłowski

CEI thoughts

More than 20 compliance professionals of varying skill levels from Koch Industries and Koch Companies attended the 2018 Compliance & Ethics Institute (CEI) in Las Vegas. We found that the 2018 CEI experience was not only a profitable way to obtain external knowledge that we can share and apply internally at Koch and our Koch Companies, but also a terrific forum for our compliance professionals to connect with each other and to our external peers.

This year we had several companies represented at CEI, including Koch Industries, Georgia-Pacific, Molex, Guardian Industries, Koch Ag & Energy Solutions, and Flint Hills Resources. Although the team attended a broad array of sessions, I noted that the CEI keynote topics such as #MeToo and forthcoming technology changes generated valuable sidebar discussions for us. We look forward to digesting the substantive knowledge gained to positively impact the way we manage issues internally and transform our organizations. *

by Braden Lauer

World's most ethical conference!

The SCCE Compliance & Ethics Institute is a great way to take a step back and observe how far we have developed as professionals and the maturity of our ethics and compliance programming. Our next phases in development are crucial during a time when technology and industry changes are happening faster than ever before. Current ethics and compliance trends observed during this conference help us measure where our

program is in terms of progress and help us identify areas where we can further expand.

Participants' willingness to share information about their plans and processes demonstrates the highly collaborative nature of our profession. With the positive environment, friendly faces, and intelligent discussion, in our book, we feel this is one of the world's most ethical conferences!

Looking forward to next year! *

by J. Markham Penrod

All in...on SCCE

Compliance is everywhere, but, as a compliance professional in the finance world, I can say that finance (as an industry) tends to believe that finance is all that exists.

In 2017, I sat for the CCEP exam in Nashville. I saw firsthand other compliance professionals making a difference in a variety of roles (e.g., healthcare devices, housing authorities, equal opportunity employment). Through my interactions at the SCCE academy, my understanding in compliance broadened—ultimately increasing the value of my skill set to my company and my colleagues.

Fast forward to 2018. At the 2018 SCCE Compliance & Ethics Institute (CEI) in Las Vegas, I saw yet another aspect of my career. Almost 40 compliance professionals joined together to create bags of pears and disassemble pallets of canned goods, boxed foods, and juices to increase efficiencies for additional volunteers who later assembled food bags for food-insecure families in the Las Vegas

area. Simply, I was blessed to be able to give back during the conference. Even at Three Square (the food bank), I saw compliance at work—from the guidelines established for the safe handling of items to the collaborative effort of all the volunteers.

SCCE does a great job of blending compliance aspects across different industries. Really, compliance is everywhere. The universal tenets of a compliance program exist whether the program is for a high-end retail shop, a mid-sized university sports program, a Fortune 500 company, an oil and gas company, a small asset manager, or a local food bank. During the five days at the CEI, I made valuable connections with SCCE leadership as well as with compliance professionals from all walks of life and all corners of the globe. We freely shared insights and strategies and built strong friendships...all starting around the singular focus of developing more compliant and ethically geared programs.

As they say in Vegas, I'm "all in" (on SCCE). *



by Stanley Dale, MA, JD, CCEP

My first CEI

The Compliance & Ethics Institute (CEI) in Las Vegas provided immensely valuable information and opportunities for this one of some 170 or so first-time attendees.

New at this CEI was Braindate, an online program that allows attendees to form or meet with groups on topics of interest. Also for the first time, there was a LinkedIn Booth that allowed for you to consult with professionals on your profile. Two great learning events came in the form of keynote addresses, one delivered by Incoming CEO Gerry Zack on fraudster manipulation and another by Amber Mac on artificial intelligence.

I found that CEI differs from an SCCE academy in that there is no binder filled with materials correlated to each day's learning. Also, you are not in one room for the duration of the event. The materials presented and the format of the programs are geared more for interactive learning rather than classroom-style learning. Offering more than 150 sessions covering 11 learning tracks such as ethics, case studies, multinational, and international topics; a mobile

app; and exposure to numerous vendors, the CEI truly is a great place to learn, network, and enhance your compliance and ethics knowledge.

With dozens of topics covered each day, there are many choices of how to use your time. The care you spend in selecting programs that best meet your needs will help ensure the most effective use of your time and money.

What is very helpful and informative are the email messages you receive from SCCE after registering but in advance of the CEI. Through those messages you learn important tips to help you acclimate to the event, its location, and activities in which you can participate. Through sign-in sheets, attendees can gain accountancy and/or legal continuing education credits. For SCCE certified members, CEUs can be earned.

Sign-ups and room reservations are now available for the 2019 CEI to be held September 15–18, 2019, in National Harbor, Maryland. For information on future events, membership, or becoming certified, go to corporatecompliance.org.

I'm glad I went! *





by Adam Turteltaub

The first first-timers breakfast

To help make first-time attendees to the Compliance & Ethics Institute feel more at home, SCCE invited them to a breakfast just for them on Sunday morning. More than 150 people attended the event, which began bright and early at 7:15 on Sunday morning. CEO Gerry Zack was there to greet them, board member Samantha Kelen shared networking tips,

and several members of the academy's faculty were present as well.

The constant and loud din in the room was vivid aural proof that the breakfast worked. People who may have walked in the room feeling a bit lost and alone left with a feeling of belonging and a better sense of how to maximize their time at the Compliance & Ethics Institute. *

by Stephanie Tam

A remarkable experience: My first SCCE CEI

When I was registering for my first SCCE Compliance & Ethics Institute event, I knew I was going to learn a lot from the variety of tracks and sessions offered in the brochure, but after attending, I have gained so much knowledge and made so many great connections among peers. There were great keynote presentations and sessions, opportunities for meaningful discussion onsite at the events and during networking, meetings with different vendors in the exhibit hall, discussions of artificial intelligence and the importance of taking care of yourself, acknowledgements of great

incentives and success, and a friendly fitness challenge.

I learned so much about effectively managing a compliance program, mitigating risk at our organization, artificial intelligence, preventing harassment and discrimination, managing conflict-of-interest risks, building an organizational culture, using key performance indicators, and so much more. I hope to take what I learned and apply it to my organization's compliance program.

Thank you to all the staff, vendors, speakers, and attendees for a great event! *

by Andrea Cochran, PhD

My experience at the 2018 SCCE CEI

I attended the SCCE 2018 Compliance & Ethics Institute as an exhibitor. Even from this vantage point, the energy and excitement was electric—high voltage! Seeing for the first time such an enthusiastic group of ethics professionals gathering together to share knowledge and experiences with each other was uplifting. Both attendees and exhibitors alike represented a wide spectrum of backgrounds, approaches, and insights.

Even before registration began, I accessed the SCCE conference app and was struck by not only the accurate, up-to-date information, but also the expansive list of topics and activities. The selected speakers were high-caliber, and the topics were relevant and current. Although I did not have time to participate, the Braindates were a great idea and—based on what I gathered from those who did—stimulated some intriguing dialog.

Surprisingly, I engaged in a “brain-date” of sorts during the Networking Lunch. Admittedly, when I first walked into the dining hall, I was intimidated by the number of people—nearly 1,700 participants. I found myself being transported back

to the first day of middle school, wondering who would sit by me. But I was greeted by warm and inviting smiles as I took my seat. The person sitting next to me struck up a conversation that ended up being what I would consider a “divine appointment.”

The atmosphere of the conference led to plenty of other invaluable connections. People were friendly and willing to talk, share, and even offer support. We enjoyed a meal off-site with an exhibitor group that brings a creative, innovative edge to the world of compliance and ethics. Another day we had an impromptu dinner with the founder of a successful training organization who willingly shared valuable industry-related information and a heaping dose of inspiration.

If all of this were not enough, the professional photo station provided free quality headshots, the character sketches were delightful and great conversation pieces, and the food was delectable. I am leaving this conference with deep gratitude for the experience and looking forward to September 2019 in Maryland! *

by Auri Berg

Five days at Caesars: 2018 CEI from the perspective of a participant/exhibitor

I attended SCCE's CEI for the first time this year, in Las Vegas, as a participant and an exhibitor for Dow Jones Risk & Compliance, and I was impressed by the experience. The CEI gave me a deeper understanding of how due diligence research—my area of expertise—fits within the broader sets of challenges faced by compliance teams in multinational corporations.

I was fortunate to be able to attend all of the CEI and thus participate in a wide range of events. On day one, I joined the volunteer event with Three Square. In small teams, we unwrapped food packages for their BackPacks for Kids program, which supports 2,400 local families.

On day two, I participated in two in-depth three-hour sessions, which allowed the speakers to tease out the details of their experience in ways that would be impossible during short sessions, from the challenges identifying and remediating issues related to a foreign acquisition—and handling related investigations and possible regulatory implications (A Tale of Two Companies)—to the challenges of navigating the currents of global trade policy (Trade Compliance Risks). One interesting takeaway, to take just one example, was a discussion of

secondary implications of Iranian sanctions, including on the impact on Central Asian distribution networks and on the significant risks of sales diversion. Activities in locations like Dubai, Turkey, or Kuwait could be an indication that goods are being subsequently moved to or through Iran—a likelihood that needs to be considered as part of due diligence.

Day three and four were mostly spent in the busy exhibition hall, though I found time to participate in a Braindate, a focused discussion typically with 2–4 participants, which can be hosted by any participant. The discussion highlighted how important it is to take a risk-based approach to third parties that is sensitive to the specifics of your business relationships—a takeaway that was also stressed in one of the final sessions (Vendor Risk Management in Practice) on day five.

This final session ended by outlining various steps companies can take when a red flag is identified during due diligence, a topic of particular interest to researchers whose business it is to unearth the red flags. It was good to hear that one of the first points of advice was do not ignore it.

Thank you to the organizers and speakers for a very successful conference. *

by Eric Brotten

2018 CEI highlights

The 2018 CEI, *#SCCEci*, was a fantastic event. As a first-time attendee, I was impressed at the quality of speakers, keynotes, networking, and the willingness of industry experts to connect and share their knowledge and friendship. The breakout sessions were well designed around topical tracks, and breakout session speakers were not just sharing knowledge and experience but also practical lessons learned from the front lines. It's hard to pick the most memorable moment, whether it be Amber Mac's keynote on artificial intelligence, Incoming CEO Gerry Zack's Dutch art fraud and ethics speech, or outgoing CEO Roy Snell's classic Twitter post of a photo of his name badge next to a dropped mic.

One of the other unique features of the CEI were the Braindates. Having recently

examined aspects of general corporate compliance in the US's territory of Puerto Rico, I was able to coincidentally join a Braindate on Puerto Rico and have a sounding board conversation on potential applications of US practices on the island.

For me, CEI was also proof that networking connections often take place where you least expect them. While standing in the check-in queue for the CCEP-I certification exam, some brief banter about exam nervousness led to an international healthcare compliance connection and a post-exam celebratory and de-stressing shared pint. In short, I now have a go-to colleague for insights whenever I have a regulatory compliance question about Dutch-speaking Aruba. The world of compliance professionals is indeed small! *



by Adam D. J. Balfour

My experience at SCCE's 2018 CEI

The SCCE Annual Compliance & Ethics Institute in Las Vegas was my first SCCE event. The quality of speakers and broad array of breakout sessions were incredible and worth the investment of time and money (and for many, including myself, travel) required from attendees.

Although there were many thought-provoking speakers, Scott Eblin's keynote address, Next Level Leadership, left a lasting impression on me and highlighted a theme that I heard throughout the conference. My oversimplified summary of one of his points is as follows: Picking up tasks is a cognitive challenge most of us can grasp and handle well; however, many of us struggle with the emotional challenge of stopping or ending tasks, especially if we have performed the task for an extended period of time or if we feel uncertainty about what will happen if we stop doing something. In short, at least as I understood Mr. Eblin's point, we are good at rational intelligence (IQ) and often not so good when it comes to emotional intelligence (EQ); however, compliance professionals must be equipped with both IQ and EQ in order to be effective, thrive, and avoid burnout.

Mr. Eblin's point about emotional challenges and intelligence was touched upon, in varying degrees, by several other speakers.

How we listen (Walter E. Johnson's session), asking ourselves tough questions about our own biases (Michael Johnson's unconscious bias session), how AI will ethically and empathetically impact compliance programs (Amber Mac's keynote address), finding creative ways to connect with other employees (whether through innovative strategies such as those highlighted by Stephanie Hillhouse or collaborating with other functions as highlighted by Kristy Grant-Hart and Angelika Flamm), and how we handle #MeToo and other sensitive matters all require emotional intelligence on our part as compliance professionals. Our emotional intelligence not only affects how we conduct our important work, but it also has a direct and indirect impact on the emotional wellbeing and experience of those around us and those people who our work affects (note Mr. Eblin's point about how leaders control the weather).

Mr. Eblin also commented that "ambitious people don't know how to breathe." So take a moment or two to breathe, exercise, or relax. We will be more emotionally balanced and effective compliance professionals for it.

*The opinions in this article are the author's and do not necessarily represent the position of any organization. **

REGISTRATION

SCCE's Compliance & Ethics Institute • September 15-18, 2019 • Gaylord National • National Harbor, MD

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<input type="checkbox"/> Non-Members: MONDAY & TUESDAY	\$1,499	\$1,549	\$1,599
<input type="checkbox"/> First-Time Membership & Registration: MON & TUE	\$1,419	\$1,469	\$1,519
<i>*First-time members only. Dues regularly \$295 annually, increasing to \$325 in 2019—register now to save!</i>			
<input type="checkbox"/> Pre-Conference: SUNDAY MORNING	FREE*	\$175	\$195
<input type="checkbox"/> Pre-Conference: SUNDAY AFTERNOON.....	FREE*	\$175	\$195
<input type="checkbox"/> Post-Conference: WEDNESDAY	FREE*	\$175	\$195
<input type="checkbox"/> Discount for 5 or more from same org	(\$100)	(\$100)	(\$100)
<input type="checkbox"/> Discount for 10 or more from same org	(\$150)	(\$150)	(\$150)

**Free only with paid Monday & Tuesday conference registration.*

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

All prices are subject to change.

TOTAL \$ _____

Dietary Needs Request

- Gluten Free Vegetarian Vegan Kosher-Style (no shellfish, pork, or meat/dairy mixed)
 Kosher (Hechsher certified) Dairy Free Other (write in): _____

PAYMENT OPTIONS

Check enclosed (payable to SCCE)

Invoice me

I authorize SCCE to charge my credit card (choose card below):

CREDIT CARD: American Express Discover MasterCard Visa

Due to PCI Compliance, please do not provide any credit card information via email. You may email this form to helpteam@corporatecompliance.org (without credit card information) and call SCCE at 888.580.8373 or 952.988.0141 with your credit card information.

Credit Card Account Number _____

Credit Card Expiration Date _____

Cardholder's Name _____

Cardholder's Signature _____

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EMAIL your completed form to helpteam@corporatecompliance.org (do not include credit card information via email)

MAIL your registration form with check enclosed:
SCCE, 6500 Barrie Rd, Suite 250, Minneapolis, MN 55435

FAX your completed form to 952.988.0146 (include all billing info)

QUESTIONS? Call 888.580.8373 or 952.988.0141
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