

Utilities & Energy Compliance & Ethics Conference

FEBRUARY 28–MARCH 3, 2010
HOUSTON, TEXAS

PROGRAM

PURPOSE: To provide in-depth discussions and educational opportunities for compliance and ethics professionals working in the utilities and energy industries.

WHO SHOULD ATTEND: Compliance and/or ethics officers, in-house and outside general counsels, privacy and security officers, regulatory affairs, VPs, directors, government agency staff and other professionals who work in compliance and ethics related functions within the utilities and energy industries.

LEARNING OBJECTIVE: Learn about the latest hot topics, methods and strategies for developing and improving compliance programs in the utilities and energy industry.

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Compliance & Ethics Professional
Certified Compliance & Ethics Professional



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SOCIETY OF CORPORATE
COMPLIANCE AND ETHICS

www.utilitiesenergycompliance.org



PROGRAM AT A GLANCE

SUNDAY, FEBRUARY 28

11:00 AM – 5:30 PM	Registration	
1:30 PM – 4:30 PM	P1 7 Steps to Investigate Alleged Employee Misconduct / Andrew Foose, JD, Co-President, Global Compliance, Brightline Learning Division	P2 Practical Aspects of Complying with the Foreign Corrupt Practices Act / Mary Shaddock Jones, Assistant General Counsel and Director of Insurance and Compliance, Global Industries, Ltd.; Amy Lamoureux Riella, Attorney, Vinson & Elkins LLP
4:30 – 5:30 PM	Opening Reception	

MONDAY, MARCH 1

7:00 AM – 5:15 PM	Registration	
7:00 AM – 8:15 AM	Continental Breakfast	
8:20 – 8:30 AM	Opening Remarks	
8:30 – 10:30 AM	General Session (Part I): Connecting the Dots...Helping Employees and Leaders Understand How Their Activities Impact Compliance and Ethics Program Effectiveness / Thomas R. McCormick, Group Compliance & Ethics Officer, BP PLC	
10:30 – 11:00 AM	General Session (Part II): FERC Enforcement Update / Susan J. Court, Former Director, FERC Office of Enforcement, Partner, Hogan & Hartson, LLP	
11:00 AM – 12:00 PM	101 Vendor Due Diligence: Does Your Supply Chain Comply with the FCPA? / Thomas Fox, Principal, TomFoxLaw.com	102 Ten Things In-House Counsel Should Have Known About Electric Reliability Compliance / Mary-James (Jami) Young, JD, LLM, Senior Regulatory Counsel, Vectren Corporation
12:00 PM – 1:00 PM	Networking Luncheon	
1:30 – 2:30 PM	201 Trust and Economic Prosperity: How Trust Helps Organizations Sustain Success / Catherine Finamore Henry, CIA, VP, Business Development and Ethics Officer, SmartPros Legal & Ethics Ltd.	202 Risk-Based Approaches in Reliability Standards and Compliance / Gerry Cauley, President & CEO, SERC Reliability Corporation
2:30 PM – 3:00 PM	Networking Break	
3:00 – 4:00 PM	301 Ear to the Ground: A Process for Internal Disclosure / Kate Chisholm, LLB, MBA, CCEP, Senior Vice President, General Counsel, and Corporate Secretary, Capital Power Corporation; Leah Fitzgerald, LLB, CCEP, Director, Ethics and Assistant Corporate Secretary, Capital Power Corporation	302 Planning for an Independent Assessment of Your Compliance and Ethics Program / Anthony M. Tocco, CCEP, CIA, CFE, Chief Compliance Officer, DTE Energy
4:00 – 4:15 PM	Networking Break	
4:15 – 5:15 PM	401 Staying Clear of the ICE Storm: Employment Verification Compliance Monitoring / Kevin Lashus, Senior Attorney, Foster Quan LLP	402 Perspectives of a NERC Compliance Audit from Both Sides of the Table / Russell A. Hissom, CPA, Partner, Baker Tilly; Carol Arneson, Senior Manager–Energy and Utilities Group, Baker Tilly; Daniel P. Skaar, CPA, MBA, CEO, Midwest Reliability Organization
5:15 – 6:15 PM	Networking Reception	

TUESDAY, MARCH 2

7:00 AM – 5:15 PM	Registration	
7:00 AM – 8:30 AM	Continental Breakfast	
8:30 – 10:30 AM	General Session (Part I): The Growing Challenge of Third Party Ethics & Compliance Responsibility / Moderator: Marjorie Doyle, JD, CCEP, Ethics and Compliance Consultant, Marjorie Doyle & Associates LLC; Panel: Carolyn Egbert, Vice President and Head, Global Human Resources, Solvay; Diana Lutz, Managing Director, Chief Ethics & Compliance Officer, The Steele Foundation; Christine Chaney, Director of the Ethics and Compliance Program, Continental Airlines	
10:30 – 11:00 AM	General Session (Part II): Tone at the Top / Steve Priest, President, Ethical Leadership Group, A Global Compliance Company	
11:00 AM – 12:00 PM	501 Conducting Effective Workplace Interviews / Andrew Foose, JD, Co-President, Global Compliance, Brightline Learning Division	502 Make it Stick! Experiential Learning / Marsha H. Ershaghi, CCEP, Ed. D. Candidate, Solutions Leader, Education, LRN
12:00 PM – 1:00 PM	Networking Luncheon	
1:30 – 2:30 PM	601 Implementing a Proactive Approach to Comply with FCPA / Ryan Morgan, AML/CA, FCPA Specialist, WorldCompliance	602 Labor and Employment / Le Hammer, Senior Labor & Employment Counsel, Baker Hughes Legal Department
2:30 PM – 3:00 PM	Networking Break	
3:00 – 4:00 PM	701 You've Deployed Your Hotline: Now What? / David Childers, CIPP, President and CEO, EthicsPoint, Inc.	702 FAR Compliance: Mitigating Risk by Balancing Best Practices and Practicalities / Douglas T. Cohen, Sr. Compliance Attorney, Qwest Communications
4:00 – 4:15 PM	Networking Break	
4:15 – 5:15 PM	801 Compliance Assessments / Christopher J. Bernard, JD, Head of Trading & Regulatory Compliance, Edison Mission Energy; Andrew E. Reisman, JD, Senior Manager, Ernst & Young, LLP; Kenneth E. Novak, CFE, Executive Director, Ernst & Young, LLP	802 Self-Reporting Considerations before the FERC / Jason Leif, Partner, Jones Day

WEDNESDAY, MARCH 3

8:00 AM – 12:30 PM	Registration	
8:30 AM – 10:00 AM	W1 From NERC Compliance to NERC Compliance Management / Richard Dahl, CTO, SCIF Software, Inc.	W2 FCPA Violations: When to Investigate, Self-Report and Mount a Defense / Daniel Nardello, Principal, Nardello & Co. LLC; Barry H. Berke, Partner, Kramer Levin Naftalis and Frankel
10:00 – 10:30	Networking Break	
10:30 AM – 12:00 PM	W3 Hot Ethics and Compliance Topics in Energy Marketing and Trading / Moderator: Michael J. Scheller, Director, PricewaterhouseCoopers LLP	
1:00 – 1:30 PM	CCEP Exam Check-In	
1:30 – 3:30 PM	CCEP Exam	

NOTE: AGENDA SUBJECT TO CHANGE

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AGENDA

SUNDAY, FEBRUARY 28, 2010

PRE-CONFERENCE SESSIONS

11:00 AM – 5:30 PM SUNDAY

Registration

1:30 PM – 4:30 PM SUNDAY

P1 7 Steps to Investigate Alleged Employee Misconduct

Andrew Foote, JD, Co-President, Global Compliance,
Brightline Learning Division

- How to strategically investigate “he said/she said” allegations when there are no eyewitnesses
- Questioning techniques that will help you maximize the information you receive from witnesses
- Practical points and key legal “dos” and “don’ts” that every investigator needs to know to avoid lawsuits, grievances and disruption

1:30 PM – 4:30 PM SUNDAY

P2 Practical Aspects of Complying with the Foreign Corrupt Practices Act



Mary Shaddock Jones, Assistant General Counsel and Director of Insurance and Compliance, Global Industries, Ltd.

Amy Lamoureux Riella, Attorney, Vinson & Elkins LLP

- Understanding of the Components of the FCPA
- Understand practically how to protect your company through due diligence and contracting with Third Parties
- How to train your employees on reviewing invoices to comply with the FCPA

4:30 – 5:30 PM SUNDAY

Opening Reception

MONDAY, MARCH 1, 2010

7:00 AM – 5:15 PM MONDAY

Registration

7:00 AM – 8:15 AM MONDAY

Continental Breakfast

8:20 – 8:30 AM MONDAY

Opening Remarks

8:30 – 10:30 AM MONDAY

General Session (Part I): Connecting the Dots...Helping Employees and Leaders Understand How Their Activities Impact Compliance and Ethics Program Effectiveness



Thomas R. McCormick, Group Compliance & Ethics Officer,
BP PLC

- Business/functional risk management
- Investigations
- Performance evaluations, promotions and leadership development
- Speaking up
- Culture

General Session (Part II): FERC Enforcement Update



Susan J. Court, Former Director, FERC Office of Enforcement,
Partner, Hogan & Hartson, LLP

- Developments in agency’s primary means (market monitoring, audits, and investigations) to enforce Federal energy laws after almost five years of experience under the Energy Policy Act of 2005
- Developments in agency’s enforcement of energy laws embodied in standards governing affiliate relations, business practices, and grid reliability

10:30 – 11:00 AM MONDAY

Networking Break

11:00 AM – 12:00 PM MONDAY

101 Vendor Due Diligence: Does Your Supply Chain Comply with the FCPA?



Thomas Fox, Principal,
TomFoxLaw.com

- Explain application of FCPA enforcement to a company through its vendors
- Set forth the parameters and requirements for FCPA based ethics and compliance program for vendors
- Explain the roles of Supply Chain, Compliance and the Law Department in the creation, maintenance and enforcement of an FCPA based ethics and compliance program for vendors

102 Ten Things In-House Counsel Should Have Known About Electric Reliability Compliance



Mary-James (Jami) Young, JD, LLM, Senior Regulatory Counsel,
Vectren Corporation

- Strategies for internal communication and facilitation in implementation of cross-functional requirements, and introduction to the “Internal Compliance Customer” service model
- Strategies for training operations and technical professionals in the fine arts of evidence and documentation
- Strategies for regulatory interpretation in the compliance context, or, “so you think you can run an electric system”

12:00 PM – 1:00 PM MONDAY

Networking Luncheon

AGENDA

1:30–2:30 PM MONDAY

201 Trust and Economic Prosperity: How Trust Helps Organizations Sustain Success

 Catherine Finamore Henry, CIA, VP, Business Development and Ethics Officer, SmartPros Legal & Ethics Ltd.

- Understand the nature of trust as a key element of healthy professional relationships, organizations, economic markets and societies
- Discover how trust in leaders and coworkers impacts employee performance
- Explore how to gauge trust in an organization and ways to build, restore and extend organizational trust

202 Risk-Based Approaches in Reliability Standards and Compliance

Gerry Cauley, President & CEO, SERC Reliability Corporation

- Performance-based standards
- Risk-based compliance monitoring
- Learning from events and near misses

2:30 PM–3:00 PM MONDAY

Networking Break

3:00–4:00 PM MONDAY

301 Ear to the Ground: A Process for Internal Disclosure

 Kate Chisholm, LLB, MBA, CCEP, Senior Vice President, General Counsel, and Corporate Secretary, Capital Power Corporation

 Leah Fitzgerald, LLB, CCEP, Director, Ethics and Assistant Corporate Secretary, Capital Power Corporation

- Simple, no-cost, flexible tool for managing compliance reporting
- Improving your internal disclosure
- Creating a culture focused on proactive due diligence

302 Planning for an Independent Assessment of Your Compliance and Ethics Program

 Anthony M. Tocco, CCEP, CIA, CFE, Chief Compliance Officer, DTE Energy


- Benefits of having an independent assessment performed
- Preparing for the assessment
- How to use the information reported to improve your program

4:00–4:15 PM MONDAY

Networking Break

4:15–5:15 PM MONDAY


401 Staying Clear of the ICE Storm: Employment Verification Compliance Monitoring

 Kevin Lashus, Senior Attorney, Foster Quan LLP

- Setting up a comprehensive compliance plan to address employment verification exposure

- Addressing the risk of E-Verify related data mining
- Preparing for paper Form I-9 inspections and worksite investigations
- Protecting the attorney/client privilege during a mitigation/remediation processes

402 Perspectives of a NERC Compliance Audit From Both Sides of the Table

 Russell A. Hissom, CPA, Partner, Baker Tilly

 Carol Arneson, Senior Manager-Energy and Utilities Group, Baker Tilly

 Daniel P. Skaar, CPA, MBA, CEO, Midwest Reliability Organization

- What constitutes acceptable audit evidence in a NERC compliance audit?
- What are the aspects of a Utility NERC Compliance program that are most effective in meeting NERC Compliance Standards?
- What are some real-life NERC audit experiences from which your organization can gain valuable insights into lessons learned, strengths and weaknesses of compliance programs and quality of evidence provided in response to a NERC Compliance Audit?

5:15–6:15 PM MONDAY

Networking Reception

TUESDAY, MARCH 2, 2010

7:00 AM–5:15 PM TUESDAY

Registration


7:00 AM–8:30 AM TUESDAY

Continental Breakfast

8:30–10:30 AM TUESDAY

General Session (Part I): The Growing Challenge of Third Party Ethics & Compliance Responsibility

 Moderator: Marjorie Doyle, JD, CCEP, Ethics and Compliance Consultant, Marjorie Doyle & Associates LLC

 Carolyn Egbert, Vice President and Head, Global Human Resources, Solvay

 Diana Lutz, Managing Director, Chief Ethics & Compliance Officer, The Steele Foundation

Christine Chaney, Director of the Ethics and Compliance Program, Continental Airlines

- A discussion about what companies are doing to work with or require of their third parties on ethics and compliance programs including codes of conduct and education
- Educating management on the expectations by enforcement and the public that companies have responsibility for their third parties
- How much oversight is enough
- The third party viewpoint of an ethics and compliance program as a competitive advantage with their customers

AGENDA

General Session (Part II): Tone at the Top



Steve Priest, President, Ethical Leadership Group, A Global Compliance Company

10:30 – 11:00 AM *TUESDAY*

Networking Break

11:00 AM – 12:00 PM *TUESDAY*

501 Conducting Effective Workplace Interviews

Andrew Foose, JD, Co-President, Global Compliance, Brightline Learning Division

- How to maximize the value of an interview
- Detecting and addressing deception in an interview
- Ways to expect and respond to unexpected interview problems

502 Make it Stick! Experiential Learning



Marsha H. Ershaghi, CCEP, Ed. D. Candidate, Solutions Leader, Education, LRN

- Optimize and expand your Ethics & Compliance education program
- Extend the “Tone from the Middle” through Experiential Learning
- Learn how to keep learners engaged with fresh and relevant content
- Understand how experiential learning directly impacts attitude and behavior
- Stay ahead of the curve: reaching & retaining the next generation

12:00 PM – 1:00 PM *TUESDAY*

Networking Luncheon

1:30 – 2:30 PM *TUESDAY*

601 Implementing a Proactive Approach to Comply with FCPA



Ryan Morgan, AML/CA, FCPA Specialist, WorldCompliance

- Case Studies on how companies have successfully implemented tools for the on going compliance with FCPA
- Learn what due diligence tools are available that allow professionals to evaluate compliance risk
- Implementing controls to enforce a company’s policies on ethics
- What are the ways technology can be used to protect a company’s reputation

602 Labor and Employment

Le Hammer, Senior Labor & Employment Counsel, Baker Hughes Legal Department

2:30 PM – 3:00 PM *TUESDAY*

Networking Break

3:00 – 4:00 PM *TUESDAY*

701 You’ve Deployed Your Hotline: Now What?



David Childers, CIPP, President and CEO, EthicsPoint, Inc.

- Shaping the identification of issues and resolution process, including the associated collaboration between Ethics/Compliance, HR, and Corporate Security
- Identifying risks associated with FERC and NERC Standards of Conduct
- Exploring evolving carbon credit fraud
- Practical advice for continued incorporation of social media into your ethics and compliance programs

702 FAR Compliance: Mitigating Risk by Balancing Best Practices and Practicalities

Douglas T. Cohen, Sr. Compliance Attorney, Qwest Communications

- Educate the audience on the new FAR reporting rules, federal government interpretation of the rules, and scope of contracts involved
- Identify Best Practices v. Potential Practical compliance efforts
- Engage in a robust discussion about how corporations, including those in the audience, can mitigate risk by taking a well-reasoned, balanced approach

4:00 – 4:15 PM *TUESDAY*

Networking Break

4:15 – 5:15 PM *TUESDAY*

801 Compliance Assessments



Christopher J. Bernard, JD, Head of Trading & Regulatory Compliance, Edison Mission Energy



Andrew E. Reisman, JD, Senior Manager, Ernst & Young, LLP



Kenneth E. Novak, CFE, Executive Director, Ernst & Young, LLP

- Describing principles of effective compliance program design for business and compliance goals.
- Understanding the practical aspects of compliance in an energy trading environment.
- Helping business leaders become effective compliance leaders.

802 Self-Reporting Considerations before the FERC



Jason Leif, Partner, Jones Day

- Teach attendees how to evaluate whether a self-report to FERC Enforcement is appropriate
- Explain the steps that a company should take once it has identified a perceived violation
- Explain the makings of a good self-report and effective communications with the FERC Enforcement Staff

AGENDA

WEDNESDAY, MARCH 3, 2010

8:00 AM – 12:30 PM WEDNESDAY

Registration

8:30 AM – 10:00 AM WEDNESDAY

W1 From NERC Compliance to NERC Compliance Management



Richard Dahl, CTO,
SCIF Software, Inc.

- Understand the importance of clearly defined Compliance Scopes for assets
- Understand the importance of clearly documented and communicable Compliance Requirement interpretations
- Understand the importance of documented and producible Compliance Artifacts (and as a bonus)
- Understand how to integrate these concepts into the normal operations (asset management) to create an unobtrusive, effective, and efficient compliance management process

W2 FCPA Violations: When to Investigate, Self-Report and Mount a Defense



Daniel Nardello, Principal,
Nardello & Co. LLC



Barry H. Berke, Partner,
Kramer Levin Naftalis and Frankel

- Assist in-house counsel, compliance and ethics directors and CFOs in learning about the potential challenges posed by internal investigations
- Discuss options on how to conduct the investigation, including the use of outside investigators, when faced with alleged FCPA violations
- Lead discussion, using recent examples, on when to self-report, how to deal with the Department of Justice, and when it is prudent to design and mount a defensive strategy



10:00 – 10:30 WEDNESDAY

Networking Break

10:30 AM – 12:00 PM WEDNESDAY

W3 Hot Ethics and Compliance Topics in Energy Marketing and Trading



Michael J. Scheller, Director,
PricewaterhouseCoopers LLP

- Raise level of understanding of common energy trading and marketing processes and risks
- Foster discussion of current practices and concerns
- Share ideas for how to improve the effectiveness of energy trading and marketing compliance programs.

1:00 – 1:30 PM WEDNESDAY

CCEP Exam Check-In

1:30 – 3:30 PM WEDNESDAY

CCEP Exam

MEET THESE EXHIBITORS

Cornerstone Institute of Ethics

CURA Software

EthicsPoint

Global Compliance

LRN

SAI Global

SCCE SOCIAL NETWORKING

SCCE*net*

<http://community.corporatecompliance.org>

LinkedIn

<http://www.corporatecompliance.org/linkedin>

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http://twitter.com/SCCE_News

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Facebook

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http://www.corporatecompliance.org/Fan_Page

WHAT TO DO IN HOUSTON

THE GALLERIA

www.simon.com/mall/default.aspx?ID=805

DOWNTOWN AQUARIUM

www.aquariumrestaurants.com/downtown-aquariumhouston/flash_content/index.html

HOUSTON BALLET

www.houstonballet.org



SPACE CENTER HOUSTON

www.spacecenter.org

MUSEUMS

Children's Museum of Houston

www.cmhouston.org

Holocaust Museum

www.hmh.org

FOR MORE HOUSTON HIGHLIGHTS
www.visithoustontexas.com



The Museum of Fine Arts

www.mfah.org

Contemporary Arts Museum Houston

www.camh.org

Houston Museum of Natural Science

www.hmns.org

PROFESSIONAL SPORTS TEAMS

Houston Texans (NFL)

www.houstontexans.com

Astros (MLB)

<http://houston.astros.mlb.com>



Rockets (NBA)

www.nba.com/rockets

Aeros (NHL)

www.aeros.com

Dynamo (MLS)

<http://houston.mlsnet.com>

Become a Certified Compliance & Ethics Professional

Broaden your professional qualifications

Increase your value to your employer

Gain expertise in the fast-evolving compliance field

There's never been a tougher or better time to be a part of the compliance and ethics profession. Budgets are tight, governments around the world are looking to add new regulations, public trust in business is low, and employees are tempted to cut corners.

As a Certified Compliance and Ethics Professional (CCEP) you'll be able to demonstrate your ability to meet the challenges of these times and have the knowledge you need to help move your program and your career forward.

To learn more about what it takes to earn the CCEP designation, visit www.corporatecompliance.org/ccep. There you'll also see the many benefits of joining more than 600 compliance professionals who have already taken this critical career step.

CCEP
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REGISTRATION

Utilities & Energy Compliance & Ethics Conference | February 28–March 3, 2010

Name: _____

(please type or print)

Demographic Information

Please fill out the following information. Sharing your demographic information with SCCE will help us create better networking opportunities for you.

What titles best describe your job? Select all that apply.

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

List others not listed here: _____

What year did you start in Compliance? _____

What certifications do you hold? Select all that apply.

- | | | | |
|--------------------------------|-------------------------------|--------------------------------|-------------------------------|
| <input type="checkbox"/> ACHE | <input type="checkbox"/> CFE | <input type="checkbox"/> FHFMA | <input type="checkbox"/> MSHA |
| <input type="checkbox"/> APA | <input type="checkbox"/> CHC | <input type="checkbox"/> ISS | <input type="checkbox"/> MSN |
| <input type="checkbox"/> BA | <input type="checkbox"/> CHE | <input type="checkbox"/> JD | <input type="checkbox"/> MT |
| <input type="checkbox"/> BBA | <input type="checkbox"/> CHP | <input type="checkbox"/> LLM | <input type="checkbox"/> NHA |
| <input type="checkbox"/> BS | <input type="checkbox"/> CIA | <input type="checkbox"/> MA | <input type="checkbox"/> PhD |
| <input type="checkbox"/> BSN | <input type="checkbox"/> CPA | <input type="checkbox"/> MBA | <input type="checkbox"/> RHIA |
| <input type="checkbox"/> CCEP | <input type="checkbox"/> CPC | <input type="checkbox"/> MHA | <input type="checkbox"/> RHIT |
| <input type="checkbox"/> CEM | <input type="checkbox"/> CPHQ | <input type="checkbox"/> MPA | <input type="checkbox"/> RN |
| <input type="checkbox"/> CCS | <input type="checkbox"/> DDS | <input type="checkbox"/> MPH | |
| <input type="checkbox"/> CCS-P | <input type="checkbox"/> ESQ | <input type="checkbox"/> MS | |

List others not listed here: _____

What best describes the industry you work for? Select all that apply.

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

List others not listed here: _____

What is the corporate structure of your organization?

- For-profit Non-profit

How many employees does your organization have?

- | | | |
|--------------------------------------|--|--|
| <input type="checkbox"/> 1–50 | <input type="checkbox"/> 3,001–4,000 | <input type="checkbox"/> 20,001–30,000 |
| <input type="checkbox"/> 51–100 | <input type="checkbox"/> 4,001–5,000 | <input type="checkbox"/> 30,001–50,000 |
| <input type="checkbox"/> 101–250 | <input type="checkbox"/> 5,001–7,500 | <input type="checkbox"/> 50,001–75,000 |
| <input type="checkbox"/> 251–500 | <input type="checkbox"/> 7,501–10,000 | <input type="checkbox"/> 75,001+ |
| <input type="checkbox"/> 501–1,500 | <input type="checkbox"/> 10,001–15,000 | |
| <input type="checkbox"/> 1,501–3,000 | <input type="checkbox"/> 15,001–20,000 | |

Please tell us if you are a first-time attendee of this conference:

- This is my first Utilities & Energy Compliance & Ethics Conference

Registration continues on next page (over)

REGISTRATION

Utilities & Energy Compliance & Ethics Conference | February 28–March 3, 2010

Please type or print your contact information.

Mr. Mrs. Ms. Dr.

SCCE Member ID

First MI Last

Credentials (CCEP, CPA, CFE, etc.)

Title

Place of Employment

Address

City State Zip

Phone

Fax

E-mail (required for confirmation notification & conference information)

Select Your Sessions

Please select sessions to assist SCCE in room planning. Selections are not binding. Please select only ONE session per time slot.

Sunday, February 28, 2010

Pre-Conference 1:30–4:30 PM P1 OR P2

Monday, March 1, 2010

General Sessions 8:30–10:30 AM

Breakout Sessions 11:00 AM–12:00 PM 101 OR 102

Breakout Sessions 1:30–2:30 PM 201 OR 202

Breakout Sessions 3:00–4:00 PM 301 OR 302

Breakout Sessions 4:15–5:15 PM 401 OR 402

Tuesday, March 2, 2010

General Sessions 8:30–10:30 AM

Breakout Sessions 11:00 AM–12:00 PM 501 OR 502

Breakout Sessions 1:30–2:30 PM 601 OR 602

Breakout Sessions 3:00–4:00 PM 701 OR 702

Breakout Sessions 4:15–5:15 PM 801 OR 802

Wednesday, March 3, 2010

Post-Conference 1 8:30–10:00 AM W1 OR W2

Post-Conference 2 10:30 AM–12:00 PM W3



6500 Barrie Road, Suite 250
Minneapolis, MN 55435, United States

+1 952 933 4977 or 888 277 4977 (p)
+1 952 988 0146 (f)

helpteam@corporatecompliance.org | www.corporatecompliance.org

HOW TO REGISTER

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

ONLINE Visit www.utilitiesenergycompliance.org

FAX to +1 952 988 0146 (including billing information)

QUESTIONS? Call +1 952 933 4977 or 888 277 4977 (U.S. & Canada)
or e-mail helpteam@corporatecompliance.org

Choose Your Registration

<input type="checkbox"/> SCCE Members	\$645
<input type="checkbox"/> Membership Renewal & Registration	\$940
<input type="checkbox"/> Non-Members	\$745
<input type="checkbox"/> New Membership & Registration*	\$845
<input type="checkbox"/> Pre-Conference Sessions Sunday**	\$125
<input type="checkbox"/> Post-Conference Sessions Wednesday**	\$125
<input type="checkbox"/> Conference Binders	\$45

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

**Free only with purchase of early bird registration

TOTAL:

Payment

Check enclosed (payable to SCCE)

Invoice me Purchase Order # _____

Charge my: American Express Diners Club MasterCard Visa

Credit Card Account Number

Expiration Date on Card

Cardholder's Name

Cardholder's Signature

Code: UE0310



CONFERENCE & HOTEL ACCOMMODATIONS

Renaissance Houston Hotel Greenway Plaza
6 Greenway Plaza East, Houston, TX 77046

Phone: +1 713 629 1200 or 800 468v3571 (toll-free U.S. & Canada)

Web: www.marriott.com/hotels/travel/houbr-renaissance-houston-hotel-greenway-plaza/

Group Code: SCCSCCA

A special rate of \$139.00 plus a 17% tax (subject to change) per night has been arranged for conference attendees. When making your reservations, please indicate that you are with the Society of Corporate Compliance & Ethics and provide the group code: SCCSCCA. Hotel accommodations are not included in your registration fee. This rate is good until Friday, February 12, 2010, or until the group block is sold out, whichever comes first. Reservations received after this date or after the group block is filled will be accepted based on space and rate availability.

Airline Discount: Conference attendees receive a 5% discount on American Airlines. Your Online Authorization Code for this conference is: 3420AS. Go to www.aa.com and after you have selected your flight(s) under the "Enter Passenger Details" tab, go to the "AA.com Promotion Code" field and enter your Authorization Code.

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

Conference Prerequisites: none.

CCEP Exam Information: To register, click on the CCEP Examination Application link on the SCCE Utilities & Energy Compliance & Ethics Conference website at www.utilitiesenergycompliance.org. Please note that you must register for the CCEP exam separately from the conference. Submit the application and fee (\$250 SCCE members or \$350 non-members) to the testing agency by February 3, 2010.

Exam Location: Houston, Texas

Exam Date & Time: Wednesday, March 3, 2010 | 1:30–3:30 PM

Questions? Contact the SCCE Certification Coordinator at +1 952 933 4977 or 888 277 4977 (toll-free US/Canada) or email ccep@corporatecompliance.org.

PAYMENT TERMS

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

Group Discounts: \$100 per person for five or more from the same company, based on membership status; only if each attendee completes a registration and they are faxed or mailed in simultaneously.

Tax Deductibility: All expenses incurred to maintain or improve skills in your profession may be tax deductible; including tuition, travel, lodging and meals. Please consult your tax advisor (Federal tax ID # 23-2882664).

Cancellations/Substitutions: No refunds will be given for "no-shows" or cancellations. You may send a substitute, or receive a credit for other conferences to be used within one year. Please call Patti Hoskin at +1 952 933 4977 or 888 277 4977 or e-mail patti.hoskin@corporatecompliance.org.

SCCE Is Going Green: SCCE conference attendees will NOT automatically receive conference binders. Attendees will receive electronic access to course materials prior to the conference as well a CD on-site with all the conference materials. If you would like to purchase the binders for \$45, please check "Conference Binders" on your registration form.

CONTINUING EDUCATION CREDITS

SCCE is in the process of applying for additional credits. If you do not see information on your specific accreditation listed, please contact us at +1 952 933 4977 or 888 277 4977, as we would like the opportunity to offer it.

CLE: The Society of Corporate Compliance and Ethics is a State Bar of California Approved MCLE provider, a Rhode Island Accredited Provider, and a Texas Accredited Sponsor. The Supreme Court of Pennsylvania Continuing Legal Education Board has approved 17.50 credits for this conference, 5.5 of which are Ethics credits. All CLE credits will be awarded based on individual attendance.

Compliance Certification Board (CCB): Certified in Healthcare Compliance (CHC), Certified Compliance & Ethics Professional (CCEP), Certified in Healthcare Research Compliance (CHRC): CCB has awarded a maximum of 21.6 CEUs for these accreditations in the following subject areas: Application of management Practices for the Compliance Professional; Application of Personal and Business Ethics in Compliance; Written Compliance Policies and Procedures; Designation of Compliance Officers and Committees; Compliance Training and Education; Communication and Reporting Mechanisms in Compliance; Enforcement of Compliance Standards and Discipline; Auditing and Monitoring for Compliance; Response to Compliance Violations and Corrective Actions; and Complying with Government Regulations.

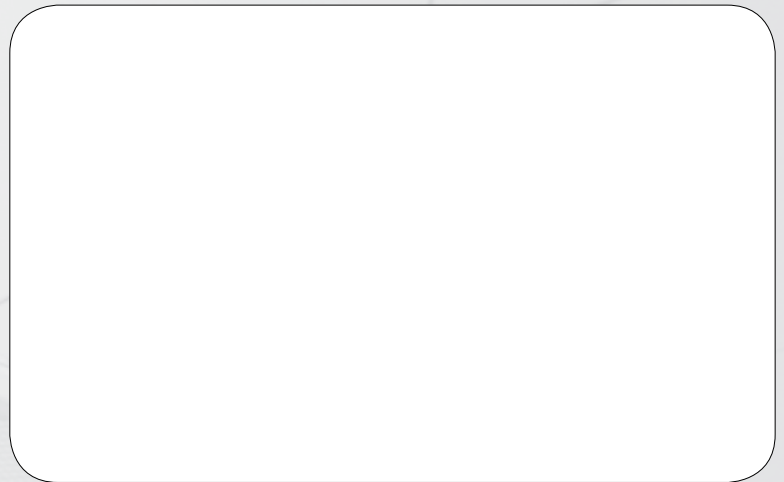
NASBA/CPE: The Society of Corporate Compliance and Ethics is registered with the National Association of State Boards of Accountancy (NASBA) as a sponsor of continuing professional education on the National Registry of CPE sponsors, Sponsor Identification No: 105638. State boards of accountancy have final authority on the acceptance of individual courses for CPE credit and may not accept one-half credits. To verify if your state board of accountancy has adopted one-half credits, please visit our website at www.corporatecompliance.org/halfcredits. Complaints regarding registered sponsors may be addressed to the National Registry of CPE Sponsors, 150 Fourth Avenue North, Suite 700, Nashville, TN 37219-2417. Website: www.nasba.org. A recommended maximum of 21.5 credits based on a 50-minute hour will be granted for the entire learning activity. This program addresses topics that are of a current concern in the compliance environment. This is an update, group-live activity. For more information regarding administrative policies such as complaints or refunds, call the SCCE at +1 952 933 4977 or 888 277 4977.

NO AUDIO OR VIDEO RECORDING
OF SCCE CONFERENCES IS ALLOWED.



**SOCIETY OF CORPORATE
COMPLIANCE AND ETHICS**

6500 Barrie Road, Suite 250
Minneapolis, MN 55435, United States
www.corporatecompliance.org



UTILITIES & ENERGY Compliance & Ethics Conference
February 28–March 3, 2010 | Houston, Texas

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