

Chicago

Regional Compliance & Ethics Conference

May 3, 2019



Learn, Network & Earn CEUs in Your Neighborhood

The Regional Compliance & Ethics Conference offers convenient opportunities for compliance and ethics training, updates on the latest news in regulatory requirements and enforcement, and strategies to develop effective compliance programs. Additionally, attendees will have ample opportunity to network with industry peers. Breakfast and lunch are also included in the conference price.

SPONSORED BY:



corporatecompliance.org/regionals

Questions? katie.burk@corporatecompliance.org



7:30 – 8:25 AM

Registration and Continental Breakfast

8:25 AM

Opening Remarks

8:30 – 9:30 AM

How to Promote Compliance within Your Organization



Kathy O'Toole

Senior Counsel – Global Compliance & Safety, McDonald's Corporation



Elizabeth Sheyn Brown

Senior Counsel, Compliance & Employment, Groupon, Inc.

- Discuss strategies for promoting compliance within organizations, including leveraging internal resources and tailoring approaches based on company size, budget, and risk
- Cover specific engagement methods, such as compliance activities and events, communications, and training initiatives
- Review innovative and cutting-edge training and engagement strategies

9:30 – 9:45 AM

Networking Break

9:45 – 10:45 AM

The Role of Boards and Board Members in Ethics and Compliance Programs: When They Succeed and Fail



Jan Stern Reed

Corporate Board Member
Angiodynamics, Inc.,



Doug Cornelius

Chief Compliance Officer
Beacon Capital Partners



Ted Banks

Partner-President, Scharf Banks Marmor LLC—Compliance & Competition

- Where was the board in any of the recently-publicized compliance failures?
- How can a compliance department implement a board-level program?
- What should be done with a privately-held company?

10:45 – 11:00 AM

Networking Break

11:00 AM – 12:00 PM

This is Not Your Father's Oldsmobile Compliance Program



Marsha Ershaghi-Hames

Managing Director, Strategy & Development, LRN



Shawn Rogers

Lead Counsel, Compliance Training and Communications, General Motors

A spotlight conversation with General Motors' Shawn Rogers

- The Road Ahead—Putting the past in the rearview, and steering into the high-tech age
- Shifting Gears—Navigating the program in dynamic risk conditions
- Tuning the Engine—Overhauling training to fuel dialogue, inclusivity, and corporate culture

12:00 – 1:00 PM

Lunch

1:00 – 2:00 PM

GDPR and Cybersecurity



John E. Black, Jr.

Executive Principal
Skarzynski Black LLC



David P. Saunders

Partner
Jenner & Block LLP

- An overview of the requirements of GDPR along with a survey of the recent penalties/fines that have been issued and the practical and insurance impacts of GDPR and cyber incident fines/costs/penalties.
- An overview of the California Consumer Protection Act, including how it compares to GDPR and how companies should be preparing for it
- Tips as to simple administrative steps that companies can take to strengthen their cybersecurity defenses

2:00 – 2:15 PM

Networking Break

2:15 – 3:15 PM

#MeToo and Whistleblowing—Identifying and Minimizing the Risks



Steven J. Pearlman

Partner
Proskauer

- #MeToo:
 - Trends, and the risks
 - Implementing a rapid response protocol
 - Solutions involving the board, audit committee, compliance, legal and human resources
- Whistleblowing:
 - Trends under Sarbanes-Oxley, the Dodd-Frank Act and other laws
 - Key claims and defenses
 - “Pre-taliation”
 - Preventative solutions

3:15 – 3:30 PM

Networking Break

3:30 – 4:30 PM

Ethics, Compliance and CSR – Where Does your Ethics and Compliance Program Fit into Your Organization?



Gretchen A. Winter, JD

Professor and Executive Director
Gies College of Business, University of Illinois at Urbana-Champaign



Roger Zellner

Owner
Rogue Zebra Consulting & Coaching

- What you call your program matters—a review of the choices and implications
- Dealing with the internal politics that challenge corporate responsibility and effective ethics and compliance programs
- How to use CSR and corporate communications to support ethics and compliance

REGISTRATION FEE

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

- SCCE Member** \$220
- Non-Member** \$270
- Registration & SCCE Membership** \$440
Save by joining SCCE today (first-time members only) Dues regularly \$325

TOTAL \$ _____

ATTENDEE INFORMATION (please type or print)

Mr. Mrs. Ms. Dr.

Member/Account Number (if applicable/known) _____

First Name _____ M.I. _____ Last Name _____

Credentials (CCEP, CPA, CFE, etc.) _____

Job Title _____

Organization (Name of Employer) _____

Address _____

City _____ Province/State _____ Postal Code/Zip _____

Country _____

Phone _____

Fax _____

E-mail (required for confirmation and conference information) _____

SPECIAL REQUEST DIETARY ACCOMODATION

Gluten free Kosher Vegetarian Vegan Other _____

PAYMENT METHOD

Mail check (including registration form) to:
SCCE, 6500 Barrie Road, Suite 250, Minneapolis, MN 55435

Fax to: +1 952.988.0146

Check enclosed (payable to SCCE) Invoice me

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

American Express MasterCard Visa Discover

Credit Card Account Number _____

Credit Card Expiration Date _____

Cardholder's Name _____

Cardholder's Signature _____

If your total is miscalculated, SCCE will charge your card the correct amount. Hotel accommodations are not included in the registration fee, but continental breakfast and lunch are provided. (LCIL19)

Due to PCI compliance, please do not provide any credit card information via email. You may email this form (without credit card information) and call SCCE at +1 952.933.4977 or 888.277.4977 with your credit card information, fax your registration to 952.988.0146, or visit corporatecompliance.org/regionals and register online

HOTEL/CONFERENCE LOCATION:

Hyatt Regency Chicago

151 E. Wacker Drive, Chicago, IL 60601

A small block of rooms has been reserved at a rate of \$239 a night plus applicable state and local taxes (based on availability). To make your reservation, please call the hotel directly at 312-565-1234 and request the rate for the SCCE Chicago Regional Conference. Discounted valet parking has been arranged at \$39 (not valid overnight).

NOTICE: Neither SCCE nor any hotel it is affiliated with will ever contact you to make a hotel reservation. If you receive a call soliciting reservations on behalf of SCCE or the event, it is likely from a room poacher and may be fraudulent. We recommend you make reservations directly with the hotel using the phone number or web link in this brochure. If you have concerns or questions, please contact 888.580.8373.

TERMS AND CONDITIONS

REGISTRATION PAYMENT TERMS: Checks are payable to SCCE. Credit cards accepted: American Express, MasterCard, Visa, or Discover. SCCE will charge your credit card the correct amount should your total be miscalculated. If you wish to pay using wire transfer funds, please email helpteam@corporatecompliance.org for instructions.

CANCELLATIONS/SUBSTITUTIONS: Refunds will not be issued. You may send a substitute in your place or request a conference credit. Conference credits are issued in the full amount of the registration fees paid, and will expire 12 months from the date of the original, cancelled event. Conference credits may be used toward any SCCE service or product. If a credit is applied toward an event, the event must take place prior to the credit's expiration date. If you need to cancel your participation, notification is required by email, sent to helpteam@corporatecompliance.org, prior to the start date of the event. Please note that if you are sending a substitute, an additional fee may apply.

GROUP DISCOUNT: 5 or more: \$25 discount for each registrant. 10 or more: \$40 discount for each registrant. Discounts take effect the day a group reaches the discount number of registrants. Please send registration forms together to ensure that the discount is applied. A separate registration form is required for each registrant. Note that discounts will NOT be applied retroactively if more registrants are added at a later date, but new registrants will receive the group discount.

TAX DEDUCTIBILITY: Expenses of training (including tuition, travel, lodging, and meals) incurred to maintain or improve skills in your profession may be tax deductible. Consult your tax advisor.

USE OF INFORMATION: By submitting this registration form, you agree to the use of your information and the terms and conditions stated on this form. To view our Privacy Statement visit corporatecompliance.org/privacy.aspx.

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

CONTINUING EDUCATION: SCCE is in the process of applying for additional external continuing education units (CEUs). Should overall number of education hours decrease or increase, the maximum number of CEUs available will be changed accordingly. Credits are assessed based on actual attendance and credit type requested.

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

Upon request, if there is sufficient time and we are able to meet their requirements, SCCE may submit this course to additional states or entities for consideration. Only requests from registered attendees will be considered. If you would like to make a request, please contact us at +1 952.933.4977 or 888.277.4977 or email ccb@compliancecertification.org. To see the most up-to-date CEU information go to SCCE's website, corporatecompliance.org/all-conferences. Select your conference, and then select the "Continuing Education" option on the left hand menu.

COMPLIANCE CERTIFICATION BOARD (CCB)®: CCB has awarded a maximum of 7.2 CEUs for these certifications: Certified in Healthcare Compliance (CHC)®, Certified in Healthcare Compliance—Fellow (CHC-F)®, Certified in Healthcare Privacy Compliance (CHPC)®, Certified in Healthcare Research Compliance (CHRC)®, Certified Compliance & Ethics Professional (CCEP)®, Certified Compliance & Ethics Professional—Fellow (CCEP-F)®, Certified Compliance & Ethics Professional—International (CCEP-I)®.

CONTINUING LEGAL EDUCATION (CLE): The Society of Corporate Compliance and Ethics is a provider/sponsor, approved/accredited by the Alabama State Bar, State Bar of California, the Pennsylvania Bar Association, the Rhode Island MCLE Commission, and the State Bar of Texas. An approximate maximum of 3.0 clock hours of CLE credit will be available to attendees of this conference licensed in these states, along with Illinois and Ohio. SCCE's practice is to apply for CLE credits to the state in which the event is being held, if that state has a CLE approval process for sponsors. Upon request, if there is sufficient time and if we are able to meet their CLE requirements, SCCE may submit this course to additional states for consideration. Only requests from registered attendees will be considered. All CLE credits will be assessed based on actual attendance and in accordance with each state's requirements.

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. State boards of accountancy have final authority on the acceptance of individual courses for CPE credit. Complaints regarding registered sponsors may be submitted to the National Registry of CPE Sponsors through its website: www.nasbaregistry.org. Sponsor Identification No: 143451. The education level for this activity is considered basic. No prerequisites are required for this education. Delivery Method: Group Live. Advanced Preparation: None. A recommended maximum of 7.0 credits based on a 50-minute hour will be granted for this activity. This program addresses topics that are of a current concern in the compliance environment and is a group-live activity in the recommended field of study of Specialized Knowledge. For more information regarding administrative policies such as complaints or refunds, call 888.277.4977 or +1 952.933.4977.