



17th Annual

COMPLIANCE & ETHICS INSTITUTE

OCTOBER 21-24, 2018 | LAS VEGAS

Experience the Difference

NEW Features, **NEW** Tracks, and **NEW** Networking Opportunities

Attendees have the opportunity to learn about current hot topics including:

- > Global Compliance
- > Whistleblowers
- > Risk Assessment
- > Anti-Corruption
- > Internal Investigations
- > Corporate Culture
- > Cyber Security
- > Privacy Programs
- > Regulatory Compliance
- > Artificial Intelligence

complianceethicsinstitute.org



SCCE[™]
Society of Corporate
Compliance and Ethics

About the Compliance & Ethics Institute



SCCE's annual Compliance & Ethics Institute is the primary educational and networking event for compliance professionals across all industries around the world. Each year we host more than 1,800 attendees from 40 countries.

Leading industry experts cover real-world compliance issues, emerging trends, and practical applications. Learn about current hot topics such as global antitrust compliance, Office of Foreign Assets Control (OFAC) sanctions, artificial intelligence, and preventing harassment and discrimination.

Starting to plan your travel? Don't forget to register for the Volunteer Project on Saturday, October 20, 8:30 AM–12:00 PM. Registration is free for this activity. SCCE will provide a volunteer t-shirt, breakfast, and round-trip transportation from the hotel and to the project location.

Pre-conference sessions on Sunday, October 21 have been broken into two longer morning and afternoon sessions to allow for in-depth discussion and interaction.

Post-conference sessions on Wednesday, October 24 are designed to cover some of the most important and timely compliance topics.

Interested in getting certified? Apply to take one of the Compliance Certification Board (CCB)[®] certification exams on Wednesday afternoon. Learn more at complianceethicsinstitute.org/certification

Conference Benefits

- Gain insights, perspectives, and practical solutions across all major ethics and compliance risk areas that you can immediately put into practice.
- Learn from industry experts about emerging risks and the best practices to manage them.
- Explore a variety of topics with day-to-day relevance and leave with the confidence to effectively manage your compliance program and mitigate risk at your organization.
- Collaborate with professionals from around the world, sharing real world experiences and insights to help each other develop solutions for compliance and risk issues.

Who Should Attend

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

- Compliance and ethics professionals
- In-house and outside counsel
- Audit managers/officers
- Consultants
- Corporate executives and leaders
- Human resource managers
- Information officers
- Privacy officers
- Regulators and other government personnel
- Researchers and policy makers
- Risk managers
- Staff educators and trainers

SCCE would like to thank the 2018 Compliance & Ethics Institute Planning Committee



Robert Bond, CCEP,
International Track Program Chair;
Partner & Notary Public, Bristows LLP



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



Marjorie W. Doyle, JD, CCEP-F, CCEP-I,
Case Study Track Program Chair;
Marjorie Doyle & Associates, LLC



Al Gagne, MBA CCEP, Advanced
Discussion Group Track Program Chair;
Former Director, Ethics and Compliance,
Textron Systems Corporation (retired)



Michael Levin, CCEP, General Compliance/
Hot Topics Track Program Co-Chair;
Senior Director of Compliance: Ethics &
Business Practices, Freddie Mac



Page Motes, General Compliance/Hot
Topics Track Program Co-Chair;
Director, Global Ethics & Compliance, Dell



Roy Snell, CHC, CCEP,
CEO, Society of Corporate
Compliance and Ethics



Greg Triguba, JD, CCEP, CCEP-I,
Risk Track Program Chair;
Principal, Compliance Integrity
Solutions



Adam Turteltaub, CHC, CCEP,
Vice President, Strategic Initiatives
and International Programs, Society of
Corporate Compliance and Ethics



Rebecca Walker, JD,
Compliance Lawyer Track Program
Chair; Partner, Kaplan & Walker LLP



Art Weiss, JD, CCEP-F, CCEP-I,
Ethics Track Program Chair;
Chief Compliance and Ethics
Officer, Tamko Building Products

Follow a Learning Track

To make your selection easier, educational sessions are arranged by area of interest into learning tracks. You can follow one track all the way through or switch between several depending on your needs and interests.

ETHICS

Immerse yourself in ethics

There are few things more challenging or rewarding to manage than ethics issues. Ethics track sessions will cover the ethical considerations that compliance and ethics professionals need to understand and manage their programs effectively.

RISK

Effectively managing risk across your organization

Risk and how to effectively manage it is a top priority for global organizations. These engaging and insightful sessions are focused on best practices and the effective management of risk across all major ethics and compliance focus areas facing global organizations today. Led by leading experts and practitioners in the field, participants will gain valuable perspective on program strategies, practical solutions, and cutting edge methods that can be used to most effectively manage and mitigate their organizational risks.

CASE STUDIES

Just the facts: Case studies in ethics

It's one thing to discuss the issues compliance and ethics professionals face. It's another to see what companies have actually done to successfully manage these challenges. The Case Study track will take you inside companies and show you how they've handled specific issues.

COMPLIANCE LAWYER

For in-house and outside counsel

This track is designed to meet the specific needs of the legal community. Learn about hot compliance topics for in-house and outside legal counsel. You'll find insights of value to your practice and clients.

MULTI-NATIONAL/ INTERNATIONAL

Global compliance and ethics programmes face added complexities

The Multinational/International track dives deeper into the needs of the global programme and the topics that create the biggest challenges for global companies today.

GENERAL COMPLIANCE/ HOT TOPICS

Everything from compliance 101 to hot topics like detecting identity theft and privacy breaches

This track gets you up-to-date on everything that's currently happening in the compliance and ethics environment as well as brings you back to the basics to keep you grounded. Learn what you need to know from compliance and ethics professionals, regulators, outside counsel, in-house counsel, auditors, providers and industry experts.

** Advanced Discussion Groups will be filled on a first-come, first-served basis. Attendance is limited to the first 50 attendees. Pre-registration is not available for these sessions.*

PROFESSIONAL SKILLS

Improve your professional skills

Just understanding the law isn't enough. Compliance requires you to persuade others, build relationships, negotiate, and be a good listener. The Professional Skills track focuses on the soft skills that are essential to getting solid results for your compliance program.

ADVANCED COMPLIANCE

Have you been in the compliance profession for more than 10 years?

Join one of our new advanced compliance sessions to dive deeper into the Topics you struggle with most: advanced compliance program design, effective program management and so much more.

IT COMPLIANCE

The intersection of information technology and compliance and ethics

Compliance and ethics professionals have to keep up with the ever-accelerating range of products, services, and expectations around privacy, security, data protection, cybersecurity, and even the growing number of tasks that are now performed by machines. The IT Compliance track sessions empower you to help your organization responsibility and effectively address the intersection of information technology and compliance and ethics.

ADVANCED DISCUSSION GROUPS*

Join a discussion group to share industry knowledge

Meet others that have faced program challenges and participate in ideation for program improvement. There are no formal presentations in this track, just discussion facilitated by industry experts. Groups are limited to 50 attendees, each session is designed to involve everyone in the room.

NEW at the CEI



SCCE is excited to announce a new way to network at this year's conference: BrainDates!

Braindates are one-on-one and small group conversations with fellow compliance professionals on a range of topics, areas of interest, and knowledge that you would like to share with other attendees. Because living is learning, everyone has valuable knowledge to share. All types and levels of expertise are strongly encouraged to participate.



Looking for help with your LinkedIn Profile? Meet with LinkedIn

Elevate your professional profile with learning sessions or a one-on-one profile review to help you:

- Enhance your professional content.
- Position yourself as an industry expert.
- Build and engage your network of contacts.

Sponsored by



A Division of
DUFF & PHELPS

Volunteer at the CEI

Saturday, October 20

8:30 AM – 12:00 PM

Come to the Compliance & Ethics Institute early and give back to the local community. Registration is free for this event and provides you with a volunteer t-shirt, breakfast and transportation to and from the site location. Plan to join us and be sure to select the volunteer project when registering for the conference.



SATURDAY, OCTOBER 20

1:00–6:30 PM	Registration Open
8:30 AM–12:00 PM	Volunteer Project (Pre-registration required)

SUNDAY, OCTOBER 21

7:00 AM–6:00 PM	Registration Open
7:15–8:15 AM	First Time Attendee Networking Breakfast (By invitation only)
8:30–11:30 AM BREAKOUT SESSIONS INCLUDES 15-MINUTE BREAK	P1 Ethics & Compliance Risk Management 101: Program Essentials and Effective Practice – Greg Triguba, Principal, Compliance Integrity Solutions; Carla Weiler, Compliance Risk Manager, Starbucks
	P2 AT&T’s Compliance Training Evolution/Revolution – Susan Bounds, Director-Compliance, AT&T; Jayne Cano, Lead Compliance Analyst, AT&T; Lee Miller, Associate Director-Training Design, AT&T
	P3 A Tale of Two Companies—Experiencing the Best of Times and the Worst of Times through the Eyes of Two Organizations that Considered Themselves Ethical – Beth Colling, Vice President and Chief Compliance Officer, CDM Smith, Inc.; Rebeka Spires, Director of Compliance & Ethics, Louis Berger
	P4 Anti-Corruption Workshop: FCPA and other Anti-Corruption Enforcement Hot Topics and Compliance Best Practices – Iris Bennett, Member, Smith Pachter McWhorter PLC; Natalie Lockwood, Counsel, General Motors Company; Thuy Tran, Regional Compliance Officer - USA, SNC- Lavalin; Shannon O. Young, US Senior Compliance, WSP USA Inc.
	P5 Audits Conducted Under Attorney Client Privilege: How to Manage the “ACP” Framework During an Audit Engagement – Monica Reinmiller, Corporate Counsel, Legal Affairs & Compliance, T-Mobile; Katherine McDaniel, Senior Corporate Counsel, Litigation, T-Mobile; Chelsea Dwyer Petersen, Partner, Perkins Coie
	P6 Launching Ladies into Senior Leadership – Kristy Grant-Hart, Owner, Spark Compliance Consulting; Jenny O’Brien, Chief Compliance Officer, UnitedHealthcare; Kirsten Liston, Principal, Rethink Compliance
	P7 Building a Culture of Compliance Learning Excellence - 4 Multi-Nationals Share Their Insight – Nicole Tarasoff, Program Manager, Global Compliance & Integrity, LinkedIn; Jennifer Gardella, Director, Global Learning, Biogen; Jack W. Arnold, Jr, Global Corporate Compliance, Xilinx Inc.
	P8 Preventing Harassment: Can Compliance Ever Succeed? – Jason B. Meyer, President, LeadGood, LLC; Amy E. McDougal, President, CLEAResources, LLC; Susan A. Parkes, General Counsel & Vice President, Alyeska Pipeline Service Company
	P9 Investigations Workshop Part I (8:30–9:30 AM): Beginning the Investigation and Interviewing the Reporter – Albert G. Gagne, Former Director, Ethics & Compliance, Textron Systems Corporation (retired); Latour (LT) Lafferty, Partner, Holland & Knight LLP; Michelle Yaroma, Former Special Agent, Federal Bureau of Investigation Part II (9:30–10:30 AM): Planning the Investigation – Meric C. Bloch, Corporate Director, Investigations, Shriners Hospitals for Children Part III (10:45 AM–11:30 PM): Revealing and Evaluating Documents – Latour (LT) Lafferty, Partner, Holland & Knight LLP
	Lunch (On your own)
1:00–4:00 PM BREAKOUT SESSIONS INCLUDES 15-MINUTE BREAK	P10 Trade Compliance Risks: What You Don’t Know, Can Hurt You! – Gwendolyn Hassan, Managing Counsel, Global Compliance & Ethics, CNH Industrial
	P11 Ethics 101 from Theory to Application: What Would Kant Think About Tarantino Flix? – Paul E. Fiorelli, Professor of Legal Studies and Director, Cintas Institute for Business Ethics, Xavier University; Bradley R. Agle, Professor, Brigham Young University
	P12 Facebook and Equifax: Meeting Increased Customer Expectations, Not Just Regulatory Requirements – Steven Minsky, CEO, LogicManager, Inc.
	P13 Enforcement Goes International-What Does it Mean for Your Compliance Program? – Thomas R. Fox, Compliance Evangelist, Advanced Compliance Solutions; Matt Ellis, Partner, Miller; Carlos Ayres, Partner, Maeda, Ayres e Sarubbi Advogados
	P14 Federal Contractor—2018 Compliance Update – Adelle Elia, Chief Integrity Officer, Louis Berger; Paige Shannon, Vice President, Risk and Compliance, Kforce Inc.
	P15 Technology & Compliance: Understanding the Risks and Maximizing the Benefits – Theodore L. Banks, Partner-President, Scharf Banks Marmor LLC - Compliance & Competition; Gene Stavrou, Compliance Consultant, Ingredient; Heidi Rudolph, Managing Director, Morae Global
	P16 New Beginnings: Starting your Compliance Program and What Needs to be Included – Sheryl Vacca, SVP/Chief Risk Officer, Providence St Joseph Health; Debbie Troklus, Sr. Managing Director, Ankura Consulting Group
	P17 The Great Internal Audit & Compliance Mystery – Kelly C. Loya, Managing Director, Pinnacle Enterprise Risk Consulting Services, LLC; Kristen R. Taylor, Managing Director, Pinnacle Healthcare Consulting
	P18 Investigations Workshop (continued from P9) Part IV (1:00–2:00 PM): Taking Effective Interviews – Meric C. Bloch, Corporate Director, Investigations, Shriners Hospitals for Children Part V (2:15–3:15 PM): Preparing the Investigation Report – Albert G. Gagne, Former Director, Ethics & Compliance, Textron Systems Corporation (retired) Part VI (3:15–4:00 PM): Q&A Panel – Meric C. Bloch, Corporate Director, Investigations, Shriners Hospitals for Children; Albert G. Gagne, Former Director, Ethics & Compliance, Textron Systems Corporation (retired); Latour (LT) Lafferty, Partner, Holland & Knight LLP
4:00–6:00 PM	Opening Tailgate Reception in Exhibit Hall

RISK	ETHICS	CASE STUDIES	MULTI-NATIONAL/ INTERNATIONAL	COMPLIANCE LAWYER	IT COMPLIANCE	GENERAL COMPLIANCE/HOT TOPICS	INVESTIGATIONS WORKSHOP	ADVANCED COMPLIANCE	PROFESSIONAL SKILLS	ADVANCED DISCUSSION GROUPS
------	--------	--------------	-------------------------------	-------------------	---------------	-------------------------------	-------------------------	---------------------	---------------------	----------------------------

*Advanced Discussion Groups will be filled on a first-come, first-served basis. Attendance is limited to the first 50 attendees. Pre-registration is not available for these sessions.

Agenda subject to change

MONDAY, OCTOBER 22

7:00 AM – 5:30 PM	Registration Open
7:00 – 8:00 AM	Continental Breakfast and Exhibitor Networking in Exhibit Hall – Sponsored by Nelson Mullins Broad and Cassel
8:00 – 8:30 AM	Opening Remarks and Awards Presentation
8:30 – 9:30 AM	Keynote Address: Next Level Leadership – Scott Eblin, Author, <i>The Next Level</i> and <i>Overworked and Overwhelmed</i>
9:30 – 10:00 AM	Networking Break with Exhibitors
10:00 – 11:00 AM BREAKOUT SESSIONS	101 Social Media: Risks & Redemption – Kortney Q. Nordrum, Investigations & Risk Consultant, Deluxe Corporation
	102 Advancing a Culture of Integrity by Building Strong Climates – Brian K. Lee, Practice Leader, Gartner
	103 A Modern Day Construction Industry Compliance Program – Chris R. Caron, Regional Compliance Manager, Kiewit Construction
	104 Challenges of working with Intermediaries in Emerging Markets – Renata Muzzi, Partner, TozziniFreire Advogados; Shin Jae Kim, Partner, TozziniFreire Advogados
	105 Compliance Oversight for Boards and Management – Gabriel L. Imperato, Managing Partner, Nelson Mullins Broad and Cassell
	106 AI Is Coming: Future-proof Your Career and Your Compliance Program – Thomas R. Fox, Compliance Evangelist, Advanced Compliance Solutions; Matt Kelly, Editor & CEO, Radical Compliance
	107 Compliance & Ethics Training: What You Need to Know – Kirsten Liston, Principal, Rethink Compliance; M. Joy Hayes, Chief Ethics Officer, SAIC; Shauna Brookshier, Ethics and Compliance Sr. Analyst, SAIC
	108 Compliance Fast and Slow - Lessons from Behavioral Economics – James Sheehan, Chief Charities, NY AG; James C. Knapp, Investigations Manager, Freddie Mac
	109 Practices in Ethics and Compliance (E&C) Program Management That Can Undermine the Effectiveness of Your E&C Program – Michael D. Garson, Senior Managing Director - Government Contracts, Ankura Consulting Group; Randall H. Cook, Senior Managing Director, Ankura Consulting Group
	110 Just Listen: Silently Connecting to the Untold Stories to Shape Culture – Walter E. Johnson, Director of Compliance & Ethics, Kforce Government Solutions
11:15 AM – 12:15 PM BREAKOUT SESSIONS	AD1* Retaliation: Real or Imagined, How Are You Addressing It in Your Organization? – Albert G. Gagne, Former Director, Ethics & Compliance, Textron Systems Corporation (retired)
	AD2* Big Picture E&C Program Challenges: A Day in the Life of the Successful Compliance Officer – Lea Fourkiller, Managing Director, Ankura Consulting Group
	201 Global Antitrust Compliance—Assessing Risks and Creating an Effective Antitrust Program – Tim Bridgeford, Global Head of Antitrust Compliance, JP Morgan; Douglas Tween, Partner, Linklaters LLP
	202 Ethical Considerations for Compliance Officers and Lawyers – Theodore L. Banks, Partner-President, Scharf Banks Marmor LLC - Compliance & Competition
	203 Building Awareness: Creatively Branding and Marketing Your “Comply Ant” Program – Matthew L. Daniel, Corporate Senior Vice President, Legal Compliance & Deputy General Counsel, Charles River Laboratories, Inc.; John T. Dalton, Dir Corp Compliance, Charles River Laboratories Inc.
	204 Artificial Intelligence in Third Party Compliance – Allan Matheson, Chief Executive Officer, Blue Umbrella
	205 Start-ups, Autonomous Cars and Everything (Compliance) In Between: Compliance Program Management, Issues & Challenges From the Perspective of GM and Cruise Automation – Christopher Miller, Regional Compliance Officer North America, General Motors; Matt Gipple, General Counsel, Cruise Automation
	206 Corporate Compliance and Information Technology Challenges—Business Confidentiality and Employment Agreement, Communication with Competitors, Cyber Security and Privacy Laws – Muhammad N. Ahmed, Head of Compliance, PEL Group of Companies
	207 How to Score your Compliance Program using Key Performance Indicators (KPIs), Metrics, Maturity Ratings and Other Approaches – Erica Salmon Byrne, EVP and Executive Director of BELA, Ethisphere
	208 MGM Resorts International: Journey to the Future of Mobile & Augmented Reality – Marsha H. Ershaghi-Hames, Managing Director Strategy & Development, LRN; Omar R. Khoury, Vice President of Compliance, MGM Resorts International; Lisa Caserta, Director - Compliance, MGM Resorts International
12:15 – 1:15 PM	209 Repeat Complainers: Chronic Complainers or the Forgotten – Bart Fitzgerald, Sr. Investigator, Freeport-McMoRan Inc.; Stephen Nehring, Global Compliance Manager, Freeport-McMoRan
	210 The Next Phase of Compliance Communication – Kyle Zamcheck, Speech Coach, The Speech Improvement Company
	AD3* Tools for Enhancing Employee Participation in Training – Art Weiss, Chief Compliance & Ethics Officer, TAMKO Building Products
	AD4* Hot Topics in Employee Reporting: Implementing and Maintaining a Successful Employee Hotline Program – Lisa R. Fine, Director, Global Compliance, gategroup
12:15 – 1:15 PM	Networking Lunch
1:15 – 1:45 PM	Dessert and Networking Break with Exhibitors

RISK	ETHICS	CASE STUDIES	MULTI-NATIONAL/ INTERNATIONAL	COMPLIANCE LAWYER	IT COMPLIANCE	GENERAL COMPLIANCE/HOT TOPICS	INVESTIGATIONS WORKSHOP	ADVANCED COMPLIANCE	PROFESSIONAL SKILLS	ADVANCED DISCUSSION GROUPS
------	--------	--------------	----------------------------------	----------------------	---------------	----------------------------------	----------------------------	------------------------	------------------------	-------------------------------

*Advanced Discussion Groups will be filled on a first-come, first-served basis. Attendance is limited to the first 50 attendees. Pre-registration is not available for these sessions.

Agenda subject to change

MONDAY, OCTOBER 22

1:45–2:45 PM BREAKOUT SESSIONS	301	M&A Transactions: Tactics and Strategies for Effectively Managing Ethics and Compliance Risk – Kasey T. Ingram, General Counsel & Chief Compliance Officer, ISK Americas Incorporated; Louis Sapirman, Former VP, Associate General Counsel and Chief Compliance Officer, The Dun & Bradstreet Corporation
	302	Business Ethics 101: Why do People Cheat – Pouya Safi, Manager, Lecturer and Associate Director, Continuing Education, University of Ottawa—Telfer School of Management
	303	Are You Considering Offering a Compliance Week? (or How to Create a Compliance Week That Doesn't Suck.) – Michael Henry, Senior US Legal Counsel, Emera Energy
	304	Communications Best Practices for a Global Workforce – Kris Pugsley, Global Communications and Change Management, ON Semiconductor
	305	Counseling Compliance in Small to Medium Sized Businesses – Jason B. Meyer, President, LeadGood, LLC; Amy E. McDougal, President, CLEAResources, LLC
	306	Putting People First: Protection of Personal Identifiable Information (PII) in a Landscape of Constant Change – Whitney A. Tom, Program Manager, Corporate Relations, TechSoup; Nisha Sehn, Senior Program Manager, TechSoup
	307	Privacy Trends Around the World and the Implications to a Global Organization – Michelle Beistle, Counsel and Chief Compliance Officer, Unisys Corporation; Charlotte D. Young, Chief Ethics and Compliance Officer, The Nature Conservancy; Alyssa Senzel, Deputy General Counsel & Compliance Officer, Blackboard Inc.
	308	What If Model: Leverage Organizational Resources to Craft Compliance Training (and Certification) – Eva C. Stein, Higher Education Consultant
	309	Managing Third Party Compliance Programs on a Global Scale – Allan Matheson, Chief Executive Officer, Blue Umbrella
	310	Making Connections Count: Tips to Gain Value Through Networking – Samantha Kelen, Lead Ethics Analyst, Duke Energy Corporation
	AD5*	Conflicts of Interest: Awareness, Bias, and Corruption – Cynthia Morrison, Director of Compliance, Post Holdings, Inc.
	AD6*	Assessing Your Company's Culture – Patrick J. Gnazzo, Principal, Better Business Practices
2:45–3:00 PM		Networking Break
3:00–4:00 PM		Keynote Address: Can Compliance Save Sports – Ty Francis, MBE, Global Governance and Ethics Advisor
4:00–5:15 PM		Networking Reception with Exhibitors

TUESDAY, OCTOBER 23

7:00 AM–5:00 PM		Registration Open
7:00–8:00 AM		Continental Breakfast and Exhibitor Networking
8:00–8:15 AM		Tuesday Kickoff and Awards Presentation
8:15–9:15 AM		Keynote Address: Artificial Intelligence: A Day in Your Life in Compliance & Ethics – Amber Mac, TV/Radio Host, Internet of Things Expert, AmberMac Media
9:15–9:30 AM		Networking Break
9:30–10:30 AM BREAKOUT SESSIONS	401	Working with Uncle Sam: Managing Compliance Risk when Providing Services to the U.S. Government – Steve Epstein, Former Chief Counsel Ethics & Compliance, Boeing Company; Danica Irvine, Senior Attorney, DoD Office of General Counsel
	402	Demystifying Forensic Accounting – Adrian Sierra, CEO, Sierra Forensic Group; Michael Dyer, Managing Director, Sierra Forensic Group
	403	Building a Corporate Culture that Combats Sexual Misconduct – Stephanie Jenkins, Chief Compliance Officer, ETHIX360; J. Rollins, CEO, ETHIX360
	404	Global Compliance—One Size Does Not Fit All – Yami Acosta, Director-Compliance, AT&T; Clarissa Benavides, Director-Compliance, AT&T; Luis Solis, Sr. Specialist-Environmental Health & Safety, AT&T
	405	Dos and Don'ts for Compliance Personnel at International Non-Profits – Hussainatu Blake, Vice President, Focal Point Global; Adam Munitz, Senior Associate, FH+H PLLC
	406	Software License Compliance: Costly, Challenging, Changing, and Continuing Chaos: Why It's Hard, Intensifying, and Sub-Radar, & What To Do To Risk-Mitigate and Contribute Effectively – Henry W. (Hank) Jones, III, Owner, Law Office of Henry W. Jones III & Intersect Tech. Consulting
	407	Decades into Maturing Compliance Programs, Are Anonymous Reporters Treated with the Respect They Deserve? – Carrie Penman, Chief Compliance Officer and Senior Vice President, Advisory Services, NAVEX Global; Debra S. Hennelly, Founder & President, Resiliti
	408	Effective Use of Forensic Data Analytics to Mitigate Compliance Risks – Gerry Zack, Incoming CEO, SCCE & HCCA
	409	Advanced Ethics and Compliance Program Design – Michael Volkov, CEO, Volkov Law Group LLC
	410	The 7 Habits of an Effective Compliance and Ethics Professional – Dan Roach, Chief Compliance Officer, Optum 360
	AD7*	Building the Bridge to Better Partnering - What Works! – Tedra Foster, Senior Director Ethics and Compliance, Herbalife
	AD8*	Cultures of Integrity - We Know What They Are and What They Should Look Like, But How Do We Get There? – Mary Shirley, Senior Director, Ethics & Compliance, Fresenius Medical Care North America
10:30–11:00 AM		Networking Break and Last Chance to Visit with Exhibitors

RISK	ETHICS	CASE STUDIES	MULTI-NATIONAL/INTERNATIONAL	COMPLIANCE LAWYER	IT COMPLIANCE	GENERAL COMPLIANCE/HOT TOPICS	INVESTIGATIONS WORKSHOP	ADVANCED COMPLIANCE	PROFESSIONAL SKILLS	ADVANCED DISCUSSION GROUPS
------	--------	--------------	------------------------------	-------------------	---------------	-------------------------------	-------------------------	---------------------	---------------------	----------------------------

*Advanced Discussion Groups will be filled on a first-come, first-served basis. Attendance is limited to the first 50 attendees. Pre-registration is not available for these sessions.

Agenda subject to change

TUESDAY, OCTOBER 23

11:00 AM – 12:00 PM BREAKOUT SESSIONS	501	Using Privacy Impact Assessments Effectively – Robert J. Bond, Partner & Notary Public, Bristows LLP
	502	Developing a Culturally Competent Compliance Program – Deni A. Anderson, Director, Global Compliance Operations, ENDEAVOR
	503	Adopting an Internal Control—Integrated Framework, Benefits for Non-Profit Organizations – Richella M. Abell-Hawes, Vice President Compliance & Quality, Arc Herkimer; Jessica French, Quality Control Systems Director, Arc Herkimer
	504	Crash Course on United Kingdom and Ireland Regulations for US Companies – Eric Brotten, Director, International Compliance Programs, Optum; Sarah E. Boswell-Healey, Director, Optum Privacy
	505	Leveraging Recent Developments in the Law to Advance Your Program – Rebecca Walker, Partner, Kaplan & Walker LLP; Joseph E. Murphy, Senior Advisor, Compliance Strategists
	506	The EU General Data Protection Regulation: What We Know, Six Months In – Scott M. Giordano, Director, Data Protection and Managed Privacy Services, Robert Half International
	507	Get What You Need Out of Your Gift, Entertainment, and Travel (GET) Policy and Approval System – Adriana M. Herrera, Sr. Global Compliance Analyst, Phillips 66
	508	Innovative Strategies for Fostering a Compliance Culture – Stephanie Hillhouse, Sr. Ethics & Compliance Manager, The Coca-Cola Company
	509	Decades to Build, Seconds to Destroy: Proactive Compliance On Your Own Terms to Avoid or Mitigate An Enforcement Action – Eric Feldman, Senior VP and Managing Director, Corporate Ethics and Compliance Programs, Affiliated Monitors; Tom Topolski, Senior Vice President, Business Development Director, Parsons
	510	Building Culture through Communication and Engagement – Keturah Pestel, Manager, Business Ethics Office, Thrivent Financial
12:00 – 1:00 PM	AD9*	Compliance in the Modern Multi-National: Aligning Trade Compliance with Your Corporate Compliance Program – Suzanne Bullitt, Director - Global Trade Strategy & Compliance, Eastman Chemical Company
	AD10*	Who's Afraid of the Big, Bad Code? – Michael Levin, Senior Director of Compliance, Ethics & Business Practices, Freddie Mac
		Networking Lunch
	601	RIM: It's Not Just about the Records – Jacki Cheslow, Director, Business Ethics & Compliance, Avis Budget Group
	602	Ethical Considerations of Artificial Intelligence – Colleen Dorsey, Director, Organizational Ethics & Compliance, University of St Thomas- School of Law; Eileen M. Lach, Member, Executive Committee, The IEEE Global Initiative on Ethics of Autonomous and Intelligent Systems
	603	Built in, Not Bolt on: Creating a Compliance Program for a Tech Startup – Danielle E. Herrick, Head of Compliance, Attune Insurance Services, LLC
	604	Foreign Agents, Partners & Intermediaries: You Can't Live With Them, But You Can't Live Without Them – James M. Lord, Shareholder, Glade Voigt Lord Smith; Andy Hinton, VP, Global Ethics & Compliance, Google; Harvey W. Woodford, VP, Chief Ethics & Compliance Officer and Corporate Secretary, Avnet, Inc.; Xavier Oustalniol, Partner, StoneTurn
	605	Preventing Harassment and Discrimination: Why the Current System Fails and What to do About it – Paul McGreal, Professor of Law, Creighton University; Joseph E. Murphy, Senior Advisor, Compliance Strategists
	606	Creating Cyber Incident Response Plans – Megan M. Moloney, Federal Bureau of Investigation
	607	What Are the OIGs - and Why You Should Care – Daniel H. Coney, Assistant Special Agent in Charge, DOI/OIG
1:00 – 2:00 PM BREAKOUT SESSIONS	608	OFAC Sanctions: Navigating the Minefield – Robert J. Ward, Jr., VP Global Compliance, Houston International Business Corp
	609	Building an Ethics Culture & Compliance Program through a Corporate Business Mentor-Protégé Program – Lynn Wise, Attorney, Northrop Grumman
	610	Outstanding Collaboration: Can't We Just All Get Along? – Kristy Grant Hart, Owner, Spark Compliance Consulting; Angelika Flamm, Deputy Group Compliance Director, Royal Mail Group
	AD11*	Secrets from In-house Ethics & Compliance Buyers: How to Keep the Gate and Your Sanity – Jay Rosen, VP, Business Development and Monitoring Specialist, Affiliated Monitors, Inc.

Interested in exhibiting, sponsoring, and advertising opportunities at the Compliance & Ethics Institute?

Connect with 1,800+ compliance and ethics leaders, decision makers, and influencers:

- Gain visibility and name recognition with compliance and ethics professionals from around the world.

- Develop relationships with prospects and strengthen ties with existing clients.
- Heighten your credibility through close association with the largest organization of its kind.

For more information, visit complianceethicsinstitute.org

RISK	ETHICS	CASE STUDIES	MULTI-NATIONAL/ INTERNATIONAL	COMPLIANCE LAWYER	IT COMPLIANCE	GENERAL COMPLIANCE/HOT TOPICS	INVESTIGATIONS WORKSHOP	ADVANCED COMPLIANCE	PROFESSIONAL SKILLS	ADVANCED DISCUSSION GROUPS
------	--------	--------------	-------------------------------	-------------------	---------------	-------------------------------	-------------------------	---------------------	---------------------	----------------------------

*Advanced Discussion Groups will be filled on a first-come, first-served basis. Attendance is limited to the first 50 attendees. Pre-registration is not available for these sessions. Agenda subject to change

TUESDAY, OCTOBER 23

2:00–2:15 PM	Networking Break
2:15–3:15 PM BREAKOUT SESSIONS	701 Divided Loyalties: Conflict of Interest Risks, Impact and Effective Management Strategies – Shannon Grayer, VP, Global Ethics Solutions, Wells Fargo
	702 Unethical Acts—Why We do What We do – Lisa A. Gross, Ethics Analysis Sr Mgr, Lockheed Martin; Darren Hill, Director Ethics Business Conduct, Lockheed Martin Aeronautics
	703 Lights! Camera! Compliance! ...How Making a Movie Changed Our Culture – Marc Havener, CEO, Resonate Pictures Inc.; Heather Bell, AGDC Compliance, Altria; Karl Schneider, Senior Lead Specialist Compliance, AGDC
	704 While You Were Sleeping: Insights about the Realities of Ethics & Compliance in Asia with a Focus on Bribery and Corruption – Jimmy Chatsuthiphan, Global Compliance Investigator, Panasonic Avionics Corporation; Jason Chang, Of Counsel, DLA Piper
	705 To Privilege or Not to Privilege: The Role of Attorney Advice in Performing Risk Assessments and Running a Compliance Program – Suzanne L. Montgomery, VP-Compliance, AT&T; Altresha Burchett-Williams, AVP-Senior Legal Counsel, AT&T; Kristopher Watts, Director-Compliance, AT&T
	706 Who, What, Why: PCI – Tess Casey Flanagan; Senior Manager and Counsel, Global Compliance Operations, Under Armour
	707 They made the news, but you don't have to! – Ben DiPietro, Former Editor-Reporter, Wall Street Journal; Kitty Holt, Ethics & Compliance Officer, Plan International USA
	708 The Road to ISO 37001 Anti-bribery Management Systems: How We Got There and Why it's Worth it – Mark Speck, Managing Partner, Spektrum Inc.; Diana Trevley, West Coast Director, Spark Compliance Consulting
	709 Unconscious Bias, Cognitive Errors, and the Compliance Professional – Michael Johnson, CEO, Clear Law Institute
	710 LinkedIn 2.0: How to Maximize your LinkedIn Membership – Andrew Phillips, Advocacy, Government & Non-Profits, Company: LinkedIn Marketing Solutions
	AD12* I'm Here, But My Organization Is There: How Do I Manage This Alone? – Christine J. Watzke-Ulbert, Compliance Manager-North America, AkzoNobel
3:15–3:30 PM	Networking Break
3:30–4:30 PM	Keynote Address: What We Need to Know About #MeToo – Jenny O'Brien, Chief Compliance Officer, UnitedHealthcare (moderator); Rebecca Walker, Partner, Kaplan & Walker LLP; Paul Fiorelli, Professor of Legal Studies and Director, Cintas Institute for Business Ethics, Xavier University; Robin H. Everhart, SVP & Chief Diversity Officer, Cintas Corporation

WEDNESDAY, OCTOBER 24

7:30 AM–11:45 AM	Registration Open
8:00–9:30 AM BREAKOUT SESSIONS	W1 Vendor Risk Management in Practice: Three Steps to Take for the Three Capabilities You Need – Matt Kelly, Editor & CEO, Radical Compliance; Fernanda Beraldi, Senior Director, Ethics & Compliance, Cummins Inc.; Edwin Broecker, Partner, Quarles & Brady
	W2 How to Conduct a High-Quality Ethics and Compliance Program Evaluation – Anne R. Harris, Principal, Ethics Works, LLC
	W3 International Fraud, Ethics and Culture Seen Through the Lens of a Fraud Examiner – Steve C. Morang, Senior Manager, Frank, Rimerman & Co. LLP
	W4 Avoiding Investigation Pitfalls: A Boots on the Ground Perspective – Ann Sultan, Counsel, Miller & Chevalier; David Ikenna Adams, Compliance Counsel, Eaze
	W5 Never Hearing "I Told You So"—Best Practices for Preparing and Responding to a Federal Investigation – James Carter, Attorney, Pillsbury Winthrop Shaw Pittman LLP; Aaron S. Dyer, Partner, Pillsbury Winthrop Shaw Pittman LLP
	W7 Around the World in 80 Minutes – Jonathan Armstrong, Partner, Cordery; Mary Shirley, Senior Director, Ethics and Compliance, Fresenius Medical Care North America; Kristine Robidoux, General Counsel, Gran Tierra Energy Inc.
	W8 Millennial is a Dangerous Word: A conversation about bias and stereotypes in the workplace – Samantha E. Kelen, Lead Ethics Analyst, Duke Energy; Laura Ellis, Global Compliance Enablement, Cisco International Limited; Kyle Lewis, Compliance Operations Manager, Holcim Group Services Ltd
9:30–9:45 AM	Networking Break
9:45–11:15 AM BREAKOUT SESSIONS	W9 Leave No Stone Unturned: Looking for Hidden Risks – Krista Muszak, Global Compliance Manager, Tech Data
	W10 I Would Never Do That! How Your Brain Circumvents Ethics and Compliance Efforts – Michael Hood, Director, 21st Century Learning & Consulting LLC
	W11 Turning the Tide of Your Culture without Being Hit by a Tsunami – Marjorie K. Maier, Compliance and Privacy Officer, HMS, Inc.
	W12 Dancing with Danger: How to Respond to the Changing Risk Environment in Latin America – Patricia Colombo, Legal, Compliance and RA Director, FUJIFILM do Brasil; Emanuel Batista, Director, Compliance, Kroll; Isabel Simmerman, Compliance Associate, The AES Corporation
	W13 Yin and Yang—Leveraging the Strengths of Legal and Compliance – Deena King, Director of Compliance, Texas Woman's University; Destinee N. Waiters, AVP Compliance & General Counsel, Texas Woman's University
	W14 Everything 3rd, 4th, & Nth Party Risk Management: Understanding the Key Elements of an Effective Privacy & Cybersecurity Program - Contracting, Due Diligence, Auditing & Monitoring, Remediating Gaps, Terminating – Web Hull, Privacy, Lead Information Security Privacy Specialist, Houghton Mifflin Harcourt
	W15 Designing a Built-In Compliance Program – Grace C. Wu de Plaza, Director Compliance & Corporate Integrity, Farmer Mac; Anjali Desai, Assistant General Counsel - Corporate & Compliance, Farmer Mac
	W16 Effective Human Trafficking Compliance: Practical Steps for Combating Modern Day Slavery in Your Corporate Supply Chains – Ryan C. Berry, CEO, CHAINTEGRITY LLC; Miranda L. Strong, Bering Straits Native Corporation
12:30–12:45 PM	Exam Check-In: Certified Compliance & Ethics Professional (CCEP)[®] and Certified Compliance & Ethics Professional - International (CCEP-I)[®]
12:45–3:45 PM	Certified Compliance & Ethics Professional (CCEP)[®] Exam (optional)
12:45–4:45 PM	Certified Compliance & Ethics Professional - International (CCEP-I)[®] Exam (optional)

RISK	ETHICS	CASE STUDIES	MULTI-NATIONAL/ INTERNATIONAL	COMPLIANCE LAWYER	IT COMPLIANCE	GENERAL COMPLIANCE/HOT TOPICS	INVESTIGATIONS WORKSHOP	ADVANCED COMPLIANCE	PROFESSIONAL SKILLS	ADVANCED DISCUSSION GROUPS
------	--------	--------------	----------------------------------	----------------------	---------------	----------------------------------	----------------------------	------------------------	------------------------	-------------------------------

*Advanced Discussion Groups will be filled on a first-come, first-served basis. Attendance is limited to the first 50 attendees. Pre-registration is not available for these sessions.

Agenda subject to change



Richella M. Abell-Hawes, [503], Vice President Compliance & Quality, Arc Herkimer



Yami Acosta, [404], Director - Compliance, AT&T

David Ikenna Adams, [W4], Compliance Counsel, Eazer, San Francisco Bay Area



Bradley R. Agle, [P11], Professor, Brigham Young University



Muhammad N. Ahmed, [206], Head of Compliance, PEL Group of Companies



Deni A. Anderson, [502], Director, Global Compliance Operations, ENDEAVOR, New York, NY



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

Jack W. Arnold Jr., [P7], Professional Development Associate, BlackRock



Carlos Ayres, [P13], Partner, Maeda, Ayres e Sarubbi Advogados



Theodore L. Banks, [P15, 202], Partner-President, Scharf Banks Marmor LLC - Compliance & Competition Consultants, LLC



Emanuel Batista, [W12], Director, Compliance, Kroll



Michelle Beistle, [307], CCEP-I, Counsel and Chief Compliance Officer, Unisys Corporation



Heather Bell, [703], AGDC Compliance, Altria



Clarissa Benavides, [404], Director-Compliance, AT&T



Iris Bennett, [P4], Member, Smith Pachter McWhorter PLC



Fernanda Beraldi, [W1], Senior Director, Ethics & Compliance, Cummins Inc.



Ryan C. Berry, [W16], CEO, CHAINTTEGRITY LLC, Washington, D.C.



Hussainatu Blake, [405], Vice President, Focal Point Global



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



Robert J. Bond, [501], Partner & Notary Public, Bristows LLP, London, UK

Sarah E. Boswell-Healey, [504], Director, Optum Privacy



Susan Bounds, [P2], Director-Compliance, AT&T



Tim Bridgeford, [201], Global Head of Antitrust Compliance, JP Morgan



Edwin Broecker, [W1], Partner, Quarles & Brady

Shauna Brookshier, [107], Ethics and Compliance Sr. Analyst, SAIC



Eric Broten, [504], Director, International Compliance Programs, Optum



Suzanne Bullitt, [AD9], Director - Global Trade Strategy & Compliance, Eastman Chemical Company



Altresha Burchett-Williams, [705], AVP - Senior Legal Counsel, AT&T, Dallas, TX



Jayne Cano, [P2], Lead Compliance Analyst, AT&T



Chris R. Caron, [103], Regional Compliance Manager, Kiewit Construction

James Carter, [W5], Attorney, Pillsbury Winthrop Shaw Pittman LLP, Los Angeles, CA



Lisa Caserta, [208], Director - Compliance, MGM Resorts International

Jason Chang, [704], Of Counsel, DLA Piper



Jimmy Chatsuthiphan, [704], Global Compliance Investigator, Panasonic Avionics Corporation



Jacki Cheslow, [601], Director, Business Ethics & Compliance, Avis Budget Group



Beth Colling, [P3], Vice President and Chief Compliance Officer, CDM Smith, Inc.



Patricia Colombo, [W12], Legal, Compliance and RA Director, FUJIFILM do Brasil



Daniel H. Coney, [607], Assistant Special Agent in Charge, DOI/OIG



Randall H. Cook, [109], Senior Managing Director, Ankura Consulting Group



John T. Dalton, [203], JD., CCEP, Dir Corp Compliance, Charles River Laboratories Inc.



Matthew L. Daniel, [203], Corporate Senior Vice President, Legal Compliance & Deputy General Counsel, Charles River Laboratories, Inc.

Anjali Desai, [W15], Assistant General Counsel - Corporate & Compliance, Farmer Mac



Ben DiPietro, [707], Former Editor-Reporter, Wall Street Journal



Colleen Dorsey, [602], Director, Organizational Ethics & Compliance, University of St Thomas-School of Law, St. Paul, MN



Chelsea Dwyer Petersen, [P5], Partner, Perkins Coie

Aaron S. Dyer, [W5], Partner, Pillsbury Winthrop Shaw Pittman LLP



Michael Dyer, [402], Managing Director, Sierra Forensic Group



Scott Eblin, [GS], Author, *The Next Level and Overworked and Overwhelmed*



Laura Ellis, [W8], Global Compliance Enablement, Cisco International Limited, Old Windsor, UK



Adelle Elia, [P14], CCEP, Chief Integrity Officer, Louis Berger



Matt Ellis, [P13], Partner, Miller



Steve Epstein, [401], Former Chief Counsel Ethics & Compliance, Boeing Company, Washington D.C.



Marsha H. Ershaghi-Hames, [208], Ph.D., CCEP, Managing Director Strategy & Development, LRN, Washington, DC



Robin H. Everhart, [GS], SVP & Chief Diversity Officer, Cintas Corporation



Eric R. Feldman, [509], Senior Vice President and Managing Director, Corporate Ethics and Compliance Programs, Affiliated Monitors, Inc., Redondo Beach, CA



Lisa R. Fine, [AD4], Director, Global Compliance, gategroup



Paul E. Fiorelli, [P11, GS], JD, CCEP, Professor of Legal Studies and Director, Cintas Institute for Business Ethics, Xavier University, Cincinnati, OH



Bart Fitzgerald, [209], Sr. Investigator, Freeport-McMoRan Inc.



Angelika Flamm, [610], Deputy Group Compliance Director, Royal Mail Group, London, UK

Tess Casey Flanagan, [706], Senior Manager and Counsel, Global Compliance Operations, Under Armour, Baltimore, MD



Tedra Foster, [AD7], Senior Director Ethics and Compliance, Herbalife



Lea Fourkiller, [AD2], Managing Director, Ankura Consulting Group



Thomas R. Fox, [P13, 106], Compliance Evangelist, Advanced Compliance Solutions, Tomfoxlaw.com, Houston, TX



Ty Francis MBE, [GS], Global Governance and Ethics Advisor



Jessica French, [503], Quality Control Systems Director, Arc Herkimer



Albert G. Gagne, [P9, P18, AD1], CCEP, Advanced Discussion Group Track Program Chair; Former Director, Ethics & Compliance, Textron Systems Corporation (retired), Salem, NH



Jennifer Gardella, [P7], Director, Global Learning, Biogen



Michael D. Garson, [309], Senior Managing Director – Government Contracts, Ankura Consulting Group



Scott M. Giordano, [506], Director, Data Protection and Managed Privacy Services, Robert Half International



Matt Gipple, [205], General Counsel, Cruise Automation



Patrick J. Gnazzo, [AD6], Principal, Better Business Practices



Kristy Grant-Hart, [P6, 610], Founder and Managing Director, Spark Compliance Consulting, London, UK



Shannon Grayer [701], CCEP, CFE, VP, Global Ethics Solutions, Wells Fargo



Lisa A. Gross [702], MBA, CCEP, CCEP-I, Ethics Analysis Senior Manager, Lockheed Martin, Owego, NY



Anne R. Harris, [W2], Principal, Ethics Works, LLC



Gwendolyn Hassan, [P10], JD, CCEP, Managing Counsel, Global Compliance & Ethics, CNH Industrial, LLC, Oak Park, IL



Marc Havener, [703], CEO, Resonate Pictures Inc.

M. Joy Hayes, [107], Chief Ethics Officer, SAIC

Michael Henry, [303], Senior US Legal Counsel, Emera Energy



Debra S. Hennelly, [407], Founder & President, Resiliti



Adriana M. Herrera, [507], Sr. Global Compliance Analyst, Phillips 66

Danielle E. Herrick, [603], Head of Compliance, Attune Insurance Services, LLC, Fishkill, NY



Darren Hill, [702], Director Ethics Business Conduct, Lockheed Martin Aeronautics, Ft. Worth, TX



Stephanie Hillhouse, [508], Sr. Ethics & Compliance Manager, The Coca-Cola Company



Andy Hinton, [604], VP, Global Ethics & Compliance, Google



Kitty Holt, [707], Ethics & Compliance Officer, Plan International USA



Michael Hood, [W10], Director, 21st Century Learning & Consulting LLC



Web Hull, [W10], Privacy, Lead Information Security Privacy Specialist, Houghton Mifflin Harcourt



Gabriel L. Imperato, [105], Esq., CHC, Managing Partner, Nelson Mullins Broad and Cassel, Fort Lauderdale, FL



Kasey T. Ingram, [701], JD, CCEP, General Counsel & Chief Compliance Officer, ISK Americas Incorporated, Cleveland, OH



Danica Irvine, [401], Senior Attorney, Department of Defense Office of General Counsel



Shin Jae Kim, [104], CCEP, CCEP-I, Partner, TozziniFreire Advogados, São Paulo, Brazil



Stephanie Jenkins, [403], Chief Compliance Officer, ETHIX360



Michael Johnson, [709], CEO, Clear Law Institute



Walter E. Johnson, [110], Director of Compliance & Ethics, Kforce Government Solutions



Henry W. (Hank) Jones, III, [406], Owner, Law Office of Henry W Jones III & Intersect Tech. Consulting



Jeffrey M. Kaplan, [505], Jeffrey M. Kaplan, Partner, Kaplan & Walker LLP, Princeton, NJ



Samantha E. Kelen, [310, W8], Lead Ethics Analyst, Duke Energy, Charlotte, NC



Matt Kelly, [106, W1], Editor & CEO, Radical Compliance, Boston, MA



Omar R. Khoury, [208], Vice President of Compliance, MGM Resorts International



Deena King, [W13], Director of Compliance, Texas Woman's University



James C. Knapp, [108], Investigations Manager, Freddie Mac



Ed Kolto, [705], VP-Associate General Counsel, AT&T



Eileen M. Lach, [602], Member, Executive Committee, The IEEE Global Initiative on Ethics of Autonomous and Intelligent Systems



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



Brian K. Lee, [102], Practice Leader, Practice Leader, Gartner



Michael Levin, [AD10], CCEP, Senior Director of Compliance, Ethics & Business Practices, Freddie Mac



Kyle Lewis, [W8], Compliance Operations Manager, Holcim Group Services Ltd, Zürich,



Kirsten Liston, [P6, 107], Principal, Rethink Compliance



Natalie Lockwood, [P4],
Counsel, General Motors
Company



James M. Lord, [604],
Shareholder, Glade Voogt
Lord Smith



Kelly C. Loya, [P17],
Managing Director, Pinnacle
Enterprise Risk Consulting
Services, LLC



Amber Mac, [GS],
TV/Radio Host, Internet of
Things Expert, AmberMac



Marjorie K. Maier, [W11],
Compliance and Privacy
Officer, HMS, Inc.



Allan Matheson,
[109A, 204], Chief
Executive Officer, Blue
Umbrella, Hong Kong, China



Katherine McDaniel,
[P5], Senior Corporate
Counsel, Litigation, T-Mobile



Amy E. McDougal,
[P8, 305], CCEP, President,
CLEAResources, LLC,
Leesburg, VA



Paul McGreal, [605],
Professor of Law, Creighton
University



Jason B. Meyer,
[P8, 305], JD, President,
LeadGood, LLC,
Pennington, NJ



Christopher Miller,
[205], Regional Compliance
Officer North America,
General Motors, Detroit, MI



Lee Miller, [P2], Associate
Director-Training Design,
AT&T



Steven Minsky, [P12],
CEO, LogicManager, Inc.



**Suzanne L.
Montgomery**, [705], VP-
Compliance, AT&T



Megan M. Moloney,
[606], Federal Bureau of
Investigation



Steve C. Morang, [W3],
Senior Manager, Frank,
Rimerman & Co. LLP



Cynthia S. Morrison,
[AD5], Cynthia Morrison,
Director of Compliance,
Post Holdings, Inc.



Adam Munitz, [405],
Senior Associate, FH+H PLLC



Joseph E. Murphy,
[505, 605], JD, CCEP,
CCEP-I, Senior Advisor,
Compliance Strategists,
Haddonfield, NJ



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



Renata Muzzi, [104],
Partner, TozziniFreire
Advogados, São Paulo, Brazil



Stephen Nehring, [209],
Global Compliance Manager,
Freepoint-McMoRan



Jenny O'Brien, [P6, GS],
Chief Compliance Officer,
UnitedHealthcare,
Minneapolis, MN



Xavier Oustalniol, [604],
Partner, StoneTurn



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



Susan A. Parkes, [P8],
General Counsel & Vice
President, Alyeska Pipeline
Service Company



Carrie Penman, [407],
Chief Compliance Officer
and Senior Vice President,
Advisory Services,
NAVEX Global



Keturah Pestel, [510],
Manager, Business Ethics
Office, Thrivent Financial



Andrew Phillips, [710],
Advocacy, Government
& Non-Profits, Company:
LinkedIn Marketing Solutions,
Washington DC



Kris Pugsley, [304], CCEP,
Global Communications
Manager and Change
Management, ON
Semiconductor, Phoenix, AZ



Monica Reinmiller,
[P5], Corporate Counsel,
Legal Affairs & Compliance,
T-Mobile



Kristine Robidoux,
[W7], General Counsel,
Gran Tierra Energy Inc.



Dan Roach, [410],
Chief Compliance Officer,
Optum 360, Minneapolis, MN



J. Rollins, [403],
CEO, ETHIX360



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



Heidi Rudolph, [P15],
Managing Director,
Morae Global



Pouya Safi, [302],
Manager, Lecturer &
Associate Director,
Continuing Education,
University of Ottawa - Telfer
School of Management



Erica Salmon Byrne,
[207], EVP and Executive
Director of BELA, Ethisphere



Louis A. Sapirman,
[301], Former VP, Associate
General Counsel and Chief
Compliance Officer, The Dun
& Bradstreet Corporation



Karl Schneider, [703],
Senior Lead Specialist
Compliance, AGDC



Nisha Sehn, [306], Senior
Program Manager, TechSoup



Alyssa Senzel, [307],
Deputy General Counsel
& Compliance Officer,
Blackboard Inc.



Paige Shannon, [P14],
Esq., CCEP, Vice President,
Risk and Compliance,
Kforce Inc, Reston, VA



James Sheehan, [108],
Chief Charities, NY AG



Mary Shirley, [AD8, W7],
Senior Director, Ethics and
Compliance, Fresenius
Medical Care North America



Adrian Sierra, [402], CEO,
Sierra Forensic Group



Isabel Simmerman,
[W12], Compliance
Associate, The AES
Corporation



Luis Solis, [404],
Sr. Specialist - Environmental
Health & Safety, AT&T



Mark Speck, [708],
Managing Partner,
Specktrum Inc.



Rebeka Spires,
[P3], CCEP, Director of
Compliance & Ethics,
Louis Berger Group, Inc.



Gene Stavrou, [P15],
Compliance Consultant,
Ingredion



Eva C. Stein, [308],
Higher Education Consultant



Miranda L. Strong,
[W16], Chief Ethics &
Compliance Officer, Bering
Straits Native Corporation



Ann Sultan, [W4], Counsel, Miller & Chevalier, Washington DC



Nicole Tarasoff, [P7], Program Manager, Global Compliance & Integrity, LinkedIn



Kristen R. Taylor, [P17], Managing Director, Pinnacle Healthcare Consulting



Whitney A. Tom, [306], Program Manager, Corporate Relations, TechSoup



Tom Topolski, [509], Senior Vice President, Business Development Director, Parsons



Thuy Tran, [P4], Regional Compliance Officer - USA, SNC-Lavalin



Diana Trevley, [708], CCEP-I, West Coast Director, Spark Compliance Consulting



Greg A. Triguba, [P1], JD, CCEP, CCEP-I, Principal, Compliance Integrity Solutions



Debbie Troklus, [P16], CCEP-F, CCEP-I, CHC-F, CHRC, CHPC, Sr. Managing Director, Ankura Consulting Group



Douglas Tween, [201], Partner, Linklaters LLP, New York, NY



Sheryl Vacca, [P16], CCEP-F, CCEP-I, CHC-F, CHRC, CHPC, Chief Risk Officer, Providence St. Joseph Health



Michael Volkov, [409], JD, Former Federal Prosecutor; CEO, The Volkov Law Group, LLC Bethesda, MD



Destinee N. Waiters, [W13], AVP Compliance & General Counsel, Texas Woman's University



Rebecca Walker, [505, GS], Compliance Lawyer Track Program Chair; Partner, Kaplan & Walker LLP, Santa Monica, CA



Robert J. Ward, Jr., [608], VP Global Compliance, Houston International Business Corp



Kristopher Watts, [705], Director - Compliance, AT&T



Christine J. Watzke-Ulbert, [AD12], Compliance Manager-North America, AkzoNobel



Carla Weiler, [P1], CCEP, Compliance Risk Manager, Starbucks



Art R. Weiss, [AD3], JD, CCEP-F, CCEP-I, Ethics Track Program Chair; Chief Compliance & Ethics Officer, TAMKO Building Products, Joplin, MO



Lynn Wise, [609], Attorney, Northrop Grumman



Harvey W. Woodford, [604], VP, Chief Ethics & Compliance Officer, Avnet, Inc., Phoenix, AZ



Grace C. Wu de Plaza, [W15], Director Compliance & Corporate Integrity, Farmer Mac



Michelle Yaroma, [P9], Former Special Agent, Federal Bureau of Investigation, Washington, D.C.



Charlotte D. Young, [307], Chief Ethics and Compliance Officer, The Nature Conservancy, Arlington, VA



Shannon O. Young, [P4], US Senior Compliance, WSP USA Inc.



Gerry Zack, [408], Incoming CEO, SCCE & HCCA, Minneapolis, MN



Kyle Zamcheck, [210], Speech Coach, The Speech Improvement Company

Continuing Education Units

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

Compliance Certification Board (CCB)®: CCB has awarded a maximum of **23.4** 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 state bar associations of California, Pennsylvania, and Texas have approved this program for up to 17.5 clock hours of CLE credit. An approximate maximum of **17.5** clock hours of CLE credit will be available to attendees of this conference from these states. Upon request SCCE may submit this course to additional states for consideration. 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, Sponsor Identification No: 105638. 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.learningmarket.org. A recommended maximum of **23.0** 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 and Application. For more information regarding administrative policies such as complaints or refunds, call (888) 580-8373 or (952) 988-0141..

Join the Society of Corporate Compliance and Ethics

TAKE CHARGE OF YOUR COMPLIANCE CAREER

Stay informed on changes affecting the compliance world. Learn from industry experts about emerging best practices for effective compliance and ethics programs.

Membership Benefits

- *Compliance & Ethics Professional* magazine, 12 issues exclusively for SCCE members plus full access to the magazine archives
- Be a part of a community of 6,900+ Compliance and Ethics Professionals in more than 95 countries
- Member-only discounts on conferences, manuals, and books
- Network locally and globally with 30+ conferences a year at special member rates
- Save on weekly Web conferences for live learning at your desk
- Receive a discount on Compliance Certification Board (CCB)[®] exam pricing for CCEP and CCEP-I

Additional resources

- Weekly newsletters and blog posts from industry experts
- SCCEnet[®] provides access to an online Resource Library and networking



LEARN MORE AND JOIN TODAY
corporatecompliance.org/join





Interested in becoming certified?

The Certified Compliance & Ethics Professional (CCEP)[®] and the Certified Compliance & Ethics Professional-International (CCEP-I)[®] exams will be offered at the Compliance & Ethics Institute on Wednesday, October 24, 2018.

Exam Check-in: 12:30 PM

CCEP Exam Time: 12:45-3:45 PM

CCEP-I Exam Time: 12:45-4:45 PM

Cost

SCCE Members- \$250

Non Members- \$350

Individuals must be preapproved to sit for the exams. To qualify to sit for either of the exams, 20 Compliance Certification Board (CCB)[®] CEUs and the necessary work experience are required.

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

For more information on how to apply for the CCEP or CCEP-I exams, visit the

website complianceethicsinstitute.org/cei-cert

Questions?

Email: ccb@compliancecertification.org
or call +1 952.933.4977

Exam applications may be accepted onsite depending on exam availability. Please visit CCB certification staff at the SCCE booth for information.

Approved Credit Types

SCCE is in the process of applying for continuing education units. If you have questions, or if you do not see information on your specific accreditation, please contact CCB at ccb@compliancecertification.org.



SATURDAY, OCTOBER 20

1:00 – 6:30 PM

Registration Open

Arriving early? Check-in on Saturday to save time plus we'll automatically enter you into a drawing for a free registration to the 2018 Annual Meeting!

8:30 AM – 12:00 PM

Volunteer Project

Come to the annual meeting early and help us give back to the community! Registration is free and provides you with a volunteer t-shirt, breakfast, and transportation to and from the project location. It is a great networking opportunity with fellow conference attendees, speakers and SCCE board members.

SUNDAY, OCTOBER 21

7:00 AM – 5:30 PM

Registration Open

7:15 – 8:15 AM

First Time Attendee Networking Breakfast *(By invitation only)*

8:30 – 11:30 AM

(includes 15 minute break)

PRE-CONFERENCE MORNING BREAKOUT SESSIONS

RISK TRACK

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

Sunday, 8:30– 11:30 AM

Greg Triguba, Principal, Compliance Integrity Solutions

Carla Weiler, Compliance Risk Manager, Starbucks

- Gain a deeper understanding of the basic roles, resources and fundamentals necessary to facilitate and manage an effective ethics and compliance risk management program.
- Explore the challenges, planning considerations, and strategic solutions for implementing and leading effective ethics and compliance risk assessment processes.
- Consider outcomes derived from basic risk assessment findings and explore opportunities to use this valuable information to prioritize and build strategic plans for effective management and mitigation.

ETHICS TRACK

P2 AT&T's Compliance Training Evolution/Revolution

Sunday, 8:30– 11:30 AM

Susan Bounds, Director-Compliance, AT&T

Jayne Cano, Lead Compliance Analyst, AT&T

Lee Miller, Associate Director-Training Design, AT&T

- You think your existing training is great, but you need to toss it out! We looked at format and content and turned ours around. We also made it mobile-friendly, and relevant for employees around the world. We didn't do it all overnight.
- In-house is great – it doesn't have to be fancy! You can do a lot with embedded videos. We teamed with our training design partners to use simple technology to make memorable training and incorporated interactive features for both online and in-person.
- Change the perception of training. Make the move from "rules-based, cover-all-the-possibilities" to "here are some tools you can use to make good decisions for you and your teams." Provide resources to support good decisions.

CASE STUDIES TRACK

P3 A Tale of Two Companies—Experiencing the Best of Times and the Worst of Times through the Eyes of Two Organizations that Considered Themselves Ethical

Sunday, 8:30– 11:30 AM

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

Rebeka Spires, Director of Compliance & Ethics, Louis Berger

- Hear how two compliance programs survived and developed during and after settlements with the U.S. Department of Justice, World Bank Group and similar regulatory/enforcement agencies.
- Understand the lessons learned through the real-life experiences of two seasoned compliance officers—lessons that can be implemented in any compliance program, regardless of the existence of external scrutiny.
- Take away three "key mindset" ideas to help your program build the framework necessary to effectively demonstrate solid operations and leadership commitment, if ever asked to do so by regulators, investigators or others.

MULTI-NATIONAL/INTERNATIONAL TRACK

P4 Anti-Corruption Workshop: FCPA and other Anti-Corruption Enforcement Hot Topics and Compliance Best Practices

Sunday, 8:30– 11:30 AM

Iris Bennett, Member, Smith Pachter McWhorter PLC

Natalie Lockwood, Counsel, General Motors Company

Thuy Tran, Regional Compliance Officer—USA, SNC- Lavalin

Shannon O. Young, US Senior Compliance, WSP USA Inc.

- Using a hypothetical fact pattern the panelists will engage the audience in a discussion regarding the legal, compliance, governance, and strategic issues involved when a company and business partner encounter corruption issues on a government bid.
- Attendees will also learn about the latest anti-corruption regulatory and enforcement developments in the U.S. and abroad.
- Panelists will discuss best practices for ensuring anti-corruption compliance and will encourage discussion from attendees regarding methods they use to mitigate corruption risk and address compliance breaches within their organizations.

COMPLIANCE LAWYER TRACK

P5 Audits Conducted Under Attorney Client Privilege: How to Manage the "ACP" Framework During an Audit Engagement

Sunday, 8:30– 11:30 AM

Monica Reinmiller, Corporate Counsel, Legal Affairs & Compliance, T-Mobile

Katherine McDaniel, Senior Corporate Counsel, Litigation, T-Mobile

Chelsea Dwyer Petersen, Partner, Perkins Coie

- Determining the need to perform an audit under ACP: factors, scenarios and legal defense strategies.
- Basic ACP Guidance and framework that includes RFP/ contract terms, communication protocols and pitfalls to avoid.
- Case Study: How to conduct an HR compliance audit (Pay Equity).

150+ SPEAKERS

GENERAL COMPLIANCE/HOT TOPICS TRACK

P6 Launching Ladies into Senior Leadership

Sunday, 8:30–11:30 AM

Kristy Grant-Hart, Owner, Spark Compliance Consulting
Jenny O'Brien, Chief Compliance Officer, UnitedHealthcare
Kirsten Liston, Principal, Rethink Compliance

- Are you ready to launch into the highest levels of leadership? Joining the C-suite? Being on the Board? Then this seminar is for you.
- Learn how to win champions and mentors; use verbal language and body language to up your confidence and likeability quotients; and move up the ladder using accountability and top negotiating skills.
- Master lessons taken from female entrepreneurship. Learn why your network is your net worth (and how to grow it strategically) and how to raise the roof on your profile.

GENERAL COMPLIANCE/HOT TOPICS TRACK

P7 Building a Culture of Compliance Learning Excellence—4 Multi-Nationals Share Their Insight

Sunday, 8:30–11:30 AM

Nicole Tarasoff, Program Manager, Global Compliance & Integrity, LinkedIn

Jennifer Gardella, Director, Global Learning, Biogen

Jack W. Arnold, Jr., Global Corporate Compliance, Xilinx Inc.

- Training leaders from 4 multi-nationals share their insights on delivering compliance training to over 40,000 employees in 70 global markets.
- Part I will help you get your compliance training design right: shorten learning seat tie, use diagnostic assessments and create high impact learning media.
- Part II will show you how to foster the relationships that underpin a successful training program: federal regulators, c-suite leadership, legal counsel and international markets.

GENERAL COMPLIANCE/HOT TOPICS TRACK

P8 Preventing Harassment: Can Compliance Ever Succeed?

Sunday, 8:30–11:30 AM

Jason B. Meyer, President, LeadGood, LLC

Amy E. McDougal, President, CLEAResources, LLC

Susan A. Parkes, General Counsel & Vice President, Alyeska Pipeline Service Company

- It's been 20 years since the Supreme Court rulings in Faragher and Ellerth made corporate anti-harassment efforts routine, yet there are more headlines than ever about blatant acts of harassment, especially among corporate and cultural leaders.
- Sharing research and our collective experience, this workshop will focus on training, policies and culture-building, to explore why we have failed in preventing harassment, where we have engaged, and how we can elevate behavior.
- One critical focus: retaliation vs. a "speak-up" culture, including best practices for creating, maintaining, and getting management support for an Open Work Environment.

INVESTIGATIONS WORKSHOP

P9 Investigations Workshop

Sunday, 8:30–11:30 AM

Part I (8:30–9:30 AM): Beginning the Investigation and Interviewing the Reporter

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

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

Michelle Yaroma, Former Special Agent, Federal Bureau of Investigation

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

Part II (9:30–10:30 AM): Planning the Investigation

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

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

Part III (10:45 AM–11:30 PM): Revealing and Evaluating Documents

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

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

11:30 AM – 1:00 PM

Lunch (on your own)

1:00 – 4:00 PM

(includes 15 minute break)

PRE-CONFERENCE AFTERNOON BREAKOUT SESSIONS

RISK TRACK

P10 Trade Compliance Risks: What You Don't Know, Can Hurt You!

Sunday, 1:00–4:00 PM

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

- Explore the fundamentals of building an effective trade compliance program from the ground up.
- Survey and discuss recent enforcement trends, hot topics, global risks and advanced practice.
- Participate in a complex real-world scenario simulating global trade compliance risks and challenges; explore practical solutions and strategies to effectively manage and mitigate the risks.

ETHICS TRACK

P11 Ethics 101 from Theory to Application: What Would Kant Think About Tarantino Flix?

Sunday, 1:00–4:00 PM

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

Bradley R. Agle, Professor, Brigham Young University

- Discuss basic ethical theory (utilitarianism v. deontology) by analyzing the "Trolley Problem". Explore theories of Justice, Rights and Duties. Analyze Kohlberg's Cognitive Moral Development Theory. Discuss stakeholder theory, and hiring for integrity.
- Compare legal duties with ethical duties by participating in an HBR case study entitled, "The Parable of the Sadhu". Explore the pressure to conform to group norms (Stanford Prison Experiment), and how that can lead to whistleblowing.
- Analyze applied ethics dealing with black v. white v. grey areas. Understand the importance of reputation, corporate culture, mission statements, codes of ethics and the Federal Sentencing Guidelines for Organizations.

CASE STUDIES TRACK

P12 Facebook and Equifax: Meeting Increased Customer Expectations, Not Just Regulatory Requirements

Sunday, 1:00–4:00 PM

Steven Minsky, CEO, LogicManager, Inc.

- Discuss the recent changes to the regulatory environment and other advancements fueled by social media and new technology, focusing on how these shifts increase transparency and empower the consumer to demand more.
- Explore the Facebook and Equifax scandals (or others occurring around the time of the conference) with an eye towards what these seemingly diverse cases have in common, and what companies can do to avoid scandals and failures in risk management.
- Outline the tactical steps every company should take to avoid costly litigation and regulatory fines, as well as the even graver long-term consequences of reputational disaster, without spending more on technology solutions.

100+
SESSIONS

MULTI-NATIONAL/INTERNATIONAL TRACK

P13 Enforcement Goes International-What Does it Mean for Your Compliance Program?

Sunday, 1:00–4:00 PM

Thomas R. Fox, Compliance Evangelist, Advanced Compliance Solutions

Matt Ellis, Partner, Miller

Carlos Ayres, Partner, Maeda, Ayres e Sarubbi Advogados

- Brazil now leads the list of countries where companies are under FCPA investigation. Yet that is often only the tip of the overall number of countries where companies may be under investigation.
- From the US corporate compliance perspective, how can a company protect itself from an industry or country sweep? Why do you need to understand not only who your third parties and business partners are but your customers as well?
- From the Brazilian perspective, what should companies be doing proactively in response to this or any other country sweep? How is this different from the American perspective? Is doing compliance in Brazil or any other country in South America different?

COMPLIANCE LAWYER TRACK

P14 Federal Contractor—2018 Compliance Update

Sunday, 1:00–4:00 PM

Adelle Elia, Chief Integrity Officer, Louis Berger

Paige Shannon, Vice President, Risk and Compliance, Kforce Inc.

- Update from last year's successful session
- Learn about the latest developments in U.S. Federal Contract compliance.
- Understand how to address changes: Service Contract Act; Sick Pay regulations; Controlled but Unclassified Information (and others).

IT COMPLIANCE TRACK

P15 Technology & Compliance: Understanding the Risks and Maximizing the Benefits

Sunday, 1:00–4:00 PM

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

Gene Stavrou, Compliance Consultant, Ingredient

Heidi Rudolph, Managing Director, Morae Global

- Technological developments providing new tools that can (should) be incorporated into your compliance program to increase effectiveness. AI, IOT, blockchain and other developments that can be part of your compliance program.
- Updating your risk assessment in conjunction with your IT department to address new threats. Training employees to use technology appropriately and identify (and avoid) social engineering. Using developments publicized in the media.
- Addressing legislative and regulatory changes that impact on IT use and risks. Making sure you have a seat at the table as technology plans are made (e.g., possible regulation of bitcoin).

GENERAL COMPLIANCE/HOT TOPICS TRACK

P16 New Beginnings: Starting your Compliance Program and What Needs to be Included

Sunday, 1:00–4:00 PM

Sheryl Vacca, SVP/Chief Risk Officer, Providence St Joseph Health

Debbie Troklus, Sr. Managing Director, Ankura Consulting Group

- Discussion on the basic elements of a compliance program.
- Overview of the challenges and opportunities in developing a compliance program.
- Identifying ways to get “buy in” for the compliance efforts.

GENERAL COMPLIANCE/HOT TOPICS TRACK

P17 The Great Internal Audit & Compliance Mystery

Sunday, 1:00–4:00 PM

Kelly C. Loya, Managing Director, Pinnacle Enterprise Risk Consulting Services, LLC

Kristen R. Taylor, Managing Director, Pinnacle Healthcare Consulting

- Guests will observe and identify, or even become party to, the ultimate compliance mystery/conspiracy.
- Attendees (“The cast” of characters) will assist in identifying acts of noncompliance and network with the cast and other guests to determine what wrongdoing occurred, why and define an appropriate response to the wrongdoing.
- Attendees will utilize strategies to help define compliance program weaknesses and what safeguards may have prevented an identified behavior

INVESTIGATIONS WORKSHOP

P18 (continued from P9) Investigations Workshop

Part IV (1:00–2:00 PM):

Taking Effective Interviews

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

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

Part V (2:15–3:15 PM):

Preparing the Investigation Report

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

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

Part VI (3:15–4:00 PM):

Q&A Panel

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

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

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

4:00 – 6:00 PM

Opening Tailgate Reception in Exhibit Hall

MONDAY, OCTOBER 22

7:00 AM – 5:30 PM

Registration Open

7:00 – 8:00 AM

Continental Breakfast and Exhibitor Networking in Exhibit Hall – Sponsored by Nelson Mullins Broad and Cassel

8:00 – 8:30 AM

Opening Remarks and Awards Presentation

8:30 – 9:30 AM

Keynote Address: Next Level Leadership

Scott Eblin, Author, The Next Level and Overworked and Overwhelmed

9:30 – 10:00 AM

Networking Break with Exhibitors

10:00 – 11:00 AM

CONCURRENT BREAKOUT SESSIONS

RISK TRACK

101 Social Media: Risks & Redemption

Monday, Monday, 10:00– 11:00 AM

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

- Learn how and where to look for social media risks - and learn what you're looking for.
- Gain insights into best practices for mitigating social media risks and how much of it is out of your hands.

ETHICS TRACK

102 Advancing a Culture of Integrity by Building Strong Climates

Monday, 10:00– 11:00 AM

Brian K. Lee, Practice Leader, Gartner

- What factors most impact an employee's view of their organization's culture;
- How companies can measure and improve the strength of their organization's culture; and
- How to reduce misconduct and compliance risk within their organization.

CASE STUDY TRACK

103 A Modern Day Construction Industry Compliance Program

Monday, 10:00– 11:00 AM

Chris R. Caron, Regional Compliance Manager, Kiewit Construction

- Learn about the unique regulatory challenges in the construction industry and the evolution of a compliance program, from a rigid project assessment focus to a flexible risk mitigation focus.
- See the rapid development of a modern compliance program, the pitfalls encountered over the past 10 years of the program, and the frequent challenges presented by our clients and our employees.
- Learn how a program provides targeted education, flexible risk mitigation tools, and systems that integrate into the construction environment to make compliance efficient in a schedule-driven environment.

INTERNATIONAL/MULTI-NATIONAL TRACK

104 Challenges of working with Intermediaries in Emerging Markets

Monday, 10:00– 11:00 AM

Renata Muzzi, Partner, TozziniFreire Advogados

Shin Jae Kim, Partner, TozziniFreire Advogados

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

COMPLIANCE LAWYER

105 Compliance Oversight for Boards and Management

Monday, 10:00– 11:00 AM

Gabriel L. Imperato, Managing Partner, Nelson Mullins Broad and Cassel

- United States Sentencing Commission-Federal Sentencing Guidelines for Organizations-essential elements of an effective compliance plan and Board oversight.
- United States Department of Justice Principles of Federal Prosecution of Business Organizations; Evaluation of Corporate Compliance Programs.
- Reporting systems capable of keeping board members informed of compliance activities and ability to evaluate and response to specific misconduct and noncompliant activity.

IT COMPLIANCE TRACK

106 AI Is Coming: Future-proof Your Career and Your Compliance Program

Monday, 10:00– 11:00 AM

Thomas R. Fox, Compliance Evangelist, Advanced Compliance Solutions

Matt Kelly, Editor & CEO, Radical Compliance

- Many compliance professionals have considered AI as more an IT or technological solution. Is that really wise, though? How much should compliance officers be involved in, or even just monitor, the creation of algorithms that lead to AI?
- Seeing patterns in raked leaves. How does AI aid in the detect-and-prevent prongs of a best practices compliance program? What parts of your compliance program would benefit the most from an AI solution? Conversely, what parts of a strong ethics
- Does AI portend the end of the compliance career path? Probably not, but how should compliance officers embrace AI as a part of the future?

GENERAL COMPLIANCE/HOT TOPICS TRACK

107 Compliance & Ethics Training: What You Need to Know

Monday, 10:00– 11:00 AM

Kirsten Liston, Principal, Rethink Compliance

M. Joy Hayes, Chief Ethics Officer, SAIC

Shauna Brookshier, Ethics and Compliance Sr. Analyst, SAIC

- Everyone knows they need to provide training in an effective compliance and ethics program, but do they know how much they don't know about the subject?
- How can you approach training and communication and be sure you have done all the things that should be done?
- What are the best resources for compliance training and communications?

GENERAL COMPLIANCE/HOT TOPICS TRACK

108 Compliance Fast and Slow - Lessons from Behavioral Economics

Monday, 10:00– 11:00 AM

James Sheehan, Chief Charities, NY AG

James C. Knapp, Investigations Manager, Freddie Mac

- Lessons for compliance from behavioral economics- what actually changes compliance behavior.
- Examples from the research-what works.
- Examples from real life-uses of behavioral research/ nudge techniques to change behavior.

ADVANCED COMPLIANCE TRACK

109 Practices in Ethics and Compliance (E&C) Program Management That Can Undermine the Effectiveness of Your E&C Program

Monday, 10:00– 11:00 AM

Michael D. Garson, Senior Managing Director – Government Contracts, Ankura Consulting Group

Randall H. Cook, Senior Managing Director, Ankura Consulting Group

- Hear and discuss war stories from compliance personnel on day-to-day compliance program management mistakes and bad habits that, despite the right program infrastructure, can cause serious setbacks in attaining a culture of business ethics and compliance.
- Share lessons learned on behaviors and approaches in managing an E&C Program that can lead to difficulties with personnel, management, and other stakeholders and create distrust of - or displeasure with - your E&C program.
- Present tips and best practices in E&C program management that will help to garner the continued support of and ensure smooth operation of your E&C program.

PROFESSIONAL SKILLS TRACK

110 Just Listen: Silently Connecting to the Untold Stories to Shape Culture

Monday, 10:00– 11:00 AM

Walter E. Johnson, Director of Compliance & Ethics, Kforce Government Solutions

- How to become selected to hear an untold story and trusted as an enabler to shape culture.
- Learn body language to demonstrate that you are ready to listen to an untold story.
- Practical steps for the receiver to silently inform their five (5) senses and the sender that they will not be distracted from the engaging moment.

ADVANCED DISCUSSION GROUP

AD1 Retaliation: Real or Imagined? What Are You Doing to Address Employee Concern in Your Organization?

Monday, 10:00–11:00 AM

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

- Explore and discuss participants' methodologies and experiences dealing with concerns about retaliation in the workplace.
- Identify best practices for communicating a zero tolerance for retaliation to employees and supervisory personnel.
- Discuss challenges and opportunities for promoting a Speak-Up Culture in the organization.

ADVANCED DISCUSSION GROUP

AD2 Big Picture E&C Challenges: A Day in the Life of the Successful Compliance Officer

Monday, 10:00–11:00 AM

Lea Fourkiller, Managing Director, Ankura Consulting Group

- Survey and explore some major challenges and frustrations that E&C leaders can face in day-to-day practice.
- Navigate through a real-world scenario that illustrates systemic challenges and its impact to ethics and compliance program effectiveness.
- Collaborate and discuss practical strategies and solutions for addressing big picture challenges and leading successful change in the organization.

11:00 – 11:15 AM

Networking Break

11:15 AM – 12:15 PM

CONCURRENT BREAKOUT SESSIONS

RISK TRACK

201 Global Antitrust Compliance—Assessing Risks and Creating an Effective Antitrust Program

Monday, 11:15 AM – 12:15 PM

Tim Bridgeford, Global Head of Antitrust Compliance, JP Morgan

Douglas Tween, Partner, Linklaters LLP

- Overview of global legislation, enforcement activity and trends in the evolving antitrust compliance environment.
- Learn how to conduct a comprehensive, global risk assessment to uncover antitrust risk in your organization.
- Learn how to effectively promote antitrust compliance in your organization and create an effective antitrust compliance program to mitigate global risk.

ETHICS TRACK

202 Ethical Considerations for Compliance Officers and Lawyers

Monday, 11:15 AM – 12:15 PM

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

- What ethical rules govern your compliance activities?
- Can lawyers or compliance officers be whistleblowers?
- When is it a good idea – or a terrible idea – to try to protect compliance programs with attorney-client privilege?

CASE STUDIES TRACK

203 Building Awareness: Creatively Branding and Marketing Your “Comply Ant” Program

Monday, 11:15 AM – 12:15 PM

Matthew L. Daniel, Corporate Senior Vice President, Legal Compliance & Deputy General Counsel, Charles River Laboratories, Inc.

John T. Dalton, Dir Corp Compliance, Charles River Laboratories Inc.

- Identifying the need and building the case: Strategies for researching and garnering support for a compliance branding program.
- Getting creative: The convergence of compliance, marketing and strategy.
- Going live: Launching your brand and building on the momentum.

MULTI-NATIONAL/INTERNATIONAL TRACK

204 Artificial Intelligence in Third Party Compliance

Monday, 11:15 AM – 12:15 PM

Allan Matheson, Chief Executive Officer, Blue Umbrella

- Discussion covering the key elements of Artificial intelligence (AI) and how it can be utilized in business processes to automate and increase efficiency, inclusive of key takeaways
- Dissection of the workflows behind third party compliance in order to isolate the areas where labor, resources, and decision making play the biggest role. This leads onto what technologies can be used to eliminate work and increase process efficiencies
- Exploration covering a variety of questions: What will Third Party Compliance look like in 5 years? 10? What tech, data and resources will be used to create a predictive model of third party compliance?

COMPLIANCE LAWYER TRACK

205 Start-ups, Autonomous Cars and Everything (Compliance) In Between: Compliance Program Management, Issues & Challenges From the Perspective of GM and Cruise Automation

Monday, 11:15 AM – 12:15 PM

Christopher Miller, Regional Compliance Officer North America, General Motors

Matt Gipple, General Counsel, Cruise Automation

- GM acquired a San Francisco start-up, Cruise, in 2016, to focus on autonomous technology. This presentation tells the story of that acquisition, from a compliance perspective.
- Matt Gipple provides the perspective of the general counsel at the start up, Cruise and compliance related issues from a lawyer in-house and teaming up the start-up with a large F100 company.
- Chris Miller provides the perspective of the GM regional compliance officer and the steps GM took with respect to compliance issues, challenges and opportunities at Cruise.

IT COMPLIANCE TRACK

206 Corporate Compliance and Information Technology Challenges—Business Confidentiality and Employment Agreement, Communication with Competitors, Cyber Security and Privacy Laws

Monday, 11:15 AM – 12:15 PM

Muhammad N. Ahmed, Head of Compliance, PEL Group of Companies

- What is importance of information technology in business world? What is impact on business with advancement in technology? What are compliance risks associated with technology? How we can identify risk proactively for effective compliance management.
- Compliance risks associated with e-commerce i.e. online buying and selling, compliance of supply chain, goods delivery, warehousing and sourcing, taxation, cross state and cross border transactions, sale and payments, warranties and guarantees issues.
- Compliance risks related to online agreements i.e. acknowledgement of terms and conditions, implied consent and digital signature to access your personal information, risks related to sharing protected information of customers and suppliers, competitors.

** Advanced Discussion Groups will be filled on a first-come, first-served basis. Attendance is limited to the first 50 attendees. Pre-registration is not available for these sessions.*

GENERAL COMPLIANCE/HOT TOPICS TRACK

207 How to Score your Compliance Program using Key Performance Indicators (KPIs), Metrics, Maturity Ratings and Other Approaches

Monday, 11:15 AM – 12:15 PM

Erica Salmon Byrne, EVP and Executive Director of BELA, Ethisphere

- How and why you should rate your compliance program: the importance of measuring the maturity of your compliance program.
- Different approaches to scoring your program – how to use KPIs, metrics and maturity ratings.
- How to present findings to senior leaders; and build an improvement plan to increase program maturity.

GENERAL COMPLIANCE/HOT TOPICS TRACK

208 MGM Resorts International: Journey to the Future of Mobile & Augmented Reality

Monday, 11:15 AM – 12:15 PM

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

Omar R. Khoury, Vice President of Compliance, MGM Resorts International

Lisa Caserta, Director—Compliance, MGM Resorts International

- MGM GO! Launching a mobile Micro-learning strategy: integrating linked content & essential resources with on demand, pulse learning.
- Augmented Reality as an engagement strategy; embedding AR and game-based learning across multi-Brands with competitive leaderboards.
- MGM APPLAUSE! Why insight & analytics matter, sustaining impact through responsible recognition and rewarding values based behavior.

ADVANCED COMPLIANCE TRACK

209 Repeat Complainers: Chronic Complainers or the Forgotten

Monday, 11:15 AM – 12:15 PM

Bart Fitzgerald, Sr. Investigator, Freeport-McMoRan Inc.

Stephen Nehring, Global Compliance Manager, Freeport-McMoRan

- How do we address Repeat complainers in a timely and professional way? Let's share case examples of repeat problem callers, worse case vs best case.
- Provide lessons learned about listening and taking action, (being more timely, specific, genuine and to the point in responses to reporter). Discuss experiences with repeat callers and need for better documentation by callers, management and HR.
- How can Compliance help to move reporter, subject and management forward in positive way? Dealing with complainant's assertion that my harasser was not terminated or other conspiracy theories.

PROFESSIONAL SKILLS TRACK

210 The Next Phase of Compliance Communication

Monday, 11:15 AM – 12:15 PM

Kyle Zamcheck, Speech Coach, The Speech Improvement Company

- Build leadership tools that move motivation to action.
- Develop a core communication toolkit to support you in every environment.
- Learn persuasive strategies for getting your message heard.

ADVANCED DISCUSSION GROUP

AD3 Tools for Enhancing Employee Participation in Training

Monday, 11:15 AM – 12:15 PM

Art Weiss, Chief Compliance & Ethics Officer, TAMKO Building Products

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

ADVANCED DISCUSSION GROUP

AD4 Hot Topics in Employee Reporting: Implementing and Maintaining a Successful Employee Hotline Program

Monday, 11:15 AM – 12:15 PM

Lisa R. Fine, Director, Global Compliance, gategroup

- Type of Program: as a global company, do you use one standard program or vary your approach by country, particularly for the EU? Also, how do you make your hotline user-friendly in different regions and cultures?
- Program Implementation: organizations use different types of hotlines and reporting processes. External provider or internal one? Web-based, internet, telephone or text reporting?
- This discussion will consider how issues are investigated and reported, and will allow participants to candidly discuss various approaches and lessons learned with different types of hotlines.

12:15 – 1:15 PM

Networking Lunch

1:15 – 1:45 PM

Dessert and Networking Break with Exhibitors

1:45 – 2:45 PM

CONCURRENT BREAKOUT SESSIONS

RISK TRACK

301 M&A Transactions: Tactics and Strategies for Effectively Managing Ethics and Compliance Risk

Monday, 1:45 – 2:45 PM

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

Louis Sapirman, Former VP, Associate General Counsel and Chief Compliance Officer, The Dun & Bradstreet Corporation

- Overview of the ethics and compliance challenges, considerations, and risks that arise during the Merger and Acquisitions Transaction process.
- Discuss strategies for effective due diligence and integration of ethics and compliance programs and related infrastructure.
- Share practical tips and solutions for effectively conducting pre-acquisition compliance due diligence, mitigating associated risk, and integrating ethics and compliance into the new acquisition.

ETHICS TRACK

302 Business Ethics 101: Why do People Cheat

Monday, 1:45 – 2:45 PM

Pouya Safi, Manager, Lecturer and Associate Director, Continuing Education, University of Ottawa—Telfer School of Management

- Exploring the Sources of Ethical Development and Why People Cheat.
- Corruption by Numbers, Corruption by Power, Corruption by Suffering.
- Universal Ethical Standards and the Forces that Shape Business Ethics.

CASE STUDIES TRACK

303 Are You Considering Offering a Compliance Week? (or How to Create a Compliance Week That Doesn't Suck.)

Monday, 1:45 – 2:45 PM

Michael Henry, Senior US Legal Counsel, Emera Energy

- Case study on how to create a memorable and arguably entertaining compliance week for 100 distracted Homo sapiens, under a 4 month deadline, and with limited resources.
- Should you even hold a compliance week? What company culture and evolution can tell you about whether your company is ready for a compliance week program.
- How a compliance week can be used to create greater program efficiencies; advance compliance culture; and make you, your company, and your compliance program look great.

MULTI-NATIONAL/INTERNATIONAL TRACK

304 Communications Best Practices for a Global Workforce

Monday, 1:45–2:45 PM

Kris Pugsley, Global Communications and Change Management, ON Semiconductor

- How to effectively communicate your compliance program globally.
- Leveraging metrics to provide information on how to best communicate with your workforce.
- Benchmarking your practices against a World's Most Ethical Company.

COMPLIANCE LAWYER TRACK

305 Counseling Compliance in Small to Medium Sized Businesses

Monday, 1:45–2:45 PM

Jason B. Meyer, President, LeadGood, LLC

Amy E. McDougal, President, CLEAResources, LLC

- “SMBs” (under 100 employees) make up 97% of US companies, but they are at least as prone to compliance failures as the Fortune 2000. But without a CCO or even a GC, the task of leading and counseling compliance at SMBs may fall to HR or outside counsel
- We will explore the unique challenges of compliance leadership in SMBs, where budgets may be limited, processes informal, and executive power dominant.
- We'll share experiences, including ways to use regular operational processes as tools to promote compliance, and to use the strong culture in these companies to their ethical advantage.

IT COMPLIANCE TRACK

306 Putting People First: Protection of Personal Identifiable Information (PII) in a Landscape of Constant Change

Monday, 1:45–2:45 PM

Whittney A. Tom, Program Manager, Corporate Relations, TechSoup

Nisha Sehn, Senior Program Manager, TechSoup

- This session opens by reviewing the new and now most challenging threats, continually evolving political and economic factors, and constantly changing technology capabilities that organizations and companies must confront and address on a daily basis.
- From small to large businesses and organizations, TechSoup shares how the global organization promotes IT security and protection with its corporate technology partners when 80 percent of its nonprofit partners have annual revenue sizes under \$1 million.
- Both for-profits and non-profits will engage in a facilitated discussion about strategies that companies and organizations of any size can take to prioritize risks and use technology as a tool for monitoring and enforcing data protection investments.

GENERAL COMPLIANCE/HOT TOPICS TRACK

307 Privacy Trends Around the World and the Implications to a Global Organization

Monday, 1:45–2:45 PM

Michelle Beistle, Counsel and Chief Compliance Officer, Unisys Corporation

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

Alyssa Senzel, Deputy General Counsel & Compliance Officer, Blackboard Inc.

- Across the pond, the new EU GDPR is in effect. Brexit is coming and we all hope the Privacy Shield is still intact.
- Around the world, from data localization laws to breach notification, many countries are enacting new requirements that can impact operations of global companies.
- This session will provide you with practical advice on recent changes or clarifications to laws and regulations and how three global entities are handling those changes.

GENERAL COMPLIANCE/HOT TOPICS TRACK

308 What If Model: Leverage Organizational Resources to Craft Compliance Training (and Certification)

Monday, 1:45–2:45 PM

Eva C. Stein, Higher Education Consultant

- Compliance resources are everywhere, often overlap, and sometimes provide contradictory guidance. Resources are often scattered throughout the organization and therefore underutilized. The “What If” model can help!
- The “What if” model is presented as a tool to organize resources, craft learning objectives, offer multiple learning pathways, align outcomes, and design assessments. The ACCSC Certified Accreditation Program (CAP) design approach will be shared ... a comprehensive ‘quick to market’ program for over 650 schools/colleges nationwide.
- If you have the resources and need a way to identify, capture, and leverage them to create a learning environment that supports compliance understanding and application ... versus rote memorization, this session is for you!

ADVANCED COMPLIANCE TRACK

309 Managing Third Party Compliance Programs on a Global Scale

Monday, 1:45–2:45 PM

Allan Matheson, Chief Executive Officer, Blue Umbrella

- Global compliance leadership by enforcing and encouraging ethical behavior among third parties.
- The role of technology and its impact on global compliance program management.
- Common stumbling blocks to program success and strategies to help avoid them.

PROFESSIONAL SKILLS TRACK

310 Making Connections Count: Tips to Gain Value Through Networking

Monday, 1:45–2:45 PM

Samantha Kelen, Lead Ethics Analyst, Duke Energy Corporation

- Don't be caught alone. Networking with other professionals ensures you'll have the support you need to fulfill the challenges of an ethics and compliance role.
- Don't be afraid. It's not nearly as complicated, challenging, or scary as it seems. We'll discuss concrete steps you can take to improve your network.
- Don't delay. Networking can lead to countless opportunities if you put in the effort, so come prepared to exchange business cards and get connected.

ADVANCED DISCUSSION GROUP

AD5 Conflicts of Interest: Awareness, Bias, and Corruption

Monday, 1:45–2:45 PM

Cynthia Morrison, Director of Compliance, Post Holdings, Inc.

- Awareness: Disclosure is often the organization's solution to conflicts of interest. How effective is disclosure as a remedy?
- Bias: Do you underestimate the severity of bias caused by conflicts? Can we properly navigate conflicts with objectivity?
- Corruption cannot exist without a conflict of interest. Understanding the relationship between conflicts and corruption can lead to new ways to deter and detect misconduct.

** Advanced Discussion Groups will be filled on a first-come, first-served basis. Attendance is limited to the first 50 attendees. Pre-registration is not available for these sessions.*

ADVANCED DISCUSSION GROUP

AD6 Assessing Your Company's Culture

Monday, 1:45–2:45 PM

Patrick J. Gnazzo, Principal, Better Business Practices

- Almost every company or organization believes they have a special and unique “culture.” When was the last time you actually checked with your employees, to see if there is a common understanding and agreement of your culture?
- This presentation will focus on procedures and techniques to gain input from your employees to help validate their views on your culture utilizing voting-pad technology.
- By incorporating anonymous voting-pad technology, employees are able to communicate their views in real-time in a nonthreatening environment that increases employee communications and feedback.

2:45 – 3:00 PM

Networking Break

3:00 – 4:00 PM

Keynote Address: Can Compliance Save Sports

Ty Francis, MBE, Global Governance and Ethics Advisor

- Corruption and misconduct on and off the field not only hurts sport and athletes, it hurts those corporations who partner and sponsor them. Compliance seems to be the solution to help safeguard sports and those who wish to support it.
- Can a confidential ‘Sport Integrity Hotline’ for athletes, officials and the public help reduce what is now a pandemic of allegations of misconduct before they permanently damage sport.
- How will compliance help to deliver practical solutions to address issues related to conduct, performance enhancement, unintentional doping and the validation of trusted sports’ coaches and trainers.

4:00 – 5:15 PM

Networking Reception with Exhibitors

TUESDAY, OCTOBER 23

7:00 AM – 5:00 PM

Registration Open

7:00 – 8:00 AM

Continental Breakfast and Exhibitor Networking

8:00 – 8:15 AM

Tuesday Kickoff and Awards Presentation

8:15 – 9:15 AM

Keynote Address: Artificial Intelligence: A Day in Your Life in Compliance & Ethics

Amber Mac, TV/Radio Host, Internet of Things Expert, AmberMac Media

9:15 – 9:30 AM

Networking Break

9:30 – 10:30 AM

CONCURRENT BREAKOUT SESSIONS

RISK TRACK

401 Working with Uncle Sam: Managing Compliance Risk when Providing Services to the U.S. Government

Tuesday, 9:30–10:30 AM

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

Danica Irvine, Senior Attorney, DoD Office of General Counsel

- When contractor employees work side-by-side with U.S. Government personnel, they face unique compliance issues that can trip up even the most well-intentioned employees. Normally innocuous working relationships can trigger IG investigations & violations
- We address frequent and difficult situations such as gifts, conflicts of interest, part-time work, protections of data, travel, office solicitations, office events, and the revolving door of employment between government and contractor.
- This presentation will provide guidance and first-hand experience from contractor and government ethics officials on how to identify and diffuse compliance risks before they occur and navigate compliance regulations.

ETHICS TRACK

402 Demystifying Forensic Accounting

Tuesday, 9:30–10:30 AM

Adrian Sierra, CEO, Sierra Forensic Group

Michael Dyer, Managing Director, Sierra Forensic Group

- This session will define forensic accounting and its use in various areas, including corporate compliance, investigations and litigation. Attendees will learn the difference between a financial audit and a forensic investigation.
- Attendees will learn common characteristics of a fraudster, various detailed investigative techniques to identify and combat fraud, and the makeup of a fraud investigation including litigation support.
- Attendees will gain knowledge on Foreign Corrupt Practice Act (FCPA) provisions, and the importance of having an anti-corruption program in place to mitigate risk.

CASE STUDIES TRACK

403 Building a Corporate Culture that Combats Sexual Misconduct

Tuesday, 9:30–10:30 AM

Stephanie Jenkins, Chief Compliance Officer, ETHIX360

J. Rollins, CEO, ETHIX360

- How to better understand the extent and effects of sexual misconduct.
- How to raise awareness about what constitutes misconduct and how to prevent it.
- How to get your C-suite to champion your efforts.

MULTI-NATIONAL/INTERNATIONAL TRACK

404 Global Compliance—One Size Does Not Fit All

Tuesday, 9:30–10:30 AM

Yami Acosta, Director-Compliance, AT&T

Clarissa Benavides, Director-Compliance, AT&T

Luis Solis, Sr. Specialist-Environmental Health & Safety, AT&T

- One size doesn't fit all. As regulatory expectations change, it is important to have a core set of expectations, but be sure to value diversity and adapt in different business sectors, as well, as internationally.
- Tropicalization of policies/training. When doing business globally, it is imperative to understand the local laws and culture to ensure the spirit of the policy is captured, relevant to real-world experiences of the employers, and conveyed effectively.
- System & language limitations – Leverage local resources to overcome challenges and utilize existing tools, as existing processes may be as effective or better than proposed options.

**Advanced Discussion Groups will be filled on a first-come, first-served basis. Attendance is limited to the first 50 attendees. Pre-registration is not available for these sessions.*

COMPLIANCE LAWYER TRACK

405 Dos and Don'ts for Compliance Personnel at International Non-Profits

Tuesday, 9:30 – 10:30 AM

Hussainatu Blake, Vice President, Focal Point Global

Adam Munitz, Senior Associate, FH+H PLLC

- Overview of the legal landscape: laws and regulations of which non-profits should be aware prior to operating in non-permissive environments.
- The unique ethics and compliance challenges faced by non-profits working overseas.
- How to develop an effective ethics and compliance program that is tailored to non-profits.

IT COMPLIANCE TRACK

406 Software License Compliance: Costly, Challenging, Changing, and Continuing Chaos: Why It's Hard, Intensifying, and Sub-Radar, & What To Do To Risk-Mitigate and Contribute Effectively

Tuesday, 9:30 – 10:30 AM

Henry W. (Hank) Jones, III, Owner, Law Office of Henry W. Jones III & Intersect Tech. Consulting

- Software & I.T. Infrastructure: Geeks Assume, Vendors Control, & Then Legal, Compliance, Purchasing & Finance Get Blind-Sided, Fast, Hard, & Deep (Pocketed) ... Unless The Organization Changes & Becomes Nuanced & Pro-Active.
- Process De-Bugging & Refinement: Fixing Broken, Changing, Difficult Inherently-Multi-Departmental Initial Procurement & Ongoing Lifecycle Procurement Contracting.
- Protecting Operational Continuity (Avoiding Involuntary Vendor Termination) & Organizational Reputation.

GENERAL COMPLIANCE/HOT TOPICS TRACK

407 Decades into Maturing Compliance Programs, Are Anonymous Reporters Treated with the Respect They Deserve?

Tuesday, 9:30 – 10:30 AM

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

Debra S. Hennelly, Founder & President, Resiliiti

- The pros, cons, myths and truths of anonymous reporting have been discussed in the compliance community and among boards and executive teams for decades.
- Yet for all of this talk and work on building effective compliance programs, many employees still feel that anonymous reporting is the safest way to raise issues and many leadership teams still express frustration about accepting these types of reports.
- This session will look at the current global anonymous reporting environment, review the latest data around this reporting, and offer advice to compliance officers and their organizations on making the most of anonymous reports.

GENERAL COMPLIANCE/HOT TOPICS TRACK

408 Effective Use of Forensic Data Analytics to Mitigate Compliance Risks

Tuesday, 9:30 – 10:30 AM

Gerry Zack, Incoming CEO, SCCE & HCCA

- How to incorporate forensic techniques into your monitoring and auditing.
- Design of data analytics targeting specific compliance issues.
- What next? Not all red flags are alike - best practices for follow-up.

ADVANCED COMPLIANCE TRACK

409 Advanced Ethics and Compliance Program Design

Tuesday, 9:30 – 10:30 AM

Michael Volkov, CEO, Volkov Law Group LLC

PROFESSIONAL SKILLS TRACK

410 The 7 Habits of an Effective Compliance and Ethics Professional

Tuesday, 9:30 – 10:30 AM

Dan Roach, Chief Compliance Officer, Optum 360

ADVANCED DISCUSSION GROUP

AD7 Building the Bridge to Better Partnering – What Works!

Tuesday, 9:30 – 10:30 AM

Tedra Foster, Senior Director Ethics and Compliance, Herbalife

- Your program's success depends on critical business partners - learn strategies to successfully engage them.
- How to go from no, to maybe, to yes.
- Breaking down the resistance (and resistors), one step at a time.

ADVANCED DISCUSSION GROUP

AD8 Cultures of Integrity – We Know What They Are and What They Should Look Like, But How Do We Get There?

Tuesday, 9:30 – 10:30 AM

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

- Discussion of behaviors that define a good culture and what initiatives compliance can lead to inspire those behaviors.
- Mood in the middle – how to get middle management to buy into demonstrating a culture of compliance and integrity.
- Examples of what other companies just like yours are doing to build and establish a strong culture.

10:30 – 11:00 AM

Networking Break and Last Chance to Visit with Exhibitors

11:00 AM – 12:00 PM

CONCURRENT BREAKOUT SESSIONS

RISK TRACK

501 Using Privacy Impact Assessments Effectively

Tuesday, 11:00 AM – 12:00 PM

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

- Privacy Impact Assessments as an effective risk management tool.
- How to develop and use PIA in the workplace.
- Applying legal and ethics to data processing activities.

ETHICS TRACK

502 Developing a Culturally Competent Compliance Program

Tuesday, 11:00 AM – 12:00 PM

Deni A. Anderson, Director, Global Compliance Operations, ENDEAVOR

- Developing Cultural Competence: Effectively manage and collaborate with people from different cultures and backgrounds as an important component of managing a successful compliance program.
- Values, Attitudes and Prejudices: Personal beliefs drive behaviors and how we feel about the world and people around us, and ultimately how we judge other people. Personal biases play an important role in the success or failure of a compliance program.
- Training and communication Strategies: Incorporating diversity values into your compliance training program and communications to mitigate compliance risks and help the organization meet its business goals.

CASE STUDIES TRACK

503 Adopting an Internal Control—Integrated Framework, Benefits for Non-Profit Organizations

Tuesday, 11:00 AM – 12:00 PM

Richella M. Abell-Hawes, Vice President Compliance & Quality, Arc Herkimer

Jessica French, Quality Assurance Specialist, Arc Herkimer

- This session will encourage private sector organizations to adopt an Internal Control—Integrated Framework. As external oversight agencies are now utilizing such tools to audit organizations operating effectiveness regardless of their For-profit status.
- Attendees will learn from the experience of one New York Non-profit, what it is like to use the 2013 COSO Framework specifically and the importance of selecting a tool which incorporates risk management, and the detection/prevention of fraud and abuse.
- How to transition your compliance program to incorporate an integrated framework, who should be involved and the impact it will have on quality, increasing efficiencies and organization effectiveness.

MULTI-NATIONAL/INTERNATIONAL TRACK

504 Crash Course on United Kingdom and Ireland Regulations for US Companies

Tuesday, 11:00 AM – 12:00 PM

Eric Brokken, Director, International Compliance Programs, Optum

Sarah E. Boswell-Healey, Director, Optum Privacy

- A general overview of UK corporate regulatory compliance, including the Companies Act, Bribery Act, Criminal Finances Act, Modern Slavery Act, Health and Safety, Directors Obligations, and Brexit.
- A general overview of Ireland corporate regulatory compliance, including the Companies Act, Criminal Justice Bill, Health and Safety, and Brexit.
- A practical approach to implementing a new compliance program in UK&I or modifying an existing US compliance program for the UK&I markets.

COMPLIANCE LAWYER TRACK

505 Leveraging Recent Developments in the Law to Advance Your Program

Tuesday, 11:00 AM – 12:00 PM

Rebecca Walker, Partner, Kaplan & Walker LLP

Joseph E. Murphy, Senior Advisor, Compliance Strategists

- Review recent developments in U.S. and other law related to compliance and ethics, including case law, deferred prosecution agreements and government pronouncements and guidance.
- Examine the impact of recent legal developments on compliance and ethics program design and implementation.
- Develop strategies for using C&E legal developments to enhance your program.

IT COMPLIANCE TRACK

506 The EU General Data Protection Regulation: What We Know, Six Months In

Tuesday, 11:00 AM – 12:00 PM

Scott M. Giordano, Director, Data Protection and Managed Privacy Services, Robert Half International

- The European Union General Data Protection Regulation (GDPR) is the most sweeping data protection regulation to be brought into force in 20 years.
- In the six months since the Regulation went into effect, a substantial amount of jurisprudence and "lessons learned" have been published.
- In the presentation, we'll review the state of the Regulation, current enforcement actions, and opinions of the European Data Protection Board in order to develop best practices and promote cost-effective compliance.

GENERAL COMPLIANCE/HOT TOPICS TRACK

507 Get What You Need Out of Your Gift, Entertainment, and Travel (GET) Policy and Approval System

Tuesday, 11:00 AM – 12:00 PM

Adriana M. Herrera, Sr. Global Compliance Analyst, Phillips 66

- Developing an Effective GET Policy and Approval System.
- Pros and Cons of a Vended Solution vs. a Custom Platform.
- Lessons Learned. From Customization to Post Rollout.

GENERAL COMPLIANCE/HOT TOPICS TRACK

508 Innovative Strategies for Fostering a Compliance Culture

Tuesday, 11:00 AM – 12:00 PM

Stephanie Hillhouse, Sr. Ethics & Compliance Manager, The Coca-Cola Company

- There's a bot for that: How to use artificial intelligence for communication initiatives and as a resource for employees, including lessons learned from developing the pilot through go-live.
- Highlights from a successful and engaging global launch of a Code of Business Conduct, with key strategies for reaching offline and online employees.
- Helpful tips for incorporating ethics and compliance messages into business communications, including manager messages.

ADVANCED COMPLIANCE TRACK

509 Decades to Build, Seconds to Destroy: Proactive Compliance On Your Own Terms to Avoid or Mitigate An Enforcement Action

Tuesday, 11:00 AM – 12:00 PM

Eric Feldman, Senior VP and Managing Director, Corporate Ethics and Compliance Programs, Affiliated Monitors

Tom Topolski, Senior Vice President, Business Development Director, Parsons

- Learn how proactive assessment and remediation measures are less costly and more effective than more potentially restrictive compliance responses.
- Determine how company actions prior to, during, and after an ethical crisis can help determine the severity of fines, penalties and required remediation.
- Explore the value of "proactive monitoring" to help strengthen organizational culture, identify and manage potential vulnerabilities, and establish credibility with government regulators and law enforcement.

PROFESSIONAL SKILLS TRACK

510 Building Culture through Communication and Engagement

Tuesday, 11:00 AM – 12:00 PM

Keturah Pestel, Manager, Business Ethics Office, Thrivent Financial

- It's critical to effectively communicate and engage your entire workforce as culture champions. This session will focus on practical, proven concepts by highlighting innovative and interactive training and communication examples you can adapt to your organization.
- We've used a range of communication channels, including blogs, articles, targeted emails, roadshows and Ethics Awareness events.
- Thrivent has utilized ethics perception surveys since 2008 to validate these actions have helped maintain and strengthen its strong ethical culture. Adapting ideas is always easier than creating from scratch, so join us to get some new tools for your toolbox.

ADVANCED DISCUSSION GROUP

AD9 Compliance in the Modern Multi-National: Aligning Trade Compliance with Your Corporate Compliance Program

Tuesday, 11:00 AM – 12:00 PM

Suzanne Bullitt, Director – Global Trade Strategy & Compliance, Eastman Chemical Company

- Interactive discussion on the functional responsibilities of trade compliance and its vital role in a global corporate compliance organization.
- Addresses important and difficult challenges in aligning trade compliance with corporate compliance programs including the intersection with global supply chain and third party due diligence.
- Discussion of best practices to identify risk, mitigate liabilities and perform defensible due diligence on supply chain partners.

ADVANCED DISCUSSION GROUP

AD10 Who's Afraid of the Big, Bad Code?

Tuesday, 11:00 AM – 12:00 PM

Michael Levin, Senior Director of Compliance, Ethics & Business Practices, Freddie Mac

- Visualizing a new approach to your company's most important policy.
- Demystifying the Code of Conduct development process.
- Strategies and tactics for deployment.

12:00 – 1:00 PM

Networking Lunch

1:00 – 2:00 PM

CONCURRENT BREAKOUT SESSIONS

** Advanced Discussion Groups will be filled on a first-come, first-served basis. Attendance is limited to the first 50 attendees. Pre-registration is not available for these sessions.*

RISK TRACK

601 RIM: It's Not Just about the Records

Tuesday, 1:00 – 2:00 PM

Jacki Cheslow, Director, Business Ethics & Compliance, Avis Budget Group

- Facing downward budget pressure as Company's try to do more with less RIM Programs face the risk of being left on the side of the road and failure to address records and information management issues may lead to regulatory and legal troubles.
- International organizations have been in the news recently as a result of their inability to put their hands on, and produce, required records, both in the context of regulatory investigations and civil litigation.
- In this session, learn how one organization integrated their record and information program into Compliance to successfully overcome this challenge.

ETHICS TRACK

602 Ethical Considerations of Artificial Intelligence

Tuesday, 1:00 – 2:00 PM

Colleen Dorsey, Director, Organizational Ethics & Compliance, University of St Thomas- School of Law

Eileen M. Lach, Member, Executive Committee, The IEEE Global Initiative on Ethics of Autonomous and Intelligent Systems

- To provide an understanding of what AI is and what it is not and why ethics matters.
- To discuss what is being done on a global level to address ethical issues in AI.
- To discuss ways organizations can be preparing both their boards and employees today to address AI.

CASE STUDIES TRACK

603 Built in, Not Bolt on: Creating a Compliance Program for a Tech Startup

Tuesday, 1:00 – 2:00 PM

Danielle E. Herrick, Head of Compliance, Attune Insurance Services, LLC

- Creating a compliance program from the ground up at an insurtech has both amazing opportunities and great challenges.
- Learn what it's like to be the 18th employee at a tech startup and also their Head of Compliance.
- Explore the innovative compliance program developed over the course of the first year.

**Advanced Discussion Groups will be filled on a first-come, first-served basis. Attendance is limited to the first 50 attendees. Pre-registration is not available for these sessions.*

MULTI-NATIONAL/INTERNATIONAL TRACK

604 Foreign Agents, Partners & Intermediaries: You Can't Live With Them, But You Can't Live Without Them

Tuesday, 1:00 – 2:00 PM

James M. Lord, Shareholder, Glade Voogt Lord Smith

Andy Hinton, VP, Global Ethics & Compliance, Google

Harvey W. Woodford, VP, Chief Ethics & Compliance Officer and Corporate Secretary, Avnet, Inc.

Xavier Oustalniol, Partner, StoneTurn

- Overview of Global Anti-Corruption Laws and Guidance on Managing Third Party Risk.
- Implementation of an Effective Risk Based Approach to Due Diligence.
- Utilization of Data Analytics and Risk-based Sampling as a Component of Your Third-Party Risk Management Process.

COMPLIANCE LAWYER TRACK

605 Preventing Harassment and Discrimination: Why the Current System Fails and What to do About it

Tuesday, 1:00 – 2:00 PM

Paul McGreal, Professor of Law, Creighton University

Joseph E. Murphy, Senior Advisor, Compliance Strategists

- Harassment and discrimination have been leading news stories despite companies having policies, training and reporting systems.
- The wrong legal standard is being used to determine what is a "reasonable effort to prevent violations".
- We propose a compliance & ethics solution to a serious failure in companies and other organizations.

IT COMPLIANCE TRACK

606 Creating Cyber Incident Response Plans

Tuesday, 1:00 – 2:00 PM

Megan M. Moloney, Federal Bureau of Investigation

- Worst Case Scenarios: Revisiting Sony.
- Hindsight is 20/20: What a Robust Cyber Response Plan Could Have Prevented or Accomplished.
- Strategic Insights: How to Prepare Your Cyber Response Plan.

GENERAL COMPLIANCE/HOT TOPICS TRACK

607 What Are the OIGs - and Why You Should Care

Tuesday, 1:00 – 2:00 PM

Daniel H. Coney, Assistant Special Agent in Charge, DOI/OIG

- Understand how the Office of Inspector General system functions, their various authorities, and why they may end up on your doorstep.
- Explore how the missions of the various OIG offices aligns with the compliance profession, and what models may be relevant to your work.
- Learn how to effectively handle OIG audits, subpoenas, and how to put the best foot forward when under Government scrutiny.

GENERAL COMPLIANCE/HOT TOPICS TRACK

608 OFAC Sanctions: Navigating the Minefield

Tuesday, 1:00 – 2:00 PM

Robert J. Ward, Jr., VP Global Compliance, Houston International Business Corp

- Introduction to OFAC as well as recent new sanctions law enactment in Aug 2017 impacting Russia, Iran and North Korea.
- Review of recent enforcement actions for lessons learned involving PNB Paribas, Schlumberger and ZTE.
- Discussion on key steps to take to prevent violations including best practices for policies/procedures, screening, due diligence and training.

ADVANCED COMPLIANCE TRACK

609 Building an Ethics Culture & Compliance Program through a Corporate Business Mentor-Protégé Program

Tuesday, 1:00 – 2:00 PM

Lynn Wise, Attorney, Northrop Grumman

- Business purpose for corporate mentor – protégé.
- Importance of Mentor-Role-Modeling for An Ethic & Compliance Environment.
- Building Up the Protégé Bones for Ethics & Compliance.

PROFESSIONAL SKILLS TRACK

610 Outstanding Collaboration: Can't We Just All Get Along?

Tuesday, 1:00 – 2:00 PM

Kristy Grant Hart, Owner, Spark Compliance Consulting

Angelika Flamm, Deputy Group Compliance Director, Royal Mail Group

- Why is it often so difficult to work well with Audit, Human Resources, Legal, Procurement, Management and the Board? Join us to find out what to do about it!
- Turf Wars: How to avoid them and how to maneuver out of them while allowing everyone to save face.
- Learn concrete, specific techniques for using motivation, influence, persuasion and negotiation skills to collaborate outstandingly with other functions in your business.

ADVANCED DISCUSSION GROUP

AD11 Secrets from In-house Ethics & Compliance Buyers: How to Keep the Gate and Your Sanity

Tuesday, 1:00 – 2:00 PM

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

- Learn how to manage your vendor relationships to maximize their value proposition and minimize persistent and time consuming sales pitches.
- Vendors believe they can make a buyer's life easier, but they must listen for "buying or non-buying" cues and modulate their contact proportionately.
- While the compliance community has seen that tomorrow's solutions for today E&C issues often come from the vendor community, in-house clients (buyers) respond to authentic vendor relationships as they can easily separate salesy bluster from those colleagues who really care.

2:00 – 2:15 PM

Networking Break

2:15 – 3:15 PM

CONCURRENT BREAKOUT SESSIONS

RISK TRACK

701 Divided Loyalties: Conflict of Interest Risks, Impact and Effective Management Strategies

Tuesday, 2:15–3:15 PM

Shannon Grayer, VP, Global Ethics Solutions, Wells Fargo

- Stressed about undisclosed conflicts of interest within your organization? This session will help you know why conflicts of interest matter, be conscious of their significant impact on businesses, and learn how to recognize and address conflict situations.
- A conflict of interest increases the risk of bias and poor judgment, so it is imperative to stay one step ahead of these perilous circumstances.
- Prepare for the challenges of today's business environment by learning best practices and effective management strategies to properly identify and address conflict situations.

ETHICS TRACK

702 Unethical Acts—Why We do What We do

Tuesday, 2:15–3:15 PM

Lisa A. Gross, Ethics Analysis Sr Mgr, Lockheed Martin

Darren Hill, Director Ethics Business Conduct, Lockheed Martin Aeronautics

- How our backgrounds and experiences motivate our behavior in the workplace.
- Why Ethics and Compliance professionals need to understand diverse perspectives when addressing misconduct to shape and build an effective program.
- Examples where unethical behavior was driven by previous experiences; and, Ethical theories and how they may motivate employee actions.

CASE STUDIES TRACK

703 Lights! Camera! Compliance! ...How Making a Movie Changed Our Culture

Tuesday, 2:15–3:15 PM

Marc Havener, CEO, Resonate Pictures Inc.

Heather Bell, AGDC Compliance, Altria

Karl Schneider, Senior Lead Specialist Compliance, AGDC

- The AGDC training team shares how they prevent costly antitrust litigation by requiring new hires to re-live a chapter from their own history with scenes from their award-winning Hollywood style compliance film "Breathing Underwater."
- Attendees will receive a step by step account of walking through the initial antitrust lawsuit, the company culture ten years later, how they translated corporate legal documents into a script, producing the film, to the ultimate screening with employees.
- AGDC will share how this approach proved to be a tangible investment in their culture of responsibility, and how it sets the stage for a compelling discussion with Compliance experts following the screening.

MULTI-NATIONAL/INTERNATIONAL TRACK

704 While You Were Sleeping: Insights about the Realities of Ethics & Compliance in Asia with a Focus on Bribery and Corruption

Tuesday, 2:15–3:15 PM

Jimmy Chatsuthiphan, Global Compliance Investigator, Panasonic Avionics Corporation

Jason Chang, Of Counsel, DLA Piper

- An overview of the regulatory enforcement landscape, including recent investigations, trends and legal updates.
- From an ethics and compliance standpoint, what tends to work well in Asia and what doesn't?
- Ideas and best practices on how to effectively train, investigate and communicate internally with management and employees in your Asian subsidiaries and operations.

COMPLIANCE LAWYER TRACK

705 To Privilege or Not to Privilege: The Role of Attorney Advice in Performing Risk Assessments and Running a Compliance Program

Tuesday, 2:15–3:15 PM

Suzanne L. Montgomery, VP-Compliance, AT&T

Altresha Burchett-Williams, AVP-Senior Legal Counsel, AT&T

Kristopher Watts, Director-Compliance, AT&T

- Get grounded on the definition of the attorney-client privilege. Discuss the legal basis for performing privileged risk assessments from both Legal and Compliance perspectives, and explore circumstances when a privileged risk assessment is helpful.
- Explore the difference in roles of attorneys and compliance professionals, even when the compliance professional is an attorney by education and experience, and how to maintain a healthy partnership between the two, despite natural tension.
- Discussion centered on the real-world impacts of compliance work under privilege, from the perspective of a non-attorney compliance professional.

IT COMPLIANCE TRACK

706 Who, What, Why: PCI

Tuesday, 2:15–3:15 PM

Tess Casey Flanagan, Senior Manager and Counsel, Global Compliance Operations, Under Armour

- Overview of compliance with the Payment Card Industry (PCI) Data Security Standard (DSS).
- Operationalizing compliance across multiple payment channels: e-commerce, retail, mobile, and call centers.
- Tips for maintaining compliance.

GENERAL COMPLIANCE/HOT TOPICS TRACK

707 They made the news, but you don't have to!

Tuesday, 2:15–3:15 PM

Ben DiPietro, Former Editor-Reporter, Wall Street Journal

Kitty Holt, Ethics & Compliance Officer, Plan International USA

- In this session, we will discuss recent crises that made the news and social media, and the impact of the attention.
- We will provide some tips for how to handle media inquiries.
- We will discuss specific steps you can take to prevent negative attention.

GENERAL COMPLIANCE/HOT TOPICS TRACK

708 The Road to ISO 37001 Anti-bribery Management Systems: How We Got There and Why it's Worth it

Tuesday, 2:15–3:15 PM

Mark Speck, Managing Partner, Specktrum Inc.

Diana Trevley, West Coast Director, Spark Compliance Consulting

- Evaluating, quantifying, and selling the value of ISO 37001 Anti-Bribery Management Systems certification to your C-Level suite, senior management and the board.
- Evaluating the readiness of your Anti-Bribery program against the ISO 37001 standards, including; a model approach with practical examples; crafting a remediation plan; prioritization tips; and obtaining support for closure.
- Essentials to Success: A review of vital management system components and KPIs of program success; including: Risk assessments; third party risk management; achieving organizational synchronization; use of automation; metrics that matter, and audit tips.

** Advanced Discussion Groups will be filled on a first-come, first-served basis. Attendance is limited to the first 50 attendees. Pre-registration is not available for these sessions.*

GENERAL COMPLIANCE/HOT TOPICS TRACK

709 Unconscious Bias, Cognitive Errors, and the Compliance Professional

Tuesday, 2:15–3:15 PM

Michael Johnson, CEO, Clear Law Institute

- Unconscious bias towards social groups, including how to assess bias using the Implicit Association Test.
- Cognitive errors, including affinity bias, confirmation bias, expectancy effects, investigator bias, lie bias, priming, trustworthiness bias, and Dangerous Decisions Theory.
- Strategies for compliance professionals to avoid and reduce the impact of unconscious bias and cognitive errors in their work.

PROFESSIONAL SKILLS TRACK

710 LinkedIn 2.0: How to Maximize your LinkedIn Membership

Tuesday, 2:15–3:15 PM

Andrew Phillips, Advocacy, Government & Non-Profits, Company: LinkedIn Marketing Solutions

- How to best optimize your profile.
- How to conceptualize content and utilize it to become a subject matter expert.
- The little daily actions you can take that collectively elevate your LinkedIn feed.

ADVANCED DISCUSSION GROUP

AD12 I'm Here, But My Organization Is There: How Do I Manage This Alone?

Tuesday, 2:15–3:15 PM

Christine J. Watzke-Ulbert, Compliance Manager-North America, AkzoNobel

- What challenges do you face when expected to manage a compliance program in one continent when the company (and Compliance Department) are headquartered in a different continent?
- How do you overcome the differing risk assessment results?
- What rules, guidelines or regulations are applicable to MY employees?

3:15 – 3:30 PM

Networking Break

**Advanced Discussion Groups will be filled on a first-come, first-served basis. Attendance is limited to the first 50 attendees. Pre-registration is not available for these sessions.*

3:30 – 4:30 PM

Keynote Address: What We Need to Know About #MeToo

Jenny O'Brien, Chief Compliance Officer, UnitedHealthcare (moderator)

Rebecca Walker, Partner, Kaplan & Walker LLP

Paul Fiorelli, Professor of Legal Studies and Director, Cintas Institute for Business Ethics, Xavier University

Robin H. Everhart, SVP & Chief Diversity Officer, Cintas Corporation

- Exploring the Role of Ethics and Compliance Professionals regarding Diversity and Inclusion in the Workplace
- Recognizing Organizational Vulnerabilities and Exploring the Compliance Program Value Proposition
- How C&E programs can help your company and culture during controversial societal events

WEDNESDAY, OCTOBER 24

7:30 AM – 11:45 PM

Registration Open

8:00 – 9:30 AM

POST CONFERENCE BREAKOUT SESSIONS

RISK TRACK

W1 Vendor Risk Management in Practice: Three Steps to Take for the Three Capabilities You Need

Wednesday, 8:00–9:30 AM

Matt Kelly, Editor & CEO, Radical Compliance

Fernanda Beraldi, Senior Director, Ethics & Compliance, Cummins Inc.

Edwin Broecker, Partner, Quarles & Brady

- Due diligence: how to develop a process that finds ultimate beneficial owners effectively, and at scale; the tools to use, controls to have, policies to follow;
- Risk assessments: how to assess the multiple types of risk—“anti-bribery, fraud, collusion, cybersecurity”—and integrate those criteria into one versatile assessment process;
- Operationalize it: how to implement ‘derisking’ programs on a practical basis; how to referee disputes among business functions about which vendors to use or cut loose; and how to document the benefits of your effort.

ETHICS TRACK

W2 How to Conduct a High-Quality Ethics and Compliance Program Evaluation

Wednesday, 8:00–9:30 AM

Anne R. Harris, Principal, Ethics Works, LLC

- Planning is Critical. The importance of planning the evaluation thoughtfully cannot be overstated. Consider scope, applicable standards, objectives, context, timing and audience.
- Conducting a High-Quality Evaluation. What information should you gather? Whom should you interview? What is the best way to collect the data you need?
- Reporting the Evaluation Results. Why you should prepare more than one version of the report. Embed future plans in the report. The top questions to answer for the Board and Senior Leadership.

CASE STUDIES TRACK

W3 International Fraud, Ethics and Culture Seen Through the Lens of a Fraud Examiner

Wednesday, 8:00–9:30 AM

Steve C. Morang, Senior Manager, Frank, Rimerman & Co. LLP

- Steve will walk us through multiple real life cases which he has investigated over the past twenty years to show the link between ethical behavior, culture and fraud.
- Understand how unethical business models can drive the organization's culture over the edge into the fraud abyss.
- Learn how to detect unsavory business practices, measure the ethical climate of the organization and investigate potential instances of fraud, waste or abuse.

MULTI-NATIONAL/INTERNATIONAL TRACK

W4 Avoiding Investigation Pitfalls: A Boots on the Ground Perspective

Wednesday, 8:00–9:30 AM

Ann Sultan, Counsel, Miller & Chevalier

David Ikenna Adams, Compliance Counsel, Eaze

- Advice on planning and executing your investigation, including: building trust with potential whistleblowers; navigating cross-border investigations and cultural nuances; and interacting with key stakeholders.
- Tips for information gathering—interviews, documents, and other creative sources.
- The who, what, when, where and why of communications strategies and government voluntary disclosures.

COMPLIANCE LAWYER TRACK

W5 Never Hearing "I Told You So"—Best Practices for Preparing and Responding to a Federal Investigation

Wednesday, 8:00–9:30 AM

James Carter, Attorney, Pillsbury Winthrop Shaw Pittman LLP

Aaron S. Dyer, Partner, Pillsbury Winthrop Shaw Pittman LLP

- This session will provide guidance on how to prepare your compliance program to be a sword in defending an investigation arising from a grand jury subpoena or search warrant, rather than just a shield.
- This session will also highlight the steps a company should take to comply with a federal subpoena, or to prepare for a search warrant.
- This session will provide guidance on how to conduct investigations, audits, and monitoring programs that will have credibility with federal agents and prosecutors.

GENERAL COMPLIANCE/HOT TOPICS TRACK

W7 Around the World in 80 Minutes

Wednesday, 8:00–9:30 AM

Jonathan Armstrong, Partner, Cordery

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

Kristine Robidoux, General Counsel, Gran Tierra Energy Inc.

- Following on from 2017's popular program, we'll return with a comprehensive look at some of the main issues affecting compliance globally. We'll contrast and compare between the main theatres of operation—the Americas, EMEA and Asia Pacific.
- Top rated speakers discuss a wide range of issues including cyber threats, bribery and corruption, workforce compliance issues (like modern slavery and immigration), privacy, global nature of media and whether legal is ever enough.
- Common threads running across borders will help you manage your global operations effectively whilst staying sensitive to local cultures.



GENERAL COMPLIANCE/HOT TOPICS TRACK

W8 Millennial is a Dangerous Word: A conversation about bias and stereotypes in the workplace

Wednesday, 8:00–9:30 AM

Samantha E. Kelen, Lead Ethics Analyst, Duke Energy

Laura Ellis, Global Compliance Enablement, Cisco International Limited

Kyle Lewis, Compliance Operations Manager, Holcim Group Services Ltd

- The Millennial generation has a bad reputation: You hate millennials, they hate Millennials, even millennials hate millennials!
- This presentation will consider how stereotypes label this group as superficial, lazy, and entitled. But research actually suggests they can be deeply concerned with social issues, often seeking a way to make an impact in an otherwise overwhelming world, making them ideal champions for your compliance and ethics programs.
- In addition, panel members will discuss their personal experiences as millennials in the workplace and in the compliance and ethics industry, as well as provide tips and strategies to communicate with and capitalize on the strengths of this emerging generation.

9:30 – 9:45 AM Networking Break

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

RISK TRACK

W9 Leave No Stone Unturned: Looking for Hidden Risks

Wednesday, 9:45–11:15 AM

Krista Muszak, Global Compliance Manager, Tech Data

- This unique workshop experience will examine and explore ethics and compliance risks across global organizations from various angles and perspectives to stay nimble in the ever changing world of risk management.
- Attendees will collaborate, discuss strategy and share experiences related to effective risk identification and management.
- Session takeaways will include leading practices for effective risk mitigation and how to stay proactive and vigilant to risk vulnerabilities.

ETHICS TRACK

W10 I Would Never Do That! How Your Brain Circumvents Ethics and Compliance Efforts

Wednesday, 9:45–11:15 AM

Michael Hood, Director, 21st Century Learning & Consulting LLC

- As you go through your day, how many of your decisions are made with conscious deliberation as opposed to automatically? Surprisingly, almost 99% of your decisions are made without thought. Learn how to build triggers to improve people's ethicality.
- Your mind frames a problem as soon as it is encountered, but how accurate is your frame? Do you sub-consciously look to support what you want to do instead of what you should do? Learn to frame ethical issues in ways that help achieve desired outcomes.
- Is your compliance program perceived as something you have to do or something you want to do? Your answer could easily determine if your colleagues will act ethically or not. Learn how increasing engagement and motivation can improve ethicality.

CASE STUDIES TRACK

W11 Turning the Tide of Your Culture without Being Hit by a Tsunami

Wednesday, 9:45–11:15 AM

Marjorie K. Maier, Compliance and Privacy Officer, HMS, Inc.

- Turn a police & punish compliance culture into a collaborative culture of compliance.
- Measure your cultural baseline to drive your work plan
- Identify measureable improvements across time.

MULTI-NATIONAL/INTERNATIONAL TRACK

W12 Dancing with Danger: How to Respond to the Changing Risk Environment in Latin America

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

Emanuel Batista, Director, Compliance, Kroll

Isabel Simmerman, Compliance Associate, The AES Corporation

- Corruption Risks in Brazil, Argentina, Colombia, and Mexico: Gain insight into recent corruption headlines and their impact on local anti-corruption laws and the overall culture of compliance.
- Understanding Local Nuances: What you need to know about your third parties in the region and the significance of due diligence in identifying and mitigating risks.
- Compliance trends in Brazil, Argentina, Colombia, and Mexico and their impact to corporate governance. Increasing collaboration between US and Latin American authorities. What you need to know to navigate the global regulatory landscape.

COMPLIANCE LAWYER TRACK

W13 Yin and Yang—Leveraging the Strengths of Legal and Compliance

Wednesday, 9:45 – 11:15 AM

Deena King, Director of Compliance, Texas Woman's University

Destinee N. Waiters, AVP Compliance & General Counsel, Texas Woman's University

- There is sometimes confusion on the different roles compliance and legal play in an organization; understanding what these differences are and how to leverage the strengths of each can help institutional compliance programs be more effective.
- Some of the key roles of compliance include designing and implementing internal controls such as risk assessment, policies, procedures, trainings, and audits with the combined goals of detection, correction, and prevention of compliance incidents.
- Some of the key roles of legal include research, legal and regulatory interpretation, and defending the actions of the university when a legal matter arises; when compliance and legal work together risk is reduced and compliance programs are strengthened.

IT COMPLIANCE TRACK

W14 Everything 3rd, 4th, & Nth Party Risk Management: Understanding the Key Elements of an Effective Privacy & Cybersecurity Program - Contracting, Due Diligence, Auditing & Monitoring, Remediating Gaps, Terminating

Wednesday, 9:45 – 11:15 AM

Web Hull, Privacy, Lead Information Security Privacy Specialist, Houghton Mifflin Harcourt

- Understand the emerging trends and requirements including continual monitoring, prior approval, and 4th through Nth Party due diligence. Hear how to stay up to date in this rapidly maturing function and discipline that changes and evolves every day.
- Review key domestic & international Legal, Regulatory, Standards, Guidance, Industry Segment, Business Practices, and Customer Requirements impacting and governing 3rd, 4th, and Nth Party Vendor Risk Management.
- Hear Top Action Steps to take to build and maintain an effective 3rd, 4th, and Nth Party Vendor Risk Management Program "program structure and maturity, resources, vendor assessments, audits, contracts, and a whole lot more."

GENERAL COMPLIANCE/HOT TOPICS TRACK

W15 Designing a Built-In Compliance Program

Wednesday, 9:45 – 11:15 AM

Grace C. Wu de Plaza, Director Compliance & Corporate Integrity, Farmer Mac

Anjali Desai, Assistant General Counsel – Corporate & Compliance, Farmer Mac

- Learn how to use technology and existing communication tools to design a built-in compliance program.
- Get practical tips on how to integrate ethics with the business units; and how to cultivate key partnerships.
- Discuss how to use metrics to show ROI.

GENERAL COMPLIANCE/HOT TOPICS TRACK

W16 Effective Human Trafficking Compliance: Practical Steps for Combating Modern Day Slavery in Your Corporate Supply Chains

Wednesday, 9:45 – 11:15 AM

Ryan C. Berry, CEO, CHAINTEGRITY LLC

Miranda L. Strong, Bering Straits Native Corporation

- The ILO estimates over 25M current victims of human trafficking in the form of forced or bonded labor. Combating this affront to human dignity is a top federal enforcement priority, with support across the political spectrum.
- In a global economy that includes unscrupulous manpower companies, debt bondage, document servitude and wage and housing violations, hear how compliance officers can effectively address the internal and supply chain risks of human trafficking.
- Learn best practices for identifying trafficking practices, compliance strategies and risk mitigation, sources of law and guidance, toolkits and technologies you can use to position your compliance program for maximum effectiveness.

12:30 – 12:45 PM

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

12:45 – 3:45 PM

Certified Compliance & Ethics Professional (CCEP)® Exam*

(Pre-registration required; offered in English only; Actual exam duration is 120 minutes per the candidate handbook).

12:45 – 4:45 PM

Certified Compliance & Ethics Professional – International (CCEP-I)® Exam*

(Pre-registration required; offered in English only; Actual exam duration is 150 minutes per the candidate handbook)

Taking the Certified Compliance & Ethics Professional (CCEP)® or the Certified Compliance & Ethics Professional – International (CCEP-I)® exams is optional. You must pre-register for either exam separately from the Compliance & Ethics Institute. To register for an exam, download the PDF application for that exam from the Compliance & Ethics Institute website: complianceethicsinstitute.org

*If you are not present at the specified "Exam Time" as listed above, and as determined by the exam proctor, you will not be allowed to sit for the exam. Actual Exam Duration is 120 minutes for the CCEP and 150 minutes for the CCEP-I per their respective Candidate Handbooks. Time range above includes mandatory exam procedures and proctor instructions.

The Compliance & Ethics Institute and both exams are conducted in English at this time.



Thank you to our Sponsors

PLATINUM



GOLD



SILVER



Interested in sponsorship? Visit complianceethicsinstitute.org/SponsorExhibit

Exhibitors at the 2018 Compliance & Ethics Institute®

Meet with representatives from companies with solutions for you

ACA Compliance Group	DeltaNet International Ltd	i-Sight	Morehead Compliance Consulting	Shared Assessments
Accenture	Dow Jones and Company	Klink & Co., Inc.	MyComplianceOffice	Skillsoft Compliance Solutions
ACFE	Drexel University Online	Kreller Group	NAVEX Global	SnapComms
Ankura Consulting Group	Emtrain	Kroll, a division of Duff & Phelps	Nymity	Spark Compliance Consulting
Anti-Corruption Report	EQS Group	Learnings & Entertainments, LLC	Opus	Steele Compliance Solutions
Blue Umbrella	EssentialSkillz	LexisNexis Risk Solutions	Osprey Compliance Software	Syntrio, Inc.
Broadcat, Inc.	Ethisphere	LogicManager Inc.	Power DMS	The Red Flag Group
Bureau van Dijk - A Moody's Analytics Company	Ethix360	Loyola University Chicago	Red Flag Reporting	Thomson Reuters Risk
Clear Law Institute	EverFi	LRN Corp	ReelTime CLE	Trace International
Compliance Wave LLC	GAN Integrity	Merit Leadership	Resonate Pictures, Inc.	TraceSecurity
Compliance Week	Global Investigations Review	Mitchell Hamline School of Law	Rethink Compliance Co.	True Office Learning
Conselium Executive Search	InfoMart	Mitrataech	PricewaterhouseCoopers	University of St Thomas
ContractWorks	informed360 LLC		SAI Global	WhistleBlower Security
Convercent	Interactive Services		Santa Clara Law School	Widener University Delaware School of Law
ConvergePoint	International Screening Solutions		Second City Works	

Book your hotel now

Caesars Palace

3570 Las Vegas Boulevard,
South, Las Vegas, NV 89109
Tel: 866-227-5944
<http://bit.ly/caesars-hotel-2018>

SCCE has contracted a block of rooms available at a discounted rate to conference participants at the conference hotel. Availability is limited. We recommend that you book your hotel room early with Caesars Palace directly either using the conference hotel booking site at <http://bit.ly/caesars-hotel-2018> or call 866-227-5944.

The group rate is \$229.00 per night for a standard room; rates quoted are for single/double occupancy plus tax (currently 12% per room per night and subject to change). A daily resort fee of \$29.00 (subject to applicable tax) will be added to your reservation upon check-in. The resort fee includes in-room high speed Internet each day (2 devices), daily access to the fitness room at our spa for 2, and local phone calls. When making your reservations via telephone, please reference SCCE Compliance & Ethics Institute 2018 to receive the special rate. Please note that upon booking your reservation, your credit card will be charged a deposit equal to the first night's room and tax. To avoid forfeiture of deposit, please ensure all changes and cancellations are made at least 72 hours prior to scheduled arrival date. These rates are good until Tuesday, September 18, 2018 or when the group room block is full (whichever comes first). Reservation requests received after this cut-off date or after the group block is filled (whichever comes first), will be accepted on a space and rate availability basis only. Hotel accommodations are not included in your conference registration fee.

Hotel Guarantee and Cancellation Policy: All reservations require a first night's room/suite rate deposit, plus resort fee and tax at time that reservation is made. If you need to cancel your reservation you must do so 72 hours in advance of your confirmed arrival date to receive a refund of this deposit.



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

NAME _____
(please type or print)

1. Please fill out your demographic information

Thank you for taking a moment to share your demographic information with SCCE. It will help us create better networking opportunities for you.

What is your functional job title? Please select one.

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

List others not listed here: _____

What certifications do you hold? Select all that apply.

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

List others not listed here: _____

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

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

List others not listed here: _____

Are you a first-time attendee of this conference?

- ☐ This is my first Compliance & Ethics Institute

Registration continues on next page (over)

2. Please type or print your contact information

☐ Mr. ☐ Mrs. ☐ Ms. ☐ Dr.

Member ID

First Name MI

Last Name

Credentials

Email (Required for confirmation and conference information)

Job Title

Name of Employer

Street Address

City/ Town

State/Province/Country Zip/Postal Code

Phone Fax

Special Request for Dietary Accommodation

☐ Gluten Free ☐ Vegetarian ☐ Vegan

☐ Kosher Style (no shellfish, pork or meat/dairy mixed)

☐ Kosher (Hechsher certified)

☐ Other _____

Ways to Register

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

ONLINE Visit www.complianceethicsinstitute.org

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

QUESTIONS? Call +1 952 933 4977 or 888 277 4977 or email help@corporatecompliance.org

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

3. Choose your registration options

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

	on/before 10/1/18	after 10/1/18
<input type="checkbox"/> SCCE Members Monday/Tuesday	\$1,149	\$1,199
<input type="checkbox"/> Non-Members: Monday/Tuesday	\$1,399	\$1,449
<input type="checkbox"/> New Membership & Registration* Monday/Tuesday	\$1,349*	\$1,399*
<input type="checkbox"/> Pre-Conference: Sunday Morning.....	\$175	\$175
<input type="checkbox"/> Pre-Conference: Sunday Afternoon	\$175	\$175
<input type="checkbox"/> Post-Conference: Wednesday	\$175	\$175
<input type="checkbox"/> Discount: 5 or more from same company	(\$100)	(\$100)
<input type="checkbox"/> Discount: 10 or more from same company.....	(\$150)	(\$150)

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

TOTAL \$ _____

4. Choose your payment method

☐ INVOICE ME ☐ BY MAIL: Enclose application and check payable to SCCE: SCCE 6500 Barrie Road, Suite 250, Minneapolis, MN 55435

☐ BY FAX: +1 952 988 0146

I authorize SCCE to charge my credit card

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

CREDIT CARD: ☐ American Express ☐ MasterCard ☐ Visa ☐ Discover

Credit Card Account Number

Credit Card Expiration Date

Cardholder Name

Cardholder Signature

Terms and Conditions

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

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

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

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

Group Discounts: Discounts take effect the day a group reaches the discount number of registrants. Please send registration forms together to ensure that the discount is applied. A separate registration form is required for each registrant. Note that discounts will not be applied retroactively if more registrants are added at a later date, but new registrants will receive the group discount.

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

Tax Deductibility: All expenses incurred to maintain or improve skills in your profession may be tax deductible, including tuition, travel, lodging, and meals. Please consult your tax advisor.

Conference Hotel

Caesars Palace

3570 Las Vegas Boulevard,
 South, Las Vegas, NV 89109
 Tel: 866-227-5944
bit.ly/caesars-hotel-2018

SCCE has contracted a block of rooms available at a discounted rate to conference participants at the conference hotel. Availability is limited. We recommend that you book your hotel room early with Caesars Palace directly either using the conference hotel booking site at bit.ly/caesars-hotel-2018 or call 866-227-5944.

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

The group rate is \$229.00 per night for a standard room; rates quoted are for single/double occupancy plus tax (currently 12% per room per night and subject to change). A daily resort fee of \$29.00 (subject to applicable tax) will be added to your reservation upon check-in. The resort fee includes in-room high speed Internet each day (2 devices), daily access to the fitness room at our spa for 2, and local phone calls. When making your reservations via telephone, please reference SCCE Compliance & Ethics Institute 2018 to receive the special rate. Please note that upon booking your reservation, your credit card will be charged a deposit equal to the first night's room and tax. To avoid forfeiture of deposit, please ensure all changes and cancellations are made at least 72 hours prior to scheduled arrival date. These rates are good until Tuesday, September 18, 2018 or when the group room block is full (whichever comes first). Reservation requests received after this cut-off date or after the group block is filled (whichever comes first), will be accepted on a space and rate availability basis only. Hotel accommodations are not included in your conference registration fee.

Hotel Guarantee and Cancellation Policy: All reservations require a first night's room/suite rate deposit, plus resort fee and tax at time that reservation is made. If you need to cancel your reservation you must do so 72 hours in advance of your confirmed arrival date to receive a refund of this deposit.

Dress Code: Business casual dress is appropriate for conference attendees.

Meals: Continental breakfast, lunch, and refreshment breaks are provided on Monday and Tuesday only. Coffee will be served on Sunday and Wednesday.

Prerequisites/Advanced Preparation: None.

Recording: No unauthorized audio or video recording of SCCE conferences is allowed.

Special Needs/Concerns: Prior to your arrival, please call SCCE at +1 952 933 4977 or 888 277 4977 if you have a special need and require accommodation to participate in the Compliance & Ethics Institute.

SOCIETY OF CORPORATE COMPLIANCE AND ETHICS

6500 Barrie Road, Suite 250, Minneapolis, MN 55435 United States
 PHONE +1 952 933 4977 or 888 277 4977 | FAX +1 952 988 0146
www.corporatecompliance.org | helpteam@corporatecompliance.org

LEARN MORE & REGISTER ONLINE
complianceethicsinstitute.org

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

17th Annual

COMPLIANCE & ETHICS INSTITUTE

OCTOBER 21-24, 2018 | LAS VEGAS



Experience the Difference in 2018

***NEW** Features, **NEW** Tracks, and **NEW** Networking Opportunities*



SCCE[™]
Society of Corporate
Compliance and Ethics