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LESSONS IN ETHICAL LEADERSHIP FROM RECENT EVENTS

Compliance & Ethics Institute
Society of Corporate Compliance & Ethics (SCCE)
National Harbor, MD – Sept. 16, 2019

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STOICISM

Man cannot remake himself
without suffering, for he is both
the marble and the sculptor.



-Alexis Carrell (France 1873 - 1944)

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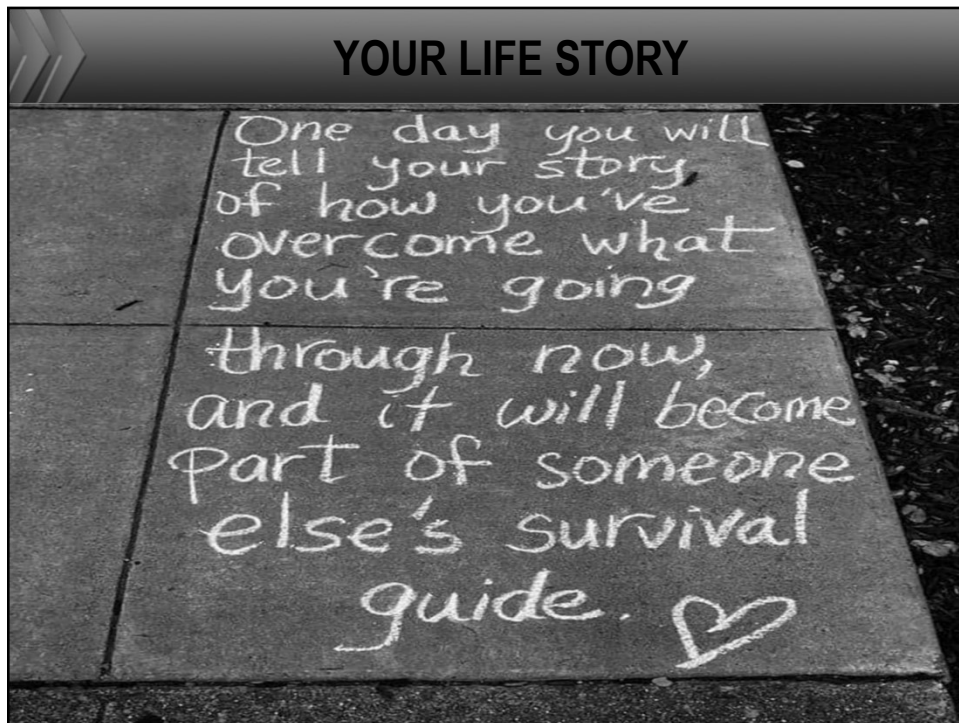
INTRODUCTION - STOICISM

- » Recent news stories (1 yr.); b/c we can learn from other people's **life stories**
- » Individuals or organizations
- » Not limited by profession, trade, or industry
- » Identify the news story
- » Review the legal issue(s)
- » Discuss the ethical leadership principles
- » Recognize & apply the take aways to the compliance & ethics professional


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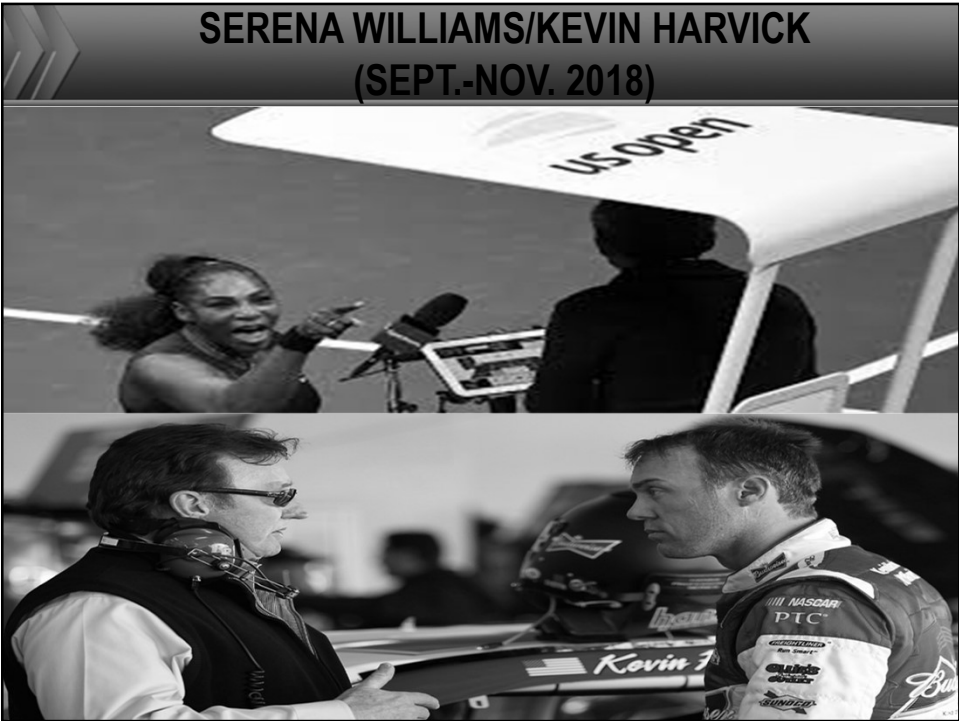
QUALIFICATIONS

- » Public information
- » Not my clients (of course)
- » Cannot vouch for accuracy of the public information or legitimacy of any claims
- » Absolutely no political, organizational, or social affiliation with any parties
- » Opinions are subject to interpretation
- » Fairness: we don't know all the information

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THE BIGGEST MELTDOWNS IN TENNIS

ftw.usatoday.com

FORTHEWIN
PART OF USA TODAY SPORTS

FORTHEWIN
PART OF USA TODAY SPORTS

16 biggest meltdowns in tennis history

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By: Chris Chase

May 18, 2018 8:12 am

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3. Serena Williams - 2011 U.S. Open (F)

US OPEN 2011			
FINAL FEMENINA			
	1	2	3
28 SERENA WILLIAMS	2	3	
9 SAMANTHA STOSUR	6	6	
FINAL			


In the 2011 U.S. Open final, chair umpire Eva Asderaki correctly called Serena for hindrance after the world No. 1 shouted "come on" before opponent, Sam Stosur had reached the ball. This doesn't go over well for Ms. Williams. After first confusing Asderaki with the umpire who was in the chair for her 2009 meltdown (we'll get to that), Serena continued her blowup during the changeover.

1. Serena Williams - 2009 U.S. Open (SF)


After five years of struggles that saw other women rise to the top of the sport, Serena returned with a vengeance in the later part of the decade. Her win at the 2008 U.S. Open, only her second in the last 14 majors, set her on a hot streak that included titles at the 2009 Australian Open and 2009 Wimbledon. Now, with the chance to win three of the year's four majors and back-to-back U.S. Opens for the first time in her career, Serena had to win a semifinal against Kim Clijsters, a former rival who'd taken off nearly three years to have her first child and had returned to the sport only weeks before. After Clijsters, Serena would only have to beat an overmatched teenager named Caroline Wozniacki to win the Open for the third time.

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SEXISM?



Follow

Report: Men penalized significantly more than women in tennis

BY RYAN YOUNG
SEPTEMBER 14, 2018 · 1 MIN READ



Report: Men penalized significantly more than women in


Here are some of the biggest fines, from the New York Times:

- Racket Abuse — Men 646, Women 99
- Audible Obscenity — Men 344, 140
- Unsportsmanlike Conduct — Men 287, Women 67
- Verbal Abuse — Men 62, Women 16
- Ball Abuse — Men 49, Women 35
- Visible Obscenity — Men 20, Women 11

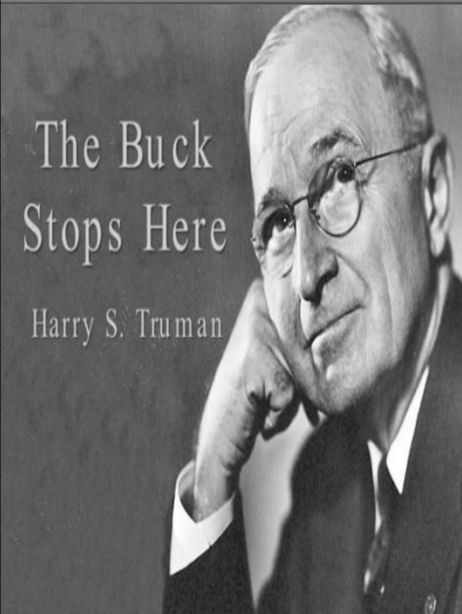
The biggest fine in which women were fined for more than men, coaching, is the one that Williams picked up her first penalty for during her loss to Naomi Osaka — which sparked the other two penalties.

More from Yahoo Sports:


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HARVICK ON CHEATING – “I JUST DRIVE THE CARS”



The Buck Stops Here
Harry S. Truman



Harvick on cheating: 'I just show up and drive the cars'

Nov. 9, 2018 09:01 PM EST

AVONDALE, Ariz. (AP) -- Kevin Harvick shrugged off a cheating scandal to show he's still a legitimate title contender by winning the pole for his final crack at making the championship race.

As for what exactly happened with his race-winning car last week, Harvick didn't offer any new information after claiming the top starting spot at ISM Raceway outside of Phoenix.

"I don't build the cars. I can't tell you what's good and what's bad. I just show up and drive the cars," Harvick said Friday.

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RICK SINGER – ACADEMIC FRAUD (APRIL 2019)

Times Staff Writer

ST. PETERSBURG — One day after he pleaded guilty in federal court to helping rich parents get their children into elite colleges through sham tests and phony athletic profiles, William “Rick” Singer’s pool membership kicked in at the North Shore Aquatic Complex.

The 58-year-old, at the center of a national college admissions scandal — stunning for its brazen deceit and celebrity players — has since swum at the public pool along the St. Petersburg waterfront on more than a dozen occasions, according to city records. He parks a black Porsche SUV beside the complex, with two paddleboards strapped to a roof rack.

His six-month membership costs \$175.

A shirtless Singer declined to speak with a reporter outside the complex



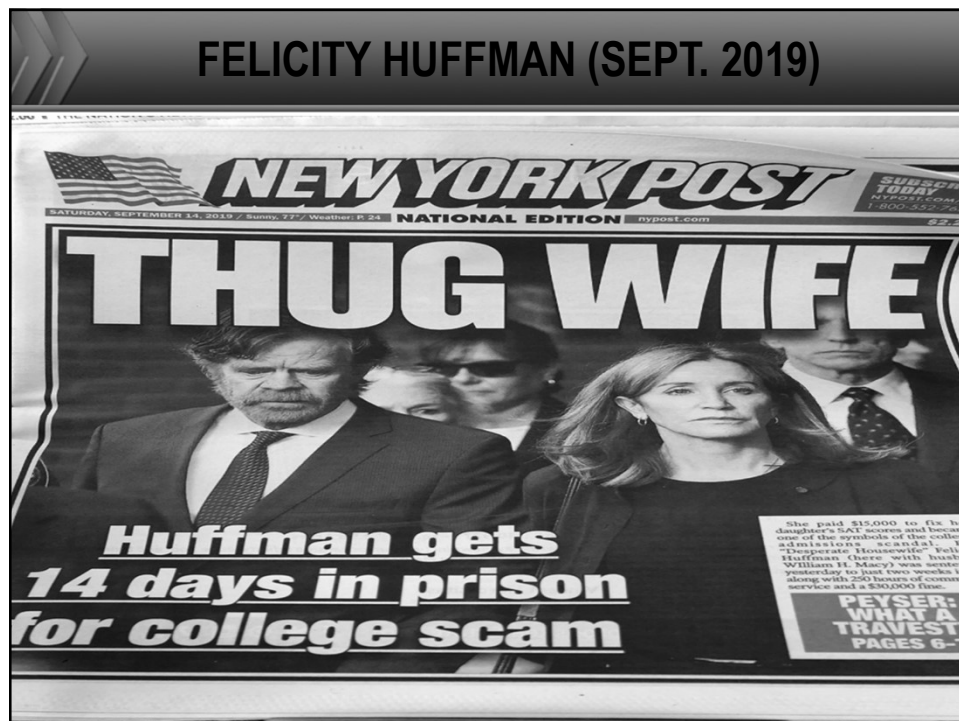
**William
“Rick” Singer**

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FELICITY HUFFMAN (SEPT. 2019)



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MICHIGAN STATE UNIVERSITY (SEPT. 2019)

MICHIGAN STATE FINED

\$4.5M

The federal government on Thursday ordered Michigan State University to make sweeping changes and pay a \$4.5 million fine after determining that it failed to adequately respond to sexual assault complaints against Larry Nassar, a former campus sports doctor who molested elite gymnasts and other female athletes. Education Secretary Betsy DeVos announced the penalty after the conclusion of two federal investigations. The fine is the largest levied under the Clery Act, a federal law that requires colleges to collect data on campus crime and notify students of threats. The previous largest fine, \$2.4 million, was imposed in 2016 against Pennsylvania State University over its handling of sexual misconduct involving former assistant football coach Jerry Sandusky. Nas-



Larry Nassar

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ANTONIO BROWN (SEPT. 2019)




THE UNDEFEATED

Antonio Brown thinks he's the victim

Jesse Washington

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WAS THE FIX IN?

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SELFISH

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OH, HELL NO!

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TAKE AWAYS – THINGS TO THINK ABOUT

- » **Constant Learning** – the Best Leaders are Constant Learners (Learn from mistakes)
- » **Losers – How we handle failure?** In a “winning is everything” society (Netflix); “Leadership Failure”; How many trials have you lost?
- » **7 Unexpected Signs You're a Lot More Successful Than You Think** (Inc. Magazine)
- » **“It’s Legal Isn’t It?”** – Never use legality as a guide to morality
- » **Hubris** – How the Mighty Fall (Jim Collins)

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TAKE AWAYS – THINGS TO THINK ABOUT

- » **Servant Leadership** – “The first rule of leadership is to be a good follower” (LT Lafferty)
- » **Consequences** verses Principle
- » **The Best Math** – Calculating the future cost of today’s decisions
- » **Culture** – Focus on the new, not the old
- » “I don’t have time” – **Make it a priority!**
- » Compliance – **Your dream job!**
- » **Happiness** – Make good decisions
- » Help Me – Send me what you think should be profiled; And remember, ***you are a rockstar!***

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CONSTANT LEARNING



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LOSERS – HOW DO WE HANDLE FAILURE?

4. You see failure as training.

Failure sucks, but it's also the best way to learn and grow. There will always be trials, challenges, and obstacles--but perseverance always wins in the end.

Every successful person has failed, numerous times. (Most of them have failed a lot more often than you. That's why they're so successful now.)

If you embrace every failure--if you own it, learn from it, and take full responsibility for making sure that next time things will turn out differently--then you're already successful.

And in time, you'll be even more successful, because you'll never stop trying to be better than you are today.

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ITS LEGAL ISN'T IT?

SEGREGATION

was Legal

SLAVERY

was Legal

WAR

is Legal

Never use
Legality as
a guide to
morality

THE MIND UNLEASHED
UNCOVER YOUR TRUE POTENTIAL



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HUBRIS – HOW THE MIGHTY FALL (JIM COLLINS)

A true leader is one
who is humble enough
to admit their
mistakes.

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SERVANT LEADERSHIP - FOLLOWER

DAVE'S DAILY TIP

**True leadership is
servanthood. Put
the interests of
others at the center
of your decisions.**

DAVERAMSEY.COM

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CONSEQUENCES V. PRINCIPLE

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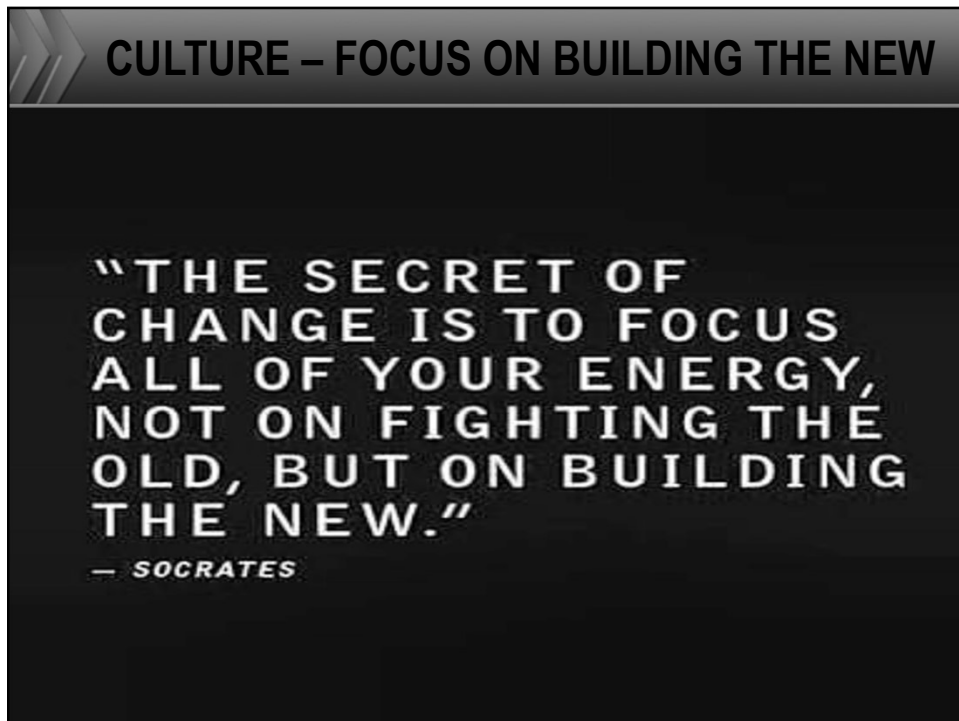
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THE BEST MATH - THE FUTURE COST OF DECISIONS

The best math you can learn is
how to calculate the future cost
of current decisions.

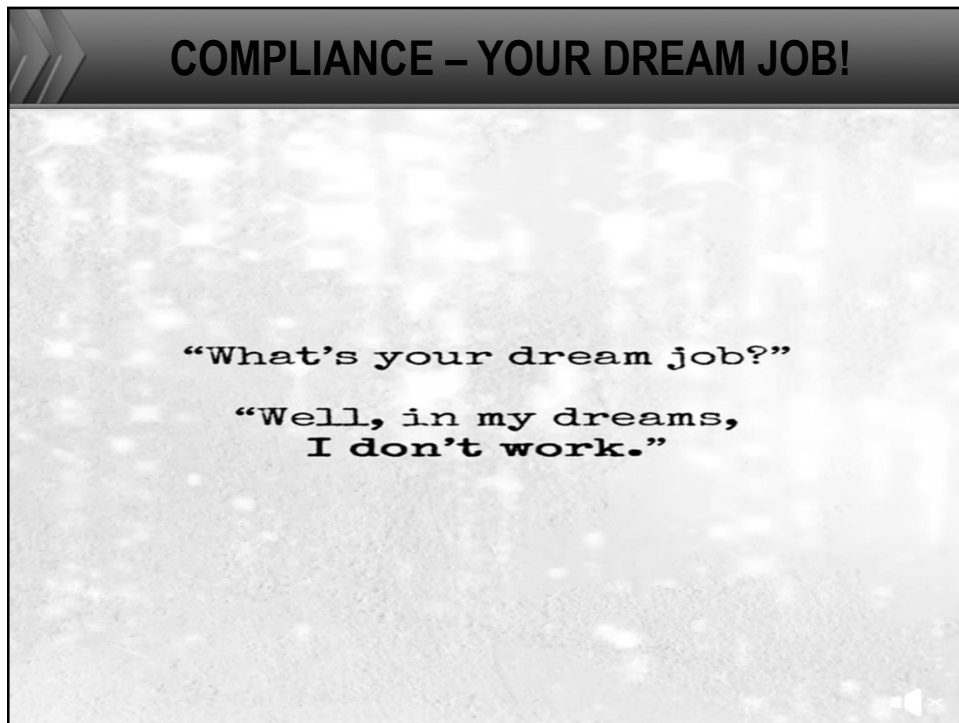
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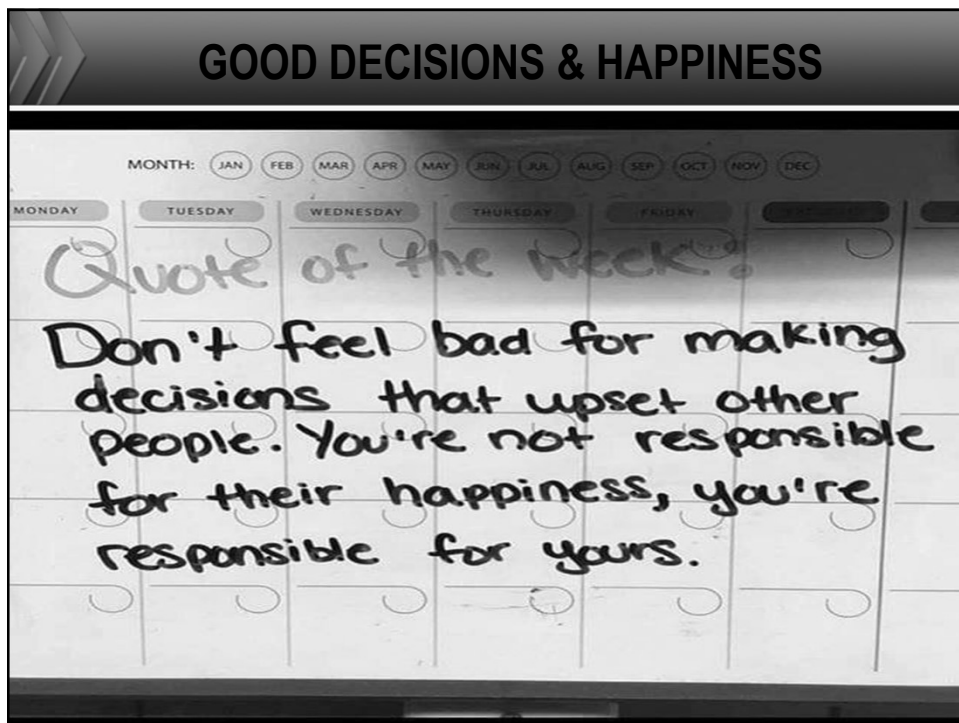
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- » Certified Healthcare Compliance (**CHC**) by HCCA
- » Certified Compliance & Ethics Professional (**CCEP**) by SCCE
- » 2 time **Best Lawyers in America Guide**, Tampa **Corporate Compliance Lawyer of the Year** 2019 & 2016
- » Former 10-year federal prosecutor/Assistant U.S. Attorney (**AUSA**); 6 years criminal & 4 years civil fraud enforcement including FCA *qui tam* investigations & litigation
- » **Special Prosecutor** in Office of Independent Counsel (OIC) (Whitewater/Monica Lewinsky)
- » **Ethics Advisor**, Office of Counsel to President George W. Bush
- » **Commissioner**, Florida Commission on Ethics (FCE) (2006 - 08)
- » **Vice-President/General Counsel**, Gulf Ridge Council, Boy Scouts of America (BSA) (2010 - 16)
- » Graduate Certificate in *Healthcare Corporate Compliance* (George Washington University) (2006)
- » Graduate Certificate in *Health Management & Leadership* (University of South Florida) (2004)

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