

Preliminary Agenda

17th Annual Society of Corporate Compliance and Ethics

COMPLIANCE & ETHICS INSTITUTE

OCTOBER 21-24, 2018 | LAS VEGAS, NV



2018

Experience the Difference

*New Conference Format, New Learning Tracks,
and New Networking Opportunities*

150+
SPEAKERS

9 LEARNING
TRACKS

100+
SESSIONS

Learn more and register at complianceethicsinstitute.org

About the Compliance & Ethics Institute



SCCE's annual Compliance & Ethics Institute is the primary education and networking event for professionals working in the compliance and ethics profession across all industries around the world. Sessions at the 2018 conference will offer the latest compliance information on hot topics and current events. Sessions are carefully selected and will be presented by leading experts who will explore real-world compliance issues, practical application, emerging trends, and state of the art techniques.

Pre-Conference sessions will be offered on Sunday, October 21. The day is divided into two longer sessions: morning and afternoon. The longer time frame allows for in-depth discussion and interaction covering topics in more detail.

Post-Conference workshops will be offered on Wednesday, October 24. The interactive sessions are designed to cover some of the most important and timely topics.

Learning Objectives

- Provide your organization with the most current views concerning the corporate regulatory environment, internal controls and the overall conduct of business
- Enhance strategic thinking on how to develop compliance and ethics programs to address potential corporate regulatory problems
- Address compliance, internal audit, and ethics issues common to all industries and professions
- Obtain insight on how to develop and implement compliance and ethics programs that reflect current trends and guidance from broad industry segments

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
- Audit managers
- Compliance and ethics journalists
- Compliance and ethics trainers and analysts
- Consultants
- Corporate executives (including CEOs and CFOs)
- Ethics professionals
- Human resource managers
- Information officers
- In-house and outside counsel
- 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



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)



Samantha Kelen Greves, CCEP,
General Compliance/Hot Topics Track
Program Co-Chair; Lead Ethics Analyst at
Duke Energy Corporation



Kristy Grant-Hart, JD, Multi-National/
International Track Program Co-Chair;
Founder and Managing Director, Spark
Compliance Consulting; Author, *How to Be
a Wildly Effective Compliance Officer*



Shin Jae Kim, CCEP, CCEP-I,
Multi-National/International
Track Program Co-Chair; Partner,
TozziniFreire Advogados



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



Joshua Toas, CCEP, CCEP-I General
Compliance/Hot Topics Track Program
Co-Chair; Chief Compliance Officer,
Research Foundation for SUNY



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

There's a wealth of learning options at the Compliance & Ethics Institute, with tons of valuable insights to bring back to your program. So, how do you choose the right sessions for you?

We've arranged the sessions into learning tracks to help make the course selection easier for you. Each track is arranged around a specific area of interest, enabling you to quickly find the sessions that match your needs. You can follow one track all the way through, or hop around among them. But no matter what you choose, you'll find our tracks to be an easy way to help pick the right Compliance & Ethics Institute sessions for you.

ETHICS

Immerse yourself in ethics

There are few things more challenging or rewarding to manage than ethics issues. It's a topic where everyone has an opinion. The subtleties are great, and they can make all the difference in the world. Ethics Track sessions will cover the ethical considerations that C&E professionals need to understand and manage effectively.

RISK

Effectively Managing Risk Across Your Organization

Risk and how to effectively manage it is a top priority for global organizations. Designed by our Risk Track Program Chair, Greg Triguba, 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 and compliance

It's one thing to discuss the issues compliance and ethics professionals face. It's another thing to see what companies have actually done to effectively 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 on the hot compliance topics for legal counsel. On it you'll find insights of value to your practice and your clients.

MULTI-NATIONAL/ INTERNATIONAL

Global compliance and ethics programmes face added complexities

Chaired by Marjorie Doyle, the International/Multinational Track will dive deeper into the needs of the global programme and the topics that are creating 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 will keep you up to date on everything that's currently happening in the compliance and ethics environment as well as bring you back to the basics and keep you grounded. Learn what you need to know from compliance & ethics officers, 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 good listeners. 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?

We invite you to join one of our advanced compliance sessions to delve deeper into the topics you struggle with most.

IT COMPLIANCE

The intersection of Information Technology and Compliance & Ethics

Our lives and our organizations are filled with Information Technology and it is bringing both huge benefit and also a huge liability. Compliance and Ethics officers have to constantly learn 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 machine. The IT Track sessions will empower the compliance community to help their organizations responsibly and effectively address the intersection of Information Technology and Compliance & Ethics, helping to bridge and benefit both of these professions.

ADVANCED DISCUSSION GROUPS*

Been there, done that? Join an advanced discussion group and share what you know

If you're an experienced compliance and ethics professional or looking for a more interactive program, this track is for you. Each session is designed to involve everyone in the room. There are no formal presentations, just discussion facilitated by industry experts.

SATURDAY, OCTOBER 20

10:00 AM–6:00 PM	Registration Open
10:30 AM–2:00 PM	Volunteer Project <i>(Pre-registration required)</i>

SUNDAY, OCTOBER 21

7:00 AM–6:00 PM	Registration Open
7:00 –8:30 AM	First Time Attendee Networking Breakfast <i>(By invitation only.)</i>
8:30–11:30 AM BREAKOUT SESSIONS <i>INCLUDES 15-MINUTE BREAK</i>	P1 Ethics & Compliance Risk Management 101: Program Essentials and Effective Practice – <i>Greg A. Triguba, Principal, Compliance Integrity Solutions</i>
	P2 AT&T’s Compliance Training Evolution/Revolution – <i>Susan Bounds, Director-Compliance, AT&T; Jayne Cano, Lead Compliance Analyst, AT&T - Chief Compliance Office; Lee Miller, Associate Director-Training Design, AT&T - Human Resources</i>
	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 – <i>Beth Colling, Vice President and Chief Compliance Officer, CDM Smith, Inc.; Rebeka Spires, Compliance and Ethics Officer, Louis Berger</i>
	P4 Anti-Corruption Workshop: FCPA and other Anti-Corruption Enforcement Hot Topics and Compliance Best Practices – <i>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.</i>
	P5 TBD
	P6 TBD
	P7 Building a Culture of Compliance Learning Excellence - 4 Multi-Nationals Share Their Insight – <i>Nicole Tarasoff, E&C Project Manager, True Office Learning; Jennifer Gardella, Director, Global Learning, Biogen; Michael McCafferty, Manager, Enterprise Compliance Training, E TRADE Financial; Vijay Chintamaneni, Professional Development Associate, BlackRock</i>
	P8 Preventing Harassment: Can Compliance Ever Succeed? – <i>Jason B. Meyer, President, LeadGood, LLC; Amy E. McDougal, President, CLEAResources, LLC; Susan A. Parkes, General Counsel & Vice President, Alyska Pipeline Service Company</i>
	P9 Investigations Workshop
	Part I (8:30–9:30 AM): Beginning the Investigation and Interviewing the Reporter – <i>Albert G. Gagne, Former Director, Ethics & Compliance, Textron Systems Corporation (retired); Latour (LT) Lafferty, Partner, Holland & Knight LLP</i> Part II (9:30–10:30 AM): Planning the Investigation – <i>Merik C. Bloch, Corporate Director, Investigations, Shriners Hospitals for Children</i> Part III (10:45 AM–11:30 PM): Revealing and Evaluating Documents – <i>Latour (LT) Lafferty, Partner, Holland & Knight LLP</i>
11:30 AM–1:00 PM	Lunch <i>(on your own)</i>
1:00–4:00 PM BREAKOUT SESSIONS <i>INCLUDES 15-MINUTE BREAK</i>	P10 Trade Compliance Risks: What You Don’t Know, Can Hurt You! – <i>Gwendolyn Hassan, Managing Counsel, Global Compliance & Ethics, CNH Industrial</i>
	P11 Ethics 101 from Theory to Application: What Would Kant Think About Tarantino Flix? – <i>Paul E. Fiorelli, Professor of Legal Studies and Director, Cintas Institute for Business Ethics, Xavier University; Bradley R. Agle, Professor, Brigham Young University</i>
	P12 Facebook and Equifax: Meeting Increased Customer Expectations, Not Just Regulatory Requirements – <i>Steven Minsky, CEO, LogicManager, Inc.</i>
	P13 Enforcement Goes International-What Does it Mean for Your Compliance Program? – <i>Thomas R. Fox, Compliance Evangelist, Advanced Compliance Solutions; Matt Ellis, Partner, Miller; Carlos Ayres, Partner, Maeda, Ayres e Sarubbi Advogados</i>
	P14 Federal Contractor—2018 Compliance Update – <i>Adelle Elia, Chief Integrity Officer, Louis Berger; Paige Shannon, Vice President, Risk and Compliance, Kforce Inc.</i>
	P15 Technology & Compliance: Understanding the Risks and Maximizing the Benefits – <i>Theodore L. Banks, Partner-President, Scharf Banks Marmor LLC - Compliance & Competition; Gene Stavrou; Heidi Rudolph, Managing Director, Morae Global</i>
	P16 New Beginnings: Starting your Compliance Program and what needs to be included – <i>Sheryl Vacca, SVP/Chief Risk Officer, Providence St Joseph Health; Debbie Troklus, Managing Director, Aegis Compliance & Ethics Center LLP</i>
	P17 The Great Internal Audit & Compliance Mystery – <i>Kelly C. Loya, Managing Director, Pinnacle Enterprise Risk Consulting Services, LLC; Kristen R. Taylor, Managing Director, Pinnacle Healthcare Consulting</i>
P18 Investigations Workshop <i>(continued from P9)</i>	
Part IV (1:00–2:00 PM): Taking Effective Interviews – <i>Merik C. Bloch, Corporate Director, Investigations, Shriners Hospitals for Children</i> Part V (2:15–3:15 PM): Preparing the Investigation Report – <i>Albert G. Gagne, Former Director, Ethics & Compliance, Textron Systems Corporation (retired)</i> Part VI (3:15–4:00 PM): Q&A Panel – <i>Merik 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</i>	
4:00–5:30 PM	Opening Reception in Exhibit Hall

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

MONDAY, OCTOBER 22

6:30–7:30 AM	Yoga (Pre-registration required)
7:00 AM–6:00 PM	Registration Open
7:00–8:00 AM	Continental Breakfast and Exhibitor Networking in Exhibit Hall
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 and Overworked and Overwhelmed</i>
9:30–10:00 AM	Networking Break with Exhibitors
10:00 – 11:00 AM BREAKOUT SESSIONS	101 Global Antitrust Compliance - Assessing Antitrust Risks and Creating an Effective Antitrust Compliance Program – Tim Bridgeford, Global Head - Antitrust Compliance, JP Morgan; Douglas Tween, Partner, Linklaters LLP
	102 Five Months to a Fantastic Code of Conduct – Michael R. Levin, Senior Director of Compliance: Ethics & Business Practices, Freddie Mac
	103 Snitches Get Stitches and Wind Up in Ditches: A Tale of Two Whistleblowers – Paul E. Fiorelli, Professor of Legal Studies and Co-Director, Cintas Institute for Business Ethics, Xavier University
	104 Trade Controls: Key Compliance Challenges – Peter L. Flanagan, Partner, Covington & Burling LLP; John Pisa-Relli, Managing Director, Trade Compliance, Accenture
	105 E-Verify and Form I-9 Compliance Under a Reasonable Yet Enforcing Government – Melissa A. Hadel, HRIS Analyst, Allegis Group
	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 ABC, AML and Export Control-The broadening and convergence of compliance requirements – Thomas R. Fox, Compliance Evangelist, Advanced Compliance Solutions; Vanessa Rossi, FCPA Compliance Counsel, Baker Hughes, a GE Company
	108 Leveraging innovation and technology to enhance your compliance program and manage third party risk – Pia Vining, Senior Director, Due Diligence, TRACE International; Gregory Bates, Counsel, Miller and Chevalier
	109 Managing Third Party Compliance Programs on a Global Scale – Allan Matheson, Chief Executive Officer, Blue Umbrella
	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 – Greg A. Triguba, Principal, Compliance Integrity Solutions	
11:00–11:15 PM	Networking Break with Exhibitors
11:15 AM – 12:15 PM BREAKOUT SESSIONS	201 Global Antitrust Compliance—Assessing Antitrust Risks and Creating an Effective Antitrust Compliance Program – Tim Bridgeford, Global Head of Antitrust Compliance, JP Morgan
	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™ – John T. Dalton, Dir Corp Compliance, Charles River Laboratories Inc.; Matthew L. Daniel, Corp VP Legal Compliance & Deputy General Counsel, Charles River Laboratories, Inc.
	204 Challenges of working with Intermediaries in Emerging Markets – Renata Muzzi, Partner, TozziniFreire Advogados; Shin Jae Kim, Partner, TozziniFreire Advogados
	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 – Leslie Benton, Vice President, Advocacy & Stakeholder Engagement, CREATE.org
	208 MGM Resorts International: Illuminating the Conversation through 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
209 TBD	
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, gatigroup	
12:15–1:15 PM	Networking Lunch
1:15–1:45 PM	Dessert and Networking Break with Exhibitors

PROFESSIONAL SKILLS	RISK	ETHICS	CASE STUDIES	MULTI-NATIONAL/ INTERNATIONAL	COMPLIANCE LAWYER	IT COMPLIANCE	GENERAL COMPLIANCE/HOT TOPICS	INVESTIGATIONS WORKSHOP	ADVANCED COMPLIANCE	ADVANCED DISCUSSION GROUPS
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MONDAY, OCTOBER 22

1:45–2:45 PM BREAKOUT SESSIONS	301 Using Privacy Impact Assessments Effectively –Robert J. Bond, Partner & Notary Public, Bristows LLP
	302 Business Ethics 101: Why do People Cheat – Pouya Safi, Finance Lab Manager, Fund Director, Lecturer, 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, Compliance Officer, Department of Defense
	309 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; Waqas Shahid, Senior Managing Director - Ankura Consulting Group
	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 with Exhibitors
3:00–3:15 PM	Awards Presentation
3:15–4:15 PM	Keynote Address – General Compliance Session
4:15–5:30 PM	Networking Reception with Exhibitors

TUESDAY, OCTOBER 23

6:30–7:30 AM	Yoga (Pre-registration required)
7:00 AM–4:00 PM	Registration Open
7:00–8:15 AM	Continental Breakfast and Exhibitor Networking
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
9:15–9:45 AM	Networking Break and Last Chance to Visit with Exhibitors
9:45–10:45 AM BREAKOUT SESSIONS	401 Working with Uncle Sam: Managing Compliance Risk when Providing Services to the U.S. Government – Steve Epstein, 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 Incorporated
	404 Global Compliance—One size does not fit all – Yami Acosta, Director—Compliance, AT&T—Chief Compliance Office; Clarissa Benavides, Director-Compliance, AT&T; Luis Solis, Sr. Specialist—Environmental Health & Safety, AT&T—Chief Compliance Office
	405 DOs and Don'ts for Compliance Attorneys working for Nonprofits – Hussainatu Blake, Vice President, Focal Point Global; Adam Munitz, Senior Associate, FH+H PLLC
	406 Software License Compliance: Continuing Chaos, Costly, Challenging, and Changing: Why It's Sub-Radar, Intensifying, Hard & What To Do To Risk-Mitigate and Contribute Effectively – Henry Jones, 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 and Senior Advisor, Compliance & Ethics Solutions
	408 TBD
	409 Advanced Ethics and Compliance Program Design – Michael Volkov, CEO, Volkov Law Group LLC
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?	
10:45–11:00 AM	Networking Break

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TUESDAY, OCTOBER 23

11:00 AM – 12:00 PM BREAKOUT SESSIONS	501 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, VP, Assoc Gen Counsel & CCO, Dun & Bradstreet
	502 Developing a Culturally Competent Compliance Program – Deni A. Anderson, Director, Compliance Learning & Communications, Univision Communications Inc.
	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 Assurance Specialist, Arc Herkimer
	504 Crash Course on United Kingdom and Ireland Regulations for US Companies – Eric Brotten, Optum
	505 Leveraging Recent Developments in the Law to Advance Your Program – Rebecca Walker, Partner, Kaplan & Walker LLP; Jeffrey M. Kaplan, Partner, Kaplan & Walker LLP
	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 Compliance in the Modern Multi-National: Aligning Trade Compliance with Your Corporate Compliance Program – Suzanne Bullitt, Director - Global Trade Strategy & Compliance, Eastman Chemical Company
	AD9* TBD
AD10* TBD	
12:00 – 1:00 PM	Networking Lunch
1:00 – 2:00 PM BREAKOUT SESSIONS	601 TBD
	602 602 Ethical Considerations for Compliance Officers and Lawyers – Colleen Dorsey, Director, Organizational Ethics & Compliance, University of St Thomas- School of Law; Eileen M. Lach, Gen Counsel/CCO, IEEE
	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 Voogt Lord Smith; Andy Hinton, VP, Global Ethics & Compliance, Google; Harvey W. Woodford, VP, Chief Ethics & Compliance Officer and Corporate Secretary, Avnet, Inc.; Xavier Oustalnioi, 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 TBD
	607 What Are the OIGs - and Why You Should Care – Daniel H. Coney, Assistant Special Agent in Charge, DOI/OIG
	608 OFAC Sanctions: Navigating the Minefield – Robert Ward, VP Compliance, Houston International Business Corp
	609 TBD
	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.
2:00 – 2:15 PM	Networking Break
2:15 – 3:15 PM BREAKOUT SESSIONS	701 TBD
	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 Turning Compliance Lawsuit into a Movie that Transforms Employee Behavior – Marc Havener, CEO, Resonate Pictures Inc.; Heather Bell, AGDC Compliance, Altria; Karl Schneider, Senior Lead Specialist Compliance, AGDC
	704 TBD
	705 To Privilege or Not to Privilege: The Role of Attorney Advice in Performing Risk Assessments and Running a Compliance Program – Kristopher Watts, Director—Compliance, AT&T; Suzanne L. Montgomery, VP-Compliance, AT&T; Ed Kolto, VP-Associate General Counsel, AT&T Corporation
	706 TBD
	707 TBD
	708 The Road to ISO 37001 Ant-bribery Management Systems: How we got there and why it's worth it – Mark Speck, Managing Partner, Spektrum Inc.
	AD12* TBD

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TUESDAY, OCTOBER 23

3:15–3:30 PM	Networking Break
3:30–3:45 PM	Awards Presentation
3:45–4:45 PM	Keynote Address – General Compliance Session

WEDNESDAY, OCTOBER 24

7:30 AM–12:00 PM	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, Director, Ethics & Compliance, Latin America and Corporate Counsel, 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 – Saskia Zandieh, Attorney, Miller & Chevalier; Alexina G. Jackson, Director & Senior Counsel, Ethics and Compliance, AES Corporation
	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
	W6 TBD
	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 If the Wall Street Journal Calls, Will You Be Ready? – Grace E. Keith, Managing Director, Caliber Corporate Advisers; Ben DiPietro, Editor-Reporter, Wall Street Journal; Kitty Holt, Ethics & Compliance Officer, Plan International USA
9:30–9:45 AM	Networking Break
9:45–11:15 AM BREAKOUT SESSIONS	W9 The Wolf In Sheeps Clothing: Do You Know Where Your Next Risk Is Coming From? – Krista Muszak, Global Compliance Manager, Tech Data; Louis J. Perold, Global Compliance Manager, Jabil
	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, Associate Director, 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. Walters, AVP Compliance & General Counsel, Texas Woman’s University
	W14 TBD
	W15 How to Build a Wildly Successful Career in Compliance – Kristy Grant-Hart, Owner, Spark Compliance Consulting
	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
12:15–12:30 PM	Exam Check-In: Certified Compliance & Ethics Professional (CCEP)[®] and Certified Compliance & Ethics Professional - International (CCEP-I)[®]
12:30–3:30 PM	Certified Compliance & Ethics Professional (CCEP)[®] Exam <i>(optional)</i>
12:30–4:30 PM	Certified Compliance & Ethics Professional - International (CCEP-I)[®] Exam <i>(optional)</i>

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

SATURDAY, OCTOBER 20

10:00 AM – 6:00 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!

10:30 AM – 2:00 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, lunch 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 – 6:00 PM

Registration Open

7:00 – 8:30 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 A. Triguba, Principal, Compliance Integrity Solutions

- 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 – Chief Compliance Office

Lee Miller, Associate Director-Training Design, AT&T – Human Resources

- 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! 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. Provide resources for good decisions. 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."

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, Compliance and Ethics Officer, 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.

150+ SPEAKERS

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 TBD

IT COMPLIANCE TRACK

P6 TBD

Sunday, 8:30–11:30 AM

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, E&C Project Manager, True Office Learning

Jennifer Gardella, Director, Global Learning, Biogen

Michael McCafferty, Manager, Enterprise Compliance Training, E TRADE Financial

Vijay Chintamaneni, Professional Development Associate, BlackRock

- 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

- 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.

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. What does in the increase in international cooperation i
- 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).

100+
SESSIONS

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

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, Managing Director, Aegis Compliance & Ethics Center LLP

- 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 – 5:30 PM

Opening Reception in Exhibit Hall

MONDAY, OCTOBER 22

6:30 – 7:30 AM

Yoga (pre-registration required)

7:00 AM – 6:00 PM

Registration Open

7:00 – 8:00 AM

Continental Breakfast and Exhibitor Networking in Exhibit Hall

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 Global Antitrust Compliance - Assessing Antitrust Risks and Creating an Effective Antitrust Compliance Program

Monday, 11:00 AM – 12:00 PM

Tim Bridgeford, Global Head – 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

102 Five Months to a Fantastic Code of Conduct

Monday, 11:00 AM – 12:00 PM

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

- Creating a Code of Conduct doesn't have to take two years to write and implement. Learn how Freddie Mac completely reimagined its Code, encouraged stakeholder engagement, and re-launched its Code program.
- Practical guidance to get the job done – selling the idea to senior management; revamping the values; making it user-friendly.
- When you hear other companies' stories of trials and tribulations, you can be the one who smiles and says “We did in months what other companies took years to accomplish!”



CASE STUDY TRACK

103 Snitches Get Stitches and Wind Up in Ditches: A Tale of Two Whistleblowers

Monday, 11:00 AM – 12:00 PM

- Paul E. Fiorelli**, Professor of Legal Studies and Co-Director, Cintas Institute for Business Ethics, Xavier University
- Learn the biggest fears whistleblowers have, and explore the case study of Mark Whitacre from ADM.
 - Evaluate the story of Michael Woodford and Olympus' \$1.7 billion fraud.
 - Review how whistleblowers can misinterpret situations, how companies can deal with that, and analyze how to reduce the "trust vacuum" between employers and employees.

INTERNATIONAL/MULTI-NATIONAL TRACK

104 Trade Controls: Key Compliance Challenges

Monday, 11:00 AM – 12:00 PM

- Peter L. Flanagan**, Partner, Covington & Burling LLP
John Pisa-Relli, Managing Director, Trade Compliance, Accenture
- Experienced in-house and outside counsel will address important and difficult challenges for trade compliance programs, including both substantive and implementation issues.
 - Part I will address substantive challenges, including: identifying persons related to restricted parties, managing technology controls, and relationships with third party suppliers and customers.
 - Part II will address practical considerations for implementing a truly effective compliance program, such as: developing clear policies and procedures, cross-cultural issues, program scalability, and training vs. communication.

COMPLIANCE LAWYER

105 E-Verify and Form I-9 Compliance Under a Reasonable Yet Enforcing Government

Monday, 11:00 AM – 12:00 PM

- Melissa A. Hadel**, HRIS Analyst, Allegis Group
- E-Verify Listens and I-9 Central.
 - 9+ Years Experience and Stories of Common Fraudulent Documentation and Scenarios at a Staffing Agency.
 - Increasing ICE Presence & I-9 Audits: Don't Wait Unprepared! Self Checks, Internal Audits, and Daily Best Practices.

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 ABC, AML and Export Control-The broadening and convergence of compliance requirements

Monday, 11:00 AM – 12:00 PM

- Thomas R. Fox**, Compliance Evangelist, Advanced Compliance Solutions
Vanessa Rossi, FCPA Compliance Counsel, Baker Hughes, a GE Company
- The Panama Papers leaks and others have demonstrated the need for more information on shell corporations and more robust and earlier due diligence when onboarding new third parties.
 - Regulators are now looking to non-financial institutions to determine the extent of the anti-money laundering procedures and protocols as part of their enforcement actions involving fraud and corruption.
 - More robust AML and export controls compliance, frequently supported by technology, provides greater and more robust information to the FCPA compliance specialist to enable them to make a more well-rounded decision regarding use of third parties.

GENERAL COMPLIANCE/HOT TOPICS TRACK

108 Leveraging innovation and technology to enhance your compliance program and manage third party risk

Monday, 11:00 AM – 12:00 PM

- Pia Vining Senior Director**, Due Diligence, TRACE International
Gregory Bates, Counsel, Miller and Chevalier
- How companies can allocate compliance resources to more effectively identify, manage and mitigate bribery and other compliance related risks.
 - Improving your anti-bribery risk assessment procedures: How to measure business bribery risk and develop an internal risk matrix.
 - Reducing third party screening costs, overcoming due diligence obstacles and managing relationships.

ADVANCED COMPLIANCE TRACK

109 Managing Third Party Compliance Programs on a Global Scale

Monday, 10:00 – 11:00 AM

- 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.

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

- Greg Triguba**, Principal, Compliance Integrity Solutions
- 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 with Exhibitors

11:15 AM – 12:15 PM

** 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.*

CONCURRENT BREAKOUT SESSIONS

RISK TRACK

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

Monday, 11:15 AM – 12:15 PM

- Tim Bridgeford**, Global Head of Antitrust Compliance, JP Morgan
- 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

- John T. Dalton**, Dir Corp Compliance, Charles River Laboratories Inc.
- Matthew L. Daniel**, Corp VP Legal Compliance & Deputy General Counsel, 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 **Challenges of working with Intermediaries in Emerging Markets**

Monday, 11:15 AM – 12:15 PM

- 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 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.

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

- Leslie Benton**, Vice President, Advocacy & Stakeholder Engagement, CREATE.org
- 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: Illuminating the Conversation through 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 TBD

Monday, 11:15 AM – 12:15 PM

150+ SPEAKERS

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 Using Privacy Impact Assessments Effectively

Monday, 1:45–2:45 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

302 Business Ethics 101: Why do People Cheat

Monday, 1:45–2:45 PM

Pouya Safi, Finance Lab Manager, Fund Director, Lecturer, 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 it discusses how it approaches 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

** 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

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 and sentiment 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, Compliance Officer, Department of Defense

- Compliance resources are everywhere, often overlap, and sometimes provide contradictory guidance. Scattered throughout the organization, though often underutilized, the "What If Model" can help!
- The "What If Model" is presented as a tool to organize disbursed compliance resources, craft learning objectives, offer multiple learning pathways, align outcomes, and design assessments
- 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.

ADVANCED COMPLIANCE TRACK

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

Monday, 1:45–2:45 PM

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

Waqas Shahid, 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.

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 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 – 3:15 PM

Awards Presentation

3:15 – 4:15 PM

Keynote Address: General Compliance Session

4:15 – 5:30 PM

Networking Reception with Exhibitors

TUESDAY, OCTOBER 23

6:30 – 7:30 AM

Y a (pre-registration required)

7:00 AM – 4:00 PM

Registration Open

7:00 – 8:15 AM

Continental Breakfast and Exhibitor Networking

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 – 9:45 AM

Networking Break and Last Chance to Visit with Exhibitors

9:45 – 10:45 AM

CONCURRENT BREAKOUT SESSIONS

RISK TRACK

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

Tuesday, 9:45 – 10:45 AM

Steve Epstein, 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, 9:45 – 10:45 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, 9:45 – 10:45 AM

Stephanie Jenkins, Chief Compliance Officer, ETHIX360

J. Rollins, CEO, ETHIX360 Incorporated

- 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, 9:45 – 10:45 AM

Yami Acosta, Director—Compliance, AT&T—Chief Compliance Office

Clarissa Benavides, Director-Compliance, AT&T

Luis Solis, Sr. Specialist—Environmental Health & Safety, AT&T—Chief Compliance Office

- One size doesn't fit all. As regulatory expectations continue to rise it is important to have a core base but ensure that we 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 the culture to ensure the spirit of the policy is captured, relevant and conveyed effectively.
- Leverage local resources to overcome challenges and learn about what is already in place, as existing processes may be as effective or better than proposed options. Building relationships and trust is key to building a successful Global Compliance Program.

COMPLIANCE LAWYER TRACK

405 DOs and Don'ts for Compliance Attorneys working for Nonprofits

Tuesday, 9:45 – 10:45 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 and their counsel 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: Continuing Chaos, Costly, Challenging, and Changing: Why It's Sub-Radar, Intensifying, Hard & What To Do To Risk-Mitigate and Contribute Effectively

Tuesday, 9:45 – 10:45 AM

Henry Jones, 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, 9:45 – 10:45 AM

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

Debra S. Hennelly, Founder and Senior Advisor, Compliance & Ethics Solutions

- 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 TBD

Tuesday, 9:45 – 10:45 AM

ADVANCED COMPLIANCE TRACK

409 Advanced Ethics and Compliance Program Design

Tuesday, 9:45 – 10:45 AM

Michael Volkov, CEO, Volkov Law Group LLC

ADVANCED DISCUSSION GROUP

AD7 Building the Bridge to Better Partnering – What Works!

Tuesday, 9:45 – 10:45 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.

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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, 9:45 – 10:45 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.

10:45 – 11:00 AM

Networking Break

11:00 AM – 12:00 PM

CONCURRENT BREAKOUT SESSIONS

RISK TRACK

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

Tuesday, 11:00 AM – 12:00 PM

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

Louis Sapirman, VP, Assoc Gen Counsel & CCO, Dun & Bradstreet

- 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

502 Developing a Culturally Competent Compliance Program

Tuesday, 11:00 AM – 12:00 PM

Deni A. Anderson, Director, Compliance Learning & Communications, Univision Communications Inc.

- 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 Brothen, Optum

- 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

Jeffrey M. Kaplan, Partner, Kaplan & Walker LLP

- 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 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

AD9 TBD

Tuesday, 11:00 AM – 12:00 PM

ADVANCED DISCUSSION GROUP

AD10 TBD

Tuesday, 11:00 AM – 12:00 PM

12:00 – 1:00 PM

Networking Lunch

1:00 – 2:00 PM

CONCURRENT BREAKOUT SESSIONS

RISK TRACK

601 TBD

ETHICS TRACK

602 Ethical Considerations for Compliance Officers and Lawyers

Tuesday, 1:00 – 2:00 PM

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

Eileen M. Lach, Gen Counsel/CCO, IEEE

- 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.

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 Oustainiol, 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 TBD

Tuesday, 1:00 – 2:00 PM

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, DOIOIG

- 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 Ward, VP 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 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 COMPLIANCE TRACK

609 TBD

Tuesday, 1:00 – 2:00 PM

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.

2:00 – 2:15 PM

Networking Break

2:15 – 3:15 PM

CONCURRENT BREAKOUT SESSIONS

RISK TRACK

701 TBD

Tuesday, 2:15 – 3:15 PM

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 have 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 **Turning Compliance Lawsuit into a Movie that Transforms Employee Behavior**

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 TBD

Tuesday, 2:15 – 3:15 PM

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

Kristopher Watts, Director—Compliance, AT&T Corporation

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

Ed Kolto, VP-Associate General Counsel, AT&T Corporation

- Begin with a high-level grounding on the definition of the attorney-client privilege. Then, from both the compliance and legal perspective, discuss the legal basis (pro and con) for performing risk assessments under privilege.
- Difference in perspective/role of attorneys and compliance professionals, even when the compliance professional is an attorney by education and experience, and how to maintain a healthy relationship between Legal & Compliance, despite natural tension.
- A non-attorney compliance professional will discuss the real-world impact of compliance work under privilege (can slow down the business, can curtail the effectiveness of the compliance professional, limits the independence of the compliance dep't, etc.

IT COMPLIANCE TRACK

706 TBD

Tuesday, 2:15 – 3:15 PM

GENERAL COMPLIANCE/HOT TOPICS TRACK

707 TBD

Tuesday, 2:15 – 3:15 PM

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, Spektrum Inc.

- 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 GROUP

AD12 TBD

Tuesday, 2:15 – 3:15 PM

3:15 – 3:30 PM

Networking Break

3:30 – 3:45 PM

Awards Presentation

3:45 – 4:45 PM

Keynote Address:
General Compliance Session

WEDNESDAY, OCTOBER 24

7:30 AM – 12:00 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, Director, Ethics & Compliance, Latin America and Corporate Counsel, 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

Saskia Zandieh, Attorney, Miller & Chevalier

Alexina G. Jackson, Director & Senior Counsel, Ethics and Compliance, AES Corporation

- 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.

IT COMPLIANCE TRACK

W6 TBD

Wednesday, 8:00–9:30 AM

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.

** 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

W8 If the Wall Street Journal Calls, Will You Be Ready?

Wednesday, 8:00–9:30 AM

Grace E. Keith, Managing Director, Caliber Corporate Advisers

Ben DiPietro, Editor-Reporter, Wall Street Journal

Kitty Holt, Ethics & Compliance Officer, Plan International USA

- In this interactive media training session, we will discuss common media interview pitfalls and ways to avoid them as well as some key tips on how to handle typical media inquiries—from a PR professional, Compliance Officer & Editor.
- As the media continues to take a closer look at regulations, compliance and the compliance function within any organization (regardless of the size or industry), it's increasingly important that the Compliance team be ready for their next call from media.
- As compliance professionals face a number of challenges when it comes to ensuring the right message around compliance is portrayed to the broader public, the media can be a very valuable resource. In this session we'll discuss ways to focus on messaging.

9:30 – 9:45 AM

Networking Break

9:45 – 11:15 AM

POST CONFERENCE BREAKOUT SESSIONS

RISK TRACK

W9 The Wolf In Sheeps Clothing: Do You Know Where Your Next Risk Is Coming From?

Wednesday, 9:45–11:15 AM

Krista Muszak, Global Compliance Manager, Tech Data

Louis J. Perold, Global Compliance Manager, Jabil

- 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, Associate Director, 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. Walters, 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 TBA

Wednesday, 9:45 – 11:15 AM

GENERAL COMPLIANCE/HOT TOPICS TRACK

W15 How to Build a Wildly Successful Career in Compliance

Wednesday, 9:45 – 11:15 AM

Kristy Grant-Hart, Owner, Spark Compliance Consulting

- Hear tips and tricks to super-charge your career. Learn to raise your profile, network your way into promotions, and find the ultimate mentors and champions.
- Explore the various pathways a compliance career can take. Hear about life in government, corporate, non-profit, and consulting to find out what is best for you.
- Find out the secrets of obtaining press coverage, getting podcast interviews, and being quoted in the newspaper. Learn how to get permission from your employer so you can elevate your career.

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.

12:15 – 12:30 PM

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

12:30 – 3:30 PM

Certified Compliance & Ethics Professional (CCEP)® Exam*
(Pre-registration required; offered in English only; Actual exam duration is 120 minutes per the candidate handbook).

12:30 – 4:30 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.

Agenda is subject to change.

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)

Registration

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 25

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 6/5/18 | on/before 10/1/18 | after 10/1/18 |
|--|------------------|-------------------|---------------|
| <input type="checkbox"/> SCCE Members Monday/Tuesday | \$1,099 | \$1,149 | \$1,199 |
| <input type="checkbox"/> Non-Members: Monday/Tuesday | \$1,349 | \$1,399 | \$1,449 |
| <input type="checkbox"/> New Membership & Registration* Monday/Tuesday | \$1,299* | \$1,349* | \$1,399* |
| <input type="checkbox"/> Pre-Conference: Sunday Morning..... | FREE** | \$175 | \$175 |
| <input type="checkbox"/> Pre-Conference: Sunday Afternoon | FREE** | \$175 | \$175 |
| <input type="checkbox"/> Post-Conference: Wednesday | FREE** | \$175 | \$175 |
| <input type="checkbox"/> Discount: 5 or more from same company..... | (\$100) | (\$100) | (\$100) |
| <input type="checkbox"/> Discount: 10 or more from same company..... | (\$150) | (\$150) | (\$150) |

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

** Free only with paid Monday & Tuesday conference registration through 6/5/18.

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: AmericanExpress MasterCard Visa Discover

Credit Card Account Number

Credit Card Expiration Date

Cardholder's Name

Cardholder's Signature

Conference Hotel

Caesars Palace

3570 Las Vegas Boulevard,
South, Las Vegas, NV 89109
Tel: 866-227-5944

complianceethicsinstitute.org/Location/HotelReservation.aspx

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> 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 \$25.00 (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 2017 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 Thursday, September 21, 2017 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

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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.

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6500 Barrie Road, Suite 250
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Preliminary Agenda

17th Annual Society of Corporate Compliance and Ethics

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