

October 6–9, 2013

Washington Hilton | Washington DC



12TH ANNUAL

Compliance & Ethics Institute

100+ educational sessions

More than 150 speakers

Six tracks: risk, ethics, case studies, international/multinational, advanced discussion groups, and hot topics in compliance



SOCIETY OF CORPORATE
COMPLIANCE AND ETHICS

Learn more at www.complianceethicsinstitute.org

Highlights

of the Compliance & Ethics Institute

Real-world compliance issues, practical application, emerging trends, and state-of-the-art techniques from leaders in compliance and ethics in a wide range of industries from around the world.

Hear about case studies and the latest trends in compliance & ethics from these experts and many more:



Karen Clapsaddle,
Director, Ethics Engagement
& Enterprise Operations,
Lockheed Martin Corporation



John DeLong, JD,
Director of Compliance,
National Security Agency



Patricia J. Harned,
President,
Ethics Resource Center



Virginia MacSuibhne,
JD, CCEP, Senior Director,
Ethics & Compliance,
Roche Molecular Systems



Courtney McBurney, JD,
Chief Compliance Officer,
GE Energy Management



Michael McLaughlin,
VP Legal, Chief Ethics &
Compliance Officer, Dell



Caroline K. McMichen,
CCEP, Chief Ethics &
Compliance Officer,
Molson Coors
Brewing Company



Matthew Tanzer,
VP and Chief Compliance/
Ethics Officer,
Tyco International



Alexandra Wrage,
President, TRACE
International, Inc.



Michele Yaroma,
CCEP, Supervisory
Special Agent, FBI

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 2013 conference will offer the latest compliance information on hot topics and current events. Sessions have been 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 6. 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 9. 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 2013 Compliance & Ethics Institute Planning Committee



Marjorie W. Doyle, JD, CCEP-F, CCEP-I, Multinational/International Track Program Chair; Managing Director, Aegis Compliance and Ethics Center; Of Counsel, Meade, Roach & Annulis, LLP



John Falcetano, CHC-F, CIA, CCEP-F, CHRC, CHPC, Advanced Discussion Group Program Chair, Chief Audit & Compliance Officer, Vidant Health



Odell Guyton, CCEP, CCEP-I, SCCE Co-Chair, Vice President, Global Compliance, Jabil



Joseph E. Murphy, JD, CCEP, CCEP-I, author of *501 Ideas for Your Compliance and Ethics Program*



Daniel Roach, JD, Co-Chair, SCCE Advisory Board; VP Compliance & Audit, Dignity Health



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



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



Adam Turteltaub, CHC, CCEP, Vice President of Membership Development, Society of Corporate Compliance and Ethics



Rebecca Walker, JD, Partner, Kaplan & Walker LLP

Become a Mentor. Find a Mentor. Connect with Your Peers.

Find a Connection and Support the Development of
the Profession at the Compliance & Ethics Institute

**EARN
1.5 CEUs***



Take advantage of our new, live SpeedMentoring and
SpeedNetworking sessions. You can try one or both.

SpeedNetworking

Sunday, October 6, 2013 | 7:30–8:30 AM

Maximize your compliance contacts by enrolling in the SpeedNetworking session. Just complete a profile and prioritize the types of compliance professionals you would like to meet, and the software behind the scenes will schedule a series of quick introductions to the right people.

SpeedMentoring

Sunday, October 6, 2013 | 12:00–1:30 PM

Want to give back to the profession by sharing your expertise? Sign up to be a mentor. When you come to the SpeedMentoring session, you'll connect face-to-face with compliance professionals looking for an experienced practitioner to guide them. Looking for a mentor? The SpeedMentoring session is the place to meet one-on-one with potential mentors.

Whichever option you choose, you are in control of the people you will connect with!

Participating is easy. Just sign up online at the link below.

You can even earn CEUs by participating.

SPACE IS LIMITED. SIGN UP NOW:

www.complianceethicsinstitute.org/speedmentors

We welcome all attendees of the 12th Annual Compliance & Ethics Institute to participate. The events are specifically focused on sharing knowledge and information relating to compliance and ethics. We respectfully request no solicitation of services or products during these sessions.

*A maximum of 1.5 CCB credits for networking may be awarded per year

Keynotes and General Sessions

Hear from industry and government leaders



Judge Patti B. Saris,
Chair, United States
Sentencing Commission



Michael Josephson,
President and Founder,
Josephson Institute



Stephen L. Cohen,
Associate Director, Division
of Enforcement, Securities
and Exchange Commission



Steve A. Linick,
Federal Housing Finance
Agency, Inspector General



Lynne M. Halbrooks,
Principal Deputy Inspector
General, Department of Defense



Paul K. Martin,
NASA Inspector General



Michael E. Horowitz,
Inspector General, U.S.
Department of Justice



Nell Minow, Board Member,
GovernanceMetrics
International, Co-Founder
of The Corporate Library

Become a Certified Compliance & Ethics Professional

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

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

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

Broaden your professional qualifications

Increase your value to your employer

Gain expertise in the fast-evolving compliance field

CCEPSM
Certified Compliance & Ethics Professional



Learning Tracks Are Back

We've added even more sessions this year. To make course selection easier, we've identified special learning tracks:

- ▶ Risk
- ▶ Ethics
- ▶ Case Studies
- ▶ Multinational/International
- ▶ Advanced Discussion Groups

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. No matter what you choose, you'll find our tracks a fast, easy way to help pick the right sessions for you.



RISK

Learn to effectively manage the risks your company faces

Risk and how to effectively manage it has become a top priority for most organizations. Developed by our Risk Track Program Chair, Greg Triguba, these sessions are focused on top compliance and ethics risks. Interactive sessions are led by experts in the compliance, ethics, and risk management field. Participants will take a deep dive into important risk areas and will learn strategies for effectively managing these risks.

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.

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.

MULTINATIONAL/ INTERNATIONAL

Global compliance and ethics programs face added and fast-changing complexities

Chaired by Marjorie Doyle, the Multinational/International Track will dive deeper into the needs of the global program and the topics that are creating the biggest challenges for global companies today.



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, you'll enjoy the sessions in our Advanced Discussion Group Track. Each of these sessions is designed to involve everyone in the room. There is no formal presentation, just discussion led by an industry expert.

Pre-registration is required for Advanced Discussion Groups. Attendance is limited to 50 participants. Please indicate your attendance on your registration form.

Program at a glance

Saturday, October 5

3:00–7:00 PM	Registration Open
11:00 AM–3:30 PM	Volunteer Project

Sunday, October 6

7:30–8:30 AM	SpeedNetworking
7:30 AM–6:00 PM	Registration Open
9:00 AM–12:00 PM PRE-CONFERENCE MORNING BREAKOUT SESSIONS <i>(includes 15-minute break)</i>	P1 Ethics & Compliance Risk Management 101: Program Essentials and Effective Practice – Greg Triguba, Principal, Compliance Integrity Solutions, LLC; Sheryl Vacca, Senior Vice President/Chief Compliance & Audit Officer, University of California
	P2 Humanity as a Key to Embedding an Ethical Culture – Jane Mitchell, Director, JL&M; Chair, eCP
	P3 Creating a Compliance Program from Scratch – Larry Parsons, Vice President, Ethics and Compliance, McLane Company; Art Weiss, Chief Compliance & Ethics Officer, TAMKO Building Products
	P4 Conducting Due Diligence Investigations in China – (Moderator) Raymond F. Humphrey, Owner and President of Humphrey & Company; Advisor and Member of the Board of Directors, i-factanalysis; Kent Anderson, Managing Director, Seattle Office; Philip Curlewis, Managing Director, Hong Kong & Shanghai Offices; Dennis Moschella, Managing Director, Los Angeles Office
	P5 Stress Testing Your Ethics and Compliance Program: Would You be Prepared to Respond to an External Review of Your Ethics and Compliance Program? – Carrie Penman, President, Ethical Leadership Group, NAVEX Global; Edward Petry, Vice President, Ethical Leadership Group, NAVEX Global
	P6 The Art & Science of Making a Code of Conduct Come to Life – Kristin von Donop, Principal, Change Logic; Frances Johnston, Founder, Teleos Leadership Institute
	P7 Investigations Workshop Part I (9:00–10:00 AM): Beginning the Investigation and Interviewing the Reporter – Al Gagne, Former Director, Ethics & Compliance, Textron Systems Corporation (retired); Latour (LT) Lafferty, Shareholder, Fowler White Boggs, P.A. Part II (10:00–11:00 AM): Planning the Investigation – Meric Bloch, Compliance Officer, Adecco Part III (11:15 AM–12:00 PM): Taking Effective Interviews – Meric Bloch, Compliance Officer, Adecco
12:00–1:30 PM	Lunch (on your own)
12:00–1:30 PM	SpeedMentoring
1:30 PM–4:30 PM PRE-CONFERENCE AFTERNOON BREAKOUT SESSIONS <i>(includes 15-minute break)</i>	P8 Leveraging Ethics and Compliance Program Assessments to Enhance Program Effectiveness and Manage Risk – Rebecca Walker, Partner, Kaplan & Walker, LLP; Amii Barnard-Bahn, Compliance & Ethics Officer, McKesson Corporation U.S. Pharmaceutical
	P9 Designing an Annual Ethics and Compliance Initiatives Report – Julie Murray, Principal, Solutions House; Gary W. Hill, Principal, Solutions House; Charles Ruthford, Principal, Solutions House
	P10 TBD
	P11 Compliance Considerations: Expanding Your Business into Emerging Markets – Scott Lane, Principal & CEO, The Red Flag Group, Juliet Lui, Consultant – Advisory, The Red Flag Group
	P12 Compliance and Ethics for Lawyers & In House Counsel – Donna C. Boehme, Principal, Compliance Strategists LLC; Joseph E. Murphy, author of 501 Ideas for Your Compliance and Ethics Program
	P13 Fixing Your Ho-Hum Compliance Training – Stephen M. Paskoff, President & CEO, ELI
	P14 Investigations Workshop (continued from P7) Part IV (1:30–2:30 PM): Revealing and Analyzing Documents – Latour (LT) Lafferty, Shareholder, Fowler White Boggs, P.A. Part V (2:45–3:45 PM): Preparing the Investigation Report – Al Gagne, Former Director, Ethics & Compliance, Textron Systems Corporation (retired) Part VI (3:45–4:30 PM): Q&A Panel – Meric Bloch, Compliance Officer, Adecco; Al Gagne, Former Director, Ethics & Compliance, Textron Systems Corporation (retired); Latour (LT) Lafferty, Shareholder, Fowler White Boggs, P.A.
4:30–6:30 PM	Opening Reception in Exhibit Hall
6:00–7:00 PM	Authors' Reception and Academy Reunion
6:30–7:30 PM	Tweetup

Monday, October 7

7:00 AM–6:00 PM	Registration Open
7:00–8:15 AM	Continental Breakfast in Exhibit Hall
8:15–8:30 AM	Opening Remarks
8:30–9:00 AM	General Session – Judge Patti B. Saris, Chair, United States Sentencing Commission
9:00–9:30 AM	General Session – Stephen L. Cohen, Associate Director, Division of Enforcement, Securities and Exchange Commission
9:30–10:30 AM	General Session – Michael Josephson, President and Founder, Josephson Institute
10:30–11:00 AM	Networking Break in Exhibit Hall

Agenda subject to change



Program at a glance

Monday, October 7

11:00 AM – 12:00 PM BREAKOUT SESSIONS	101 Advanced Anti-Corruption/Bribery Program Practice: Challenges, Trends and Effectively Managing Risk – Nathaniel Edmonds, Partner, Paul Hastings LLP; Former Assistant Chief (FCPA Unit), Criminal Division, Fraud Section, US DOJ CCEP CCEP-I
	102 Compliance, Character and Corporate Culture – Frank Arnold, Professor, St. Leo University CCEP CCEP-I
	103 Mapping Your Program to the Federal Sentencing Guidelines (FSGs) – Shelley Aul, Associate Director, Programs & Projects, Apollo Group, Inc.; Vernon M. Speshock, Associate Director of Policy and Ethics and Compliance Operations, Apollo Group, Inc. CCEP
	104 Out of Africa – Paul Zietsman, Chief Compliance Officer, Sasol Group Services CCEP-I
	105 Compliance & Conflict Minerals: Lessons Learned – Amy K. Lehr, Attorney, Foley Hoag LLP; Barbara H. Kipp, Partner, Pricewaterhouse Coopers
	106 Automation Tools for Compliance: 2013 – Theodore Banks, Partner, Scharf Banks Marmor LLC
	107 What to Do When the Government Comes Knocking – Gabriel L. Imperato, Managing Partner, Broad and Cassel; James M. Lord, Senior Director, Alvarez & Marsal, Global Forensic & Disputes Services, LLC CCEP
	108 Data on the Effects of Compliance and Ethics Programs on Employee Behavior – Patricia J. Harned, President, Ethics Resource Center; Mara Lindokken, Data Analyst, Ethics Resource Center
	AD109 Compliance Program Self Assessment – John Falcetano, Chief Audit & Compliance Officer, Vidant Health CCEP CCEP-I
	AD110 Would Your Culture Pass Muster with the Feds? – David Gebler, President, Skout Group, LLC CCEP
12:00 – 1:00 PM	Networking Lunch
1:00 – 1:30 PM	Networking Break in Exhibit Hall
1:30 PM – 2:30 PM BREAKOUT SESSIONS	201 Global Antitrust & Competition Law Risk: The Real Challenges Facing Your Organization and Strategies for Effective Management – Joseph E. Murphy, author of 501 Ideas for Your Compliance and Ethics Program CCEP-I
	202 Ethics in the Age of Velocity – Mary Doyle, Senior Manager, Ethics & Compliance Program Office, Intel
	203 Evolution of the Code of Ethics – Julie Moriarty, General Manager, Training and Communications Strategy, The Network
	204 FCPA Compliance Risks in Mexico – Javier Lopez de Obeso, Legal Area, Institutional Internal Control Unit, Pemex; Alejandro Perez Serrano, Partner, Baker & McKenzie CCEP-I
	205 Designing the Best Test – LaDon Berndt, Vice President, Global Compliance, BNY Mellon
	206 Built for Success: The Five Essential Features of Today's Chief Ethics & Compliance Officer (CECO) Position – (Moderator) Donna Boehme, Principal, Compliance Strategists LLC; Patrick J. Gnazzo, Principal, Better Business Practices; Judith Nocito, Assistant General Counsel, Director Global Compliance, Alcoa; Karen Bertha, Chief Ethics and Compliance Officer, MCR LLC CCEP CCEP-I
	207 Measuring Effectiveness: Practical Tools – Lynda Hilliard, Deputy Compliance Officer, University of California; Sheryl Vacca, SVP/Chief Compliance & Audit Officer, University of California CCEP CCEP-I
	208 Ethics and Communication: The Role of CCOs and CMOs in Creating an Ethical Culture – (Moderator) Paul J. Gennaro, Senior Vice President, Corporate Communications, Chief Communications Officer, AECOM; Ian D. Campbell, Vice Chairman, The Abernathy MacGregor Group; Tim Erlich, CEO, The Ethisphere Institute; Holly Gregory, Partner, Weil, Gotshal & Manges; Judith Sherwin, Shareholder and Board Member
	AD209 A Global Vendor Code of Ethics & Business Conduct – Web Hull, Senior Privacy & Compliance Specialist, Iron Mountain CCEP CCEP-I
	AD210 Does Your Violations Reporting System Measure Up? – Al Gagne, Former Director, Ethics & Compliance, Textron Systems Corporation (retired)
2:30 – 3:00 PM	Networking Break in Exhibit Hall
3:00 PM – 4:00 PM BREAKOUT SESSIONS	301 Cyber-Security Risk in the Global Organization: Trends, Challenges and Strategies for Effective Management – David Childers, Chief Executive Officer, Compli; Douglas Scott Johnson, former Deputy Assistant Director, Office of Investigations U.S. Secret Service
	302 Whistleblowing: A Historical Overview from the Civil War to Dodd-Frank – Paul Fiorelli, Professor of Legal Studies and Co-Director, Cintas Institute for Business Ethics, Xavier University CCEP
	303 Third Party Risk-Based Anti-Bribery Due Diligence – Frank Taber, Director, Global Ethics & Compliance, Hospira, Inc. CCEP-I
	304 Behaviorism or Why Good People Make Bad Choices – Sally March, Director, Drummond March & Co
	305 Ten Things You Wish You Had Known When You Started in Compliance and Ethics – (Moderator) Lizza Catalano, Conference Planner, Society of Corporate Compliance & Ethics; Marjorie W. Doyle, Managing Director, Aegis Compliance and Ethics Center; Of Counsel, Meade, Roach & Annulis LLP; Odell Guyton, SCCE Co-Chair, Vice President, Global Compliance, Jabil; Daniel R. Roach, Co-Chair, SCCE Advisory Board, VP Compliance & Audit, Dignity Health
	306 Go Social: Using Social Media for Compliance Training Success – Stefani Dawkins, Manager, Enterprise Compliance, Business Engagement, Cisco Systems; Gabriel Carrejo, Senior Director, Blackhawk Networks
	307 Advanced Investigative Interviewing Techniques – Michael Johnson, CEO, Clear Law Institute CCEP CCEP-I
	308 Is Government Credit for Compliance Programs Real? – Win Swenson, Partner, Compliance Systems Legal Group
	AD309 Getting the Most Out of Compliance Committees – Paula Saddler, Principal, Hudson-Ethics Consulting; Margaret Steenrod, Director, Pacific Financial Center LLC CCEP CCEP-I
	AD310 What To Do When No One Will Listen – Andrea Bonime-Blanc, CEO & Founder, GEC Risk Advisory LLC

Agenda subject to change

Program at a glance

Monday, October 7

4:00 – 4:30 PM	Networking Break in Exhibit Hall
4:30 PM – 5:30 PM BREAKOUT SESSIONS	401 Global Trade Compliance: From Export Reform to Conflict Minerals—How to Navigate and Mitigate the Risks of a Shifting Trade Compliance Landscape – Gwendolyn Hassan, Manager, Corporate Compliance, Office of the General Counsel, Navistar, Inc. CCER-I
	402 Ethical Risk Profiles: Organizational Value Add – Ann D. E. Fraser, Executive Director, VICR, Canadian Food Inspection Agency
	403 Ethics Program Assessments: Driving Consistency – Karen Clapsaddle, Director, Ethics Engagement & Enterprise Operations, Lockheed Martin Corporation; Craig Cash, Director, Ethics & Business Conduct, Mission Systems and Training, Lockheed Martin Corporation
	404 Compliance Challenges in Russia – Tom Firestone, Senior Counsel, Baker & McKenzie; Anton Alferov, Chief Compliance Officer, Halliburton Law Dept., Eurasia
	405 Compliance in the National Security Context – John DeLong, Director of Compliance, National Security Agency; Julia Pallozzi-Ruhm, Deputy Director of Compliance, National Security Agency
	406 Suspension, Administrative Agreements & Recovery – Adelle Elia, Director, Ethics & Compliance, GTSI Corp; Paige Shannon, Federal Compliance Officer, Kforce, Inc. CCER CCER-I
	407 The Ethical Dilemma: How to Create a “Speak Up” Culture and Get People in Your Organization Talking About Ethical Issues – Peter Jaffe, Chief Ethics and Compliance Officer, The AES Corporation; Colette Devine, Deputy Chief Ethics and Compliance Officer, The AES Corporation
	408 TBD
	AD409 Influencing Decision-Making – Jennifer O’Brien, Chief Medicare Compliance Officer, United Healthcare Medicare & Retirement; Shawn DeGroot, Associate Director, Navigant
	AD410 Be Careful What You Wish For: Monitoring, Incentives and Unintended Consequences – Scott Killingsworth, Partner, Bryan Cave LLP CCER CCER-I
5:30 – 7:00 PM	Networking Reception in Exhibit Hall
7:00 – 9:00 PM	International Compliance & Ethics Awards Dinner

Tuesday, October 8

7:00 AM – 5:30 PM	Registration Open
7:00 – 8:15 AM	Continental Breakfast in Exhibit Hall
8:15 – 8:30 AM	Opening Remarks
8:30 – 9:30 AM	General Session – Lynne M. Halbrooks, Principal Deputy Inspector General, Department of Defense; Michael E. Horowitz, Inspector General, U.S. Department of Justice; Steve A. Linick, Federal Housing Finance Agency, Inspector General; Paul K. Martin, NASA Inspector General
9:30 – 10:00 AM	General Session – Nell Minow, Board Member, GovernanceMetrics International, Co-Founder of The Corporate Library
10:00 – 10:30 AM	General Session – Peter Shankman, author of Nice Companies Finish First
10:30 – 11:00 AM	Networking Break in Exhibit Hall
11:00 AM – 12:00 PM BREAKOUT SESSIONS	501 Social Media in the Workplace: Successful Compliance Infrastructures and Effectively Managing Risk – Caroline K. McMichen, Chief Ethics & Compliance Officer, Molson Coors Brewing Company
	502 Seeing Transparency Clearly – David Gebler, President, Skout Group, LLC
	503 How It Happened Again: Lessons Learned From the Space Shuttle Columbia Accident – Kendra Cook, Director-Corporate Compliance, Integrity Applications Incorporated
	504 Corruption Risks in South America & How to Respond – Luis Ortega, Senior Manager, Deloitte Financial Advisory Services LLP; Vito Giovino, Senior Manager, Deloitte Financial Advisory Services LLP CCER-I
	505 How Good is My Compliance Program & How Do I Know? – Kris DiGirolamo, Compliance & Privacy Director, Allstate Insurance Company; Randy Sparks, Compliance Sr. Manager, Allstate Insurance Company CCER CCER-I
	506 A Shared-Cost Approach to Antibribery Compliance – Alexandra Wrage, President, TRACE International, Inc. CCER-I
	507 Ten Solid Ways to Prevent Retaliation – Gretchen A. Winter, Executive Director, Center for Professional Responsibility in Business and Society at the University Illinois College of Business; Katherine Cooper Franklin, Shareholder, Littler Mendelson; Earl “Chip” Jones, Shareholder, Littler Mendelson P.C. CCER CCER-I
	508 Running with Scissors: Building a Compliance Program in a Bureaucracy – Suzanne Latimer, Director, Office of Compliance & Ethics, TX Department of Transportation
	AD509 Overcoming Regulatory Barriers to Employee Engagement with Ethics and Compliance Programs – Charles D. Chadwick, Vice President, Contracts and Business Conduct, BAE Systems, Inc.; Steve Priest, Founder, Ethical Leadership Group
	AD510 / REPEAT OF AD409 Influencing Decision-Making – Jennifer O’Brien, Chief Medicare Compliance Officer, United Healthcare Medicare & Retirement; Shawn DeGroot, Associate Director, Navigant
12:00 – 1:30 PM	Networking Lunch

Agenda subject to change



Program at a glance

Tuesday, October 8

1:30 PM – 2:30 PM BREAKOUT SESSIONS	601 Government Contracting and Relationships: Challenges, Opportunities, and Effective Management of Risk – Eric R. Feldman, Principal, Director of Corporate Compliance Programs, Affiliated Monitors, Inc.; Cherie Raven, Director of Ethics & Business Conduct, BAE Systems CCEP
	602 Building and Reinforcing An Ethics-Based Culture – Joseph Hayes, Assistant General Counsel, VP Ethics & Business Conduct, Service Corporation International
	603 Demystifying Compliance in a Time of Oversight – Sean Temeemi, Chief Compliance Officer, FHI 360; Esther Ko, Director, Internal Audit, FHI 360; Shaila Gupta, Director, Compliance and Risk Management, Compliance, FHI 360
	604 From Europe...Beyond Europe – Tuula Nieminen, International Lawyer and Compliance & Ethics Professional, Florentine Consulting Ltd. CCEP-I
	605 How Corporate Monitors Assess Compliance Programs – John Hanson, Executive Director, Artifice Forensic Financial Services, LLC; Bart M. Schwartz, Chairman, Guidepost Solutions LLC; Patricia M. Sulzbach, Senior Counsel, Clark Hill PLC CCEP
	606 The Medium is the Message: Marketing Compliance & Ethics to Your Workforce – Barbara Harmon, Compliance Program Supervisor, Alyeska Pipeline Service Company
	607 Outsourcing Compliance: Yes, It Can Be Done! – Janet Himmelreich, Head, Client Compliance Services, BT Global Services; Steve J. Kilmister, Assurance Director, BT Global Services
	AD608 / REPEAT OF AD410 Be Careful What You Wish For: Monitoring, Incentives and Unintended Consequences – Scott Killingsworth, Partner, Bryan Cave LLP
	AD609 / REPEAT OF AD309 Getting the Most Out of Compliance Committees – Paula Saddler, Principal, Hudson-Ethics Consulting; Margaret Steenrod, Director, Pacific Financial Center LLC
2:30 – 3:00 PM	Networking Break
3:00 PM – 4:00 PM BREAKOUT SESSIONS	701 Records and Information Management for the Next Generation: Emerging Risks and Effective Management – Michael Salvatore, Leader, LRN; Virginia MacSuihne, Senior Director, Legal Ethics & Compliance, Roche Molecular Systems
	702 Maximizing Integrity at Key Career Moments – Jennifer Kugler, Senior Director, CEB
	703 Best Practices for Conducting Internal Research – Kitty Holt, Ethics & Compliance Officer, Plan International USA
	704 Emerging Markets and Integrity Risk Management – David G. Hawkes, Head of Special Litigation Unit, Integrity Vice Presidency, The World Bank; Paul Haynes, Head of the Voluntary Disclosure Program, Integrity Vice Presidency, The World Bank CCEP CCEP-I
	705 Investigations: Strategy and Conducting Interviews – Michele Yaroma, Supervisory Special Agent, FBI CCEP CCEP-I
	706 C&E Programs for Joint Ventures and Subsidiaries – Jeffrey Kaplan, Partner, Kaplan & Walker LLP
	707 Faced with Possible Debarment, What Should You Do? – Robert Knox, Assistant Inspector General for Investigations, DOI-OIG; Stanley Stocker, Debarment Program Manager, DOI-OIG; Lori Vassar, Director, Administrative Remedies Division, DOI-OIG
	AD708 To Disclose or Not Disclose? – Paul McNulty, Partner, Baker & McKenzie
4:00 – 4:15 PM	Networking Break
4:15 PM – 5:15 PM BREAKOUT SESSIONS	801 Conflicts of Interest Risk: Challenges, Impact, and Effective Management Strategies – Martin T. Biegelman, Managing Director, Global Investigations & Compliance, Navigant; Shannon Grayer, Director, Effectiveness and Investigations, Europe, Middle East, and Africa, Computer Sciences Corporation CCEP CCEP-I
	802 Moving from Obeying to Believing – Michael McLaughlin, VP Legal, Chief Ethics & Compliance Officer, Dell
	803 Retaliation: Case Study on Prevention Strategies – Amy Block Joy, Faculty/Specialist Emeritus, University of California CCEP CCEP-I
	804 Compliance in a Decentralized Multinational Firm – Dr. Johannes Freiler, Group Compliance Officer, Greiner Holding Plc
	805 New Federal Policies to Impact Enforcement And Compliance Efforts – Adam Lurie, Partner, Cadwalader, Wickersham & Taft, LLP
	806 Keeping the Workforce Engaged – Alicia Olmstead, Ethics & Compliance Team, City of Austin
	807 Engaging Your Board: Best Practices and Trends – Erica Salmon Byrne, EVP, Corpedia, an NYSE Euronext Company; Eric Morehead, Senior Compliance Counsel, Corpedia, an NYSE Euronext Company

Wednesday, October 9

8:00 AM – 12:30 PM	Registration Open
8:00 AM – 9:45 AM POST-CONFERENCE BREAKOUT SESSIONS	W1 Leveraging Technology to Effectively Manage Risk: “If I only had a tool that could...” – Amy Hutchens, General Counsel and Vice President, Compliance & Ethics Services, Watermark Risk Management International, LLC; Harvey Woodford, VP, Chief Compliance Officer, Avnet, Inc.
	W2 Equipping Employees to Voice Their Values – Blair C. Marks, Director, Ethics Awareness and International Operations, Lockheed Martin Corporation; Michael J. Mulleavey, Senior Business Analyst, Ethics and Sustainability Office, Lockheed Martin Corporation
	W3 A Tale of Two Industries in Compliance – Courtney McBurney, Chief Compliance Officer, GE Energy Management; Michael Herde, Chief Compliance Officer, GE Capital
	W4 Compliance Due Diligence in Multi-National Transactions: Mergers & Acquisitions and Third Parties – Louis Perold, Compliance Manager, Sasol Ltd.; Krista M. Muszak, Compliance Analyst, Paychex, Inc. CCEP CCEP-I
	W5 Avoiding and Managing Burnout and Stress in the Compliance Profession – Shawn DeGroot, Associate Director, Navigant; Robert H. Ossoff, Special Assistant to the Vice-Chancellor for Health Affairs, Maness Professor of Laryngology and Voice, Vanderbilt University Medical Center
	W6 Tips & Traps for Non-Profit Compliance Programs – Ellen M. Hunt, Director, Ethics & Compliance, AARP; Shaila Gupta, Director, Compliance and Risk Management, FHI 360; William M. Brown, Chief Compliance Officer, Knights of Columbus
	W7 Crossing the Four Quadrants of Corporate Compliance – David Childers, Chief Executive Officer, Compli

Agenda subject to change



Program at a glance

Wednesday, October 9

9:45 – 10:00 AM	Networking Break
10:00 AM – 11:45 AM POST-CONFERENCE BREAKOUT SESSIONS	W8 Global Privacy and Data Protection: Practical Risk Assessment and Governance – Robert Bond, Head of Data Protection and Information Security, Speechly Bircham; Marti Arvin, Chief Compliance Officer, UCLA Health System CCEP CCEP-I
	W9 Free Online Tools for Great Ethics Training – Greg Walters, Trial Attorney, U.S. Department of Housing and Urban Development
	W10 Metro's C&E: How to Go from 0 to 60 in 18 months – Kent Swagler, Director, Corporate Compliance and Ethics, Bi-State Development Agency
	W11 Can One Ethics Program Fit All? Building an Effective Compliance Program that Works Around the Globe – Jacqui Beckett, Principal, Beckett Ethics and Compliance International, PC
	W12 Incenting Employees to Speak Up – Carolyn Egbert, Principal Consultant, Creative Solutions for Executives
	W13 Matching & Mismatching Metrics for Meaning – Luanna K. Putney, Director of Research Compliance, University of California
	W14 People Powered Compliance: Comprehensive Approach – Mary-James Young, Sr. Compliance & Regulatory Counsel, Vectren Corporation
1:00 – 2:00 PM	Certified Compliance & Ethics Professional (CCEP)[®] Exam Check-In / International Certified Compliance & Ethics Professional (CCEP-I) Exam Check-In
2:00 – 4:00 PM	Certified Compliance & Ethics Professional (CCEP)[®] Exam (optional)
2:00 – 4:30 PM	International Certified Compliance & Ethics Professional (CCEP-I) Exam (optional)



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November 17–20 • Orlando, FL
December 1–4 • San Diego, CA

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July 21–24 • Vancouver, BC
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Frank Arnold [102], PhD, SPHR, Professor, St Leo University, Tampa, FL



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Ian D. Campbell [208], Vice Chairman, The Abernathy MacGregor Group



Gabriel Carrejo [306], Senior Director, Blackhawk Networks



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Services, Johannesburg,
South Africa

Agenda

SATURDAY, OCTOBER 5

3:00–7:00 PM

Registration Open

Arriving early? Check in on Saturday to save time waiting in line—plus we'll automatically enter you into a drawing for a free registration to the 2014 Compliance & Ethics Institute!

11:00 AM–3:30 PM

Volunteer Project

Come to the Institute early and help us give back to the community! Registration is free for this event and provides you with a volunteer T-shirt, lunch, and transportation to and from the project location. It's a great networking opportunity with fellow conference attendees, speakers, and SCCE board members.

SUNDAY, OCTOBER 6

7:30 AM–6:00 PM

Registration Open

7:30–8:30 AM

SpeedNetworking

9:00 AM–12:00 PM (includes 15 minute break)
Pre-Conference Morning Breakout Sessions

RISK TRACK

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

Sunday, 9:00 AM–12:00 PM

Greg Triguba, JD, CCEP, CCEP-I, Principal, Compliance Integrity Solutions, LLC

Sheryl Vacca, CCEP, CHC-F, CHRC, CHPC, CCEP-I, Senior Vice President/Chief Compliance & Audit Officer, University of California

- Gain a deeper understanding of the basic roles, resources, and fundamentals necessary to facilitate and manage an effective ethics and compliance risk management program
- Engage in simulated exercises that explore 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 Humanity as a Key to Embedding an Ethical Culture

Sunday, 9:00 AM–12:00 PM

Jane Mitchell, FRSA, Director, JL&M; Chair, eCP

- Encouraging leaders to understand the meaning of bringing more of their humanity to work, and the positive impact this has on individuals and the corporate culture
- Using your Code as a model of integrity and to encourage values-based decision-making that builds trust and strengthens relationships in both the short- and the long-term
- Effectively communicating to transform our sense of the meaning of ethics in a corporate culture and in a way that connects the dots between compliance, care and reason, policies, initiatives and leadership

CASE STUDY TRACK

P3: Creating a Compliance Program from Scratch

Sunday, 9:00 AM–12:00 PM

Larry Parsons, JD, CCEP, Vice President, Ethics and Compliance, McLane Company

Art Weiss, JD, CCEP, CCEP-F, CCEP-I, Chief Compliance & Ethics Officer, TAMKO Building Products

- You are hired as the company's first Chief Compliance & Ethics Officer, now what? This session will use a case study to walk through the steps that will help you succeed in this role
- Learn how to assess your new organization against the attributes of an effective compliance and ethics program and receive guidance on how to develop the relationships essential to get the necessary support and resources
- Leave with templates for conducting an initial assessment of the organization and for presenting the results to your CEO and Board; develop your own plan for actions to take when you return to your organization



INTERNATIONAL/MULTINATIONAL TRACK

P4 Conducting Due Diligence Investigations in China

Sunday, 9:00 AM–12:00 PM

(Moderator) Raymond F. Humphrey, CPP, Owner and President of Humphrey & Company; Advisor and Member of the Board of Directors, i-factanalysis

Kent Anderson, CISM, Managing Director, Seattle Office

Philip Curlewis, CFE, CHS III, Managing Director, Hong Kong & Shanghai Offices

Dennis Moschella, Managing Director, Los Angeles Office

- Complexities and challenges of conducting due diligence investigations in China
- China is a large complex country with inherent risks and rewards for companies that conduct proper due diligence prior to entering into business relationships and joint ventures with Chinese companies is essential in avoiding regulatory missteps
- Many of the business risks in China occur in other countries. However, some are unique to China, its culture, laws and regulations. All of which come with a local flavor, mindset and lack of transparency. Avoiding these pitfalls requires knowledge

GENERAL COMPLIANCE/HOT TOPICS TRACK

P5 Stress Testing Your Ethics and Compliance Program: Would You be Prepared to Respond to an External Review of Your Ethics and Compliance Program?

Sunday, 9:00 AM–12:00 PM

Carrie Penman, President, Ethical Leadership Group, NAVEX Global

Edward Petry, Vice President, Ethical Leadership Group, NAVEX Global

- Walk through the various program components and define what an external assessor or government investigator would look for when evaluating the effectiveness of your program
- How do your program elements, implementation, program effectiveness and organizational culture stack up?
- We'll specifically address the following areas: Risk Assessment, Standards, Policies and Procedures, Oversight, Structure and Leadership, Alignment with HR practices, Communications and Training, Reporting and Response, Monitoring and Assessment, Culture

Agenda

GENERAL COMPLIANCE/HOT TOPICS TRACK

P6 The Art & Science of Making a Code of Conduct Come to Life

Sunday, 9:00 AM–12:00 PM

Kristin von Donop, Principal, Change Logic

Frances Johnston, Founder, Teleos Leadership Institute

- How to engage the hearts and minds of leaders within a global company in the challenge of personally embodying the Code of Conduct. This was done while exploring the compelling business case of ethical leadership
- Our research revealed leaders understood the Code of Conduct but were not inspired or sure how to make it a common practice. We created and delivered an intensive, interactive program to build those skills, including values-based decision-making
- In this experiential workshop, leaders discussed the issues and situations that concerned them most. Then they practiced the behaviors to create a workplace climate where people will raise concerns earlier, when there is smoke, and not wait until fire

WORKSHOP

P7 Investigations Workshop CCEP CCEP-I

Sunday, 9:00 AM–12:00 PM

Part I (9:00–10:00 AM):

Beginning the Investigation and Interviewing the Reporter

Al Gagne, MBA, CCEP, Former Director, Ethics & Compliance, Textron Systems Corporation (retired)

Latour (LT) Lafferty, CCEP, CHC, Shareholder, Fowler White Boggs, P.A.

- Some investigation fundamentals
- Gather as much information as possible
- Safeguard the integrity of the investigation

Part II (10:00–11:00 AM):

Planning the Investigation

Meric Bloch, Esq., CCEP, CCEP-F, PCI, CFE, Compliance Officer, Adecco

- Determining the precise allegation you need to investigate
- Making your investigation plan
- Developing your investigation strategy

Part III (11:15 AM–12:00 PM):

Taking Effective Interviews CCEP-I

Meric Bloch, Esq., CCEP, CCEP-F, PCI, CFE, Compliance Officer, Adecco

- Learn the investigation basics
- Know the difference between an interview and interrogation
- Documenting your interview

12:00–1:30 PM

SpeedMentoring

12:00–1:30 PM

Lunch (on your own)

1:30–4:30 PM (includes 15 minute break)

Pre-Conference Afternoon Breakout Sessions

RISK TRACK

P8 Leveraging Ethics and Compliance Program Assessments to Enhance Program Effectiveness and Manage Risk CCEP

Sunday, 1:30–4:30 PM

Rebecca Walker, Esq., Partner, Kaplan & Walker, LLP

Amii Barnard-Bahn, JD, CCEP, CHC, Compliance & Ethics Officer, McKesson Corporation U.S. Pharmaceutical

- Participants will explore best practices for conducting effective program assessments and engage in real-world exercises designed to reinforce how this important tool can be leveraged to enhance ethics and compliance programs and effectively mitigate risk
- Explore how to utilize government pronouncements and standards in assessing your program and taking your program to the next level
- Discuss strategies for addressing and managing assessment findings and effective approaches for reporting results to key stakeholders and leadership

ETHICS TRACK

P9 Designing an Annual Ethics and Compliance Initiatives Report

Sunday, 1:30–4:30 PM

Julie Murray, Principal, Solutions House

Gary W. Hill, Principal, Solutions House

Charles Ruthford, Principal, Solutions House

- Learn how to design, format, distribute and market an annual report to senior leaders as a resource for setting the “tone at the top”
- Hear from former practitioners about their own successes and challenges in developing an annual report for global Fortune 500 companies
- Discover how an annual report can support alignment with the Federal Sentencing Guidelines

CASE STUDY TRACK

P10 TBD

Sunday, 1:30–4:30 PM

INTERNATIONAL/MULTINATIONAL TRACK

P11 Compliance Considerations: Expanding Your Business into Emerging Markets CCEP-I

Sunday, 1:30–4:30 PM

Scott Lane, Principal & CEO, The Red Flag Group

Juliet Lui, Consultant – Advisory, The Red Flag Group

- Various types of risks that companies will face when expanding their business abroad, particularly into emerging markets, including a comprehensive case study of recent major corruption cases
- The best practices that companies should adopt to not only manage this risk, but also alleviate stakeholder concerns
- How to adapt and amend your compliance program in the immediate and longer term to reflect the expansion in the business in these regions



Agenda

GENERAL COMPLIANCE/HOT TOPICS TRACK

P12 Compliance and Ethics for Lawyers & In House Counsel

Sunday, 1:30–4:30 PM

Donna C. Boehme, Principal, Compliance Strategists LLC

Joseph E. Murphy, JD, CCEP, CCEP-I, author of *501 Ideas for Compliance and Ethics Professionals*

- Privilege and confidentiality—impact on compliance program
- Analysis of “scary topics”: risk assessments, investigations and more
- Role of Legal vs. Compliance (including “double-hatted” roles) and how the two roles interact
- Real stories from the front lines and all-new interactive scenarios

GENERAL COMPLIANCE/HOT TOPICS TRACK

P13 Fixing Your Ho-Hum Compliance Training

Sunday, 1:30–4:30 PM

Stephen M. Paskoff, Esq., President & CEO, ELI

- Participants will learn how to construct compliance training in light of how individuals learn, what individuals remember and apply and in the context of a real-world case study
- Participants will experience a tested, behaviorally-based learning and implementation methodology to make compliance learning matter, simple and stick. They will receive learning tools to help them assess their organization’s compliance training.
- Participants will engage in learning simulations where they will experience how key compliance issues should be presented to change behavior while helping to prevent, detect and correct problems and minimize risks

P14 Investigations Workshop

(continued) CCEP CCEP-I

Sunday, 1:30–4:30 PM

Part IV (1:30–2:30 PM): Revealing and Analyzing Documents

Latour (LT) Lafferty, CCEP, CHC, Shareholder, Fowler White Boggs, P.A.

- Understanding the critical role of documents in your investigation
- Identify and explain the purpose of documentary evidence in your investigation
- Review and discuss key issues involving documentary evidence

Part V (2:45–3:45 PM): Preparing the Investigation Report CCEP-I

Al Gagne, MBA, CCEP, Former Director, Ethics & Compliance, Textron Systems Corporation (retired)

- Sticking to the facts
- Key considerations to include in the report
- Benefits of preparing a good report

Part VI (3:45–4:30 PM): Q&A Panel

Meric Bloch, Esq., CCEP, CCEP-F, PCI, CFE, Compliance Officer, Adecco

Al Gagne, MBA, CCEP, Former Director, Ethics & Compliance, Textron Systems Corporation (retired)

Latour (LT) Lafferty, CCEP, CHC, Shareholder, Fowler White Boggs, P.A.

4:30–6:30 PM

Opening Reception in Exhibit Hall

6:00–7:00 PM

Author’s Reception and Academy Reunion

6:30–7:30 PM

Tweetup

MONDAY, OCTOBER 7

7:00 AM–6:00 PM

Registration Open

7:00–8:15 AM

Continental Breakfast in Exhibit Hall

8:15–8:30 AM

Opening Remarks

8:30–9:00 AM

General Session

Judge Patti B. Saris, Chair, United States Sentencing Commission

9:00–9:30 AM

General Session

Stephen L. Cohen, Associate Director, Division of Enforcement, Securities and Exchange Commission

9:30–10:30 AM

General Session

Michael Josephson, President and Founder, Josephson Institute

10:30–11:00 AM

Networking Break in Exhibit Hall

11:00 AM–12:00 PM

Concurrent Breakout Sessions

RISK TRACK

101 Advanced Anti-Corruption/Bribery Program Practice: Challenges, Trends and Effectively Managing Risk CCEP CCEP-I

Monday, 11:00 AM–12:00 PM

Nathaniel Edmonds, Partner, Paul Hastings LLP, Former Assistant Chief (FCPA Unit), Criminal Division, Fraud Section, US DOJ

- Recent trends in enforcement, emerging risks and exposures
- Management techniques for promoting cost-effective anti-corruption/anti-bribery programs across a global organization
- Communication and mitigation of risk through dashboards, social media and other innovative tools

ETHICS TRACK

102 Compliance, Character and Corporate Culture CCEP CCEP-I

Monday, 11:00 AM–12:00 PM

Frank Arnold, Professor, St. Leo University

- How corporate culture influences and impacts the process of compliance
- The importance of character in hiring and advancing compliance and C-Suite leaders
- The Japanese discipline of Kyosei—with a case study of the Canon organization



Agenda

CASE STUDY TRACK

103 Mapping Your Program to the Federal Sentencing Guidelines (FSGs) **CCEP**

Monday, 11:00 AM – 12:00 PM

Shelley Aul, CCEP, Associate Director, Programs & Projects, Apollo Group, Inc.

Vernon M. Speshock, MAOM, CCEP, Associate Director of Policy and Ethics and Compliance Operations, Apollo Group, Inc.

- Everyone knows an effective compliance program cannot live on a shelf; learn how to breathe life into your program by mapping it to the Federal Sentencing Guidelines (FSGs) and taking action on areas for opportunity and improvement
- Participants will take a closer look at what the FSGs' elements of an effective program look like within their respective organizations
- Participants will receive templates and best practices on how they can document FSG requirements and remediate program gaps

INTERNATIONAL/MULTINATIONAL TRACK

104 Out of Africa **CCEP-I**

Monday, 11:00 AM – 12:00 PM

Paul Zietsman, LLB, Chief Compliance Officer, Sasol Group Services

- Establishing a compliance framework in Africa
- What compliance risks to expect in Africa
- What compliance methodology to use in Africa

GENERAL COMPLIANCE/HOT TOPICS TRACK

105 Compliance & Conflict Minerals: Lessons Learned

Monday, 11:00 AM – 12:00 PM

Amy K. Lehr, Attorney, Foley Hoag LLP

Barbara H. Kipp, Partner, PricewaterhouseCoopers

- The speakers will provide an overview of lessons learned in advising companies on compliance with the rule, including an identification of best practices and common pitfalls.
- The speakers will also discuss several particularly challenging aspects of the rule, including supplier non-compliance with certification requests and the need to develop scalable, and cost-effective, due diligence processes.
- Leading practices on evaluating your supply chain and reporting requirements

GENERAL COMPLIANCE/HOT TOPICS TRACK

106 Automation Tools for Compliance: 2013

Monday, 11:00 AM – 12:00 PM

Theodore Banks, Partner, Scharf Banks Marmor LLC

- What is the state of the art regarding automation tools to help you implement an effective compliance program?
- How can you leverage a tight budget and small staff through automation?
- How can you make sure you are keeping up with the new ways to communicate with your employees—particularly the youngest ones?

GENERAL COMPLIANCE/HOT TOPICS TRACK

107 What to Do When the Government Comes Knocking **CCEP**

Monday, 11:00 AM – 12:00 PM

Gabriel L. Imperato, Esq., CHC, Managing Partner, Broad and Cassel

- The discussion will explore in depth what to do in response to an initial contact by government agents conducting an investigation
- Address an organization's rights and responsibilities and how to immediately respond to a government contact, as well as an employee's rights and obligations in connection with an investigation
- Discussion and review of responding to requests for documents, what to do during a search executed pursuant to a search warrant and how to respond to an ongoing investigation

GENERAL COMPLIANCE/HOT TOPICS TRACK

108 Data on the Effects of Compliance and Ethics Programs on Employee Behavior

Monday, 11:00 AM – 12:00 PM

Patricia J. Harned, PhD, President, Ethics Resource Center

Mara Lindokken, Data Analyst, Ethics Resource Center

- The National Business Ethics survey reveals that effective programs are also effective at changing behavior
- What the key drivers are for affecting behavior
- How compliance and ethics programs can make changes that have an impact

ADVANCED DISCUSSION GROUP

AD109 Compliance Program Self-Assessment **CCEP CCEP-I**

Monday, 11:00 AM – 12:00 PM - **SESSION IS FULL**

John Falcetano, CHC-F, CIA, CCEP-F, CHRC, CHPC, Chief Audit & Compliance Officer, Vidant Health

- Why do a self-assessment?
- What do you assess?
- Self assessment tools

REPEAT SESSION: Available on Tuesday at 3:00 PM (AD709). Pre-registration is required for Advanced Discussion Groups. Attendance limited to 50 participants.

ADVANCED DISCUSSION GROUP

AD110 Would Your Culture Pass Muster with the Feds? **CCEP**

Monday, 11:00 AM – 12:00 PM

David Gebler, President, Skout Group, LLC

- DOJ and SEC consider the adequacy of a company's compliance program when deciding to take action. The 2012 FCPA Resource Guide specifically links a strong ethical culture to an effective compliance program and the need to focus on actions over words
- The SEC and DOJ now expect an organization to understand where it is vulnerable and what the sources are of ethics-based risks. This necessitates the need for an organization to assess its culture and understand the root causes of ethical vulnerability.
- This interactive session will show how to conduct an ethics risk assessment that will reveal the vulnerabilities at the top, middle and bottom in order to satisfy the SEC and the DOJ that the organization has a true culture of compliance.

12:00–1:00 PM

Networking Lunch

1:00–1:30 PM

Networking Break in Exhibit Hall

1:30–2:30 PM

Concurrent Breakouts

Agenda

RISK TRACK

201 Global Antitrust & Competition Law Risk: The Real Challenges Facing Your Organization and Strategies for Effective Management CCEP-I

Monday, 1:30–2:30 PM

Joseph E. Murphy, JD, CCEP, CCEP-I, author of *501 Ideas for Compliance and Ethics Professionals*

- Identify and understand antitrust and competition law risks facing your organization globally
- Explore strategies, tools and resources, including the USSGs elements, for effective management of antitrust risk
- Understand the global enforcement environment and how your compliance efforts can make a difference

ETHICS TRACK

202 Ethics in the Age of Velocity

Monday, 1:30–2:30 PM

Mary Doyle, Senior Manager, Ethics & Compliance Program Office, Intel

- The environment is complex and fast moving. Value and principle based decision making is the key to velocity and risk taking in this business environment.
- Manager tone in 2013 and beyond is just as much about the messages we send about our culture as it is about whether we accomplish the business goal or follow the Code or the policies. We will look at real cases and leadership behaviors.
- Ethics is about a lasting success. We will look at how to assess the maturity of your ethical culture and employee focused steps that are right for your business to take it up the maturity curve, including global sites, acquisitions and new businesses.

CASE STUDY TRACK

203 Evolution of the Code of Ethics

Monday, 1:30–2:30 PM

Julie Moriarty, General Manager, Training and Communications Strategy, The Network

- Making your code effective and engaging
- Code of Conduct best practices

INTERNATIONAL/MULTINATIONAL TRACK

204 FCPA Compliance Risks in Mexico CCEP-I

Monday, 1:30–2:30 PM

Javier Lopez de Obeso, Legal Area, Institutional Internal Control Unit, Pemex

Alejandro Perez Serrano, Partner, Baker & McKenzie

- Mexico has been and continues to be a market of opportunity and interest for multinational companies, but also presents major FCPA compliance challenges and the implementation of the Federal Anti-Corruption Law
- Practical examples of how complicated corruption schemes are used to obtain public contracts. How to implement the required controls for your local partner
- It is important to understand how employees can manage situations where they are requested to make facilitation payments and when they face extortion, the legal aspects of those payments

GENERAL COMPLIANCE/HOT TOPICS TRACK

205 Designing the Best Test

Monday, 1:30–2:30 PM

LaDon Berndt, CCEP, Vice President, Global Compliance, BNY Mellon

- Determining key points in a regulation (attendees will select from various business related topics that cover most industries)
- Developing an actual test for compliance with those key points
- Deciding on scope, population and sample size

GENERAL COMPLIANCE/HOT TOPICS TRACK

206 Built for Success: The Five Essential Features of Today's Chief Ethics & Compliance Officer (CECO) Position CCEP CCEP-I

Monday, 1:30–2:30 PM

(Moderator) Donna Boehme, Principal, Compliance Strategists LLC

Patrick J. Gnazzo, Principal, Better Business Practices

Judith Nocito, Assistant General Counsel, Director, Global Compliance, Alcoa

Karen Bertha, Chief Ethics and Compliance Officer, MCR LLC

- What are the 5 essential features of any effective modern CECO position, and why?
- What can be learned from recent studies, enforcement actions, and settlements
- Real world strategies to address when one or more of these features is lacking or weak
- Closing the loop: the critical role of the effective CECO in supporting the Board oversight of C&E

GENERAL COMPLIANCE/HOT TOPICS TRACK

207 Measuring Effectiveness: Practical Tools CCEP CCEP-I

Monday, 1:30–2:30 PM

Lynda Hilliard, CHC, CCEP, Deputy Compliance Officer, University of California

Sheryl Vacca, CHC-F, CCEP-F, CCEP-I, CHRC, CHPC, Senior Vice President/Chief Compliance & Audit Officer, University of California

- Through group interaction, participants will define “effectiveness” and apply the criteria to a case study
- Two tools for measuring effectiveness will be shared during case study application
- Industry methods for measuring effectiveness will be discussed with the participants

GENERAL COMPLIANCE/HOT TOPICS TRACK

208 Ethics and Communication: The Role of CCOs and CMOs in Creating an Ethical Culture

Monday, 1:30–2:30 PM

(Moderator) Paul J. Gennaro, Senior Vice President, Corporate Communications, Chief Communications Officer, AECOM

Ian D. Campbell, Vice Chairman, The Abernathy MacGregor Group

Tim Erblich, CEO, The Ethisphere Institute

Holly Gregory, Partner, Weil, Gotshal & Manges

Judith Sherwin, Shareholder and Board Member

- While the legal and compliance team can help set the policies needed to build an ethical culture, those teams must rely on the communications officers to help truly develop a culture of ethics within a global organization
- Hear from three leading Chief Communications Officers to learn what their companies are doing to effectively develop a culture of ethics around the world



Agenda

ADVANCED DISCUSSION GROUP

AD209 A Global Vendor Code of Ethics & Business Conduct CCEP CCEP-I

Monday, 1:30–2:30 PM

Web Hull, Senior Privacy & Compliance Specialist, Iron Mountain

- Discussion on developing a global Vendor Code of Ethics and Business Conduct, distribute it to your vendors, and audit its use
- Discuss strategies for obtaining your company's buy-in, incorporating it in vendor requirements, over-coming vendor resistance, monitoring its adoption by your vendors, and managing the process internationally
- A case study will focus on one company's journey from idea to implementation. Participants will be encouraged to share their own insights and experiences in implementing a Global Vendor Code of Ethics and Business Conduct process

ADVANCED DISCUSSION GROUP

AD210 Does Your Violations Reporting System Measure Up?

Monday, 1:30–2:30 PM

Al Gagne, MBA, CCEP, Former Director, Ethics & Compliance, Textron Systems Corporation (retired)

- Internal vs. external violation reporting systems
- Timeliness of responses, need for investigations, reporting to stakeholders, follow-up with reporters or callers to helpline and reports to management

2:30–3:00 PM

Networking Break in Exhibit Hall

3:00–4:00 PM

Concurrent Breakout Sessions



RISK TRACK

301 Cyber-Security Risk in the Global Organization: Trends, Challenges and Strategies for Effective Management

Monday, 3:00–4:00 PM

David Childers, CIPP, OCEG Fellow, Chief Executive Officer, Compli

Douglas Scott Johnson, former Deputy Assistant Director, Office of Investigations U.S. Secret Service

- Overview of cyber-crime schemes and threats to include recent trends in enforcement, emerging risks and exposures in the governance, risk and compliance arena
- Understand the risks created by new platforms and bring your own device (BYOD) workplace and explore suggested strategies and approach to effective management
- Review and discuss risk management and mitigation practice considerations to include guidelines established by the 2013 Presidential Cyber-Security Directive

ETHICS TRACK

302 Whistleblowing: A Historical Overview from the Civil War to Dodd-Frank CCEP

Monday, 3:00–4:00 PM

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

- View one of the most popularly taught Harvard Business cases (the Parable of the Sadhu) to review what happens when an individual clashes with an organization
- Discuss the history of whistleblowers in the US and internationally and how multinational companies can try to promote global consistency in applying their ethics and compliance programs
- Analyze how organizations can encourage potential whistleblowers to report internally first, before going outside the organization, in order to collect a “bounty”

CASE STUDY TRACK

303 Third Party Risk-Based Anti-Bribery Due Diligence CCEP-I

Monday, 3:00–4:00 PM

TBD

- What information to gather?
- How to evaluate that information?
- How recent enforcement cases and government guidance have impacted the due diligence process

INTERNATIONAL/MULTINATIONAL TRACK

304 Behaviorism or Why Good People Make Bad Choices

Monday, 3:00–4:00 PM

Sally March, CCEP-I, Director, Drummond March & Co

- What makes good people behave badly? We can learn from behavioral psychology.
- Look for drivers of bad behavior in your business such as “command and control” or peer pressure and get ahead of the game.
- Use what we can learn from psychologists to build a stronger ethical culture

GENERAL COMPLIANCE/HOT TOPICS TRACK

305 Ten Things You Wish You Would Have Known When You Started in Compliance and Ethics

Monday, 3:00–4:00 PM

(Moderator) Lizza Catalano, Conference Planner, Society of Corporate Compliance & Ethics

Marjorie W. Doyle, Managing Director, Aegis Compliance and Ethics Center; Of Counsel, Meade, Roach & Annuli

Odell Guyton, CCEP, CCEP-I, SCCE Co-Chair, Vice President, Global Compliance, Jabil

Daniel R. Roach, JD, Co-Chair, SCCE Advisory Board, VP Compliance & Audit, Dignity Health

- Learn from compliance and ethics experts as they discuss key lessons they've learned along the way
- Reflection on things they wished they would have known when first starting out in compliance and ethics
- Challenges and best practices to advise you in your career path as a compliance and ethics professional

GENERAL COMPLIANCE/HOT TOPICS TRACK

306 Go Social: Using Social Media for Compliance Training Success

Stefani Dawkins, CCEP, Manager, Enterprise Compliance, Business Engagement, Cisco Systems

Gabriel Carrejo, Senior Director, Blackhawk Networks

Monday, 3:00–4:00 PM

- Share your curriculum in a way the business will “Like”. Learners in every organization are unique and can be engaged in a way that becomes an intrinsic part of organizational learning and development. In this session learn how it was done at Cisco
- The +1 effect: Get close to the learner and enhance the experience
- Socializing compliance training: Tools, tips and tweaks

Agenda

GENERAL COMPLIANCE/HOT TOPICS TRACK

307 Advanced Investigative Interviewing Techniques CCEP CCEP-I

Monday, 3:00–4:00 PM

Michael Johnson, CEO, Clear Law Institute

- Learn how to avoid common interviewing techniques whose validity has been questioned by researchers and some courts
- Learn about scientifically validated interviewing techniques proven to obtain more information from witnesses
- Learn advanced interviewing techniques developed largely in Europe that make it easier to differentiate between truth-tellers and those who are deceptive

GENERAL COMPLIANCE/HOT TOPICS TRACK

308 Is Government Credit for Compliance Programs Real?

Monday, 3:00–4:00 PM

Win Swenson, Partner, Compliance Systems Legal Group

- Companies have been building E/C programs around the Sentencing Guidelines standards for 20 years. But do compliance programs meeting the Guidelines actually protect a company in the event of compliance problem?
- What about the Department of Justice and Federal regulatory agencies? Do they provide credit, and if so are there real cases that show this, and what program elements are most important to them?
- The presenter chaired the staff unit that developed the Guidelines, has been involved in enforcement cases and co-chaired a high-level Advisory Group that studied E/C programs in actual cases. He'll provide the latest information on what really matters

ADVANCED DISCUSSION GROUP

AD309 Getting the Most Out of Compliance Committees CCEP CCEP-I

Monday, 3:00–4:00 PM - **SESSION IS FULL**

Paula Saddler, Principal, Hudson-Ethics Consulting

Margaret Steenrod, CCEP, SPHR, Director, Pacific Financial Center LLC

- Explore challenges of effective compliance committees
- Share techniques for maximizing your effectiveness in compliance committees
- Explore how to navigate boundaries of other business units who participate in the compliance committee

ADVANCED DISCUSSION GROUP

AD310 What To Do When No One Will Listen

Monday, 3:00–4:00 PM

Andrea Bonime-Blanc, JD, PhD, CEO & Founder, GEC Risk Advisory LLC

- You have serious concern and you've reported it to your CEO and Audit Committee Chair but they won't listen, now what?
- What do you do if they state that you are being alarmist, that things are under control and that you should carry on with your ordinary duties?
- Alternatively, without further notice, you are terminated, what's next for you?

4:00–4:30 PM

Networking Break in Exhibit Hall

4:30–5:30 PM

Concurrent Breakout Sessions

RISK TRACK

401 Global Trade Compliance: From Export Reform to Conflict Minerals—How to Navigate and Mitigate the Risks of a Shifting Trade Compliance Landscape CCEP-I

Monday, 4:30–5:30 PM

Gwendolyn Hassan, JD, CCEP, Manager, Corporate Compliance, Office of the General Counsel, Navistar, Inc.

- Overview of rapidly changing Global Trade laws
- Strategies for identifying Global Trade risks in your organization
- Recommendations and tools for assessing and mitigating Global Trade risk

ETHICS TRACK

402 Ethical Risk Profiles: Organizational Value Add

Monday, 4:30–5:30 PM

Ann D.E. Fraser, PhD, Executive Director, VICR, Canadian Food Inspection Agency

- Ethical risk factors include: what is done (eg. The specific work performed), how it is done (eg. The degree of controls in place and the adequacy of training), where it is done (eg. Remote location), or with whom it is done (eg. Nature of relationships).
- The ethical risk profile (ISO 31000) follows 4 steps: risk identification, risk validation and assessment, risk tolerance, and risk mitigation measures and plan
- Hear what can constitute ethical risk for a regulator and how it is mitigated

CASE STUDY TRACK

403 Ethics Program Assessments: Driving Consistency

Monday, 4:30–5:30 PM

Karen Clapsaddle, Director, Ethics Engagement & Enterprise Operations, Lockheed Martin Corporation

Craig Cash, Director, Ethics & Business Conduct, Mission Systems and Training, Lockheed Martin Corporation

- Learn how one company uses low-cost, internal resources to drive consistent program implementation across the enterprise
- Assess the level of executive commitment to the ethics program and degree of ethics officer assimilation into leadership teams
- Identify cultural strengths, best practices and opportunities to enhance the ethics program locally

INTERNATIONAL/MULTINATIONAL TRACK

404 Compliance Challenges in Russia

Monday, 4:30–5:30 PM

Tom Firestone, Senior Counsel, Baker & McKenzie

Anton Alferov, Chief Compliance Officer, Halliburton Law Dept., Eurasia

- What are the main corruption risks that companies face in Russia and the CIS?
- How can these risks be managed?
- What does new anti-corruption legislation in the region (i.e., corporate criminal liability in Ukraine, Russian law on corporate compliance, etc.) mean for multinationals?

GENERAL COMPLIANCE/HOT TOPICS TRACK

405 Compliance in the National Security Context

Monday, 4:30–5:30 PM

John DeLong, Director of Compliance, National Security Agency

Julia Pallozzi-Ruhm, CCEP, Deputy Director of Compliance, National Security Agency

- Hear about privacy compliance programs and best practices in a national security context.
- Learn how a compliance program manages external authorizations through their lifecycles.
- Explore future trends in compliance and oversight in the national security context.

Agenda

GENERAL COMPLIANCE/HOT TOPICS TRACK

406 Suspension, Administrative Agreements & Recovery CCCF CCCF-1

Monday, 4:30–5:30 PM

Adelle Elia, Director, Ethics & Compliance, GTSI Corp

Paige Shannon, Federal Compliance Officer, Kforce, Inc.

- Using our real-world examples throughout, we'll discuss the actions you need to take now to prepare for a crisis so you are ready to respond
- We'll cover effective strategies to manage your response, select your outside counsel, find a suitable Monitor and protect your business
- We'll cover the unique requirements and factors in operating under a company-wide agreement and how to address them effectively

GENERAL COMPLIANCE/HOT TOPICS TRACK

407 The Ethical Dilemma: How to Create a “Speak Up” Culture and Get People in Your Organization Talking About Ethical Issues

Monday, 4:30–5:30 PM

Peter Jaffe, Chief Ethics and Compliance Officer, The AES Corporation

Colette Devine, Deputy Chief Ethics and Compliance Officer, The AES Corporation

- Ethics and Compliance Officers can't be everywhere: Learn how to get people talking among themselves about ethical issues
- Learn new and innovative approaches to encourage people to proactively raise issues to Ethics and Compliance personnel, management, and even among themselves
- Experience a problem solving model to discuss difficult ethical issues that resonate with your business to get people thinking, learning, talking, and including ethical thinking in decision making



GENERAL COMPLIANCE/HOT TOPICS TRACK

408 TBD

Monday, 4:30–5:30 PM

ADVANCED DISCUSSION GROUP

AD409 Influencing Decision-Making

Monday, 4:30–5:30 PM - **SESSION IS FULL**

Jennifer O'Brien, Chief Medicare Compliance Officer, United Healthcare Medicare & Retirement

Shawn DeGroot, Associate Director, Navigant

- Getting to Effectiveness
- The Art of Influencing Up, Down and Across an Organization
- Driving to Outcomes

REPEAT SESSION: Available on Tuesday at 11:00 AM (AD510). Pre-registration is required for Advanced Discussion Groups. Attendance limited to 50 participants.

ADVANCED DISCUSSION GROUP

AD410 Be Careful What You Wish For: Monitoring, Incentives and Unintended Consequences CCCF CCCF-1

Monday, 4:30–5:30 PM - **SESSION IS FULL**

Scott Killingsworth, Partner, Bryan Cave LLP

- Share your own “bugs in the beans” stories and learn from others’ experience with backfiring incentives. See how positive incentives can narrowly encourage only the measured metric, at the expense of all other goals, and sometimes “by any means necessary” – and how punishments can paradoxically result in increased misbehavior
- Explore how excessive monitoring can backfire by undermining trust, sabotaging intrinsic motivation and initiative, encouraging cynicism and even provoking more misconduct. What monitoring methods avoid these side effects?
- Discuss how observer effects, feedback loops, group identification, self-perception theory and attribution theory illuminate the complex relationships between employees and their peers, managers and organization

REPEAT SESSION: Available on Tuesday at 1:30 PM (AD608). Pre-registration is required for Advanced Discussion Groups. Attendance limited to 50 participants.

5:30–7:00 PM

Networking Reception in Exhibit Hall

7:00–9:00 PM

International Compliance & Ethics Awards Dinner

TUESDAY, OCTOBER 8

7:00 AM–5:30 PM

Registration Open

7:00–8:15 AM

Continental Breakfast in Exhibit Hall

8:15–8:30 AM

Opening Remarks

8:30–9:30 AM

General Session

Lynne M. Halbrooks, Principal Deputy Inspector General, Department of Defense

Michael E. Horowitz, Inspector General, U.S. Department of Justice

Steve A. Linick, Federal Housing Finance Agency, Inspector General

Paul K. Martin, NASA Inspector General

9:30–10:00 AM

General Session

Nell Minow, Board Member, GovernanceMetrics International, Co-Founder of The Corporate Library

10:00–10:30 AM

General Session

Peter Shankman, author of *Nice Companies Finish First*

10:30–11:00 AM

Networking Break in Exhibit Hall

11:00 AM–12:00 PM

Concurrent Breakout Sessions

Agenda

RISK TRACK

501 Social Media in the Workplace: Successful Compliance Infrastructures and Effectively Managing Risk

Tuesday, 11:00 AM–12:00 PM

Caroline K. McMichen, Chief Ethics & Compliance Officer, Molson Coors Brewing Company

- Discuss the growth of social media in the workplace for external marketing and internal employee engagement and explore the issues, challenges and risks it brings to global organizations
- Are your employees representing the company? Where does work end and their personal lives begin? Will share perspective and insight on these important questions along with strategies for effective management
- Explore one company's journey to develop a global social media infrastructure that leverages and delivers business benefit while appropriately and effectively managing risk

ETHICS TRACK

502 Seeing Transparency Clearly

Tuesday, 11:00 AM–12:00 PM

David Gebler, President, Skout Group, LLC

- If transparency remains just a buzz word in your organization, you may be creating unnecessary risks. Problems are not being addressed before they become crises and lack of clarity engenders confusion leading to frustration and perhaps misconduct.
- Transparency is the antidote to one of the greatest risks facing organizations today: the self-deception on the part of leaders who engage in questionable conduct that can lead to crises and scandal. This session details the building blocks to create effective and meaningful transparency.
- In interactive exercises we will model the kinds of actions leading organizations take to ensure that potential problems are surfaced before they become crises.

CASE STUDY TRACK

503 How It Happened Again: Lessons Learned From the Space Shuttle Columbia Accident

Tuesday, 11:00 AM–12:00 PM

Kendra Cook, Director—Corporate Compliance, Integrity Applications Incorporated

- This case study investigates how a strikingly similar accident can happen twice to the same organization
- This case study looks at why the accident occurred: from the physical cause to the organizational causes
- Suggestions and recommendations for effecting needed change in an organization will be discussed

INTERNATIONAL/MULTINATIONAL TRACK

504 Corruption Risks in South America & How to Respond **CCEP-1**

Tuesday, 11:00 AM–12:00 PM

Vito Giovino, Senior Manager, Deloitte Financial Advisory Services LLP

Luis Ortega, Senior Manager, Deloitte Financial Advisory Services LLP

- Learn about recent anti-corruption enforcement in South America
- Discuss corruption risks in the region and certain risks unique to specific South American countries
- Identify ways to enhance your company's anti-corruption compliance program with an understanding of unique risks specific to South American countries

GENERAL COMPLIANCE/HOT TOPICS TRACK

505 How Good is My Compliance Program & How Do I Know? **CCEP CCEP-1**

Tuesday, 11:00 AM–12:00 PM

Kris K. DiGirolamo, Compliance & Privacy Director, Allstate Insurance Company

Randy Sparks, Compliance Sr. Manager, Allstate Insurance Company

- Would you put your regulatory compliance program on the line as best in class? As robust, effective, vibrant and operating at the level it should? What if you had to prove it? How can you know if you have a successful program without spending a fortune?
- This very practical session will show you how to assess your compliance program—quickly, effectively, at minimal cost, even benefiting from some free external expertise—and the barriers that can be overcome by using this assessment strategy
- Along the way, you'll be able to answer: Are the elements of my compliance program complete and aligned to best serve my needs? Is my program operating as intended and as efficiently as it can or should? Are any changes required to address future needs?



GENERAL COMPLIANCE/HOT TOPICS TRACK

506 A Shared-Cost Approach to Antibribery Compliance **CCEP-1**

Tuesday, 11:00 AM–12:00 PM

Alexandra Wrage, President, TRACE International, Inc.

- Reducing the time, effort and expense associated with antibribery compliance through corporate collective action
- Leveraging “portable” due diligence and corporate collaboration to improve third party due diligence and supply chain compliance
- Rising expectations and expenses: why it's time for a new approach to compliance and third-party due diligence

GENERAL COMPLIANCE/HOT TOPICS TRACK

507 Ten Solid Ways to Prevent Retaliation **CCEP CCEP-1**

Tuesday, 11:00 AM–12:00 PM

Gretchen A. Winter, JD, Executive Director, Center for Professional Responsibility in Business and Society at the University Illinois College of Business

Katherine Cooper Franklin, Shareholder, Littler Mendelson

Earl “Chip” Jones, Shareholder, Littler Mendelson P.C.

- This interactive workshop will discuss ten practical steps to prevent retaliation and minimize risk with a robust incident management program.
- Many employers now talk about having a “speak up” culture and we will bring it to life with real and practical methods to teach managers how to recognize retaliatory behavior.
- We will work with an illustration that captures the right way to set up internal systems that encourage a “speak up” culture.

GENERAL COMPLIANCE/HOT TOPICS TRACK

508 Running with Scissors: Building a Compliance Program in a Bureaucracy

Tuesday, 11:00 AM–12:00 PM

Suzanne Latimer, Director, Office of Compliance & Ethics, TX Department of Transportation

- Designing an ethics and compliance program from square one
- Building and implementing a governance structure and program framework
- Managing the program—evaluating while operating

Agenda

ADVANCED DISCUSSION GROUP

AD509 Overcoming Regulatory Barriers to Employee Engagement with Ethics and Compliance Programs

Tuesday, 11:00 AM–12:00 PM

Charles D. Chadwick, Vice President, Contracts and Business Conduct, BAE Systems, Inc.

Steve Priest, Founder, Ethical Leadership Group

- Are employees so worried about compliance stumbles that they don't raise issues? How do we get them to come forward?
- If fear of compliance failure is the driving force behind our program, what message are we sending to employees? Can we make it positive?
- Rules vs. Values: has it become a steel cage death match? You can have one but not the other?

ADVANCED DISCUSSION GROUP

AD510 / Repeat of AD409 Influencing Decision-Making

Tuesday, 11:00 AM–12:00 PM

Jennifer O'Brien, Chief Medicare Compliance Officer, United Healthcare Medicare & Retirement

Shawn DeGroot, Associate Director, Navigant

12:00–1:30 PM

Networking Lunch

1:30–2:30 PM

Concurrent Breakout Sessions



RISK TRACK

601 Government Contracting and Relationships: Challenges, Opportunities, and Effective Management of Risk **CCEP**

Tuesday, 1:30–2:30 PM

Eric R. Feldman, Principal, Director of Corporate Compliance Programs, Affiliated Monitors, Inc.

Cherie Raven, Director of Ethics & Business Conduct, BAE Systems

- Learn how a greater emphasis on contractor accountability and the suspension and debarment process is increasing organizational risk through an analysis of recent government enforcement actions and “real world” case studies and scenarios
- Explore how values-based ethics and compliance programs, and proactive independent monitoring initiatives can give your company a competitive edge in obtaining government contracts and help the organization effectively address ethics challenges and related risks
- Identify specific ways that government contractors have been able to better manage their risk and respond to internal and external threats by focusing on the importance of corporate culture, training, ethics messaging, the disciplinary process and other corporate ethics and compliance initiatives

ETHICS TRACK

602 Building and Reinforcing An Ethics-Based Culture

Tuesday, 1:30–2:30 PM

Joseph Hayes, Assistant General Counsel, VP Ethics & Business Conduct, Service Corporation International

- A vital component of creating that culture is an impactful training and awareness campaign. Messages must be fresh, meaningful and practical. They must be embraced and delivered through a multitude of channels by senior leadership.
- The chief ethics officer plays a vital role in accomplishing these objectives. He or she must become a person of credibility and influence from the board room to the front line of the company
- In today's business climate, the consequences of unethical behavior are more serious than ever before: lost business, reputational damage, regulatory sanctions, even criminal charges. Developing an ethics-based culture is an imperative in protecting against those risks

CASE STUDY TRACK

603 Demystifying Compliance in a Time of Oversight

Tuesday, 1:30–2:30 PM

Sean Temeemi, MS, CFE, CICA, Chief Compliance Officer, FHI 360

Esther Ko, CPA, CIA, CFE, Director, Internal Audit, FHI 360

Shaila Gupta, MPA, Director, Compliance and Risk Management, FHI 360

- This session will cover what you need to know to build a global compliance program in a time of increased oversight
- This session will illustrate a case study, how Family Health International 360 identified, created and implemented a worldwide compliance program covering 60 countries, over 4,000 employees and over \$700 million in federal awards
- This session will provide examples demonstrating quick and effective mechanisms in responding to compliance and oversight needs

INTERNATIONAL/MULTINATIONAL TRACK

604 From Europe... Beyond Europe **CCEP**

Tuesday, 1:30–2:30 PM

Tuula Nieminen, PhD, CCEP-I, International Lawyer and Compliance & Ethics Professional, Florentine Consulting Ltd.

- Sources and territorial reach of European regulation
- Update on European regulation in risk areas such as data protection and privacy

GENERAL COMPLIANCE/HOT TOPICS TRACK

605 How Corporate Monitors Assess Compliance Programs **CCEP**

Tuesday, 1:30–2:30 PM

John Hanson, CPA, CFE, CCEP, Executive Director, Artifice Forensic Financial Services, LLC

Bart M. Schwartz, JD, Chairman, Guidepost Solutions LLC

Patricia M. Sulzbach, Senior Counsel, Clark Hill PLC

- Learn how and why the unique perspective of a Corporate Monitor can be helpful and valuable to your compliance & ethics program
- Learn interviewing tips and techniques that Monitors use to assess corporate compliance & ethics programs
- Learn how corporate monitors use audits and other substantive testing to help them assess compliance & ethics programs

Agenda

GENERAL COMPLIANCE/HOT TOPICS TRACK

606 The Medium is the Message: Marketing Compliance & Ethics to Your Workforce

Tuesday, 1:30–2:30 PM

Barbara Harmon, CCEP, Compliance Program Supervisor, Ayeska Pipeline Service Company

- Channel surfing the program schedule: develop a compliance and ethics communication plan using a multitude of media
- Work smarter, not harder: engage employees outside of the C&E group to get the message out
- Less is more: tips and examples on how to keep your messages simple

GENERAL COMPLIANCE/HOT TOPICS TRACK

607 Outsourcing Compliance: Yes, it Can Be Done!

Tuesday, 1:30–2:30 PM

Janet K. Himmelreich, CCEP, Head, Client Compliance Services, BT Global Services

Steve J. Kilmister, Assurance Director, BT Global Services

- Solving the compliance conundrum; balancing the ever increasing compliance requirements with the intense pressure to reduce costs. Can you meet your compliance requirements AND outsource?
- Flowing down your regulatory requirements to your service provider contracts and creating a modular Quality Management System (QMS) is one way to enable compliance policies and procedures via contract
- De-risking the outsourcing proposition by establishing your service provider as an extension of your internal controls framework will serve as the basis for a case study on how to outsource compliance



ADVANCED DISCUSSION GROUP

AD608 / Repeat of AD410 Be Careful What You Wish For: Monitoring, Incentives and Unintended Consequences CCEP CCEP-1

Tuesday, 1:30–2:30 PM

Scott Killingsworth, Partner, Bryan Cave LLP

- Share your own “bugs in the beans” stories and learn from others’ experience with backfiring incentives. See how positive incentives can narrowly encourage only the measured metric, at the expense of all other goals, and sometimes “by any means necessary” – and how punishments can paradoxically result in increased misbehavior
- Explore how excessive monitoring can backfire by undermining trust, sabotaging intrinsic motivation and initiative, encouraging cynicism and even provoking more misconduct. What monitoring methods avoid these side effects?
- Discuss how observer effects, feedback loops, group identification, self-perception theory and attribution theory illuminate the complex relationships between employees and their peers, managers and organization

ADVANCED DISCUSSION GROUP

AD609 / Repeat of AD309 Getting the Most Out of Compliance Committees CCEP CCEP-1

Tuesday, 1:30–2:30 PM

Paula Saddler, Principal, Hudson-Ethics Consulting

Margaret Steenrod, CCEP, SPHR, Director, Pacific Financial Center LLC

- Explore challenges of effective compliance committees
- Share techniques for maximizing your effectiveness in compliance committees
- Explore how to navigate boundaries of other business units who participate in the compliance committee

2:30–3:00 PM

Networking Break

3:00–4:00 PM

Concurrent Breakout Sessions

RISK TRACK

701 Records and Information Management for the Next Generation: Emerging Risks and Effective Management

Tuesday, 3:00–4:00 PM

Michael Salvatore, Leader, LRN

Virginia MacSuihne, JD, CCEP, Senior Director, Legal Ethics & Compliance, Roche Molecular Systems

- How the computing world is not just changing how information is managed but how people fundamentally communicate and do business together
- Why old ways of managing information and business records have not been, and will no longer work in today’s world
- What Records Managers can do to begin to re-think the ways in which this aspect of business is addressed

ETHICS TRACK

702 Maximizing Integrity at Key Career Moments

Tuesday, 3:00–4:00 PM

Jennifer Kugler, Senior Director, CEB

- Understand the impact key career moments or changes have on key compliance and ethics metrics including: misconduct observation rate, perception of integrity, and reporting rates

CASE STUDY TRACK

703 Best Practices for Conducting Internal Research

Tuesday, 3:00–4:00 PM

Kitty Holt, CCEP, Ethics & Compliance Officer, Plan International USA

- Do-it-yourself research: how to ask (and not ask) questions to determine the effectiveness of your compliance program
- How to analyze and take action on the data you’ve collected
- Actions you can take to get a good response rate

Agenda

INTERNATIONAL/MULTINATIONAL TRACK

704 Emerging Markets and Integrity Risk Management CCEP CCEP-I

Tuesday, 3:00–4:00 PM

David G. Hawkes, Dr.iur, Head of Special Litigation Unit, Integrity Vice Presidency, The World Bank

Paul Haynes, CCEP, Head of the Voluntary Disclosure Program, Integrity Vice Presidency, The World Bank

- Understand integrity risks and the reach of transnational anti-corruption enforcement in emerging markets and developing countries with a focus on the multi-billion dollar market connected to development aid
- Case studies: when risks become reality, the most recent schemes and how they can affect your business
- Enforcement action and the instruments available to address the risks before and after they materialize
- The future of transnational governance, integrity and compliance: where is the international discussion going and how will it affect your business

GENERAL COMPLIANCE/HOT TOPICS TRACK

705 Investigations: Strategy and Conducting Interviews CCEP CCEP-I

Tuesday, 3:00–4:00 PM

Michele Yaroma, Supervisory Special Agent, FBI

- Discover how to develop a comprehensive strategy and prepare an outline that can provide a roadmap to achieve a more systematic and thorough investigation
- Learn how to prepare for interviews by developing and posing appropriate questions in the proper sequence to gather the most complete and accurate information for your investigation
- Develop the ability to accurately, precisely and truthfully summarize the results of interviews in a concise, well-written report format

GENERAL COMPLIANCE/HOT TOPICS TRACK

706 C&E Programs for Joint Ventures and Subsidiaries

Tuesday, 3:00–4:00 PM

Jeffrey Kaplan, Partner, Kaplan & Walker LLP

- What legal and reputational risks can arise from a compliance failure in a joint venture or subsidiary?
- What practical steps should parent companies take to assess C&E risks in joint ventures and subsidiaries?
- How should C&E risks in joint ventures and subsidiaries be addressed—without creating liability for the parent organization?

GENERAL COMPLIANCE/HOT TOPICS TRACK

707 Faced with Possible Debarment, What Should you Do?

Tuesday, 3:00–4:00 PM

Robert Knox, Assistant Inspector General for Investigations, DOI-OIG

Stanley Stocker, Debarment Program Manager, DOI-OIG

Lori Vassar, Director, Administrative Remedies Division, DOI-OIG

- You received a notice of proposed suspension or debarment or a show cause notice from a Federal agency, and you are seeking a compliance and ethics agreement in lieu of administrative action.
- What does the Government look for during your presentation?
- How can you prepare your company or organization, when it is faced with allegations of misconduct or poor performance?

ADVANCED DISCUSSION GROUP

AD708 To Disclose or Not Disclose?

Tuesday, 3:00–4:00 PM

Paul McNulty, Partner, Baker & McKenzie

- According to the DOJ itself, roughly 50% of recent FCPA enforcement actions have been against self-disclosers, so what is the real risk of doing so?
- Are fines really reduced by self-disclosure?
- Does self-disclosure really reduce the associated financial and other penalties, such as the probability of having a monitorship imposed?
- How important is having a comprehensive compliance program prior to self-disclosure?
- Is self-disclosure critical in avoid successor liability if you uncover issues post-transaction?

ADVANCED DISCUSSION GROUP

AD709 / Repeat of AD109 Compliance Program Self-Assessment CCEP CCEP-I

Tuesday, 3:00–4:00 PM

John Falcetano, CHC-F, CIA, CCEP-F, CHRC, CHPC, Chief Audit & Compliance Officer, Vidant Health

- Why do a self-assessment?
- What do you assess?
- Self assessment tools

4:00–4:15 PM

Networking Break

4:15–5:15 PM

Concurrent Breakout Sessions

RISK TRACK

801 Conflicts of Interest Risk: Challenges, Impact, and Effective Management Strategies CCEP CCEP-I

Tuesday, 4:15–5:15 PM

Martin T. Biegelman, CFE, CCEP, Managing Director, Global Investigations & Compliance, Navigant

Shannon Grayer, Director, Effectiveness and Investigations, Europe, Middle East, and Africa, Computer Sciences Corporation

- Overview of the many types of conflicts of interest risk and the resultant financial, litigation and reputational impact an organization faces
- Understanding the human nature of conflicts on a global scale with a discussion of case studies and other conflict situations ripped from the headlines with the many lessons learned
- Share best practices for managing the risks created by conflicts of interest and implementing practical, flexible solutions, including risk assessments, tone at the top, policies and procedures, training, hotlines, annual certifications, pre-approvals, questionnaires and audits

ETHICS TRACK

802 Moving from Obeying to Believing

Tuesday, 4:15–5:15 PM

Michael McLaughlin, VP Legal, Chief Ethics & Compliance Officer, Dell

- Changing the E&C vernacular to enlist and excite—remember how the business thinks and leverage that knowledge to create champions
- Target and inspire the most influential audience—middle management. Those just below executive level feel the most pressure.
- Make good decision-making a repeatable process and align model with winning practices around innovation and risk taking.

CASE STUDY TRACK

803 Retaliation: Case Study on Prevention Strategies CCEP CCEP-I

Tuesday, 4:15–5:15 PM

Amy Block Joy, PhD, Faculty/Specialist Emeritus, University of California

- Retaliation as well as the perception of retaliation is a major threat to the ethical culture of an organization
- Organizations must prevent retaliation before it becomes a second form of misconduct
- Reducing fear of retaliation will improve employee communication, morale and encourage the workforce to speak up about wrongdoing

Agenda

INTERNATIONAL/MULTINATIONAL TRACK

804 Compliance in a Decentralized Multinational Firm

Tuesday, 4:15–5:15 PM

Johannes Freiler, MBA, Group Compliance Officer, Greiner Holding Plc

- Implementation of a Compliance Management System (CMS) in a decentralized multinational company
- Principle of subsidiarity—stable balance between bottom-up and top-down approach as guiding steering mechanisms for CMS
- Using CMS—implementation as a starting point for cultural change management: establish cross-cultural communication to vanquish structural heterogeneity; create unified standards and procedures and internal branding of CMS across all cultural barriers

GENERAL COMPLIANCE/HOT TOPICS TRACK

805 New Federal Policies to Impact Enforcement And Compliance Efforts

Tuesday, 4:15–5:15 PM

Adam Lurie, Partner, Cadwalader, Wickersham & Taft, LLP

- While it may appear to some as though Washington DC remains gridlocked, at least one constituency will continue to feel the capital's impact: the corporate ethics and compliance community
- Recent and upcoming policy developments involving federal criminal and civil enforcement are expected to have a continued substantial effect on corporate compliance
- This session will focus on these areas and the importance of monitoring these and other policy developments carefully.

GENERAL COMPLIANCE/HOT TOPICS TRACK

806 Keeping the Workforce Engaged

Tuesday, 4:15–5:15 PM

Alicia Olmstead, Ethics & Compliance Team, City of Austin

- How to keep the conversation going long after the annual training has ended
- Focusing on all levels of the organization
- Real life practices that build buy-in and buzz

GENERAL COMPLIANCE/HOT TOPICS TRACK

807 Engaging Your Board: Best Practices and Trends

Tuesday, 4:15–5:15 PM

Erica Salmon Byrne, EVP, Corpedia, an NYSE Euronext Company

Eric Morehead, Senior Compliance Counsel, Corpedia, an NYSE Euronext Company

- Trends
- Best Practices
- FCPA Guidance

WEDNESDAY, OCTOBER 9

8:00 AM–12:30 PM

Registration Open

8:00–9:45 AM

POST-CONFERENCE BREAKOUT SESSIONS

RISK TRACK

W1 Leveraging Technology to Effectively Manage Risk: “If I only had a tool that could...”

Wednesday, 8:00–9:45 AM

Amy Hutchens, CCEP, General Counsel and Vice President, Compliance & Ethics Services, Watermark Risk Management International, LLC;

Harvey Woodford, VP, Chief Compliance Officer, Avnet, Inc.

- Explore opportunities, benefits, and challenges of leveraging technology to effectively and efficiently manage and mitigate organizational risk
- Survey and discuss strategies and the use of practical and cutting-edge technological tools and resources that can help take your program to another level of effectiveness
- Engage in real-world exercises designed to provide participants with tools and strategies to evaluate risk and related risk management processes and consider opportunities to leverage technology

ETHICS TRACK

W2 Equipping Employees to Voice Their Values

Wednesday, 8:00–9:45 AM

Blair C. Marks, Director, Ethics Awareness and International Operations, Lockheed Martin Corporation

Michael J. Mulleavey, MBA, Senior Business Analyst, Ethics and Sustainability Office, Lockheed Martin Corporation

- Learn how Lockheed Martin has adapted Mary Gentile's innovative approach “Giving Voice to Values” for use in equipping its 120,000 employees to deal with values-based conflicts
- Participate in a sample interactive video-based training session and experience first-hand how the techniques are applied in annual Ethics Awareness Training for all employees
- Learn how leaders at all levels are equipped to deliver the training and understand how the concepts are being reinforced in other elements of the ethics and compliance program

CASE STUDY TRACK

W3 A Tale of Two Industries in Compliance

Wednesday, 8:00–9:45 AM

Courtney McBurney, Chief Compliance Officer, GE Energy Management

Michael Herde, Chief Compliance Officer, GE Capital

- How GE's compliance program flexes to fit vastly different industries, with different risks and regulations, such as Finance and Energy sectors
- Elements common to all industries and components designed to meet specific risks and regulations
- Practical ways to apply risk-tailored approach in any business and industry



Agenda

INTERNATIONAL/MULTINATIONAL TRACK

W4 Compliance Due Diligence in Multi-National Transactions: Mergers & Acquisitions and Third Parties CCEP CCEP-I

Wednesday, 8:00–9:45 AM

Louis Perold, Compliance Manager, Sasol Ltd.

Krista M. Muszak, Compliance Analyst, Paychex, Inc.

- This session will provide tools to conduct due diligence assessments that will help attendees identify and mitigate the risks in Mergers & Acquisitions as well as Third Party relationships in their international business endeavors
- Attendees will discuss the latest trends in DOJ enforcement for anti-corruption and anti-bribery cases/scenarios and benchmark their internal methods against these trends
- Overview and discussion points relating to the risks with emerging markets; focusing specifically on the legislation to consider, enforcement, culture and due diligence best practices that can be applied

GENERAL COMPLIANCE/HOT TOPICS TRACK

W5 Avoiding and Managing Burnout and Stress in the Compliance Profession

Wednesday, 8:00–9:45 AM

Shawn DeGroot, CCEP, CHC-F, CHRC, Associate Director, Navigant

Robert H. Ossoff, DMD, MD, CHC, Special Assistant to the Vice-Chancellor for Health Affairs, Maness Professor of Laryngology and Voice, Vanderbilt University Medical Center

- Burnout occurs when work-life balance is in a state of disequilibrium
- Compliance professionals are at a significant risk of developing burnout
- Strategies for avoiding, early detection and treatment of burnout will be emphasized

GENERAL COMPLIANCE/HOT TOPICS TRACK

W6 Tips & Traps for Non-Profit Compliance Programs

Wednesday, 8:00–9:45 AM

William M. Brown, Chief Compliance Officer, Knights of Columbus

Shaile Gupta, Director, Compliance and Risk Management, FHI 360

Ellen M. Hunt, Director, Ethics & Compliance, AARP

- Protecting reputation in a global and social media world
- Yes, the IRS is watching and so are other regulators
- How to run an effective and cheap program in a non-profit

GENERAL COMPLIANCE/HOT TOPICS TRACK

W7 Crossing the Four Quadrants of Corporate Compliance

Wednesday, 8:00–9:45 AM

David Childers, CIPP, OCEG Fellow, Chief Executive Officer, Compli

- The benefits of training both hard and soft skills
- Understand how to synergize each of the quadrants' stakeholders expectations
- Why connecting disparate exercises increases relevance

9:45 AM–10:00 AM

Networking Break

10:00–11:45 AM

POST-CONFERENCE BREAKOUT SESSIONS

RISK TRACK

W8 Global Privacy and Data Protection: Practical Risk Assessment and Governance CCEP CCEP-I

Wednesday, 10:00–11:45 AM

Robert Bond, BA, CCEP, FSALS, HonMIE, Head of Data Protection and Information Security, Speechly Bircham

Marti Arvin, CHC-F, CHPC, CHRC, CCEP-F, Chief Compliance Officer, UCLA Health System

- Understand global legal and regulatory regimes and assess the risks and evaluate the compliance program
- Explore tools and tactics to improve risk assessment and risk management
- Use interactive case studies and discussions on a range of topics including BYOD, ethical hotlines, global data transfers, hosted solutions and data breaches

ETHICS TRACK

W9 Free Online Tools for Great Ethics Training

Wednesday, 10:00–11:45 AM

Greg Walters, Trial Attorney, U.S. Department of Housing and Urban Development (invited)

- Learn how to use xtranormal.com and youtube.com to create powerful ethics training cartoons and videos and also how to create free crossword puzzles, bingo cards and word search games—all proven successful with annual ethics training programs.
- Practical considerations, such as online security, avoiding copyright infringement and the careful and judicious use of humor, including tasteful references to current ethics scandals, will be explored at length with ample case studies provided.
- Leave with practical ideas on how to take an ethics training program to a new, creative level, as well as inspirational stories on how a mandatory annual ethics training program became an award winning role model with some help from online tools.



Agenda

CASE STUDY TRACK

W10 Metro's C&E: How to Go from 0 to 60 in 18 months

Wednesday, 10:00–11:45 AM

Kent Swagler, CCEP, Director, Corporate Compliance and Ethics, Bi-State Development Agency

- Are you interested in learning how to establish a corporate compliance and ethics program in a major public sector organization?
- Do you want to learn how Metro's program got off the ground and in full operation in less than 18 months, while dealing with a major compliance issue that nearly shut down the agency and while receiving significant recognition in the process?
- Want to learn how to turn doubters of compliance and ethics into believers and advocates? Attend this exciting and instructive session to learn how to do it and what tools and strategies to use for success!

INTERNATIONAL/MULTINATIONAL TRACK

W11 Can One Ethics Program Fit All? Building an Effective Compliance Program That Works Around the Globe

Wednesday, 10:00–11:45 AM

Jacqui Beckett, Principal, Beckett Ethics and Compliance International, PC

- How, from the eyes of a compliance and ethics professional, an international company can roll out a global ethics and compliance program which meets all needs but still takes into account cultural issues. Does one program really fit all?
- Focus on how you make sure people on the ground all over the world get the message and live the messages not just pay lip service to the concepts
- Learn from real life experiences what works and what does not in a truly practical sense. Learn tips and tricks of the trade from a seasoned veteran who has built ethics and compliance programs for publically traded international companies



GENERAL COMPLIANCE/HOT TOPICS TRACK

W12 Incenting Employees to Speak Up

Wednesday, 10:00–11:45 AM

Carolyn Egbert, Principal Consultant, Creative Solutions for Executives

- Worried that your employee reporting statistics are too low?
- Concerned that your employees may be staying mum instead of speaking up to report concerns?
- Learn how adding effective and engaging incentives that reward moral courage to your organizational programs will increase employee reporting and decrease your compliance risk!

GENERAL COMPLIANCE/HOT TOPICS TRACK

W13 Matching & Mismatching Metrics for Meaning

Wednesday, 10:00–11:45 AM

Luanna K. Putney, PhD, CHC, CCEP, Director of Research Compliance, University of California

- Identify measureable metrics that may tell a story about the ethical culture of the organization
- Describe examples of important culture indicators that may not be evident until they are matched, or mismatched, with other indicators
- Engage leadership to think creatively about dashboards that capture the unique compliance culture of the organization

GENERAL COMPLIANCE/HOT TOPICS TRACK

W14 People Powered Compliance: Comprehensive Approach

Wednesday, 10:00–11:45 AM

Mary-James Young, Sr. Compliance & Regulatory Counsel, Vectren Corporation

- Learn the proven skills that empower subject matter experts and compliance professional to deliver efficient, effective regulatory compliance
- Understand the proven strategies that enable a compliance program to transform human factors and human error into proactive compliance risk management
- Apply qualitative metrics and measures to compliance program performance to establish a compelling compliance dashboard

1:00–2:00 PM

CCEP/CCEP-I Exam Check-In

2:00–4:00 PM

CCEP Exam (optional; offered in English only)

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Sally March, CCEP, CCEP-I, Director, Drummond March & Co.

Daniel R. Roach, JD, VP Compliance & Audit, Dignity Health

Kathleen Edmond, Chief Ethics Officer, Best Buy



Monday, October 7, 2013, 7:00–9:00 PM
International Ballroom, Concourse Level
Washington Hilton in Washington DC

Admission is complimentary for all conference attendees. Non-conference attendees are invited to purchase a ticket for \$50. Please contact SCCE to RSVP if you did not originally register for dinner on your registration form. Business casual attire is appropriate.

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Both exams will be held Wednesday, October 9, at 2:00 PM

The deadline for receipt of exam applications is Monday, September 30, 2013. To download exam applications, visit www.complianceethicsinstitute.org and click the "Certification" tab. Exam applications should be completed and returned separately from the conference registration as directed on the exam application.

Look in the brochure for sessions marked with **CCEP** or **CCEP-I** if you are interested in taking a certification exam and would like to attend potentially helpful sessions.

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Affinity group meetings in 2013

Make the Compliance & Ethics Institute® the site for your next off-site team meeting

We know it's hard to meet with your team, especially at the office with all the distractions. But what about using your time at the 2013 Compliance & Ethics Institute for an off-site meeting? SCCE makes it easy for you to get your team together in one room. We'll reserve meeting space for you and even provide you with a refreshment break at no charge. Additionally, all members from your organization will receive the SCCE member rate to attend the Compliance & Ethics Institute. It's our way of making sure you get the most out of your experience. So, as you plan your time at the Compliance & Ethics Institute, don't just think about all the great sessions. Think about how you and your compliance team can put that learning to work in an off-site session of your own.

Meeting space is limited, so act now to reserve yours before we run out. Requests must be sent to Jennifer Power at jennifer.power@corporatecompliance.org.

Affinity group meetings may be held:

- Saturday, October 5, 2013
- Sunday, October 6, 2013
- Thursday, October 10, 2013



Visit www.complianceethicsinstitute.org/affinitymeeting for details and to complete an application.

Approved requests will receive complimentary meeting room space at the conference hotel, Washington Hilton, and your choice of one of the following complimentary refreshment options: Continental breakfast, morning snack/beverage break, or afternoon snack/beverage break. (All additional food and beverage, decorating, or audio visual orders must be arranged directly with the hotel and are not part of the complimentary offer.)

Contact Jennifer Power at +1 952 405 7916 or jennifer.power@corporatecompliance.org to learn more.

Help Keep Your Compliance Program Fully Staffed



List Your Job Openings Online with SCCE

It's hard to have an effective compliance and ethics program when you have openings on your team. Help fill those openings quickly—list your compliance job opportunities with the Society of Corporate Compliance and Ethics.

Benefits include:

- Listing is posted for 90 days to maximize exposure
- Targeted audience
- Your ad is also included in our bi-weekly SCCE Jobs Newsletter, which reaches more than 17,000 emails

Don't leave your compliance positions open any longer than necessary. Post your job listings with SCCE today.

**www.corporatecompliance.org/newjobs
or call +1 952 933 4977 or 888 277 4977**



SCCE WOULD LIKE TO THANK OUR CONFERENCE SPONSORS

PLATINUM



GOLD



SILVER



MEDIA



Learn the Essentials of Compliance & Ethics Management

SCCE's 2013 Basic Compliance & Ethics Academies

Whether you're new to compliance or an experienced compliance practitioner looking to hone your skills and become a Certified Compliance & Ethics Professional (CCEP)[®] or a Certified Compliance & Ethics Professional-International (CCEP-I)[®], a Basic Compliance & Ethics Academy[®] is the right choice for you.

Each Academy provides three-and-a-half days of intensive, classroom-style training in the fundamentals of managing an effective compliance and ethics program. The faculty is experienced compliance professionals who have "been there and done that" and can help you take your compliance expertise and program to the next level.

And there's no better preparation for the certification exam and earning your CCEP.

To learn more about how the Society of Corporate Compliance and Ethics' Basic Compliance & Ethics Academy can help you, visit www.corporatecompliance.org/academies. It's the first step to mastering the essentials of compliance and ethics management.



www.corporatecompliance.org • +1 952 933 4977 or 888 277 4977



UPCOMING ACADEMIES

In the US

SOLD
OUT

Las Vegas, NV
September 16–19

Denver, CO
October 21–24

Orlando, FL
November 11–14

San Diego, CA
December 2–5

International

São Paulo, Brazil
August 26–29

Dubai, UAE
December 15–19

› COMING SOON

SCCE'S ALL-IN-ONE APP

A robust, powerful App.

*Experience all of SCCE
in one place*

- › Going to the Compliance & Ethics Institute? Get schedules, room locations, handouts, presentations, hotel maps, and more for SCCE's annual conference.
- › Automatically sync your conference schedule to your mobile device through an easy login in the app.
- › Login to your online SCCE account from your mobile device to purchase products, register for events and more.
- › Network with compliance professionals through SCCE's social networks.
- › Explore compliance and ethics positions posted on SCCE's "Job Board."
- › Network with your peers on all your favorite social media sites.
- › View compliance videos through SCCE's YouTube channel.



*Look for information to download the app in
conference materials in September.*



SOCIETY OF CORPORATE
COMPLIANCE AND ETHICS

Continuing Education Units

SCCE is in the process of applying for additional credits. If you do not see information on your specific accreditation and would like to make a request, please contact us at +1 952 933 4977 or 888 277 4977 or email helpteam@corporatecompliance.org. Visit SCCE's Compliance & Ethics Institute website, www.complianceethicsinstitute.org, for up-to-date information.

ASIS: Participants completing this course may be eligible to receive Continuing Professional Education credit or CPEs toward ASIS re-certification. Individuals seeking re-certification credit should check with ASIS and review the filing process at <https://www.asisonline.org/Certification/Recertification/Pages/default.aspx>. SCCE will provide all supporting documentation required for participants to submit to ASIS for credit approval.

Compliance Certification Board (CCB): Certified in Healthcare Compliance (CHC)[®], Certified in Healthcare Compliance–Fellow (CHC-F), Certified in Healthcare Privacy Compliance (CHPC)[®], Certified in Healthcare Research Compliance (CHRC)[®], Certified Compliance & Ethics Professional (CCEP)[®], Certified Compliance & Ethics Professional–Fellow (CCEP-F), Certified Compliance & Ethics Professional–International (CCEP-I): CCB has awarded a maximum of 25.2 CEUs for these accreditations in the following subject areas: Application of Management Practices for the Compliance Professional; Application of Personal and Business Ethics in Compliance; Written Compliance Policies and Procedures; Designation of Compliance Officers and Committees; Compliance Training and Education; Communication and Reporting Mechanisms in Compliance Enforcement of Compliance Standards and Discipline; Auditing and Monitoring for Compliance; Response to Compliance Violations and Corrective Actions; HIPAA Privacy Implementation and/or Complying with Government Regulations.

STANDARD BREAKOUT SESSIONS

Sunday Pre-Conference: 6.6 full-day | AM only 3.3 | PM only 3.3

Monday: 7.2

Tuesday: 7.2

Wednesday Post-Conference: 4.2 full-day

MAXIMUM TOTAL: 25.2

Additional CCB credits only may be earned for participation in the Speed Networking and/or Speed Mentoring sessions at the Sunday Pre-conference. A limit of 1.5

CCB credits per year may be earned by participating in SpeedNetworking or SpeedMentoring sessions.

CLE: The Society of Corporate Compliance and Ethics is a State Bar of California Approved MCLE provider, a Pennsylvania Accredited Provider, and a Texas Accredited Sponsor; SCCE is pre-approved in each of these states to offer CLE Credits. SCCE is in the process of applying to ALL MCLE States for CLE approval prior to the conference. To view the current status of continuing legal education credits for this conference, go to www.complianceethicsinstitute.org > Certification tab > Continuing Education Approved (in drop-down menu) > CLE (click link for list of CLE details). An approximate maximum of 21.0 clock hours of CLE credit will be available to attendees of this conference. All CLE credits will be awarded based on individual attendance.

(ISC)²: The (ISC)² does not endorse or “approve” any events or education in advance, however any curriculum that falls within at least one of the 10 domains of knowledge for the CISP can be used by participants in continuing education activities to satisfy their CPE credit needs. Portions of this event may qualify for CPE credits. All (ISC)² members are responsible for validating CPE credit worthiness no matter what the circumstances. SCCE will provide all supporting documentation required for members to submit to (ISC)² for credit approval. To view the (ISC)² 10 domains of knowledge visit <https://www.isc2.org/sscp/default.aspx> and view the links within the Certifications tab drop-down menu.

NASBA/CPE: The Society of Corporate Compliance and Ethics is registered with the National Association of State Boards of Accountancy (NASBA) as a sponsor of continuing professional education on the National Registry of CPE sponsors, Sponsor Identification No: 105638. State boards of accountancy have final authority on the acceptance of individual courses for CPE credit and may not accept one-half credits. Complaints regarding registered sponsors may be addressed to the National Registry of CPE Sponsors, 150 Fourth Avenue North, Suite 700, Nashville, TN 37219-2417. Website: www.nasba.org. A recommended maximum of 25.0 credits based on a 50-minute hour will be granted for the entire learning activity. This program addresses topics that are of a current concern in the compliance environment. This is an update, group-live activity. For more information regarding administrative policies such as complaints or refunds, call SCCE at +1 952 933 4977 or 888 277 4977.

Exhibitors at the 2013 Compliance & Ethics Institute[®]

Meet with representatives from more than 30 companies with solutions for you

Aegis Compliance & Ethics	Datacert, Inc.	MetricStream	The Red Flag Group
Association of Certified Fraud Examiners	Devesys Technologies, Inc.	NAVEX Global	Thomson Reuters Accelus
Baker & McKenzie LLP	Health Care Compliance Strategies	Navigant Consulting	WeComply, Inc.
Compli	Hiperos	New England College of Business & Finance	Widener University School of Law
Compliance Concepts, Inc.	Hitec Laboratories Ltd.	SAI Global	World Compliance
Compliance Wave, LLC	Ingenuiti	Skillsoft	Xcelus, LLC
Compliance Week	i-Sight	STEELE CIS	
Convercent	Lexis Nexis	TerraNua	
Corpedia	LRN	The Network	

Registration

12th Annual Compliance & Ethics Institute | October 6–9, 2013 | Washington Hilton | Washington DC

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.

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

List others not listed here: _____

What certifications do you hold? Select all that apply.

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

List others not listed here: _____

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

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

List others not listed here: _____

Are you a first-time attendee of this conference?

- This is my first Compliance & Ethics Institute

REGISTRATION CONTINUES ON NEXT PAGE (OVER)

Registration

12th Annual Compliance & Ethics Institute | October 6–9, 2013 | Washington Hilton | Washington DC

2 Please type or print your contact information

Mr. Mrs. Ms. Dr.

Member ID _____

First Name _____ MI _____

Last Name _____

Credentials _____

Job Title _____

Name of Employer _____

Street Address _____

City/Town _____

State/Province _____ Zip/Postal Code _____

Phone _____ Fax _____

Email (required for registration confirmation) _____

3 Select your sessions

Please select ONE session per time slot to assist SCCE in room planning. You are not obligated to attend selected sessions, but note that sessions marked with a * below are limited to 50 participants. You must pre-register to reserve admission to these sessions.

SATURDAY, OCTOBER 5

Register me for the Volunteer Project, 11:00 AM–3:30 PM

SUNDAY, OCT 6

PRE-CONFERENCE

9 AM–12 PM

- P1
- P2
- P3
- P4
- P5
- P6
- P7

1:30–4:30 PM

- P8
- P9
- P10
- P11
- P12
- P13
- P14

MONDAY, OCT 7

Breakouts

11 AM–12 PM

- O101
- O102
- O103
- O104
- O105
- O106
- O107
- O108

AD109* FULL AD309* FULL

AD110* AD310*

Breakouts

1:30–2:30 PM

- O201
- O202
- O203
- O204
- O205
- O206
- O207
- O208
- AD209*
- AD210*

Breakouts

3–4 PM

- O301
- O302
- O303
- O304
- O305
- O306
- O307
- O308

AD309* FULL AD310*

Breakouts

4:30–5:30 PM

- O401
- O402
- O403
- O404
- O405
- O406
- O407
- O408
- AD409* FULL
- AD410* FULL

International Compliance & Ethics Awards Dinner, 7–9 PM (FREE)

TUESDAY, OCT 8

Breakouts

11 AM–12 PM

- O501
- O502
- O503
- O504
- O505
- O506
- O507
- O508

AD509* AD510*

Breakouts

1:30–2:30 PM

- O601
- O602
- O603
- O604
- O605
- O606
- O607
- AD608*
- AD609*

Breakouts

3–4 PM

- O701
- O702
- O703
- O704
- O705
- O706
- O707
- AD708*
- AD709*

Breakouts

4:15–5:15 PM

- O801
- O802
- O803
- O804
- O805
- O806
- O807

WEDNESDAY, OCT 9

Breakouts

8–9:45 AM

- OW1
- OW2
- OW3
- OW4
- OW5
- OW6
- OW7

Breakouts

9:45–10 AM

- OW8
- OW9
- OW10
- OW11
- OW12
- OW13
- OW14

4 Choose your options

PRICES LISTED REFLECT SAVINGS

- | | | |
|--|-------------------|---------------|
| | on/before 9/18/13 | after 9/18/13 |
| <input type="checkbox"/> SCCE Members | \$1,049 | \$1,099 |
| <input type="checkbox"/> Membership Renewal & Registration | \$1,344 | \$1,394 |
| <input type="checkbox"/> Non-Members | \$1,199 | \$1,249 |
| <input type="checkbox"/> New Membership & Registration | \$1,249 | \$1,299 |
| <input type="checkbox"/> Pre-Conference Registration Morning | \$175 | \$175 |
| <input type="checkbox"/> Pre-Conference Registration Afternoon | \$175 | \$175 |
| <input type="checkbox"/> Post-Conference Registration | \$175 | \$175 |
| <input type="checkbox"/> Discount: 5 or more from same company | (\$100) | (\$100) |

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

Compliance & Ethics Institute Session Recordings

PURCHASE on/before 10/9/13 after 10/9/13

- Non-attendees: Online learning \$699 \$799
- Non-attendees: DVDs \$799 \$899
- Registered Attendees: Online learning \$299 \$399
- Registered Attendees: DVDs \$399 \$499
- Multi-user licensing fee \$99 \$99

TOTAL \$ _____

5 Choose your payment method

Check enclosed (payable to SCCE)

Invoice me | Purchase Order _____

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

CREDIT CARD: American Express MasterCard Visa

Credit Card Account Number _____

Credit Card Expiration Date _____

Cardholder's Name _____

Cardholder's Signature _____

CEI2013

How 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 helpteam@corporatecompliance.org

Details

Conference Hotel

Washington Hilton
1919 Connecticut Ave NW
Washington DC 20009, USA
PHONE +1 202 483 3000
www3.hilton.com/en/hotels/district-of-columbia/washington-hilton-DCAWHHH/index.html

The group rate is \$289 per night single/double occupancy plus tax (currently at 14.5% per room per night and subject to change). Additional persons are \$25 each and upgraded rooms are available for additional charge. Visit www.hilton.com/en/hi/groups/personalized/D/DCAWHHH-SCCE-20131004/index.jhtml?WT.mc_id=POG to make reservations online via our SCCE group site, or call +1 202 328 2085. When making your reservation via telephone, please reference the group code SCCE to receive the special rate. These rates are good until September 15, 2013, 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 Policy: There is a deposit of 1 night required for your reservation. If you use a debit/credit card to check in, a hold may be placed on your card account for the full anticipated amount to be owed to the hotel, including estimated incidentals, through your date of check-out and such hold may not be released for 72 hours from the date of check-out or longer at the discretion of your card issuer.

Hotel Cancellation Policy: If you wish to cancel, please do so 3 days prior to arrival to avoid cancellation penalties. At check in, the front desk will verify your check-out date. Rates quoted are based on check-in date and length of stay. Should you choose to depart early, price is subject to change. The hotel reserves the right to cancel or modify reservations where it appears that a customer has engaged in fraudulent or inappropriate activity or under other circumstances where it appears that the reservations contain or resulted from a mistake or error.

Hotel Services available for an additional charge

- Parking charges: Self parking - \$36.00, Hourly rates posted.
Valet parking - \$46.00
- In-room and public internet is complimentary to guests booked within the conference group code/block
- Pets allowed, \$50.00 non-refundable fee, 75 lbs maximum



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

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.

Cancellations/Substitutions: You may send a substitute in your place or request a conference credit. Conference credits are issued in the full amount of the registration fees paid and are good for 12 months from the date of the cancelled event. Conference credits may be used toward any SCCE service. If you need to cancel your participation, notify us prior to the start date of the event by email at helpteam@corporatecompliance.org or by fax at +1 952 988 0146. Please note that if you are sending a substitute, an additional fee may apply.

Group Discounts

5 or more: \$100 discount for each registrant

10 or more: \$150 discount for each registrant

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

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.

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.

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 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, and biography for such purposes.

LEARN MORE & REGISTER ONLINE
www.complianceethicsinstitute.org

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



SOCIETY OF CORPORATE
COMPLIANCE AND ETHICS

October 6–9, 2013

Washington Hilton | Washington DC

12TH ANNUAL

Compliance & Ethics Institute

Learn more at www.complianceethicsinstitute.org