Come to the 2009 COMPLIANCE & ETHICS INSTITUTE
September 13–16, 2009 | Las Vegas, Nevada

4 Thought-Provoking General Sessions
36 Breakouts for More Interaction
9 Pre- and Post-Conference Workshops
70 Speakers Sharing Best Practices

A SPECIAL PERFORMANCE BY ETHICS LIVE from The Second City Communications and EthicsOne (performing at the 5th Annual International Compliance Awards Banquet)

www.complianceethicsinstitute.org
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 2009 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, September 13, 2009. The day is divided into two longer sessions: morning sessions and afternoon sessions. The longer timeframe allows for in-depth discussion and interaction covering topics in more detail.

Post-Conference Workshops will be offered on Wednesday, September 16, 2009. The sessions are four hour interactive workshops 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 an action plan for developing compliance and ethics programs that reflect current trends and guidance from broad industry segments

Prerequisites: Designed for compliance and ethics professionals.

Advanced preparation: None.

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, to include (but not limited to):

- Audit managers
- Compliance and Ethics Journalists
- Compliance and Ethics Trainers and Analysts
- Compliance Professionals
- 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

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Dear Compliance and Ethics Leader:

There has never been a time when our profession has been more important to the success of either the organizations we work for, or the economy as a whole. With restoring trust in business so critical in this era, we have been given a unique opportunity to reshape business in fundamental ways.

That’s why it is so important that you join me in taking part in this year’s Compliance and Ethics Institute. We have filled the agenda with 36 breakout sessions, nine pre and post-conference workshops, and more than 70 speakers to provide you with a comprehensive learning opportunity to help you lead your organization through these times. And we have done so while keeping the costs at levels that fit the tight budgets we are all living with.

When you attend the CEI you will find sessions addressing the wide range of issues you care about:

- Managing in this economy when the risks are greater and resources constrained
- Coping with the legal, regulatory and other issues from the Wall Street meltdown
- Hot enforcement areas such as FCPA
- Ongoing challenges like making your code of conduct a living document
- Innovative approaches for training your workforces
- Case studies from companies such as Siemens
- And much more

I look forward to having you join us in Las Vegas from September 14–17 for the Compliance and Ethics Institute. It’s a valuable and cost-efficient means to help advance your compliance and ethics program, and your professional skills.

Sincerely,

Daniel Roach

Program Committee and SCCE Advisory Board Chair
<table>
<thead>
<tr>
<th>Speaker Name</th>
<th>Title and Affiliation</th>
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</thead>
<tbody>
<tr>
<td><strong>MARK ALLENBAUGH, ESQ.</strong> (803)</td>
<td>Partner, Allenbaugh Samini LLP</td>
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<tr>
<td><strong>JENNIFER ALLISON</strong> (W3)</td>
<td>Assistant General Counsel, Director Corporate Compliance &amp; Human Resources, EthicsPoint, Inc.</td>
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<tr>
<td><strong>LISA ANSILIO</strong> (MON. GEN. SESS.)</td>
<td>Associate General Counsel and Global Director, Legal Compliance, Intel Corporation</td>
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<tr>
<td><strong>THEODORE L. BANKS</strong> (201)</td>
<td>President, Compliance &amp; Competition Consultants, LLC</td>
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<tr>
<td><strong>MERIC BLOCH, JD, CFE</strong> (405)</td>
<td>Vice President, Compliance &amp; Corporate Investigations, Adecco Group North America</td>
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<tr>
<td><strong>ROBERT L. BORNTRAGER, CHC</strong> (P2)</td>
<td>Director and Chief Compliance Officer, Office of Compliance and Legislative Affairs, County of San Diego Health and Human Services Agency</td>
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<tr>
<td><strong>ANTHONY O. BOSWELL</strong> (105)</td>
<td>Executive Director, Office of Compliance City of Chicago</td>
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<tr>
<td><strong>NANCY BOSWELL</strong> (MON. GEN. SESS.)</td>
<td>President and CEO, Transparency International USA</td>
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<tr>
<td><strong>KEVIN CASSELL</strong> (404)</td>
<td>Director, Instructional Design, SAI Global</td>
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<tr>
<td><strong>HONORABLE JUDGE RUBEN CASTILLO</strong> (TUE. GEN. SESS.)</td>
<td>U.S. District Court Judge, Vice Chair, U.S. Sentencing Commission</td>
</tr>
<tr>
<td><strong>CHARLES D. CHADWICK</strong> (TUE. GEN SESS., 701)</td>
<td>Vice President, Contracts and Business Conduct, BAE Systems, Inc.</td>
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<tr>
<td><strong>DAVID CHILDERS</strong> (W3)</td>
<td>CEO and President, EthicsPoint, Inc.</td>
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<tr>
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<td>Sr. Vice President, Marketing and Business Development, Global Compliance</td>
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<td><strong>CYNTHIA COOPER, CPA</strong> (IN GEORGIA) CFE, CISA, (MON. LUNCHEON)</td>
<td>CEO, The Cooper Group LLC</td>
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<tr>
<td><strong>MICHAEL CONNOR</strong> (505)</td>
<td>President, New Mountain Media LLC</td>
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<tr>
<td><strong>PAULA DESIO, JD</strong> (301)</td>
<td>Former Deputy General Counsel, U.S. Sentencing Commission</td>
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<tr>
<td><strong>ORRIE DINSTEIN</strong> (102)</td>
<td>Chief Privacy Leader, GE Capital</td>
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<td><strong>MARJORIE DOYLE, JD, CCEP</strong> (201)</td>
<td>Ethics and Compliance Consultant, Marjorie Doyle &amp; Associates LLC</td>
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<tr>
<td><strong>JILL U. EDMONDSON, JD, CCEP</strong> (P5)</td>
<td>Manager, Corporate Compliance, The Home Depot</td>
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<tr>
<td><strong>MARSHA ERSHAGHI</strong> (W2)</td>
<td>Practice Leader, Education Solutions, LRN</td>
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<td><strong>YVONNE ZACHMAN FIEDLER</strong> (P6)</td>
<td>CCO &amp; COO, ActivStyle</td>
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<td><strong>PAUL FIORELLI, JD, MBA, CCEP</strong> (802)</td>
<td>Director, Cintas Institute for Business Ethics, Xavier University</td>
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<td>Director, Ethics &amp; Compliance, Textron Systems Corporation</td>
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<td><strong>MARK GARFINKEL, ESQ.</strong> (402)</td>
<td>CEO, Diligence International, LLC, Former VP and General Counsel of OPIC</td>
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<td><strong>DONALD GRIFFITH</strong> (MON. GEN. SESS.)</td>
<td>Vice President, Associate General Counsel, Goldman Sachs</td>
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<tr>
<td><strong>GERALD M. GRIFFITH</strong> (702)</td>
<td>Partner, Jones Day</td>
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<td><strong>GARY G. GRINDLER</strong> (TUE. GEN SESS.)</td>
<td>Deputy Assistant Attorney General, U.S. Department of Justice Criminal Division</td>
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<td><strong>ODELL GUYTON, JD, CCEP</strong> (TUE. GEN. SESS.)</td>
<td>SCCE Co-Chair, Director of Compliance, Microsoft Corporation</td>
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<tr>
<td><strong>ERICA H. HAUPERT</strong> (605)</td>
<td>Vice President, Key Accounts, Motion Picture Licensing Corporation</td>
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<tr>
<td><strong>ERIC HAVIAN</strong> (TUE. GEN. SESS.)</td>
<td>Partner, Phillips &amp; Cohen LLP</td>
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<tr>
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<tr>
<td><strong>MICHAEL HOROWITZ, JD</strong> (MON. GEN. SESS.)</td>
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<tr>
<td><strong>GABRIEL L. IMPERATO, ESQ., CHC</strong> (P5)</td>
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<tr>
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<tr>
<td><strong>BARBARA H. KIPP, CPA</strong> (103)</td>
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<tr>
<td><strong>KENN KURTZ</strong> (603)</td>
<td>CEO, The Steele Foundation</td>
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<tr>
<td><strong>LATOUR “LT” LAFFERTY, JD, CCEP, CHC</strong> (W1)</td>
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<tr>
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<tr>
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<td>Coordinator, Corporate Fraud Task Force, United States Attorney’s Office, Seattle, Washington</td>
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SPEAKERS

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Compliance Specialist, 3M Company

DEANNA SLOCUM (303)
Corporate Compliance Officer,
Siemens PLM Software

CHARLES F. SMITH (603)
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MARK SNYDERMAN (401)
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ANNE WRIGHT (MON. GEN. SESS.)
Former, Associate General Counsel &
Chief Ethics Counsel, FINRA

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Sunday, September 13

9:00 AM–12:00 PM

PRE-CONFERENCE AM SESSIONS

101: Compliance
Debbie Tooleka, CCEP, CHC-F, CHRC, Assistant VP for Health Affairs/Compliance, University of Louisville HSC; Sheryl Vaccaro, CCEP, CHC-F, CHRC, Senior Vice President/Chief Compliance & Audit Office, University of California

1:00 PM–4:00 PM

PRE-CONFERENCE PM SESSIONS

4:00 PM–5:30 PM

Opening Reception

5:00–6:00 PM

Monday, September 14

7:00 AM–7:00 PM

Conference Registration

7:00 AM–8:00 AM

Continental Breakfast

8:00–8:15 AM

Opening Remarks

8:15–10:30 AM

General Session: (Part 1) FCPA and Anti-Corruption: What’s New and What You Should Do
Moderator: Michael Horowitz, JD, Partner, Cadwalader, Wickersham & Taft LLP, Former Commissioner, U.S. Sentencing Commission
Panelists: Nancy Boswell, President and CEO, Transparency International USA; Alexandra Wrage, President, TRACE

General Session: (Part 2) The Wall Street Meltdown: Lessons for Compliance and Ethics Professionals
Moderator: Matt Kelly, Editor-in-Chief, Compliance Week; Panelists: Lisa Ansilio, Associate General Counsel and Global Director, Legal Compliance, Intel Corporation; Randy Stephens, JD, CCEP, Former Senior Director–Corporate Compliance, The Home Depot; Mark Snyderman, Senior Advisor on Anti-Corruption to the United Nations Global Compact and Former Chief Ethics & Compliance Officer, The Coca-Cola Company

10:30–11:00 AM

Networks

11:00 AM–12:00 PM

Concurrent Breakouts: 100 Sessions

102: Facebook, LinkedIn, YouTube–Friend or Foe? How Social Networks and Web 2.0 Are Creating Risks for Companies
Omri Einstein, Chief Privacy Leader, GE Capital

103: Risk Management Culture: The Linkage Between Ethics & Compliance and ERM
Barbara Kipp, Partner, PricewaterhouseCoopers; Cathy G. Tonn, Director, PricewaterhouseCoopers

104: Winning Through Compliance: British Telecom’s Compliance Challenge
Keith Brad, C. Eng., MIE, Group Compliance Director, British Telecom

105: Personality and Process: Navigating the Politics of Municipal Compliance
Anthony O. Boswell, Executive Director, Office of Compliance, City of Chicago; More Meyers, First Deputy Director, Office of Compliance, City of Chicago

12:00–1:00 PM

Luncheon Presentation: Moving Forward: Ethical Leadership for the 21st Century
Cynthia Cooper, CPA (in Georgia), CFE, CISA, CEO, The Cooper Group LLC

1:30–2:30 PM

Concurrent Breakouts: 200 Sessions

201: Managing Ethics and Compliance During a Recession
Janice Doyle, JD, CCEP, Ethics and Compliance Consultant, Janice Doyle & Associates LLC; Theodore L. Banks, Compliance & Competition Consultants, LLC

202: Let’s Get Them Something to Talk About: Publicizing Business Conduct Violations Inside Your Company
John Stoxen, Director, Business Conduct and Compliance, 3M Company; Gwen Schwebel, Compliance Specialist, 3M Company

203: Supply Chain Integrity
Michael R. Levin, Esq., CCEP, Vice President, Integrity Interactive

204: Ethics/Compliance Hotline Benchmarking: Best Practices and Data Trends
Nick Cicci, Esq., Vice President, Marketing and Business Development, Global Compliance; Carrie Penman, Vice President, Ethical Leadership Group, A Global Compliance Company

205: Applying Corporate Compliance Principles in a Federal Agency
Emoschello, JD, Attorney of Low

2:30–3:30 PM

Concurrent Breakouts: 300 Sessions

301: Compliance Programs on Trial: Assessing Programs through Direct and Cross-Examination
Rebecca Walker, Partner, Kogan & Wolfe LLP; Paula Doris, JD, Former Deputy General Counsel, U.S. Sentencing Commission; Carl H. Moor, Partner, Munger, Tolles & Olson LLP

302: How to Manage a Whistleblower Process in the New Regulatory Environment
Frank Lopez, Director, Ethics & Compliance, Qwest Associate General Counsel

303: Compliance at Siemens: A Management Change Process
Deanna Stocum, Corporate Compliance Officer, Siemens PLM Software

304: 3 C’s: Culture, Compliance & Credibility: Dell’s Approach to Ethics and Compliance
Page Yates, Global Education Strategist, Dell Global Ethics & Compliance

305: Values-Based Approach to Ethics and Compliance: The Only Sustainable Way and How to Achieve It
Ruth N. Steinhardt, (former) General Counsel and Group Security Coordinator, Borealis AG

3:00–4:00 PM

Concurrent Breakouts: 300 Sessions

401: A Practical Guide to Building and Maintaining an Anti-Corruption Compliance Program
Mark Snyderman, Senior Advisor on Anti-Corruption to the United Nations Global Compact and Former Chief Ethics & Compliance Officer, The Coca-Cola Company

402: Lower Your Costs and Implement Best Practices in Building a Reputation Risk Due Diligence Program for the Emerging Markets
Mark Gottke, Esq., CFO, Diligence International, LLC; Former VP and GC of OPI

403: Antitrust Update: Recent Enforcement Actions and What You Should Do About Them
David Meyer, Partner, Morrison & Foerster LLP and Former Principal Deputy Assistant Attorney General, Antitrust Division, Department of Justice; Charles Somes, Partner, Latham & Watkins LLP

404: Next Generation Compliance & Ethics Programs and Challenges for Government Contractors
William A. Roberts III, JD, LLM, Partner and Co-Chair, Government Contracts Practice Group, Wiley Rein LLP; Kevin Cass, Director, Instructional Design, SAI Global

405: Private Eye 101: Investigations Principles
Mem Bloch, JD, CFE, Vice President, Compliance & Corporate Investigations, Adecco Group North America

3:00–4:15 PM (EXTENDED TIME)

INTERACTIVE WORKGROUP: The Next Major Compliance Issue
Adam Turtelbaum, CCEP, Vice President of Membership Development, SCCE

4:00–4:30 PM

Network Break

4:30–5:30 PM

Concurrent Breakouts: 400 Sessions

406: Your Costs and Implement Best Practices in Building a Reputation Risk Due Diligence Program for the Emerging Markets
Mark Gottke, Esq., CFO, Diligence International, LLC; Former VP and GC of OPI
Monday, September 14 (continued)

5:30-7:00 PM  Networking Reception
7:00–10:00 PM  5th Annual International Compliance Awards Dinner, with a performance by Ethics Live from Second City Communications and EthicsOne

Tuesday, September 15

7:00 AM–6:00 PM  Conference Registration
7:00 AM–8:00 AM  Continental Breakfast
8:00–8:15 AM  Opening Remarks
8:15–10:30 AM  Concurrent Breakouts: 500 Sessions

700: 700 Sessions
900: 900 Sessions
1100: 1100 Sessions
1200: 1200 Sessions
1:30–2:30 PM  Networking Lunch
2:30–3:00 PM  Networking Break
3:00–4:00 PM  Concurrent Breakouts: 700 Sessions
4:00–4:15 PM  Networking Break
4:15–5:15 PM  Concurrent Breakouts: 800 Sessions

Wednesday, September 16

7:00 AM–12:00 PM  Conference Registration
8:00 AM–12:00 PM  Post-Conference Workshops
8:00–8:15 AM  CCEP Exam Check–In
8:15 AM–12:00 PM  Concurrent Breakouts: 800 Sessions
SCCE is in the process of applying for additional CE credits from outside organizations. If you do not see information on your specific accreditation listed three months prior to the date of the event, please contact us at +1 952 933 4977, as we’d like the opportunity to offer it.

Please note the number of CEUs awarded is subject to change, pending the clinical review of the final content. Credit hours include participation in pre- and post-conference sessions.

**Compliance Certification Board (CCB):**
Certified in Healthcare Compliance (CHC), Certified Compliance & Ethics Professional (CCEP), Certified in Healthcare Research Compliance (CHRC): CCB has awarded a maximum of 27 CEUs.

- **Sunday Pre-Conference Max:** 7.2
- **Monday Max:** 7.5
- **Tuesday Max:** 7.5
- **Wednesday Post-Conference Max:** 4.8

**MCLE/CLE:** The Health Care Compliance Association, a co-sponsor of the Society of Corporate Compliance & Ethics, is a State Bar of California approved MCLE provider, a Rhode Island Accredited Provider, and a Texas Accredited Sponsor. Required sponsor documentation has been forwarded to and credit requested from MCLE states with general requirements for all lawyers. 22.5 CLE hours have been requested from the states that recognize the 60-minute credit hour; and 27.0 CLE hours from those states granting credit hours based on a 50-minute credit hour. For New York participants, 27 CLE hours have been requested. Lawyers seeking credit in Pennsylvania must pay fees of $1.50 per credit hour directly to the Pennsylvania CLE Board. SCCE, the sponsor, pays applicable fees in other states where the sponsor is required to do so as well as in states where a late fee may become applicable. Please be aware that each state has its own MCLE rules and regulations, including its definition of “MCLE.” Therefore, certain programs may not receive credit in some states. For information on approved credit hours for your state, please contact your state board beginning two to three weeks prior to the program start date.

**NASBA/CPE:** The Health Care Compliance Association, a co-sponsor of the Society of Corporate Compliance & 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. To verify if your state board of accountancy has adopted one-half credits, please visit our website at www.hcca-info.org/accountancycredits. 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 27 credits based on a 50-minute hour will be granted for the entire learning activity including Industry Immersions. This program addresses topics that are of a current concern in the compliance environment. An understanding of the USSG’s Seven Elements of an Effective Compliance Program and compliance terminology and acronyms are prerequisites of this learning activity. This is an update, group-live activity. For more information regarding administrative policies such as complaints or refunds, call the SCCE at +1 952 933 4977 or 888 277 4977.

**AFFINITY GROUP MEETINGS**

Planning on attending the Compliance & Ethics Institute? Need to hold a meeting of your own? Affinity group meetings are now available in conjunction with the Compliance & Ethics Institute. Receive a complimentary meeting room at the conference site, your choice of a complimentary continental breakfast or an AM or PM break and all of your attendees will also receive the SCCE member rate for the annual conference. This is a great way to stretch your meeting budget dollars.

To apply for an affinity group meeting, please contact SCCE at +1 952 933 4977.
Want to become certified in Compliance & Ethics?

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 Raise your understanding

Earn your Certified Compliance & Ethics Professional (CCEP) certification today, and be recognized for your experience and knowledge.

The Society of Corporate Compliance and Ethics (SCCE) offers you the opportunity to take the Certified Compliance and Ethics Professional (CCEP) certification exam. The CCEP gives individuals from all industries the platform to demonstrate their knowledge and expertise in compliance and ethics.

In the U.S., the exam is available at an H&R Block near you. The exam is also available in more than 30 countries.

**CCEP CERTIFICATION BENEFITS**

- Demonstrate professional standards and status for compliance professionals
- Heighten the credibility of compliance practitioners and enhance the credibility of compliance programs staffed by these certified professionals
- Ensure that each certified practitioner has the knowledge base necessary to perform the compliance function
- Facilitate communication with other industry professionals, such as government officials and attorneys
- Demonstrate the hard work and dedication necessary in the compliance field

**QUALIFICATIONS**

Find a link to download the CCEP Candidate Handbook at www.corporatecompliance.org/CCEP

Cost: $250 for SCCE members
$350 for non-members

Credits Required: 20

You may obtain all twenty credits by:
- attending SCCE-sponsored conferences
- speaking at conferences regarding compliance and ethics
- attending conferences, seminars, or workshops sponsored by other organizations (please fill out an Individual Accreditation Application for each)

**TAking the EXam**

There are several opportunities to take the CCEP exam:
- At SCCE’s Compliance and Ethics Institute, SCCE’s Academies, or SCCE’s Conference for Effective Compliance Systems in Higher Education
- At an H & R Block near you: visit www.goAMP.com to register
- In more than 30 countries: visit www.corporatecompliance.org/CCEP for more information

**QUESTIONS?**

Please contact SCCE via phone at +1 952 933 4977 or 888 277 4977 or e-mail ccb@corporatecompliance.org

Or visit our Web site: www.corporatecompliance.org/CCEP

Society of Corporate Compliance & Ethics
6500 Barrie Road, Suite 250
Minneapolis, MN 55435, United States

www.corporatecompliance.org

“We sought the assistance of a professional certification consulting firm, Applied Measurement Professionals, for the development of this certification. Many experienced compliance and ethics professionals were involved in the 18-month process. We had more than 100 people sit for the first exam. I couldn’t be more pleased with the effort and response. This is a big step in the maturation process for the compliance and ethics profession.”

— Roy Snell, CEO, SCCE
**Sunday, September 13**

**7:00 AM – 6:00 PM**
Registration Open

**9:00 AM – 12:00 PM**

**PRE CONFERENCE SESSIONS**

**P1: Compliance 101**

- Debbie Troklus, CCEP, CHC-F, CHRC, Assistant VP for Health Affairs/Compliance, University of Louisville HSC
- Sheryl Vaccar, CCEP, CHC-F, CHRC, Senior Vice President/Chief Compliance & Audit Officer, University of California

- An in-depth look into the seven elements of an effective compliance program
- “How to’s” of designing and implementing an ethics and compliance program from the ground up
- A suggested governance structure and program framework
- Project and program management techniques, systems, tools, etc.
- Monitoring and follow-up techniques

**P2: Compliance and the Public Employee**

- Robert L. Borntrager, CHC, Director and Chief Compliance Officer, Office of Compliance and Legislative Affairs, County of San Diego Health and Human Services Agency
- Jeffrey A. Nagel, PhD, CHC, Chief of Staff/Chief Compliance Officer, County of Orange
- Lisa M. Macchione, JD, MPH, Senior Deputy County Counsel, County of San Diego

- Participants will gain a better understanding of the unique challenges that face public sector compliance professionals
- Participants will learn techniques and strategies for dealing with these unique challenges
- Participants will develop a network of resources to call upon for assistance and ideas

**P3: Becoming a More Effective Ethics and Compliance Officer**

- Ann Oglanian, JD, CEO, ReGroup, LLC
- Joseph E. Murphy, JD, CCEP, Of Counsel, CSLG, Co-Founder and Senior Advisor, Integrity Interactive, Co-Editor, Ethikos
- Daniel R. Roach, JD, Vice President, Compliance & Audit, Catholic Healthcare West

**1:00 – 4:00 PM**

**PM BREAKOUT SESSIONS**

**P4: Raising Awareness of Compliance Through Corporate Compliance and Ethics Week: A Home Depot Case Study**

- Randy Stephens, JD, CCEP, Former Senior Director–Corporate Compliance, The Home Depot

- Demonstrate effective communication techniques
- Showcase teamwork benefits of designing and putting on the program
- Discuss techniques on getting buy-in and participation from other non-compliance groups

**P5: Corporate Liability, Governance and Compliance (Part 1)**

- Gabriel L. Imperato, Esq., CHC, Managing Partner, Broad and Cassel
- James M. Lord, Coordinator, Corporate Fraud Task Force, United States Attorney’s Office, Seattle, Washington

- An overview of recent developments related to the Sarbanes-Oxley Act, the Sentencing Guideline Amendments of 2004 and Department of Justice Principles for Prosecution of Business Organizations
- Discussion of the legal basis for corporate responsibility, compliance and governance for business organizations and the elements of Deferred Prosecution Agreements, Non-Prosecution Agreements, and Corporate Integrity Agreements, and the frequent use by DOJ of compliance monitors.

- Focus on key modifications of the DOJ policies and its impact on “cooperation” and potential waiver of the attorney/client privilege and what it means for directors and in-house compliance counsel.
- Role of Directors, Executives, and in-house counsel in compliance
- Potential liability faced by directors and in-house counsel in the wake of increased government scrutiny

**Practical Code of Conduct Considerations (Part 2)**

- Jill U. Edmondson, JD, CCEP, Manager, Corporate Compliance, The Home Depot

- Educate participants on stock exchange listing requirements as well as other legal requirements for updating the Code of Conduct
- Educate participants on considerations global organizations should take regarding translation and localization of its Code
- Educate participants on corporate governance considerations when updating the Code
- Offer practical tips and best practices for accomplishing updates in a timely fashion

**P6: Creating, Managing, and Proving the Effectiveness of a Compliance Program for the Small to Medium-Sized Company**

- Art Weiss, CCEP, Chief Compliance and Ethics Officer, TAMKO Building Products, Inc.
- Yvonne Zachman Fiedler, CCO & COO, ActivStyle

- Design a program that works
- Avoid a “check the box program”
- Use data to prove the effectiveness of your program

**4:00 – 5:30 PM**

**Opening Reception**

**5:00 – 6:00 PM**

**SCCE Author’s Reception & Academies Reunion**
**Never Face a Compliance or Ethics Challenge Alone**

Meet and collaborate with ethics and compliance professionals year round and around the clock. The Compliance & Ethics Social Network puts you directly in touch with your peers.

Get your questions answered. Learn from what others are doing.
Share your experience, policies, and other documents. To get started:
- Go to community.corporatecompliance.org
- Log in using your e-mail address and SCCE password.
- Click “Social Network” (in the top black bar).
- Pick a Network that interests you—or set up your own.
- Select your communications option and save.
- Start communicating and collaborating!

It’s fast, easy, and can help improve both your work and the profession as a whole.
And it’s open to everyone—sign on today.

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http://community.corporatecompliance.org

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**Networking Opportunities at the Compliance & Ethics Institute**

**VOLUNTEER PROJECT**
Saturday, September 12, 9:00 AM–1:00 PM
This year we will partner with the Volunteer Center of Southern Nevada and the United Way to assist in assembling care packages, cards and notes to send to our service men and women stationed overseas. Join your fellow CEI attendees during our annual volunteer project. Sign up on your registration form or contact SCCE at +1 952 933 4977 to register for this free event. The project will take place on Saturday, September 12, 2009 from 9:00 am until 1:00 pm at the Planet Hollywood Resort & Casino in Diamond Meeting Room 3. SCCE will provide volunteers with lunch!

**OPENING RECEPTION**
Sunday, September 13 | 4:00–5:30 PM
Enjoy beverages, light hors d’oeuvres, and networking during your first look at the exhibit hall this year.

**AUTHORS’ RECEPTION**
Sunday, September 13 | 5:00–6:00 PM
Whether you contribute to a SCCE book or to its magazine, SCCE authors are a significant force behind the success of SCCE and the development of the compliance profession. Join SCCE in recognizing the contributions of this esteemed group of individuals at the **Compliance & Ethics Magazine** Authors’ Reception. Those who are interested in learning how to contribute their expertise are also welcome!

**ACADEMIES REUNION**
Sunday, September 13th from 5:00 – 6:00 pm
This year we will be holding a reception for past SCCE Academy attendees. This is a great opportunity for you to network with people you met while attending an SCCE Academy, as well as meet new people. The Academies Reunion will be held in the Sapphire Meeting Room 5&6 from 5:00 – 6:00 pm on Sunday, September 13, 2009.

**NETWORKING RECEPTION**
Monday, September 14, 2009 | 5:30–7:00 PM
This is SCCE’s largest networking event. Come and enjoy a sampling of Las Vegas flavor while networking with new colleagues and connecting with old friends. Beverages and appetizers will be served.

**AWARDS DINNER**
Monday, September 14, 2009 | 7:00–10:00 PM
Honor individuals and organizations that have made significant contributions to the compliance profession by joining us for this complimentary dinner, awards ceremony, and entertainment. Participants must register for the dinner. Dress for this event is business attire.
AGENDA  Monday

Monday, September 14

7:00 AM – 6:00 PM
Registration Open

7:00 AM – 6:00 PM
Internet Café Open

7:00 AM – 8:00 AM
Continental Breakfast

7:00 AM – 7:00 PM
Exhibit Hall Open
(closed for lunch from 12:00–1:00 PM)

CONFERENCE SESSIONS

8:00 AM – 8:15 AM
General Session
Opening Remarks

8:15 – 10:30 AM
General Session

Part 1: FCPA and Anti-Corruption: What’s New and What You Should Do

MICHAEL HOROWITZ, JD
Partner, Cadwalader, Wickersham & Taft LLP, Commissioner, U.S. Sentencing Commission

Nancy Boswell, President and CEO, Transparency International USA

Alexandra Wrage, President, TRACE

Part 2: The Wall Street Meltdown: Lessons for Compliance and Ethics Professionals

Moderator: MATT KELLY,
Editor-in-Chief, Compliance Week

LISA ANSILIO, Associate General Counsel and Global Director, Legal Compliance, Intel Corporation

DONALD GRIFFITH, Vice President, Associate General Counsel, Goldman Sachs

ANNE WRIGHT,
Former Associate General Counsel & Chief Ethics Counsel, FINRA

• Hear an inside account of what happened
• Gain insight into what companies are doing
• Begin anticipating what these changes could mean for your company

10:30 – 11:00 AM
Networking Break

11:00 AM – 12:00 PM
BREAKOUT SESSIONS


VICKI SWEENEY,
Principal, KPMG, LLP

CARRIE PENMAN, Vice President, Ethical Leadership Group, A Global Compliance Company

• Learn to identify individuals who may be subject to retaliation
• Clarify data sources in your own organizations that can contain retaliation red flags
• Analyze sample data sources to build skills to identify when retaliation may be occurring

102: Facebook, LinkedIn, YouTube: Friend or Foe? How Social Networks and Web 2.0 Are Creating Risks for Companies

ORRIE DINSTEIN,
Chief Privacy Leader, GE Capital

• Learn about the risks posed by social networks and interactive websites
• Learn what are some of the ways to address these risks
• Learn how to write effective policies to navigate through these issues

103: Risk Management Culture: The Linkage Between Ethics & Compliance and ERM

BARBARA H. KIPP, CPA,
Partner, PricewaterhouseCoopers

COLBY G. TON, Director, PricewaterhouseCoopers

• What constitutes an effective risk management culture and why it is a key foundation of a sustainable ERM program
• How risk management culture relates to and reinforces the organization’s ethics and compliance objectives as well as broader objectives
• How risk management culture will factor into addressing S&P’s upcoming ratings process

104: Winning through Compliance: A British Telecom’s Compliance Challenge

KEITH READ, C. Eng., MIET,
Group Compliance Director, British Telecom (BT)

• Developing a compliance strategy
• How to change the compliance culture in a company—and winning senior management support
• Managing external relationships with regulators, competitors and critics
• Measuring compliance and developing that into ‘Demonstrable Compliance’
• ‘Doing it Differently’: compliance tools and techniques

105: Personality and Process: Navigating the Politics of Municipal Compliance

ANTHONY O. BOSWELL,
Executive Director, Office of Compliance, City of Chicago

MARK MEANEY, PhD, First Deputy Director, Office of Compliance, City of Chicago

• The application of best practices in corporate compliance and ethics programming from the private to the public sector
• The unique challenges compliance and ethics professionals face in public sector compliance and ethics program implementation
• Distinguish “personality” from “process” and discuss how to navigate the politics of municipal compliance program implementation in a highly charged political environment
12:00 – 1:00 PM  
**Luncheon Presentation**
**Moving Forward: Ethical Leadership for the 21st Century**  
[Image]
CYNTHIA COOPER, CPA (in Georgia), CFE, CISA, CEO, The Cooper Group LLC

1:30 – 2:30 PM  
**BREAKOUT SESSIONS**

**201: Managing Ethics and Compliance During a Recession**
MARJORIE DOYLE, JD, CCEP, Ethics and Compliance Consultant, Marjorie Doyle & Associates, LLC  
THEODORE L. BANKS, Compliance & Competition Consultants, LLC
- Strategies for maximizing existing staff and resources when faced with cutbacks
- How to enlist support in your ethics and compliance program during times of heightened risk
- How to develop messaging and communicate awareness in a difficult economy

**202: Let’s Give Them Something to Talk About: Publicizing Business Conduct Violations Inside Your Company**
JOHN STOXEN, Director, Business Conduct and Compliance, 3M Company  
GWEN SCHWEBEL, Compliance Specialist, 3M Company
- Discuss the difficult process 3M went through in deciding to make this major cultural shift
- Show numerous examples of how violations can be effectively communicated in a manner that does not create litigation risk or other negative results
- Discuss the many positive outcomes 3M has experienced as a result of this program

**203: Supply Chain Integrity**
MICHAEL R. LEVIN, Esq., CCEP, Vice President, Integrity Interactive
- Provide insight to risks typically ignored
- Benchmark: Show how peer companies are managing risks
- Review survey data to show best practices
- Heighten awareness of relevant management processes

**204: Ethics/Compliance Hotline Benchmarking: Best Practices and Data Trends**
NICK CIANCIO, Sr. Vice President, Marketing and Business Development, Global Compliance  
CARRIE PENMAN, Vice President, Ethical Leadership Group, A Global Compliance Company
- How effective is anonymous ethics helpline reporting?
- What is the most effective way to advertise your hotline/helpline?
- How do you know if you are getting the right numbers and types of calls through your ethics hotline/helpline?
- How should you interpret findings and trends, and how do those findings correlate to actions?
- What types of data should be tracked and reported to executive leadership?

**205: Applying Corporate Compliance Principles in a Federal Agency**
EMIL MOSCHELLA, JD, Attorney at Law
- Flexibility in the Federal Sentencing Guidelines
- Describe motivational differences between government and corporate agencies in adopting the corporate compliance methodology
- Benefits to the governmental agency in having such a program
- Difference between ethics programs and compliance regardless of organization

1:30 – 2:45 PM (EXTENDED TIME)  
**INTERACTIVE WORKGROUP: The Next Major Compliance Issue**
ADAM TURTELTaub, CCEP, Vice President of Membership Development, SCCE
- Collaborate with your peers in an interactive workshop to determine what the next big compliance and ethics issue will be.
- Develop plans for managing the risk
- Limited to 32 participants per session

2:30 – 3:00 PM  
**Networking Break**

3:00 – 4:00 PM  
**BREAKOUT SESSIONS**

**301: Compliance Programs on Trial: Assessing Programs through Direct and Cross-Examination**
REBECCA WALKER, Partner, Kaplan & Walker LLP  
PAULA DESIO, JD, Former Deputy General Counsel, U.S. Sentencing Commission  
CARL H. MOOR, Partner, Munger, Tolles & Olson LLP
- Be the jury in assessing certain elements of compliance and ethics programs
- Explore effective methods of program assessment
- How would prosecutors, a judge or a jury view your program?
- How do best practices programs hold up to cross-examination?

**302: How to Manage a Whistleblower Process in the New Regulatory Environment**
FRANK LOPEZ, Director, Ethics & Compliance, Qwest Associate General Counsel
- Learn about the potential impacts of the changed environment
- Learn about regulatory changes
- Learn how to adjust your investigative/whistleblower process

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303: Compliance at Siemens: A Management Change Process

DEANNA SLOCUM, Corporate Compliance Officer, Siemens PLM Software

- How to build up an efficient compliance organization in a crisis situation
- Core elements of a compliance program: prevent-detect-respond
- How to embed compliance in the business
- Collective market approach

304: 3 C's: Culture, Compliance & Credibility: Dell’s Approach to Ethics and Compliance

PAGE MOTES, Global Education Strategist, Dell Global Ethics & Compliance

- Aligning E&C structure to better support Dell’s business
- Focusing on Culture, Compliance & Credibility
- Developing business processes to “operationalize” compliance

305: Values-Based Approach to Ethics and Compliance: The Only Sustainable Way and How to Achieve It

RUTH N. STEINHOLTZ, (former) General Counsel and Group Security Coordinator, Borealis AG

- Why values are the only sustainable foundation for an ethics & compliance program and how to develop and embed them in an international organisation
- How to ensure that your company’s processes and systems do not sabotage an ethics & compliance programme
- What additional attitudes and skills do ethics & compliance officers need to develop in order to champion this approach

3:00 – 4:15 PM (EXTENDED TIME)

INTERACTIVE WORKGROUP:
The Next Major Compliance Issue (see page 13 for description)

403: Antitrust Update: Recent Enforcement Actions and What You Should Do About Them

DAVID MEYER, Partner, Morrison & Foerster, LLP and Former Principal Deputy Assistant Attorney General, Antitrust Division, Department of Justice

CHARLES SAMEL, Partner, Latham & Watkins, LLP

404: Next Generation Compliance & Ethics Programs and Challenges for Government Contractors

WILLIAM A. ROBERTS III, JD, LLM, Partner and Co-Chair, Government Contracts Practice Group, Wiley Rein LLP

KEVIN CASSEL, Director, Instructional Design, SAI Global

- Provide an update on developments in 2008/2009 affecting the implementation and effectiveness of C&E programs for companies that sell to the federal government
- Identify the areas in which government contractors would be advised to place greatest focus
- Provide a roadmap that will assist participants in navigating around potential pitfalls and in sustaining an effective C&E effort in a more demanding era
Monday/Tuesday

AGENDA

8:15 – 10:30 AM
General Session

Part 1: Compliance Goals in 2009: Given Anticipated DOJ Priorities In A New Economic Regulatory Environment

HONORABLE JUDGE RUBEN CASTILLO, U.S. District Court Judge, Vice Chair, U.S. Sentencing Commission
GARY G. GRINDLER, Deputy Assistant Attorney General, U.S. Department of Justice, Criminal Division

• Convince officers to ramp up their ’09 compliance goals
• Focus officers on anticipating tougher new DOJ prosecution priorities
• Convince officers to aim for the higher ethical road

Part 2: Whistleblowing, the New Imperative, and the New Challenges

Moderator: ODELL GUYTON, JD, CCEP, SCCE Co-Chair, Director of Compliance, Microsoft Corporation
Panelists:
ERIC HAVIAN, Partner, Phillips & Cohen
CHARLES D. CHADWICK, Vice President, Contracts and Business Conduct, BAE Systems, Inc.
HON. JUDGE STEPHEN L. PURCELL, Associate Chief Judge, U.S. Department of Labor

5:30 – 7:00 PM
Networking Reception

7:00 – 10:00 PM
5th Annual International Compliance Awards Dinner
Performance by EthicsLive from Second City Communications and EthicsOne

Tuesday, September 15

7:00 AM – 6:00 PM
Registration Open

7:00 AM – 6:00 PM
Internet Cafe Open

7:00 AM – 8:00 AM
Continental Breakfast

7:00 AM – 3:00 PM
Exhibit Hall Open

CONFERENCE SESSIONS

501: 501 Ideas for Your Compliance & Ethics Program: Communications and Training

JOSEPH E. MURPHY, JD, CCEP, Of Counsel, CSLG, Co-Founder and Senior Advisor, Integrity Interactive, Co-Editor, ethikos

• Get new ideas on training your employees effectively
• Hear how to communicate beyond training

502: Federal Monitors: What to Expect and How to Avoid Problems

PAMELA JOHNSTON, JD, Partner, Foley & Lardner, LLP
LORI S. RICHARDSON PELLICCIONI, PhD, JD, Assistant Professor, UCLA’s School of Public Health, Department of Health Services

• Educate in house counsel and compliance officers about the nuts and bolts of monitorships
• Help such persons protect their companies so that a monitor is not necessary
• Promote discussion about the costs and benefits associated with monitorships

503: The Employee Free Choice ACT: Why Strengthening Employee Relations Matters

STEPHEN PASKOFF, Esq., President/CEO, ELI

• The basic tenets of the Employee Free Choice Act
• How the Act will impact the workplace
• Why it is important to strengthen employee relations

504: Practical Challenges of Implementing a Compliance Program in the Not-for-Profit Sector

MARCELLA HENRY, Compliance Officer, Sunrise Community, Inc.
CHERYL WAGONHURST, Partner, Foley & Lardner, LLP

• Why should a not-for-profit establish a compliance program?
• Learn about “Tone at the Top” support
• Challenges that can be stumbling blocks and growing pains, internally and externally, and how to get cooperation and buy in internally
• How to be creative with developing training with limited resources
• Learn about the importance of evaluating the compliance program externally
505: Business Ethics and 21st Century Media

MICHAEL CONNOR, President, New Mountain Media LLC
GREG TRIGUBA, JD, CCEP, Principal, Compliance Integrity Solutions, LLC

- Snapshot view and discussion of recent scandals and ethical breakdowns
- Exploration and analysis of common causes, pitfalls and challenges
- Practical strategies and approaches to effective prevention, detection and response
- Engaging case studies and interactive group discussion

12:00 – 1:00 PM
Networking Lunch

1:30 – 2:30 PM
BREAKOUT SESSIONS

601: What Keeps You Awake at Night...and What Should You Do About It?

PETER WEBSTER, Principal Advisor & Compliance Counsel, Rio Tinto

- Learn how a structured approach to compliance risk management can protect organizations and reduce compliance anxiety
- Gain tools for compliance risk analysis, and examples of risk ranking and categorization
- Learn how to develop controls based on risk priority which provide the assurance required to reduce compliance concerns

602: Conflict of Interest Case Studies: Gifts & Entertainment and Former Employees Calling Back on the Organization

MAURI MYERS, CCEP, Ethics Manager, Wal-Mart Store, Inc.
PAULA F. SADDLER, CCEP, CIA, CISA, CFE, Consultant (retired Ethics Officer, United Nations Development Programme)

603: Managing Compliance with International Business Partners in High-Risk Countries

CHARLES F. SMITH, Partner, Skadden, Arps, Slate, Meagher & Flom LLP
KENN KURTZ, CEO, The Steele Foundation

- Highlight compliance issues that arise in cross-border transactions/investments
- Address due diligence and contract terms that may help mitigate risk
- Discuss how pre- and post-closing audit work can reduce the risk of ongoing compliance issues

604: The Ethics Gap: How Our View of Business Ethics has Gotten Out of Step with the Public’s and What We Need to Do About It

ED PETRY, PhD, Vice President, Ethical Leadership Group, A Global Compliance Company

- Bring attention to how and why the scope of ethics and compliance programs has been limited
- Identify gaps between what we believe ought to be included and “covered” by our programs versus public expectations
- Discuss the consequences of not closing the gaps as well as specific proposals for improvements.

605: Movies: From the Theater to the Workplace: Lights, Camera, Compliance!

ERICA H. HAUPERT, Vice President, Key Accounts, Motion Picture Licensing Corporation

- FBI warnings and the copyright law: how they affect your company and why exemptions do not apply
- The ubiquitous access to visual media in today’s Internet climate and how that translates to programming
- Current trends and research in retention using visual media, especially for training and communication

1:30 – 2:45 PM (EXTENDED TIME)

INTERACTIVE WORKGROUP: The Next Major Compliance Issue (see page 13 for description)

2:30 – 3:00 PM
Networking Break

3:00 – 4:00 PM
BREAKOUT SESSIONS


CHARLES D. CHADWICK, Vice President, Contracts and Business Conduct, BAE Systems, Inc.

- Understand the origins and purpose of business ethics
- Review the implications of ethics for a global company
- Examine the specific ethics challenges for a company in the global defense market

702: Executive Compensation and Building Incentives

DANIEL R. ROACH, JD, Vice President, Compliance & Audit, Catholic Healthcare West
GERALD M. GRIFFITH, Partner, Jones Day
3:00 – 4:15 PM (EXTENDED TIME)

INTERACTIVE WORKGROUP:
The Next Major Compliance Issue (see page 13 for description)

4:00 – 4:15 PM

Networking Break

4:15 – 5:15 PM

BREAKOUT SESSIONS

801: Improving Ethical Behavior: Two Low Cost Options

SALLY RHYS, MS, CCEP, SHPR, ACC, Executive Coach and Owner, Focus on Business Ethics

BOB PHILLIPS, President & CEO, RW & Associates, Inc.

- How to drive a culture of compliance cost-effectively and efficiently
- Key coaching questions to broaden and enrich any conversation
- How to raise ethical issues responsibly and directly

802: Ethical Quiz Bowl: How to Keep Your Company Out of Jeopardy

PAUL FIORELLI, JD, MBA, CCEP, Director, Cintas Institute for Business Ethics, Xavier University

- Engage Your Training Audience Through Games
- Learn How to Construct a Training Game
- Play a Sample Quiz Bowl Game

803: Ethics and Compliance Programs and Importing Safe Products

JOHN STEER, Senior Partner, Allenbaugh Samini LLP

MARK ALLENBAUGH, Esq., Partner, Allenbaugh Samini LLP

- Describe import safety challenges and recent US efforts to strengthen controls and improve product safety
- Discuss specific issues regarding Chinese product safety
- Outline the role of C&E programs in helping to address these challenges

W2: Turning Values into Action: Experiential Learning

MARSHA ERSAGHI, Practice Leader, Education Solutions, LRN

- Facilitated learning can create connected environments, extend learning and promote greater collaboration
- Live learning compliments web-based learning, supporting analysis and knowledge application
- Learn how organizations are successfully impacting and sustaining learning, especially on high-risk topics such as Doing Business Globally

W3: Doing More with Less: Obstacle or Opportunity for Compliance Leaders?

DAVID CHILDERS, CIPP, CEO and President, EthicsPoint, Inc.

CHERYL WAGONHURST, Partner, Foley & Lardner, LLP

JENNIFER ALLISON, Assistant General Counsel, Director Corporate Compliance & Human Resources, EthicsPoint Inc.

- Optimize your compliance spending
- Turn operational compliance “silos” into “synergies”
- Build a compliance program with limited funds and staff
- Evaluate and prioritize your risk, knowledge and transparency requirements
- Improve the implementation of your compliance goals and programs
- Change your approach and do more with less without diluting effectiveness
- Present your ideas and get senior management buy-in

1:30 – 2:00 PM

CCEP Exam Check-In

2:00 – 4:00 PM

CCEP Exam
CCEP Exam Date and Time
The CCEP certification exam will be held on Wednesday, September 16, 2009, from 2:00–4:00 PM.

CCEP Exam Registration
You must register for the CCEP exam separately from your conference registration.

To register for the exam, visit the website for the Compliance & Ethics Institute (www.complianceethicsinstitute.org) and click on the CCEP Exam Application link. Submit the application and fee ($250 SCCE members or $350 non-members) to the testing agency (as listed on the application).

You must meet the eligibility requirements to sit for the exam. Please review these requirements on page 2 of the CCEP Candidate Handbook online at www.corporatecompliance.org/CCEP.

Questions?
Contact Liz Hergert, SCCE Certification Coordinator, at +1 952 405 7905 or ccep@corporatecompliance.org.

The following sessions may be helpful if you're planning to sit for the CCEP exam (marked with **CCEP** on the program at a glance: see pages 6–7).

- **P1** Compliance 101
- **P5** Corporate Liability, Governance and Compliance / Practical Code of Conduct Considerations
- **P6** Creating, Managing and Proving the Effectiveness of a Compliance Program for the Small to Medium-Sized Company
- **101** Monitoring for Retaliation: A How-To Guide for Ethics Officers
- **103** Risk Management Culture: The Linkage Between Ethics & Compliance and ERM
- **204** Ethics/Compliance Hotline Benchmarking: Best Practices and Data Trends
- **205** Applying Corporate Compliance Principles in a Federal Agency
- **302** How to Manage a Whistleblower Process in the New Regulatory Environment
- **401** A Practical Guide to Building and Maintaining an Anti-Corruption Compliance Program
- **405** Private Eye 101: Investigations Principles
- **602** Conflict of Interest Case Studies: Gifts & Entertainment and Former Employees Calling Back on the Organization
- **702** Executive Compensation and Building Incentives
- **803** Ethics and Compliance Programs and Importing Safe Products
- **W1** Conducting Effective Internal Investigations/Crisis Management for Compliance Officers & Attorneys

SCCE PRODUCTS
Learn more and order SCCE products at www.corporatecompliance.org.

Compliance 101
This 106-page guide provides the basic information you need to develop an effective compliance and ethics program in any organization. Ideal for compliance professionals new to the field and others tasked with compliance and ethics duties.

Building a Career in Compliance and Ethics
A step-by-step guide to establishing a career in this hot new field. Gain tips and insights from experts who have first-hand experience making powerful organizations safer and more ethical.

501 Ideas for Your Compliance and Ethics Program
Jump-start your program with SCCE’s new idea guide! Author Joe Murphy has collected 501 great ideas for building and operating an effective program.

Audit Committees: A Guide for Directors, Management, and Consultants
This manual presents the history, responsibilities, and operation of audit committees. Written in a non-technical, active-voice, easy-to-read format, it comes with a companion CD containing work papers, checklists, and document templates that can be put to immediate use.
EXHIBIT HALL HOURS
Sunday, September 13
4:00 – 5:30 pm
Monday, September 14
7:00 AM – 7:00 PM
(closed for lunch from 12:00 – 1:00 PM)
Tuesday, September 15
7:00 AM – 3:00 PM
(closed for lunch from 12:00 – 1:00 PM)

INTERNET CAFÉ HOURS
Sunday, September 13
9:00 AM – 5:30 PM
Monday, September 14
7:00 AM – 7:00 PM
Tuesday, September 15
7:00 AM – 5:00 PM
Wednesday, September 16
7:00 AM – 12:00 PM

BOOKSTORE
Stop by the Bookstore and browse through a wide selection of titles authored by and recommended by your presenters. The SCCE Bookstore will be open as follows:
Sunday, September 13
11:00 AM – 5:00 PM
Monday, September 14
7:00 AM – 5:30 PM
Tuesday, September 15
7:00 AM – 3:00 PM

AUDIO RECORDINGS
Audio Recordings of most educational sessions will be available for purchase. Find lists of audio recordings and order forms at the audio sales booth onsite near registration.

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Declining budgets, increased regulation, and a crisis in business confidence are all making compliance and ethics more challenging, and more important, than ever. The Society of Corporate Compliance and Ethics can help you manage your program—and career—through these times.

Our magazine and enewsletter will keep you informed of the latest issues. Our conferences will enable you to build out your network and hear directly from other professionals, at a discounted, members-only rate. Can’t travel? Our online social network is the next best thing, providing online interaction with hundreds of compliance and ethics leaders. Or try a web conference.

To learn more about the SCCE and how we can help, visit us online at www.corporatecompliance.org, and join more than 1,400 other professionals who already call themselves members.
Conference and Hotel Accommodations

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Phone: 866 517 3263 (toll free U.S. & Canada) or +1 702 785 9455
www.planethollywoodresort.com

Reservations: Call 877 244 9474 (toll free US and Canada) or +1 702 785 9455 and provide the reservationist with the SCCE group rate code: ASCCE09.

A special rate of $119.00 plus 12% tax (subject to change) per single/double per night has been arranged for SCCE Compliance & Ethics Institute attendees. When making your reservation please provide the code ASCCE09 to receive the group rate.

The rate is good until Monday, August 24, 2009 or until the group block is sold out, whichever comes first. Reservations received after this date or after the group block is filled will be accepted based on space and rate availability. The Planet Hollywood requires a first night’s deposit of room and tax, per room, to guarantee individual reservations and must be received no later than fourteen days after the reservation is made. Such deposit shall serve to confirm the reservation for the dates indicated, and, upon check-in, shall be applied to the folio in the form of a credit. These deposits paid by individuals are refundable if notice is received at least forty-eight hours prior to arrival and a cancellation number is obtained. The Planet Hollywood accepts all major credit cards for the deposit and the credit card will be charged for the stipulated room and tax at the time the reservation is made. Guaranteed reservations are held until 6:00 am on the following date.

Meals
Continental breakfast and lunch are provided on Monday and Tuesday. Coffee will be served on Sunday and Wednesday for conference attendees.

Dinner on Monday will be provided, but you must register for the 5th Annual International Compliance Awards Dinner event.

Special Needs/Concerns
Prior to your arrival, please call SCCE at +1 952 933 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 this conference.

Agreements & Acknowledgements
By registering for this conference, 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 these photos 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.

EXHIBITORS
• 360Training.com
• Association of Certified Fraud Examiners
• Axentis
• Compliance 360
• Compliance Concepts, Inc.
• The CooperGroup LLC
• Corpedia
• Cura Software
• Daylight Forensic LLP
• EthicsPoint, Inc.
• EthicsOne
• Global Compliance
• i-Sight
• Integrity Interactive
• International Association of Privacy Professionals
• Kaplan EduNeering
• Language & Culture Worldwide
• LRN
• Mitratech
• Motion Picture Licensing Corporation
• The Network
• Ovations Management Solutions
• Red Flag Group
• SAI Global
• The Steele Foundation
• Thomson Reuters
• Wolters Kluwer

SCCE is going green
Attendees will receive electronic access to the course materials prior to the program as well as an electronic version of the materials at the program. Attendees will not, however, automatically receive the binders. If you would like to purchase the binders for $75, please check “Conference Binders” on your registration form.
**Step One: Demographic Information**

Please fill out the following information. Sharing your demographic information with SCCE will help us create better networking opportunities for you.

What titles best describe your job? Select all that apply.

- Academic/Professor
- Administration
- Analyst
- Asst Compliance Officer
- Attorney (In-House Counsel)
- Attorney (Outside Counsel)
- Audit Analyst
- Audit Manager/Officer
- Billing Manager/Officer
- Charged Master
- Chief Compliance Officer
- Chief Executive Officer
- Chief Financial Officer
- Chief Information Officer
- Chief Medical Officer
- Chief Operating Officer
- Clinical
- Coder
- Compliance Analyst
- Compliance Coordinator
- Compliance Director
- Compliance Fraud Examiner
- Nurse
- Privacy Officer
- President
- Quality Assurance
- Regulatory Affairs
- Reimbursement Coordinator
- Risk Management
- Security/Services Technology
- Trainer/Educator
- Vice President
- OTHER (please indicate below)

List others not listed here: __________________________

What year did you start in Compliance? __________

What certifications do you hold? Select all that apply.

- ACHE
- APA
- BA
- BBA
- BS
- BSN
- CCEP
- CEM
- CCS
- CCS-P
- CFE
- CHC
- CHE
- CHP
- CIA
- CPA
- CPC
- DDS
- CPHQ
- DMD
- MPH
- MS
- MSHA
- ISS
- JD
- LLM
- MA
- MBA
- MHA
- MPA
- MN
- MSH
- MSN
- MT
- NHA
- PhD
- RHIA
- RN
- RHIT
- MS

List others not listed here: __________________________

What best describes the industry you work for? Select all that apply.

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

List others not listed here: __________________________

What is the corporate structure of your organization?

- For-profit
- Non-profit

How many employees does your organization have?

- 1–50
- 51–100
- 101–250
- 251–500
- 501–1,000
- 1,001–3,000
- 3,001–4,000
- 4,001–5,000
- 5,001–7,500
- 7,501–10,000
- 10,001–15,000
- 15,001–20,000
- 20,001–30,000
- 30,001–50,000
- 50,001–75,000
- 75,001–100,000
- 100,001+

List others not listed here: __________________________

Please tell us if you are a first-time attendee of this conference:

- This is my first annual Compliance & Ethics Institute
REGISTRATION

SCCE’s Compliance & Ethics Institute | Las Vegas, Nevada | September 13–16, 2009

STEP TWO
Please type or print your contact information.

Mr. □ Mrs. □ Ms. □ Dr.

SCCE Member ID

First
MI
Last

Credentials (CCEP, CPA, CFE, etc.)

Title

Place of Employment

Address

City  State  Zip

Phone

Fax

E-mail (required for confirmation notification & Conference information)

STEP THREE Choose Your Sessions

Please select sessions & networking events to assist SCCE in room planning. Choices are not binding. Please select only ONE session per time slot.

Saturday, September 12, 2009
- 3rd Annual Volunteer Project | 9:00 AM—1:00 PM

Sunday, September 13, 2009
- Pre Conf | 9:00 AM—12:00 PM | P1  P2  P3
- Pre Conf | 1:00—4:00 PM | P4  P5  P6
- Opening Reception | 4:00—5:30 PM
- Authors’ Reception | 5:00—6:00 PM
- Academies Reunion | 5:00—6:00 PM

Monday, September 14, 2009
- Breakout Sessions | 11:00 AM—12:00 PM
  □ 101 □ 102 □ 103 □ 104 □ 105
- Breakout Sessions | 1:30—2:30 PM
  □ 201 □ 202 □ 203 □ 204 □ 205 □ Interactive Workshop
- Breakout Sessions | 3:00—4:00 PM
  □ 301 □ 302 □ 303 □ 304 □ 305 □ Interactive Workshop
- Breakout Sessions | 4:30—5:30 PM
  □ 401 □ 402 □ 403 □ 404 □ 405
- Continental Breakfast | 7:00—8:00 AM
- Networking Luncheon | 12:00—1:00 PM
- Networking Reception | 5:30—7:00 PM
- 5th Annual International Compliance Awards Banquet | 7:00—10:00 PM

Tuesday, September 15, 2009
- Breakout Sessions | 11:00 AM—12:00 PM
  □ 501 □ 502 □ 503 □ 504 □ 505
- Breakout Sessions | 1:30—2:30 PM
  □ 601 □ 602 □ 603 □ 604 □ 605 □ Interactive Workshop
- Breakout Sessions | 3:00—4:00 PM
  □ 701 □ 702 □ Interactive Workshop
- Breakout Sessions | 4:30—5:30 PM
  □ 801 □ 802 □ 803
- Continental Breakfast | 7:00—8:00 AM
- Networking Lunch | 12:00—1:00 PM

Wednesday, September 16, 2009
- Post Conf | 8:00 AM—12:00 PM | W1  W2  W3

STEP FOUR Choose Your Registration

- SCCE Members ................................................................. $949
- Membership Renewal & Registration ........................... $1,244
- Non-Members ................................................................. $1,099
- New Membership & Registration* ..................... $1,149
- Pre-Conference Registration Morning .................... $125
- Pre-Conference Registration Afternoon ................ $125
- Post-Conference Registration ......................... $125
- Conference Binders ...................................................... $75

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

TOTAL:

STEP FIVE Payment

- Check enclosed (payable to SCCE)
- Invoice me     Purchase Order #

Charge my: □ AmEx □ Visa □ MasterCard

Credit Card Account Number

Expiration Date on Card

Cardholder’s Name

Cardholder’s Signature

Code: CEI09

CLICK HERE TO REGISTER ONLINE NOW
CLICK HERE TO ADD THIS CONFERENCE TO YOUR PC’S CALENDAR

CLICK HERE TO REGISTER ONLINE NOW
CLICK HERE TO ADD THIS CONFERENCE TO YOUR PC’S CALENDAR

Diese Seite ist das Produkt eines Künstlichen Intelligenz-Assistenten. Es ist nicht die ursprüngliche Dokumentation, sondern ein Auszug daraus in einer natürlicher lesbaren Formate.
Come celebrate
with those who make a difference
in the field of compliance & ethics

5th Annual International Compliance Awards Dinner

Please join us for dinner and live entertainment on Monday, September 14, from 7:00–10:00 PM

A SPECIAL PERFORMANCE BY ETHICS LIVE from The Second City Communications and EthicsOne

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  to +1 952 988 0146 (including billing information)
QUESTIONS?  Call +1 952 933 4977 or 888 277 4977 (U.S. & Canada) or e-mail helpteam@corporatecompliance.org

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.

Group Discounts: $100 per person for five or more from the same company, based on membership status; only if each attendee completes a registration and they are faxed or mailed in simultaneously.

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 (Federal tax ID # 23-2882664).

Cancellations/Substitutions: No refunds will be given for "no-shows" or cancellations. You may send a substitute, or receive a credit for other conferences to be used within one year. Please call Patti Hoskin at +1 952 933 4977 or 888 277 4977 or e-mail patti.hoskin@corporatecompliance.org.
Come to the SCCE’s 2009 Compliance & Ethics Institute
September 13–16, 2009 | Las Vegas, Nevada

4 Thought-Provoking General Sessions
36 Breakouts for More Interaction
9 Pre- and Post-Conference Workshops for In-Depth Coverage on Important Topics
70 Speakers Sharing Best Practices and Innovative Approaches

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LEARN MORE AT www.complianceethicsinstitute.org