

UPPER MIDWEST

Regional Compliance & Ethics Conference

April 26, 2013 | Chicago, IL



Network locally and get the latest on key challenges facing the Upper Midwest compliance community

Purpose SCCE regional conferences provide a forum to interact with local compliance professionals, share information about your compliance successes and challenges, and create educational opportunities for compliance professionals to strengthen the industry.

Who should attend? Compliance officers, in-house and outside general counsels, privacy and security officers, regulatory affairs, VPs and directors, billing and coding professionals, and government agency staff.

“SCCE conferences keep me up-to-date on what’s happening in compliance and ethics and provide a great opportunity to network with colleagues. I would strongly recommend them as a worthwhile investment in your professional future.”

*Lauren Bloom, President and CEO,
Elegant Solutions Consulting*

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SOCIETY OF CORPORATE
COMPLIANCE AND ETHICS

www.corporatecompliance.org
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8:00–8:25 AM

Registration & Breakfast

8:25–8:30 AM

Welcoming Remarks

8:30–9:30 AM

Managing Compliance Risk in M&A and Joint Ventures



Moderator: Joe Alesia, Managing Director, Stroz Friedberg



Sheri Rudberg, Corporate Counsel, Baxter International, Inc.



Michael Shaw, Principal, Much Shelist, PC

- Pre-deal due diligence
- Post-signing activity
- Post-acquisition integration
- Special considerations for operating as a Joint Venture

9:30–9:45 AM

Break

9:45–10:45 AM

Corporate Governance and Structure



Robert Z. Slaughter, Chief Legal Officer, Avison Young

- Corporate Compliance and Corporate Directors State Law Responsibilities
- Corporate Compliance and Corporate Directors Federal Law Responsibilities
- Corporate Compliance and Stockholder Influence

10:45–11:00 AM

Break

11:00 AM–12:00 PM

Taking the Conflict out of Conflict Minerals



Michael Loch, Director, Supply Chain Sustainability, Motorola Solutions

The presentation will provide background and overview of the following:

- The conflict issues in the Democratic Republic of the Congo (DRC), which is often characterized as the deadliest violence since WWII;
- The recently released US Securities and Exchange Commission Conflict Mineral Rule and its' impacts on industry and the Central African region;
- The systems that allow for responsible sourcing of conflict-free minerals across all industries and still engaging in the region, including:
 - The Conflict Minerals Due Diligence Template
 - The Conflict-Free Smelter program
 - The Public Private Alliance for Responsible Minerals Trade (PPA)
- New sourcing initiatives within the DRC, including the Solutions for Hope, that help create stability in the region.

12:00–1:00 PM

Lunch

1:00–2:00 PM

Training and Communications



Art Weiss, JD, CCEP, CCEP-I, Chief Compliance and Ethics Officer, TAMKO Building Products, Inc.

- Why employee training is necessary and in some cases required
- Types of training
- Proving effectiveness of training
- Ancillary benefits of training

2:00–2:15 PM

Break

2:15–3:15 PM

Simple Ways to Make Your Policy System Great



Ellen MacGran, Associate Director, Compliance, Kraft Foods Group



Jason R. Karp, Director, Ethics Program Office, Accenture Legal

What makes a great policy system? This session covers the latest research and technology to help you improve your policy system now.

- Knowing and responding to your audience
- Getting the right information to the right people at the right time
- Increasing policy knowledge retention

3:15–3:30 PM

Break

3:30–4:00 PM

Building a Trade Compliance Program



Matthew Lapin, Axiom Attorney, Baxter International, Inc.

- Risks - Export Controls; Sanctions
- Current Issues - Export control reform; Evolving sanctions
- Next steps - Leveraging existing resources

4:00–4:30 PM

Doing Business with the City of Chicago



Leslie Darling, JD, First Assistant Corporation Counsel, City of Chicago Department of Law

- Guidance on recent changes to the City's Governmental Ethics Ordinance
- How to comply with lobbyist registration requirements and campaign finance regulations
- Abiding by the new gift ban
- Navigating the revolving door

REGISTRATION FEE

- SCCE Member**.....\$175
- Non-Member**.....\$220
- Registration & SCCE membership**.....\$375
Save by joining SCCE today (new members only). Annual dues regularly \$295.
- Registration & membership renewal**.....\$470
Current members, register & renew your membership.

TOTAL _____

ATTENDEE INFORMATION (please type or print)

Mr. Mrs. Ms. Dr.

SCCE Member Number _____

First Name _____ M.I. _____ Last Name _____

Credentials (CCEP, CPA, CFE, etc.) _____

Title _____

Place of Employment _____

Address _____

City _____ State _____ Zip _____

Phone _____

Fax _____

E-mail (required for confirmation and conference information) _____

PAYMENT METHOD

Mail check (including registration form) to:
SCCE, 6500 Barrie Road, Suite 250, Minneapolis, MN 55435

Fax to: +1 952 988 0146

Check enclosed (payable to SCCE)

Invoice me PO # _____

Charge my: American Express Diners Club MasterCard Visa

Credit Card Account Number _____

Credit Card Expiration Date _____

Cardholder's Name _____

Cardholder's Signature _____

If your total is miscalculated, SCCE will charge your card the correct amount. Please note hotel accommodations are not included in the registration fee, but continental breakfast and lunch are provided. (LCIL13)

Register online at www.corporatecompliance.org
Questions? Call +1 952 933 4977 or 888 277 4977

HOTEL/CONFERENCE LOCATION:

Sheraton Chicago Hotel & Towers

301 East North Water Street, Chicago, Illinois, USA 60611-4300
Tel: +1 312 464 1000

No reserved block of sleeping rooms has been set aside for this conference, but reservations may be made by calling the hotel at +1 312 464 1000 or online at <http://www.sheratonchicago.com/>

TAX DEDUCTIBILITY: Expenses of training (including tuition, travel, lodging and meals) incurred to maintain or improve skills in your profession may be tax deductible. 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 by email at helpteam@corporatecompliance.org, or by fax at 952.988.0146, prior to the start date of the event. Please note that if you are sending a substitute, an additional fee may apply.

GROUP DISCOUNT: 5 or more: \$25 discount for each registrant.
10 or more: \$40 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.

CONTINUING EDUCATION UNITS: SCCE is in the process of applying for continuing education units. If you have questions, please contact us at +1 952 933 4977 or 888 277 4977 or ccb@corporatecompliance.org. Please visit www.corporatecompliance.org for updated information.

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 7.2 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.

CLE: Society of Corporate Compliance and Ethics is a State Bar of California Approved MCLE provider, a Pennsylvania Accredited Provider, a Rhode Island Accredited Provider, and a Texas Accredited Sponsor. An approximate maximum of 6.0 clock hours of CLE credit will be available to attendees of this conference. All CLE credits will be awarded based on individual attendance.

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 7.0 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 the HCCA/SCCE at (888) 580-8373 or (952) 988-0141.

NO AUDIO OR VIDEO RECORDING OF SCCE CONFERENCES IS ALLOWED.



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