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COMPLIANCE AND ETHICS

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NEW YORK, NY

October 7, 2016

Regional Compliance & Ethics Conference



Get the latest on key challenges facing the compliance community in New York, NY

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Questions?
katie.burk@corporatecompliance.org

Learn more and register
www.corporatecompliance.org/regionals



NEW ENGLAND
COLLEGE of BUSINESS.



THOMSON REUTERS

8:00 – 8:25 AM

Registration & Breakfast

8:25 – 8:30 AM

Opening Remarks

8:30 – 9:30 AM

Is Your Compliance Program on Track?



Christopher M. Santomassimo
Partner
Nicoll Davis & Spinella LLP



Anthony J. Davis
Partner
Nicoll Davis & Spinella LLP

- Compliance with Federal Sentencing Guidelines
- Effective Risk Assessment
- Monitoring Key Metrics

9:30 – 9:45 AM

Break

9:45 – 10:45 AM

Compliance, Ethics, and Irrational People (All of us)



Adam Turteltaub, CCEP, CHC,
Vice President, Strategic Initiatives
and International Programs,
SCCE/HCCA

- How we think (and don't)
- How much people cheat when given the opportunity
- The gap between how ethical people are vs. how ethical they think they are

10:45 – 11:00 AM

Break

NO AUDIO OR VIDEO RECORDING OF SCCE CONFERENCES IS ALLOWED.
PLEASE NOTE: SESSIONS AND/OR SPEAKERS ARE SUBJECT TO CHANGE.

**Register online at www.corporatecompliance.org/regionals
Tweet #SCCEny**

11:00 AM – 12:00 PM

Cyber Security – Is the C-Suite Listening?



Janet K. Himmelreich, CCEP, CCEP-I,
CIPP/US
Head Security, Risk and Compliance
CoE, BT Security, BT Global Services



Bryan K. Fite
Account CISO
Assure Intelligence, BT

- Current environment
- Technology investment
- Security for mobile devices
- Security in the cloud

12:00 – 1:00 PM

Lunch

1:00 – 2:00 PM

Privacy Update



Bonnie Yeomans, CIPP
VP, Assistant General Counsel and
Privacy Officer, CA Technologies

- Overview of various global privacy laws
- Transfer of data – Europe/US
- Considerations of diverse jurisdictions

2:00 – 2:15 PM

Break

2:15 – 3:15 PM

Antitrust Compliance



Joseph E. Murphy, JD,
CCEP, CCEP I, Senior Advisor,
Compliance Strategists

- Lessons from recent Antitrust Division cases
- Does antitrust compliance really count?
- Mistakes to avoid in your program

3:15 – 3:30 PM

Break

3:30 – 4:30 PM

Investigations – Confidence Required



Debra Sabatini Hennelly
Founder and Senior Advisor
Compliance & Ethics Solutions LLC



Russell J. Cancilla
Director & Senior Advisor
Compliance & Ethics Solutions LLC

- Need for small circle of communications
- Communication with whistleblowers
- SEC and NLRB reaction to non-disclosure
- Danger of retaliation
- Attorney/client privilege

CONTINUING EDUCATION: 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 952 933-4977 or 888 277 4977 or email ccb@compliancecertification.org. Visit SCCE's website, www.corporatecompliance.org for up-to-date information.

CCB: The Compliance Certification Board has awarded a maximum of 7.2 CEUs for all CCB certifications including 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)™.

CLE: The Society of Corporate Compliance & Ethics has a Pre-approved Sponsor status with the Alabama State bar, is a State Bar of California Approved MCLE provider, a Pennsylvania Accredited Provider, and an accredited sponsor, approved by Rhode Island Supreme Court and the State Bar of Texas, Committee on MCLE. An approximate maximum of 6 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 & 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. Complaints regarding registered sponsors may be submitted to the National Registry of CPE Sponsors through its website: www.learningmarket.org. A recommended maximum of 7.0 credits based on a 50-minute hour will be granted for this activity. This program addresses topics that are of a current concern in the compliance environment and is a group-live activity in the recommended field of study of Specialized Knowledge and Application. For more information regarding administrative policies such as complaints or refunds, call (888) 580-8373 or (952) 988-0141.

REGISTRATION FEE

Registration fees are as listed and considered net of any local withholding taxes applicable in your country of residence.

- SCCE Member \$199
Non-Member \$245
Registration & SCCE membership \$399
Save by joining SCCE today (new members only). Annual dues regularly \$295.

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)

SPECIAL REQUEST DIETARY ACCOMODATION

- Gluten free Vegetarian Vegan Other
Kosher (no shellfish, pork or meat/dairy mixed) Kosher (Hechsher certified)

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

I authorize SCCE to charge my credit card (choose below)
American Express MasterCard Visa Discover

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.
Hotel accommodations are not included in the registration fee, but continental breakfast
and lunch are provided. (LCNY16)

Due to PCI compliance, please do not provide any credit card information via email.
You may email this form (without credit card information) and call SCCE at +1 952
933 4977 or 888 277 4977 with your credit card information, fax yor registration to
952.988.0146, or visit www.corporatecompliance.org/regionals and register online

HOTEL/CONFERENCE LOCATION:

Executive Conference Center

8th Floor
1601 Broadway
New York, New York 10019

SCCE/AMA (dba Executive Conference Center) does not arrange hotel accommodations.
However, AMA has negotiated preferred rates at the following hotels based upon availability.
Be sure to mention that you are an AMA conference attendee to secure your reservation and
preferred rates. Contact the hotels below directly. Note: that we recommend that reservations
be made early, as the number of rooms at preferred rates is limited.

The Manhattan at Times Square Hotel
A Starwood Hotel
790 7th Avenue 51st Street
New York, NY 10019
212-581-3300

Hampton Inn Times Square North
851 Eighth Avenue
New York, NY 10019
212-581-4100
Reserve Now

Crowne Plaza Manhattan
1605 Broadway
New York, NY 10019
800-243-6969 | main (212) 977-4000
Reserve Now

Novotel of New York
226 West 52nd Street
New York, NY 10019
800-221-3185 | Main (212)-315-0100
Reserve Now

Belvedere Hotel
319 West 48th Street
New York, NY 10036
Toll Free: 888-Hotel58 | Main (212) 245-7000
Type AMA in the Access/ Promo Box for special rate

NOTICE: Neither SCCE nor any hotel it is affiliated with will ever contact you to make a hotel
reservation. If you receive a call soliciting reservations on behalf of SCCE or the event, it is likely
from a room poacher and may be fraudulent. We recommend you make reservations directly with
the hotel using the phone number or web link in this brochure. If you have concerns or questions,
please contact +1 952 933 4977 or 888 277 4977.

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.

CANCELLATIONS/SUBSTITUTIONS: You may send a substitute in your place or request
a conference credit. Refunds will not be issued. Conference credits are issued in the full amount of
the registration fees paid, and will expire 12 months from the date of the original cancelled event.
Conference credits may be used towards any SCCE service or product. If a credit is applied towards
an event, the event must take place prior to the credit's expiration date. If you need to cancel your
participation, notification is required by email at helpteam@corporatecompliance.org, prior to the
start date of the event. Please note that if you are sending a substitute, an additional fee may apply.

AGREEMENTS & ACKNOWLEDGEMENTS: I agree and acknowledge that I am undertaking
participation in SCCE events and activities as my own free and intentional act, and I am fully aware
that possible physical injury might occur to me as a result of my participation in these events. I give
this acknowledgement freely and knowingly and assert that I am, as a result, able to participate in
SCCE events, and I do hereby assume responsibility for my own well-being. I agree and acknowledge
that SCCE plans to take photographs and/or video at the SCCE Compliance & Ethics Institute and
reproduce them in SCCE educational, news, or promotional material, whether in print, electronic, or
other media, including the SCCE website. By participating in the SCCE Compliance & Ethics Institute, I
grant SCCE the right to use my name, photograph, video and biography for such purposes.

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.

SCCE/HCCA EVENT FINANCIAL AID POLICY: The Society of Corporate Compliance
& Ethics (SCCE)/Health Care Compliance Association (HCCA) consider the issue of financial
hardship in pursuit of continuing legal education. CLE financial aid is available for attorneys who
wish to attend SCCE/HCCA courses that cost over \$500, but find the cost prohibitive. Financial
aid is available for course fees only and do not include any reduction in meals, lodging, or travel
costs associated with attending the course. Application for financial aid assistance is required in
the form of a letter and appendices and must be received no later than three weeks prior to the
event. Awards are based upon attorney income verification as noted below.

QUALIFYING ATTORNEY DISCOUNTS:
Income \$15,000 - \$60,000 50% discount
Income up to \$15,000 75% discount
No income: Case by case decision by CEO

APPLICATION AND INCOME VERIFICATION: Please forward a letter explaining your
request for financial aid assistance to the mailing address below. Include your name, address,
daytime phone numbers, e-mail address, current employer/employment status, and anticipated
earnings for the current year. Also include any other information or documentation relevant to
your current financial circumstances.

MAILING ADDRESS:
SCCE/HCCA
c/o Director of Conferences & Events
RE: CLE Financial Aid Request
6500 Barrie Road, Ste 250,
Minneapolis, MN 55435