



Utilities & Energy Compliance & Ethics Conference

February 24–27, 2013 | Houston, Texas | Westin Oaks

The utilities and energy industries are highly regulated, and compliance topics can be specific, focused on areas not always addressed at the all-industry level. Take advantage of the opportunity to discuss specific content areas in more detail, and enjoy a forum for sharing and exchanging ideas with others facing the same regulations.

Past attendees have come from:

NRG Energy
Anadarko Petroleum Corp
CenterPoint Energy, Inc.
Transocean Offshore Deepwater Drilling
PG&E Corporation
Kansas City Power & Light Company
Southern Company
ConocoPhillips
TransCanada Pipelines
Alliant Energy
Georgia Power Company
ExxonMobil Corporation
Portland General Electric
Puget Sound Energy
Noble Energy, Inc.
Seneca Resources Corp
Capital Power Corp
NSTAR Electric & Gas Corporation
Texas-New Mexico Power
BP Canada Energy
Muscatine Power and Water
Spectra Energy Corporation
Edison Mission Group
TECO Energy, Inc.
El Paso Corporation
Baker Hughes Incorporated



SOCIETY OF CORPORATE
COMPLIANCE AND ETHICS

www.corporatecompliance.org

Program at a Glance

SUNDAY, FEBRUARY 24: PRE-CONFERENCE

1:00–2:30 PM	P1 Survival Skills for Compliance Professionals – <i>Mary-James Young, JD, LLM, Sr Compliance & Regulatory Counsel, Vectren Corporation</i>	P2 In the Beginning: Building an Effective Compliance Program – <i>Linda Schatz, CCEP, Legal Compliance & Ethics Program Manager, Transocean Offshore Deepwater Drilling; Robert Tomlin, CCEP, Legal Compliance & Ethics Specialist, Transocean Offshore Deepwater Drilling</i>
3:00–5:00 PM	P3 Do Not Be Afraid: How Auditing and Monitoring Can Make Your Compliance and Ethics Program Stronger – <i>Helen Goodwin, CCEP, Ethics Program Manager, Bonneville Power Admin; Jenifur L. Rancourt, Acting Manager, FERC Compliance Program, Bonneville Power Administration; Sheree Tanner, CPA, Auditor, Bonneville Power Administration</i>	P4 Interviewing Techniques for Workplace Investigations – <i>Merik Bloch, CCEP, CFE, PCI, JD, Compliance Officer, Adecco</i>
5:00–6:30 PM	Welcome Reception	

MONDAY, FEBRUARY 25: CONFERENCE

7:15–8:15 AM	Breakfast	
8:15–8:30 AM	Opening Remarks	
8:30–9:30 AM	General Session 1: Empowering Leaders to Build a Culture of Compliance – <i>Courtney McBurney, JD, Compliance Officer, GE Energy Management; Andrew Baird, JD, Compliance Leader, GE Oil & Gas</i>	
9:30–10:00 AM	Networking Break	
10:00–11:30 AM	101 The Organizational Sentencing Guidelines: A Blueprint for an Effective Internal Controls System – <i>John Steer, Former Vice Chair, U.S. Sentencing Commission</i>	102 Internal Controls in the FERC & NERC World – <i>David Douglass, CCEP, FERC Regulatory Compliance, KCP&L; Jennifer Flandermeyer, CCEP, Sr. Manager, Operations Compliance, KCP&L</i>
11:30–12:30 PM	Lunch	
12:00–12:30 PM	Lunch Speaker: The Maturation of a Cyber Security Incident Prevention and Compliance Program – <i>Anna M. Wang, Principal Consultant for Cyber Security and Compliance, Wang & Associates Security & Compliance Consulting</i>	
12:45–2:15 PM	201 Information Governance Matters: Real-World Lessons – <i>Deborah Juhnke, CRM, Director Info Management Consulting, Husch Blackwell LLP; Peter B. Sloan, Partner, Husch Blackwell LLP</i>	202 Lessons Learned from FERC Enforcement Investigations – <i>Kurt Krieger, Esq., Lawyer, Steptoe & Johnson PLLC</i>
2:15–2:45 PM	Networking Break	
2:45–4:15 PM	301 Sustaining an Audit-Ready NERC CIP Compliance Program – <i>Rahul Chhabra, Sr. NERC CIP Compliance Analyst, Burns & McDonnell</i>	302 DOJ on Best Practices – <i>Thomas Fox, Principal, TOMFOXLAW.COM</i>
4:15–4:30 PM	Networking Break	
4:30–5:30 PM	General Session 2: Anti-bribery Due Diligence in the Supply Chain – <i>Julie Coleman, Senior Director, Advisory Services, TRACE International; William B. Jacobson, VP, Co-General Counsel, CCO, Weatherford International, Ltd.; Kim E. King, Chief Attorney-Compliance, ExxonMobil</i>	
5:30–6:30 PM	Networking Reception	

TUESDAY, FEBRUARY 26: CONFERENCE

7:15–8:15 AM	Breakfast	
8:30–10:00 AM	General Session 3: Compliant Processes: Baked In, Not Tacked On – <i>Jana Utter, CCEP, Director, Credit & Risk Management, Corporate Compliance Program, MISO; Lori Spence, Compliance Director, MISO</i>	
10:00–10:30 AM	Networking Break	
10:30 AM–12:00 PM	401 NERC Cybersecurity Compliance – <i>Stephen Spina, Attorney, Morgan Lewis</i>	402 Tips for Coping with Global Data Privacy Regimes – <i>Nick D'Ambrosio, JD, Director, KPMG LLP</i>
12:00–1:00 PM	Lunch	
1:15–2:45 PM	501 Managing NERC Compliance for Utilities with Numerous Assets – <i>John Ballentine, CCEP, CISSP, Director, Regulatory Compliance, Wood Group Power Plant Services; Walter Smith, Director, Standards and Compliance, Wood Group Power Plant Services</i>	502 The Art and Science of Board Engagement, Training, and Reporting – <i>Donna Boehme, Principal, Compliance Strategists IIC (former group Compliance and Ethics officer of BP, plc); Pat Gnazzo, Principal, Better Business Practices IIC (former SVP, CCo of Ca Inc.)</i>
2:45–3:15 PM	Networking Break	
3:15–4:30 PM	General Session 4: Managing a Compliance Crisis: Be Prepared! – <i>Bart Schwartz, JD, Chairman, Guidepost Solutions LLC</i>	

WEDNESDAY, FEBRUARY 27: POST-CONFERENCE

7:30–8:30 AM	Networking Break	
8:30–11:30 AM (15-MINUTE BREAK)	W1 Beyond Core Compliance: What Your Board Should Know – <i>Michael Bramnick, Head of Ethics & Compliance Business, LRN; Elaine Walsh, Partner, Baker Botts LLP</i>	W2 Avoiding Third-Party Surprises – <i>Eric Morehead, Senior Compliance Counsel, Corpedia, an NYSE Euronext Company; Ryan McConnell, Morgan Lewis</i>
1:00–3:00 PM	Certified Compliance and Ethics Professional (CCEP)[®] Exam	

Agenda

SUNDAY, FEBRUARY 24

PRE-CONFERENCE

1:00–2:30 PM

P1 Survival Skills for Compliance Professionals

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

- Learn the critical compliance skills that enhance your program, including problem-solving, communication, conflict management
- Learn how to train on these skills
- Learn how to “grow” these skills in your technical experts

P2 In the Beginning: Building an Effective Compliance Program

Linda Schatz, CCEP, Legal Compliance & Ethics Program Manager, Transocean Offshore Deepwater Drilling

Robert Tomlin, CCEP, Legal Compliance & Ethics Specialist, Transocean Offshore Deepwater Drilling

- Why have an ethics and compliance program?
- What are the critical building blocks?
- How does the work get done and who does it?

3:00–5:00 PM

P3 Do Not Be Afraid: How Auditing and Monitoring Can Make Your Compliance and Ethics Program Stronger

Helen Goodwin, CCEP, Ethics Program Manager, Bonneville Power Admin

Jenifur L. Rancourt, Acting Manager, FERC Compliance Program, Bonneville Power Administration

Sheree Tanner, CPA, Auditor, Bonneville Power Administration

- How to use program reviews/internal audits to make your program stronger
- The benefits of comparing your program to industry best practices
- Engaging Executive Management in implementing program change

P4 Interviewing Techniques for Workplace Investigations

Meric Bloch, CCEP, CFE, PCI, JD, Compliance Officer, Adecco

- Interview strategies and techniques
- Common problems faced in the interview phase and how to overcome them
- Interrogating the implicated person

5:00–6:30 PM

Welcome Reception

MONDAY, FEBRUARY 25

CONFERENCE

7:15–8:15 AM

Breakfast

8:15–8:30 AM

Opening Remarks

8:30–9:30 AM

General Session 1: Empowering Leaders to Build a Culture of Compliance

Courtney McBurney, JD, Compliance Officer, GE Energy Management

Andrew Baird, JD, Compliance Leader, GE Oil & Gas

- Leadership engagement as the central component grounding core compliance processes
- Practical tools to enable ongoing business leader action and involvement
- Specific applications from GE businesses in the Energy sector

9:30–10:00 AM

Networking Break

10:00 AM–11:30 PM

101 The Organizational Sentencing Guidelines: A Blueprint for an Effective Internal Controls System

John Steer, Former Vice Chair, U.S. Sentencing Commission

- Federal sentencing guidelines evolution from punishment mitigation to compliance blueprint
- Key guideline components and their business importance
- Case study comparison and contrast

102 Internal Controls in the FERC & NERC World

David Douglass, CCEP, FERC Regulatory Compliance, KCP&L

Jennifer Flandermeyer, CCEP, Sr. Manager, Operations Compliance, KCP&L

- Learn about why having internal controls is gaining steam
- What is the difference in preventive and detective controls and which is better
- Can auditing to internal controls increase efficiencies and help ensure compliance?

11:30–12:30 PM

Lunch

12:00–12:30 PM

Lunch Speaker: The Maturation of a Cyber Security Incident Prevention and Compliance Program

Anna M. Wang, Principal Consultant for Cyber Security and Compliance, Wang & Associates Security & Compliance Consulting

- Awareness training for dealing with ransomware and cyber extortionists
- Risk assessment and management framework, and tools for internal audit and control processes
- Best practices in the development of a security culture beyond those required by regulatory standards

12:45–2:15 PM

201 Information Governance Matters: Real-World Lessons

Deborah Juhnke, CRM, Director Info Management Consulting, Husch Blackwell LLP

Peter B. Sloan, Partner, Husch Blackwell LLP

- Why getting information governance right is about much more than compliance
- How information governance lapses have led to real world consequences
- Crucial steps needed to establish a sound information governance program

202 Lessons Learned from FERC Enforcement Investigations

Kurt Krieger, Esq., Lawyer, Steptoe & Johnson PLLC

- Avoid getting tripped up in discovery
- Effective use of privileged materials
- Telling your side of the case to the agency

2:15–2:45 PM

Networking Break

2:45–4:15 PM

301 Sustaining an Audit-Ready NERC CIP Compliance Program

Rahul Chhabra, Sr. NERC CIP Compliance Analyst, Burns & McDonnell

- Be a corporate strategic voice for CIP
- Bridge the gaps among business units
- Implement a robust change control process
- Conduct internal spot checks

302 DOJ on Best Practices

Thomas Fox, Principal, TOMFOX.LAW.COM

- 2011 saw significant guidance from the DOJ regarding best practices for a compliance program
- The top five things you can implement immediately to enhance your compliance program
- What 2011 Opinion Releases tell us

Agenda

4:15–4:30 PM

Networking Break

4:30–5:30 PM

General Session 2: Anti-bribery Due Diligence in the Supply Chain

Julie Coleman, Senior Director, Advisory Services, TRACE International

William B. Jacobson, VP, Co-General Counsel, CCD, Weatherford International, Ltd.

Kim E. King, Chief Attorney-Compliance, ExxonMobil

- How to determine the right level of due diligence for supply chain vendors
- Increasing visibility into compliance in your supply and marketing
- How to operate with greater transparency and be more cost-effective

5:30–6:30 PM

Networking Reception

TUESDAY, FEBRUARY 26 CONFERENCE

7:15–8:15 AM

Breakfast

8:30–10:00 AM

General Session 3: Compliant Processes: Baked In, Not Tacked On

Jana Utter, CCEP, Director, Credit & Risk Management, Corporate Compliance Program, MISO

Lori Spence, Compliance Director, MISO

- Baking compliance requirement activities into day-to-day business activities
- Making compliance program implementation efficient and effective... compliant processes success stories
- Structuring and deploying the resources needed for sustainable compliance

10:00–10:30 AM

Networking Break

10:30 AM–12:00 PM

401 NERC Cybersecurity Compliance

Stephen Spina, Attorney, Morgan Lewis

- How to comply with NERC cybersecurity standards
- What to expect from Version 4 of the cybersecurity standards
- What to expect from Version 5 of the cybersecurity standards

402 Tips for Coping with Global Data Privacy Regimes

Nick D'Ambrosio, JD, Director, KPMG LLP

- Up-to-date overview, by country: rules and regulations on data privacy and blocking statutes
- Tips to establish data integrity protocols for gathering, transporting and storing data across borders
- Illustrative scenarios

12:00–1:00 PM

Lunch

1:15–2:45 PM

501 Managing NERC Compliance for Utilities with Numerous Assets

John Ballentine, CCEP, CISSP, Director, Regulatory Compliance, Wood Group Power Plant Services

Walter Smith, Director, Standards and Compliance, Wood Group Power Plant Services

- Detailed procedures: how Wood Group developed a FERC/NERC Compliance program for managing risk across a diverse portfolio of 30 power plants in the US and Canada
- Avoiding the reactionary rut: policies and procedures that enable you to proactively design and monitor compliance for both NERC CIP and Non-CIP
- Building your extended compliance team: ensuring participation and accountability at the facility level and communicating to ensure adequate support from upper management

502 The Art and Science of Board Engagement, Training, and Reporting

Donna Boehme, Principal, Compliance Strategists IIC (former group Compliance and Ethics officer of BP, plc)

Pat Gnazzo, Principal, Better Business Practices IIC (former SVP, CCo of Ca Inc.)

- How modern Board training must evolve to address the increased duty of care to oversee organizational culture and avoid corporate wrongdoing
- Role of the CECO in helping the Board to become “knowledgeable” and to exercise “reasonable oversight” over the company’s program
- Engagement tips & best practices — what works and what doesn’t, “stealth training,” why it’s “not your father’s board training,” and a practice scenario

2:45–3:15 PM

Networking Break

3:15–4:30 PM

General Session 4: Managing a Compliance Crisis: Be Prepared!

Bart Schwartz, JD, Chairman, Guidepost Solutions LLC

- Convening the crisis response team and triggering your action plan—who does what?
- Conducting the investigation—go beyond fixing blame to fixing the problem
- Communication—before, during and after

WEDNESDAY, FEBRUARY 27 POST CONFERENCE

7:30–8:30 AM

Networking Break

8:30–11:30 AM (includes 15-minute break)

W1 Beyond Core Compliance: What Your Board Should Know

Michael Bramnick, Head of Ethics & Compliance Business, LRN

Elaine Walsh, Partner, Baker Botts LLP

- Topics that might fall through the cracks
- Political giving, cyber security, and social media
- More strategy for ensuring compliance is two-pronged: a rules-based effort combined with culture improvement
- Dodd-Frank topics

W2 Avoiding Third-Party Surprises

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

Ryan McConnell, Morgan Lewis

- What are some of the compliance dangers third parties present
- What are creative methods and tools for third-party due diligence
- How do you manage third-party relationships moving forward past due diligence

1:00–3:00 PM

Certified Compliance and Ethics Professional (CCEP)[®] Exam

The CCEP exam is optional and requires advance registration and payment separate from the conference registration. See the Details page for more information.

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 more than 2,300 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



CONTACT INFORMATION

Please type or print your information below.

Mr. Mrs. Ms. Dr.

SCCE Member ID _____

First Name _____ MI _____ Last Name _____

Credentials (CCEP, CCEP-I, CHC, etc.) _____

Title _____

Place of Employment _____

Address _____

City _____ State _____ Zip _____

Phone _____

Fax _____

Email (required for registration confirmation & conference information) _____

SESSION SELECTION

Please indicate below which sessions you would like to attend. Your choices will be used to assist us in planning. You are not obligated to attend the sessions you select.

SUNDAY (additional fees apply after 1/9/13)	MONDAY	TUESDAY	WEDNESDAY (additional fees apply after 1/9/13)
PRE-CONFERENCE	10:00 AM – 11:30 PM	10:30 AM – 12:00 PM	POST-CONFERENCE
1:00 – 2:30 PM	<input type="radio"/> 101	<input type="radio"/> 401	8:30 – 11:30 AM
<input type="radio"/> P1	<input type="radio"/> 102	<input type="radio"/> 402	<input type="radio"/> W1
<input type="radio"/> P2	12:45 – 2:15 PM	<input type="radio"/> 501	<input type="radio"/> W2
3:00 – 5:00 PM	<input type="radio"/> 201	<input type="radio"/> 502	
<input type="radio"/> P3	<input type="radio"/> 202		
<input type="radio"/> P4	2:45 – 4:15 PM		
	<input type="radio"/> 301		
	<input type="radio"/> 302		

REGISTRATION OPTIONS

PRICES LISTED REFLECT SAVINGS

- SCCE Members\$645
- Membership Renewal & Registration\$940
- Non-Members\$745
- New Membership & Registration\$845
NEW MEMBERS ONLY / DUES REGULARLY \$295 ANNUALLY
- Pre-Conference Session Sunday \$125
FREE ONLY WITH PURCHASE OF EARLY BIRD REGISTRATION
- Post-Conference Session Wednesday \$125
FREE ONLY WITH PURCHASE OF EARLY BIRD REGISTRATION
- Group Discount: subtract _____ from my total (SEE DETAILS FOR MORE INFO)

TOTAL _____

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www.corporatecompliance.org | helpteam@corporatecompliance.org



Conference & Hotel Accommodations:

The Westin Oaks Houston at the Galleria
5011 Westheimer
Houston, TX 77056 USA
PHONE +1 713 960 8100
FAX +1 713 960 6549
www.westin.com/houstongalleria

Reservations can be made by calling the hotel directly at +1 888 627 8514. When making your reservations, please mention group block SCB20 at The Westin Oaks to receive the special group rate of \$169 plus applicable state and local taxes (currently 17% but subject to change). This rate is good until February 9, 2013, 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 on space and rate availability. Hotel accommodations are not included in your conference registration fee.

Registration Terms & Conditions:

Please make your check payable to SCCE, enclose payment with your registration, and return it to the SCCE office, or fax your credit card payment to +1 952 988 0146. If your total is miscalculated, SCCE will charge your card the correct amount. 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 towards 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: Discounts take effect the day a group reaches the discount number of registrants. Please send registration forms together to ensure that the discount is applied. A separate registration form is required for each registrant. Note that discounts will NOT be applied retroactively if more registrants are added at a later date, but new registrants will receive the group discount.

5 or more: \$50 discount for each registrant

10 or more: \$100 discount for each registrant

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Recording: No unauthorized audio or video recording of SCCE conferences is allowed.

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Certified Compliance and Ethics Professional (CCEP)[®] Exam:

Wednesday, February 27, 2013

1:00 – 3:00 pm

The Westin Oaks Houston at the Galleria

Deadline for receipt of applications is Friday, February 15, 2013. To download the exam application please visit www.corporatecompliance.org and look for the Utilities & Energy Compliance Conference. The CCEP exam requires advance registration and payment separate from the conference registration. To qualify to sit for the CCEP exam, 20 CCB CEUs and the necessary work experience are required.

To obtain CEUs from this conference, fill out the CEU Application available on-site at the conference, noting the sessions attended. Please contact us with questions at +1 952 933 4977 or 888 277 4977 or ccb@compliancecertification.org. Note that all credits will be awarded based on actual time on-site spent in session.

Visit www.compliancecertification.org for more information about the CCEP certification.

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. Visit SCCE's website, www.corporatecompliance.org for up-to-date information.

Compliance Certification Board (CCB):

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Certified Compliance & Ethics Professional–Fellow (CCEP-F), Certified Compliance & Ethics Professional–International (CCEP-I): CCB has awarded a maximum of 22.5 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: The 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 18.5 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 22.0 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.



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Learn more & register at www.corporatecompliance.org