

Board Audit Committee Compliance Conference

September 24–25, 2018 | Scottsdale, AZ | The Scott Resort & Spa

This Conference is designed for board members and members of an audit and/or compliance committee. Compliance officers and other senior organizational leaders are welcome to attend.

Join us and learn:

- The latest on regulatory risk and compliance obligations
- How to fulfill your fiduciary obligations as a board member
- How to help improve your board performance

Buy one
registration
for \$895
and get one
for \$595

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Questions: jill.burke@corporatecompliance.org



MONDAY, SEPTEMBER 24

8:00 AM–5:30 PM **Registration**

8:00–8:30 AM

Continental Breakfast (provided)

8:30–8:45 AM

Welcome & Opening Remarks



Gabriel Imperato
Managing Partner
Broad and Cassel



James Rough
Founder and President
SunHawk Consulting, LLC

8:45–9:45 AM

Introduction to Risk Areas & Compliance



Dwight Claustre
Managing Director
Ankura Consulting

- Key areas of consideration in developing and implementing a compliance program
- Risk areas for consideration by the board
- Steps a board may take in considering management accountability related to compliance risks

9:45–10:00 AM **Networking Break**

10:00–11:00 AM

Cyber Security and Privacy: Compliance & Risks

Martin Hellmer
Supervisory Special Agent
FBI



Michael McAndrews
Director, WGM Information Security
Services

- Information security policies: are yours helping or hurting?
- The incident response plan: this is your playbook.
- Cyber insurance, incident responders and lawyers: can't we all just get along?

11:00–11:15 AM **Networking Break**

11:15 AM–12:30 PM

Communicating with Regulators and Enforcement Representatives



James Rough
Founder and President
SunHawk Consulting, LLC

Christian Schrank
Special Agent in Charge
US DHHS OIG OI, LA Regional Office

Christopher Cestaro
Assistant Chief
U.S. Department of Justice

- Management knows all too well the consequences of receiving regulatory inquiries, or worst, a subpoena can have on their reputation, bottom line, and their time.
- Learn the importance of building a good working relationship with government representatives
- Learn the importance of accurate, timely, and complete disclosure when reporting or self-disclosing to government representatives

12:30–1:30 PM **Lunch (provided)**

1:30–2:30 PM

GDPR at Four Months: Experiences and What's Next



Mia Singer
Principal and Owner
Singer Consulting, LLC



Dan Oseran
Senior Director and Counsel; Global
Privacy, Business Ethics & Compliance
eBay, Inc.

- General scope and breadth of the GDPR
- Major challenges and potential solutions to compliance with the law
- GDPR became effective May 25, 2018—what does ongoing compliance look like?

2:30–2:45 PM **Networking Break**

2:45–3:45 PM

Navigating the Auditor-Audit Committee Relationship



Gerry Zack
Incoming CEO
SCCE and HCCA

- Oversight of financial reporting and internal controls
- Fraud, corruption and noncompliance responsibilities
- Key matters to discuss with your auditors

3:45–4:00 PM **Networking Break**

4:00–5:00 PM

Anti-Corruption/Anti-Bribery



James Rough
Founder and President
SunHawk Consulting, LLC

Christopher Cestaro
Assistant Chief Criminal Division
Fraud Section, FCPA Unit
Department of Justice

- FCPA basics
- Recent trends & enforcement actions
- Observations & lessons learned

5:00–5:30 PM

Q&A Session

All Speakers

5:30–6:30 PM

Networking Reception

TUESDAY, SEPTEMBER 25

7:30–11:30 AM **Registration**

7:30–8:00 AM

Continental Breakfast (provided)

8:00–9:00 AM

Whistleblower Risk & False Claim Act Liability



Gabriel Imperato
Managing Partner
Broad and Cassel



Michael Morse
Partner, Pietragallo Gordon Alfano
Bosick & Raspanti, LLP

- Whistleblowers: Who are they and why do they file Qui Tam cases under the False Claims Act?
- Can organizations manage this risk?
- Tips for compliance program effectiveness

9:00–9:15 AM **Networking Break**

9:15–10:15 AM

Compliance Work Plan and the Board: a Compliance Committee Toolkit



Gerry Roy
VP, Chief Compliance & Privacy Officer
Phoenix Children's Hospital



Lisa Gressel
General Counsel
P.F. Chang's / Pei Wei



Jeanine Jiganti
CCO (Retired)
Davita

- Examples of compliance work plan & dashboards
- Lessons learned on reporting to boards of directors
- Appropriate and Inappropriate questions boards should be asking

10:15–10:30 AM **Networking Break**

10:30–11:30 AM

Board Member Panel on Compliance Oversight



Gabriel Imperato
Managing Partner
Broad and Cassel



Daniel R. Roach
Chief Compliance Officer
Optum360

- Practical tips for compliance oversight for board members
- Best practices and board member questions for measuring compliance program effectiveness
- Board qualifications for compliance oversight

11:30 AM

Boxed Lunches to Go (provided)

CONTACT INFORMATION

Mr. Mrs. Ms. Dr.

SCCE Member ID (if applicable)

First Name MI

Last Name

Credentials (CCEP, JD, etc.)

Job Title

Name of Employer

Street Address

City State Zip Code

Phone

Email (required for registration confirmation & conference information)

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

- Registration \$895
- Registration & SCCE Membership* \$1095
- 2nd Attendee Registration..... \$595
- 2nd Attendee Registration & SCCE Membership* \$795

*Join SCCE and SAVE \$95 off your first year! (First time members only. Dues regularly \$295.)

TOTAL \$ _____

Code: _____ 2nd Attendee: _____

Organizations may receive one registration at \$595 for every one registration purchased at \$895. To receive this offer, write **2AACS0918** in the space for the code above and write the name of the person with whom you are attending. Offers may not be combined. Both attendees must complete separate registration forms.

PAYMENT OPTIONS

- Check (mail to: SCCE, 6500 Barrie Road, Suite 250, Minneapolis, MN 55435)
- Invoice me
- I authorize SCCE to charge my credit card (choose below)

CREDIT CARD: American Express Visa MasterCard Discover

Due to PCI Compliance, please do not provide any credit card information via email. Email this form to helpteam@corporatecompliance.org (without credit card information) and call SCCE at +1 952 933 4977 or 888 277 4977 with your credit card information.

Credit Card Account Number Expiration Date

Cardholder's Name (please print)

Cardholder's Signature 2AACS0918

WAYS TO REGISTER

MAIL SCCE
6500 Barrie Road, Suite 250
Minneapolis, MN 55435-2358

WEB www.corporatecompliance.org/audit
FAX +1 952-988-0146
(include completed registration form with payment)
EMAIL helpteam@corporatecompliance.org
(do not provide credit card information via email)

By submitting this registration form, you agree to the use of your information and the terms and conditions stated on this form. To view our Privacy Statement, visit corporatecompliance.org/privacy.aspx.

HOTEL & CONFERENCE LOCATION

The Scott Resort & Spa

4925 North Scottsdale Road, Scottsdale, AZ 85251
www.thescottresort.com

SCCE has arranged a group room block at a reduced room rate of \$179.00 per night plus taxes and state fees (currently 13.92% subject to change) for single/double occupancy. Included in your room rate are: self-parking; Wi-Fi in guest rooms, public space, and meeting room; 24-hour fitness center and business center access; daily maid gratuity; and a daily newspaper upon request. To book your reservation, please call (800) 528-7867 and request the SCCE Board Audit Rate. The cutoff date for the group rate is Monday, September 3, 2018 or once the group room block is full, whichever comes first.

CONTINUING EDUCATION

SCCE is in the process of applying for additional external continuing education units (CEUs). Should overall number of education hours decrease or increase, the maximum number of CEUs available will be changed accordingly. Credits are assessed based on actual attendance and credit type requested.

Approval quantities and types vary by state or certifying body. For entities that have granted prior approval for this event, credits will be awarded in accordance with their requirements. CEU totals are subject to change.

Upon request, SCCE may submit this course to additional states or entities for consideration. If you would like to make a request, please contact us at +1 952.933.4977 or 888.277.4977 or email CCB@ComplianceCertification.org. Visit SCCE's website, www.corporatecompliance.org, for up-to-date information.

Compliance Certification Board (CCB)[®]: CCB has awarded a maximum of 11.1 CEUs for these certifications: 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)[®].

Continuing Legal Education (CLE): The Society of Corporate Compliance and Ethics is a provider/sponsor, approved/accredited by the State Bar of California, the Pennsylvania Bar Association, and the State Bar of Texas. An approximate maximum of 9.25 clock hours of CLE credit will be available to attendees of this conference from these states, along with Rhode Island. Upon request SCCE may submit this course to additional states for consideration. All CLE credits will be assessed based on actual attendance and in accordance with each state's requirements.

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. Complaints regarding registered sponsors may be submitted to the National Registry of CPE Sponsors through its website: www.learningmarket.org. A recommended maximum of 11.0 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 +1 952.988.0141.

TERMS & CONDITIONS

Registration Payment Terms: Checks are payable to SCCE. Credit cards accepted: American Express, Visa, MasterCard, or Discover. SCCE will charge your credit card the correct amount should your total be miscalculated. If you wish to pay using wire transfer funds, please email helpteam@corporatecompliance.org for instructions.

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 toward any SCCE service or product. If a credit is applied toward 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, sent to 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.

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.

Special needs/concerns: Prior to your arrival, please call SCCE at +1 952-933-4977 or 888-277-4977 if you have a special need and require accommodation.

Recording: Unauthorized audio or video recording of SCCE conferences is not allowed.

Use of Information: To find out how we may use your information please read our Privacy Statement at corporatecompliance.org/privacy.aspx. By submitting this membership application you agree to the use of your information as stated in the privacy policy.

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 Board Audit Committee Compliance Conference 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 Board Audit Committee Compliance Conference, I grant SCCE the right to use my name, photograph, video, and biography for such purposes. As a participant of this event, my name, job title, organization, city, state, and country will be listed on the attendee list that will be distributed to attendees, speakers, and exhibitors of this event.