

Board & Audit Committee Compliance Conference

February 18-19, 2019 | Scottsdale, AZ



AGENDA

New for 2019:

- Two full days of education and networking
- Two learning tracks: General Organizational Compliance and Healthcare Compliance
- New location at The Scottsdale Resort at McCormick Ranch

Buy one
registration for
\$995
and get one
for \$695

corporatecompliance.org/audit

Questions: jill.burke@corporatecompliance.org



The Department of Justice expects board members and senior level leaders of organizations to be experienced in compliance oversight. The Board & Audit Committee Compliance Conference can help you and your board meet this expectation.

Our 2019 conference combines the efforts of the Health Care Compliance Association (HCCA) and the Society of Corporate Compliance and Ethics (SCCE) and features two session tracks: General Organizational Compliance and Healthcare Compliance. As an attendee you may choose to attend sessions from either track.

Who Should Attend?

Past attendees have included:

- Board chairs
- Board officers
- Board members
- Trustees
- Audit & compliance committee members
- Presidents/CEOs
- Chief compliance officers
- Healthcare senior internal auditors
- Senior directors of finance
- General counsel

Why Should You Attend?

Attendees will learn:

- How to fulfill fiduciary obligations as board/committee members and senior-level leaders
- How to help improve board performance for compliance oversight
- The latest on regulatory risk and compliance obligations
- Tips for successful oversight of financial reporting
- How to conduct internal audits and investigations
- How to improve overall compliance program performance at their organizations

Speakers



Martin Biegelman, CFE, CCEP-F
Managing Director, Regulatory, Forensics & Compliance
Deloitte Financial Advisory Services LLP



Eric Cannon,
Director
KONE Americas



Darrell Contreras, CHC-F, CHPC, CHRC
Chief Compliance Officer
Millennium Health



Shawn DeGroot, CCEP, CHPC, CHRC,
President
Compliance Vitals



Lisa Gressel,
General Counsel
PF Chang's



Juliette Gust, CFE
Founder & President
Ethics Suite



Odell Guyton, CCEP, CCEP-I
Co-founder SCCE, Managing Director
Klink & Co. Inc.



Martin Hellmer,
Supervisory Special Agent
FBI



Gabriel Imperato, CHC
Managing Partner
Nelson Mullins Broad and Cassel



Marianne Jennings, JD
Emeritus Professor
Arizona State University



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



Jacqueline Nash Blook,



Steve Ortquist, Esq., CCEP, CHC-F, CHRC
Senior Managing Director
Ankura Consulting



Dan Oseran, CIPP, JD, MBA
Senior Director and Counsel Global Privacy,
Business Ethics and Compliance
eBay Inc.



Judy Ringholz, JD, RN, CHC
Vice President of Compliance and Ethics &
Chief Compliance Officer, Jackson Health
System



Dan Roach,
Chief Compliance Officer
Optum 360



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



James Rough, CCEP, CFE, CHC
Founder and President
SunHawk Consulting, LLC



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



Frank Sheeder, Esq., JD
Partner
Alston & Bird LLP



James Sheehan
Chief, Charities Bureau at New York State
Department of Law (Attorney General)



Mia Singer,
Principal and Owner
Singer Consulting, LLC



Roy Wyman,
Attorney
Nelson Mullins Broad and Cassel

Speakers are subject to change

Hotel & conference location

The Scottsdale Resort at McCormick Ranch

7700 E McCormick Parkway, Scottsdale, AZ 85258

Reservations: 800.540.0727

Main: 480.991.9000

Fax: 480.596.7422

<https://www.destinationhotels.com/scottsdale-resort>

A reduced rate of \$235.00 per night plus taxes (currently 13.92%, subject to change) for single/double occupancy has been arranged for this program. This rate includes wireless internet in guest rooms and meeting space, access to fitness center, daily USA Today, and Valet & Self-Parking. To book your reservation, call 1 800.540.0727 and request the SCCE group rate.

The cutoff date for the group rate is Friday, January 25, 2019 or once the group room block is full, whichever comes first. The group rate is available 3 days pre and post conference. All reservations must be guaranteed by a major credit card.

NOTICE: Neither SCCE or 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 on the conference website. If you have concerns or questions, please contact 888.580.8373.

MONDAY, FEBRUARY 18

8:00 AM–5:30 PM	Registration	
8:00–8:45 AM	Continental Breakfast (provided)	
8:45–9:00 AM	Welcome & Opening Remarks <i>Gabriel Imperato, CHC, Managing Partner at Nelson Mullins Broad and Cassel; James Rough, CCEP, CFE, CHC, Founder and President of SunHawk Consulting, LLC</i>	
9:00–10:00 AM	Introduction to Risk and Compliance <i>Shawn DeGroot, CCEP, CHPC, CHRC, President, Compliance Vitals</i> <ul style="list-style-type: none">• 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	
10:00–10:15 AM	Networking Break	
10:15–11:15 AM	Introduction to Board and Management Responsibilities for Compliance Oversight <i>Dan Roach, Chief Compliance Officer, Optum 360</i> <ul style="list-style-type: none">• What is reasonable oversight of a compliance and ethics program?• What are the ideal qualifications and characteristics of a board member for compliance oversight?• How do you know if compliance matters are getting sufficient attention by the Board and the C-suite?	
11:15–11:30 AM	Networking Break	
11:30 –12:30 PM	Cyber Security and Privacy <i>Martin Hellmer, Supervisory Special Agent, FBI; Roy Wyman, Attorney, Nelson Mullins Broad and Cassel</i> <ul style="list-style-type: none">• Cybercrime, hacking, and ransomware• Risks to privacy• How to become and remain compliant	
12:30–1:30 PM	Lunch (provided) Compliance Keynote Session <i>Jim Sheehan, Chief, Charities Bureau at New York State Department of Law (Attorney General)</i>	
1:30–2:30 PM	Healthcare Compliance Track	General Compliance Track
	Healthcare Fraud and Compliance Update <i>Gabriel Imperato, CHC, Managing Partner at Nelson Mullins Broad and Cassel</i> <ul style="list-style-type: none">• Recent developments in enforcement and compliance• Individual accountability for organizational health care fraud• Department of Justice Compliance Counsel and enforcement and compliance in the new administration	Anti-Corruption and Anti-Bribery—Foreign Corruption Practices Act <i>Odell Guyton, CCEP, CCEP-I, Co-Founder SCCE, Managing Director, Klink & Co., Inc.</i> <ul style="list-style-type: none">• FCPA basics• Recent trends and enforcement actions• Observations and lessons learned
2:30–2:45 PM	Networking Break	
2:45–3:45 PM	Healthcare Compliance Track	General Compliance Track
	Stark and Anti-Kickback Compliance <i>Frank Sheeder, Esq., JD, Partner, Alston & Bird LLP; Steve Ortquist, Esq. CCEP, CHC-F, CHRC, Senior Managing Director, Ankura Consulting</i> <ul style="list-style-type: none">• An overview of both laws and how they intersect• The False Claims Act overlay• Recent enforcement actions• Practical approaches to mitigating risk	GDPR 1 Year Later – What’s Next? <i>Mia Singer, Principal and Owner, Singer Consulting, LLC; Dan Oseran, CIPP, JD, MBA, Senior Director and Counsel, Global Privacy, Business Ethics and Compliance, eBay Inc.</i> <ul style="list-style-type: none">• 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?
3:45–4:00 PM	Networking Break	
4:00–5:00 PM	Conflicts of Interest <i>Martin Biegelman, CFE, CCEP-F, Managing Director, Regulatory, Forensics & Compliance, Deloitte Financial Advisory Services LLP</i> <ul style="list-style-type: none">• Why conflicts of interest matter for organizations• Key conflicts of interest for board members, compliance professionals and other employees• Case studies, best practices and effective mitigation strategies	
5:00–5:30 PM	Q&A Session <i>All Speakers</i>	
5:45 – 7:00 PM	Networking Reception	

TUESDAY, FEBRUARY 19

8:00 AM–4:30 PM	Registration	
7:30–8:00 AM	Continental Breakfast (provided)	
8:00–9:15 AM	Whistleblowers: Who Are They, Why Do They Blow the Whistle, and What Makes a Good Whistleblower Case? <i>Michael Morse, CHC, Partner, Pietragallo Gordon Alfano Bosick & Raspanti, LLP; Jacqueline Nash Bloink</i> <ul style="list-style-type: none"> Whistleblowers: Who are they and why do they file Qui Tam cases under the False Claims Act? What are typical organization responses to reports of non-compliance and the whistleblower threat? What are the most important features of compliance programs that are useful in managing compliance deficiencies and the whistleblower threat? How important is minimizing “retaliation” against a reporter and how does an organization achieve this goal? 	
9:15–9:30 AM	Networking Break	
9:30–10:30 AM	Healthcare Compliance Track	General Compliance Track
	Healthcare Privacy & Security and Responsibility to Breaches <i>Shawn DeGroot, CCEP, CHPC, CHRC, President, Compliance Vitals; Darrell Contreras, CHC-F, CHPC, CHRC Chief Compliance Officer, Millennium Health</i> <ul style="list-style-type: none"> The basics of HIPAA Privacy and Security Board responsibilities for the Privacy and Security program What to expect when something goes wrong 	Communicating with Enforcement and Regulatory Representatives <i>James Rough, CCEP, CFE, CHC, Founder and President of SunHawk Consulting, LLC; Christian Schrank, Special Agent in Charge, US DHHS OIG OI – Los Angeles Regional Office</i> <ul style="list-style-type: none"> Management knows all too well the consequences of receiving regulatory inquiries, or worse, 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
10:30–10:45 AM	Networking Break	
10:45–11:45 AM	Internal Investigations 101 <i>Lisa Gressel, General Counsel, PF Chang’s; Eric Cannon, Director, KONE Americas; Juliette Gust, CFE, Founder & President, Ethics Suite</i> <ul style="list-style-type: none"> Leveraging Resources Control and Track Prevent Retaliation Effects of poor investigation/lessons learned 	
11:45–12:45 PM	Lunch (provided) Showtime: The Critical Component of Organizational Culture <i>Keynote Speaker: Gerry Roy, CHC, CHRC, VP, Chief Compliance & Privacy Officer, Phoenix Children’s Hospital</i>	
12:45–1:45 PM	Ethical Culture and Compliance Effectiveness <i>Steve Ortquist, Esq., CCEP, CHC-F, CHRC, Senior Managing Director, Ankura Consulting; Marianne Jennings, JD, Emeritus Professor, Arizona State University; Judy Ringholz, JD, RN, CHC, Vice President of Compliance and Ethics & Chief Compliance Officer, Jackson Health System</i> <ul style="list-style-type: none"> The Effects of Organizational Ethics and Culture on Compliance Detecting the Faint Signals in Your Organization’s Culture Establishing an Ethical Foundation: The Role of Boards and Executives 	
1:45–2:00 PM	Networking Break	
2:00 – 3:00 PM	What It Takes To Be a Good Board Member <i>Dan Roach, Chief Compliance Officer, Optum 360; Gabriel Imperato, CHC, Managing Partner at Nelson Mullins Broad and Cassel; James Sheehan, Chief, Charities Bureau at New York State Department of Law (Attorney General)</i> <ul style="list-style-type: none"> Compliance and board member duties in compliance investigations Board member oversight of mergers and acquisitions The relationship between the board and the C-suite 	
3:00 – 3:15 PM	Networking Break	
3:15 – 4:15 PM	False Claims Act Practices and Procedures, and Halifax Case Study <i>Gabriel Imperato, CHC, Managing Partner at Nelson Mullins Broad and Cassel</i> <ul style="list-style-type: none"> Whistleblowers and Compliance Risk and the False Claims Act Best Practices for Compliance Professionals and False Claims Act Liability Anatomy of a False Claims Act Case and Compliance Case Study 	
4:15 – 4:30 PM	Wrap Up <i>Gabriel Imperato, CHC, Managing Partner at Nelson Mullins Broad and Cassel; James Rough, CCEP, CFE, CHC, Founder and President of SunHawk Consulting, LLC</i>	
4:30 PM	Adjourn	

CONTACT INFORMATION

Mr. Mrs. Ms. Dr.

Member/Account Number (if applicable/known)

First Name MI

Last Name

Credentials (CCEP, JD, etc.)

Job Title

Organization (Name of employer)

Street Address

City State/Province Postal Code Country

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 \$995
- Registration plus SCCE Membership* \$1195
- 2nd Attendee Registration \$695
- 2nd Attendee Registration plus SCCE Membership* \$895

* Save by joining SCCE today (first-time members only) Dues regularly \$325

TOTAL \$ _____

Code: _____ 2nd Attendee: _____

Organizations may receive one registration at \$695 for each registration purchased at \$995. To receive this offer, write **2AACS0219** 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 AACS0219

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)

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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 registration form 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.

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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.**

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COMPLIANCE CERTIFICATION BOARD (CCB)[®]: CCB has awarded a maximum of 15.9 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)[®].

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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. 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.nasbaregistry.org. Sponsor Identification No: 143451. The education level for this activity is considered basic. No prerequisites are required for this education. Delivery Method: Group Live. Advanced Preparation: None. A recommended maximum of 14.5 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. For more information regarding administrative policies such as complaints or refunds, call 888.277.4977 or +1 952.933.4977.

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