

# Compliance Solutions Across Industries

BANKING AND CORPORATE COMPLIANCE

June 9, 2021 | Virtual Conference

**NEW**  
for  
**2021**

Learn how different industries — ranging from technology to manufacturing to banking — are using practical solutions to approach the latest compliance challenges.

*Developed in association  
with Young Enterprises, LLC*

## Topics include:

- Assessing Program Effectiveness
- Meeting AML and KYC Requirements
- The Latest on the Fast-Changing Antitrust and FCPA Enforcement
- Compliance Challenges Posed by Social Media and Big Tech Companies
- The Nexus of Governance and Compliance



**Register online**

[corporatecompliance.org/2021compliancesolutions](https://corporatecompliance.org/2021compliancesolutions)



Agenda times are listed in Central Daylight Time (CDT)

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8:55–9:00 AM CDT      **Opening Remarks**

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9:00–10:00 AM CDT      **Assessing the Real-World Effectiveness of Your Compliance Program for Yourself, Leadership, and Regulators**

*Don Griffith, Head of Financial Crimes & Fraud Prevention Compliance, Compliance Counsel, MassMutual Financial Group*

*Caroline McMichen, Strategic Advisor, SAI Global*

*Kurt Michels, Chief Compliance Officer, Volkswagen Group*

*Gerry Zack, CEO, SCCE & HCCA*

- Creating an integrated, data-based system for measuring your program's performance
  - Assessing both hard and soft factors such as culture, behavior, and conduct
  - Using the data to create a stronger program
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10:00–10:15 AM CDT      **Coffee Break**

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10:15–11:15 AM CDT      **KYC/AML Requirements: Meeting Enhanced Social and Legal Requirements for Knowing Your Customer and the New AML Act**

**MODERATOR**

*Brian Kindle, VP of Product Development, Association of Certified Financial Crime Specialists*

**PANEL**

*Jennifer Ambuehl, Chief, Bank Integrity Unit, Money Laundering and Asset Recovery Section, DOJ*

*Ellen Zimiles, Partner, Guidehouse*

*David T. Ackerman, Esq., Regulatory Subject Matter Expert, Compliance Line of Business*

*Katie Lemire, Executive Deputy Superintendent, New York State Department of Financial Services*

- Navigating the fast-changing sanctions regimes
  - Meeting the new UBO requirements
  - Ensuring third-party partners are not creating additional risks
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11:15–11:30 AM CDT      **Coffee Break**

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11:30 AM–12:30 PM CDT      **Latest Lessons to Be Learned from Anticorruption Enforcement**

**MODERATOR**

*Chuck Duross, Partner, Morrison & Foerster LLP*

**PANEL**

*Daniel Kahn, Acting Chief, Fraud Section, DOJ*

*John Cusack, Chair of Global Coalition, Fight Financial Crime Association*

- Learning from Goldman Sachs and other banking and commercial cases
- Should we expect anything different with a new administration?
- The increasing importance of non-US enforcement and multi-lateral prosecutions

Agenda times are listed in Central Daylight Time (CDT)

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12:30–1:00 PM CDT      **Mid-Conference Break**

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1:00–2:00 PM CDT      **Navigating the Enhanced Antitrust Enforcement Environment**

*Theodore Banks, Partner, Scharf Banks Marmor LLC*

*Carolyn Sweeney, Counsel to the AAG for Criminal Enforcement, DOJ*

- What the Google and Facebook cases may mean for other companies
  - Non-US enforcement activity: Europe remains very active
  - Implications of emergence of FinTech for antitrust
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2:00–2:15 PM CDT      **Coffee Break**

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2:15–3:15 PM CDT      **Compliance Challenges Posed by the Growth and Power of Big Tech and Social Media Companies**

**MODERATOR**

*Eric Young, CEO, Young Enterprises LLC*

**PANEL**

*Eugene Ludwig, Founder and CEO, Promontory Financial Group*

*Jeff Martino, Partner, BakerHostetler*

*Greg Montana, Chief Risk Officer, FIS*

- What new or different compliance considerations are there for each of these sectors, including antitrust?
  - What is a “bank” going forward, as bank regulators are licensing Big Tech and start up Fintechs to buy and operate banks?
  - Who is a “third party” if a technology or other major services provider owns a bank and provides payment services?
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3:15–3:30 PM CDT      **Coffee Break**

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3:30–4:30 PM CDT      **The Nexus of Governance and Compliance**

**MODERATOR**

*Jonah Crane, Partner, Klaros Group*

**PANEL**

*Honorable Leo E. Strine, Jr, Of Counsel, Wachtell, Lipton, Rosen & Katz*

*Eric Young, CEO, Young Enterprises LLC*

- Preparing the board to meet increased DOJ expectations
- Maximizing interactions with the board to ensure support and during a crisis
- New strategic value of compliance with the board

## Contact Information

Mr  Mrs  Ms  Dr

Member/Account ID (if known)

First Name MI Last Name

Credentials (CHC, CCEP, etc.)

Job Title

Organization (Name of Employer)

Street Address

City/Town State/Province

Zip/Postal Code Country

Work Phone

Email (required)

## Acknowledgments

By submitting this registration, you agree to the full registration Terms and Conditions viewable at [corporatecompliance.org/2021compliancesolutions](http://corporatecompliance.org/2021compliancesolutions).

You also agree to the use of your information. Your information may be received by conference exhibitors, attendees, speakers, affiliates, and partners for marketing and/or networking purposes. To see the full use of your information or if you wish to opt-out, please read our Privacy Statement at [corporatecompliance.org/privacy](http://corporatecompliance.org/privacy).

This virtual conference registration form allows only the registered attendee to stream, participate, and earn CEUs for the conference. If a second person would like to join, they must register themselves and have their own unique login to participate.

**Group Discount Policy:** 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. The group discount is NOT available through online registration. 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.

## Registration Fees

<input type="checkbox"/> Member	\$155
<input type="checkbox"/> Non-Member	\$195
<input type="checkbox"/> Registration + First-Time Membership Offer*	\$375

\*Save by joining today (first-time members only). Dues renew at \$325.

## Group Discounts

<input type="checkbox"/> Group Discount for 3 or More**	(\$25)
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\*\*See "Group Discount Policy" under "Acknowledgments" for details.

TOTAL \$ \_\_\_\_\_

## Payment

Online registration at [corporatecompliance.org/2021compliancesolutions](http://corporatecompliance.org/2021compliancesolutions)

Mail this form to Society of Corporate Compliance and Ethics, 6462 City West Parkway, Eden Prairie, MN 55344 USA

Fax this form to +1 952.988.0146

Email this form to [helpteam@corporatecompliance.org](mailto:helpteam@corporatecompliance.org) — Due to PCI compliance, do not provide credit card information via email. You may email this form (without credit card information), then call SCCE at 888.580.8373 with payment information.

- Invoice me
- Check enclosed (payable to SCCE)
- Wire transfer requested
- Credit card: I authorize SCCE to charge my:
  - Visa
  - MasterCard
  - Discover
  - American Express

Credit Card Account Number

Credit Card Expiration Date

Cardholder Name

Cardholder Signature

### EVENT TERMS AND CONDITIONS

**PAYMENT TERMS:** 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 952.988.0146. If your total is miscalculated, SCCE will charge your card the correct amount.

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**PRE-ATTENDEE LISTING:** A listing with your name, title, company, city, state, and country will be provided to attendees and speakers for networking purposes. To see the full use of your information or if you wish to opt-out, visit [corporatcompliance.org/privacy](http://corporatcompliance.org/privacy).

**VIRTUAL CONFERENCE PLATFORM “CUSTOMIZED”:** SCCE has partnered with DAHLIA+Agency/Soliman Productions to deliver its platform for facilitating the virtual conference. First name, last name, and email address will be provided to the platform partner for login access. Your information will not be shared or sold by DAHLIA+Agency/Soliman Productions to any other third party and will be removed from their system 30 days post-conference.

**REGISTRATION:** This virtual conference registration form allows only the registered attendee to stream, participate, and earn live CEUs for the conference. If a second person would like to join, they must register themselves and have their own unique login to participate.

**PAYMENT:** If your total is miscalculated, SCCE will charge your card the correct amount.

#### GROUP DISCOUNTS

**3 or More:** \$25 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. The group discount is NOT available through online registration. 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:** Refunds will not be issued. 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 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@corporatcompliance.org](mailto:helpteam@corporatcompliance.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.

**PHOTO/VIDEO RELEASE:** By registering for this event, I grant SCCE, or anyone authorized by SCCE, the right to use or publish in print or electronic format, any photographs or video containing my image or likeness for educational, news, or promotional purposes, without compensation.

**SESSIONS AND SPEAKERS:** SCCE reserves the right to make changes to the program at any time as circumstances dictate. Every effort will be made to ensure a program of equivalent standard and value should unavoidable changes occur. SCCE does not accept liability for advice given, or views expressed, by any speaker at the conference or in any material provided to attendees.

**SPECIAL NEEDS/CONCERNS:** Prior to the conference, please call SCCE at 888.277.4977 or 952.933.4977 if you have a special need and require accommodation to participate in the Corporate Compliance Enforcement Conference.

### CONTINUING EDUCATION

Credits are assessed based on actual attendance and credit type requested. Should the overall number of education hours decrease or increase, the maximum number of CEUs available will be changed accordingly. Only registered attendees are eligible to request CEUs for participation. Attendees must participate in the virtual conference using the online virtual conference format (not just using the dial-in) for attendance monitoring purposes.

**CCB:** The Compliance Certification Board (CCB)<sup>®</sup> has approved a maximum of 7.2 CEUs for these certifications: Certified in Healthcare Compliance (CHC)<sup>®</sup>, Certified in Healthcare Compliance Fellow (CHC-F)<sup>®</sup>, Certified in Healthcare Privacy Compliance (CHPC)<sup>®</sup>, Certified in Healthcare Research Compliance (CHRC)<sup>®</sup>, Certified Compliance & Ethics Professional (CCEP)<sup>®</sup>, Certified Compliance & Ethics Professional Fellow (CCEP-F)<sup>®</sup>, Certified Compliance & Ethics Professional International (CCEP-I)<sup>®</sup>.

**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](http://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 Internet Based. Advanced Preparation: None. A recommended maximum of 7.2 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 Internet Based 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.

SCCE is in the process of applying for additional external continuing education units (CEUs). 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, if there is sufficient time and we are able to meet their requirements, SCCE may submit this course to additional states or entities for consideration.

**Only requests from registered attendees will be considered.** 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](mailto:ccb@compliancecertification.org). To see the most up-to-date CEU information go to SCCE's website, [corporatcompliance.org/all-conferences](http://corporatcompliance.org/all-conferences); select your conference; then select the “Continuing Education” option from the left-hand menu.