

BOSTON

Regional Compliance & Ethics Conference March 29, 2019



Learn, Network & Earn CEUs in Your Neighborhood

The Regional Compliance & Ethics Conference offers convenient opportunities for compliance and ethics training, updates on the latest news in regulatory requirements and enforcement, and strategies to develop effective compliance programs. Additionally, attendees will have ample opportunity to network with industry peers. Breakfast and lunch are also included in the conference price.

SPONSORED BY:



corporatecompliance.org/regionals

Questions? katie.burk@corporatecompliance.org



7:30 – 8:25 AM

Registration & Continental Breakfast

8:25 AM

Opening Remarks

8:30 – 9:30 AM

Compliance Role in Information Security and Cybersecurity



Matt Kelly
Editor & CEO
Radical Compliance

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

- The evolving regulatory landscape (NY DFS cyber rule, CA Consumer Privacy Act, GDPR) and regulators' evolving expectations of the compliance role in cybersecurity
- The intersection of information security, privacy, anti-money laundering and fraud compliance
- Assessing the compliance risks relating to information security
- Leveraging your internal experts

9:30 – 9:45 AM

Networking Break

9:45 – 10:45 AM

Quantifying the Value of Hotline Reporting



Carrie S Penman
Chief Compliance Officer and Senior Vice President, Advisory Services, NAVEX Global

- Join this session for an early look at the upcoming NAVEX Global 2019 Hotline Benchmark Report –findings and analysis of over 1 million reports
- Using hotline reporting as a predictor of workplace culture strength – recent George Washington University research shows association between employee reporting and business results
- How this year's data and the recent research findings can help you tell the story of your reporting data to executive staff and the Board of Directors

10:45 – 11:00 AM

Networking Break

11:00 AM – 12:00 PM

Taking Your Code of Conduct Digital: Here's How to Do it Right



Andrea Falcione
Principal and Head of Advisory Services
Rethink Compliance LLC



Renee Sophocles
Compliance Training Manager
PTC

Michael (Mike) Simone
Risk & Compliance Analyst
Analog Devices



Beth Tshudy
Director of Corporate Compliance
Analog Devices

- Your employees are always on their phones. Is your Code optimized for a digital audience?
- How to take your Code digital, without making it a huge technology hassle.
- Learn where to start, five features your Code must have, and three things you don't need.

12:00 – 1:00 PM

Lunch (provided)

1:00 – 2:00 PM

Creating a Culture of Compliance



Andrew Bucknam
Chief Compliance Officer, Chief Privacy Officer, Knights of Columbus

- Right-Sizing Your Compliance Function: why bigger is not necessarily better
- Cultural Awareness Through Training: Thinking of Training as Creating Ethics Awareness One Employee at a Time
- Creating Individual Accountability Through Oversight: Using Data Analytics and Complaint Tracking to Let the Company Know Compliance Can See the Outliers

2:00 – 2:15 PM

Networking Break

2:15 – 3:15 PM

Fast, Cheap, and Under Control: Strategies for Measuring and Reporting Compliance Program Performance in an Era of Stretched Resources and Low Attention Spans



Thomas R. Birmingham
VP, Compliance
Emera Inc.



Adam Padgett
Manager, Compliance
Emera Inc.

- Leverage existing tools and data where possible and build new tools to capture new data where necessary to create standardized, cost-effective ways to measure compliance program performance (i.e., strategy).
- Capture performance requirements in a format and design that maximizes information sharing while minimizing administrative burdens (i.e., design).
- Overcome challenges and seize opportunities when responding to compliance program performance requirements (i.e., implementation).

3:15 – 3:30 PM

Networking Break

3:30 – 4:30 PM

Linking Culture to Ethics and Risk Using the Strategic Culture Framework



Caterina Bulgarella, Ph.D.
Culture Architect & Ethics Advisor in collaboration with SAI Global

- This session will use the Wells Fargo and BP scandals to illustrate the relationship between culture, ethics and risk
- Participants will be introduced to the Strategic Culture Framework and its implications for proactively managing risk in organizations
- A high-level roadmap for culture measurement and program impact measurement will also be discussed

REGISTRATION FEE

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

- SCCE Member** \$220
- Non-Member** \$270
- Registration & SCCE membership** \$440
Save by joining SCCE today (first-time members only) Dues regularly \$325

TOTAL \$ _____

ATTENDEE INFORMATION (please type or print)

Mr. Mrs. Ms. Dr.

Member/Account Number (if applicable/known) _____

First Name _____ M.I. _____ Last Name _____

Credentials (CCEP, CPA, CFE, etc.) _____

Job Title _____

Organization (Name of Employer) _____

Address _____

City _____ Province/State _____ Postal Code/Zip _____

Country _____

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. (LCMA19)

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 your registration to 952.988.0146, or visit corporatecompliance.org/regionals and register online

HOTEL/CONFERENCE LOCATION:

Hyatt Regency Boston

One Avenue de Lafayette, Boston, MA, 02111

A small block of rooms has been reserved for Thursday, March 28th at a rate of \$279.00, plus applicable state and local taxes. Additionally, a destination fee of \$20 (\$22.89 with tax) will apply to each night of your stay (Courtesy Card Holders & Globalists Excluded). The fee includes: complimentary bottled water (2), \$10 food credit for lunch and dinner periods, complimentary cup of Boston Clam chowder in Avenue One, Premium Wi-Fi upgrade, keepsake Boston magnet and more. To make your reservation, please call the hotel directly at 617-912-1234 and request the rate for the SCCE Boston Regional Conference.

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 888.580.8373.

TERMS AND CONDITIONS

REGISTRATION PAYMENT TERMS: Checks are payable to SCCE. Credit cards accepted: American Express, MasterCard, Visa, 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: 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@corporatecompliance.org, prior to the start date of the event. Please note that if you are sending a substitute, an additional fee may apply.

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.

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.

USE OF INFORMATION: 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.

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 this 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 this SCCE event, 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.

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

COMPLIANCE CERTIFICATION BOARD (CCB): CCB has awarded a maximum of 7.2 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 1.0 clock hour of CLE credit will be available to attendees of this conference licensed in these states, along with Alabama, Illinois, Ohio, and Rhode Island. SCCE's practice is to apply for CLE credits to the state in which the event is being held, if that state has a CLE approval process for sponsors. Upon request, if there is sufficient time and if we are able to meet their CLE requirements, SCCE may submit this course to additional states for consideration. Only requests from registered attendees will be considered. All CLE credits will be assessed based on actual attendance and in accordance with each state's requirements.

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