

RICHMOND

Regional Compliance & Ethics Conference May 10, 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



Karl Schneider

Manager, Retail & Wholesale Service Center
Altria Group Distribution Company

8:30 – 9:30 AM

Unconscious Bias, Cognitive Errors, and the Compliance Professional



Michael Johnson, JD

CEO
Clear Law Institute, LLC

- Unconscious bias towards social groups, including how to assess bias using the Implicit Association Test
- Cognitive errors, including affinity bias, confirmation bias, expectancy effects, investigator bias, lie bias, priming, trustworthiness bias, and Dangerous Decisions Theory
- Strategies for compliance professionals to avoid and reduce the impact of unconscious bias and cognitive errors in their work

9:30 – 9:45 AM

Networking Break

9:45 – 10:45 AM

Building a Compliance Champion Network



Karl Schneider

Manager, Retail & Wholesale Service Center, Altria Group Distribution Co



Gaye Montgomery

Founder
Montgomery Compliance Law PLLC

- This session will discuss the value of a compliance champion network for building a culture of responsibility
- A compliance champion network can be key in helping to drive tone at the middle
- We will review the history of a highly successful compliance champion network that has been in existence for 11 years

10:45 – 11:00 AM

Networking Break

11:00 AM – 12:00 PM

#MeToo in the Workplace: Creation, Compliance, Countermeasures



Betsy Davis

Attorney
LeClairRyan



Debbie Allan

Human Resources Director
Virginia529

- Creation – Learn the history of the movement
- Compliance – Understand an employer's obligation to prevent illegal harassment
- Countermeasure – Develop strategies for effective investigations

12:00 – 1:00 PM

Lunch

1:00 – 2:00 PM

Cybersecurity for the Board



Michael Watson

Chief Information Security Officer
Virginia Information Technologies Agency

- Ransomware, data breaches, denial of service, zero days the cyber threats go on and on! How is a board of directors and other organization leaders supposed to know if they are prepared for these threats?
- Turning cyber security attacks and threat data into useful risk based data that board members can understand is a critical part of information security
- This session will discuss the types of information the board needs to know about, will probably ask about, and how to use that information for decision making

2:00 – 2:15 PM

Networking Break

2:15 – 3:15 PM

Discovering Risk Hiding Spots



Neha Gupta

Chief Executive Officer
True Office Learning

- Uncovering risks can often feel like staring at a page from a *Where's Waldo?* book...a sea of potential candidates, but the actual character can be hard to spot (often by design)...but it doesn't have to be like this.
- We will work through how you can create a Risk Scorecard that will give you the tools necessary to move from "Hindsight Compliance" to "Predictive Compliance".
- The session will be a journey in analyzing data commonly available to you within your organization to identify where your risks are hiding, where those risks are heading, and how to monitor and remediate them on an ongoing basis.

3:15 – 3:30 PM

Networking Break

3:30 – 4:30 PM

Expanding the Aperture of Insider Threat



Brian Kolo, PhD, JD

Digital Expert
McKinsey & Company



Beth Miller

Chief Risk Coach
Mattuc

- Reactive methods identify issues but don't address the root cause of insider risk
- Successful insider risk programs use a wide range of teams and talent across the enterprise
- Respecting employee privacy is a key driver

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 Kosher Vegetarian Vegan Other _____

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. (LCVA19)

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:

Hilton Richmond Downtown

501 East Broad Street, Richmond, VA 23219

SCCE has reserved a small block of rooms for the evening of May 9th at a rate of \$159 plus applicable state and local taxes (currently 13.3%). The cut-off date for reserving rooms is Friday, April 19, 2019. After this date, prevailing hotel rates will apply. To make a reservation, please call 1-800-HILTONS and identify yourself as an attendee of SCCE. You can also make your reservation using the following link: <http://bit.ly/richmondva19>

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. To see the most up-to-date CEU information go to SCCE's website, corporatecompliance.org/all-conferences. Select your conference, and then select the "Continuing Education" option on the left hand menu.

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 Alabama State Bar, the State Bar of California, the Pennsylvania Bar Association, the Rhode Island MCLE Commission, and the State Bar of Texas. An approximate maximum of 5.0 clock hours of CLE credit will be available to attendees of this conference licensed in these states, along with Florida and Ohio. 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.

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: 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 7.0 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. For more information regarding administrative policies such as complaints or refunds, call 888.277.4977 or +1 952.933.4977.