

Scottsdale

Regional Compliance & Ethics Conference

April 12, 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 and Continental Breakfast

8:25 AM

Opening Remarks



Frank Ruelas
Facility Compliance Professional
St. Joseph's Hospital and Medical Center - Dignity Health

8:30 – 9:30 AM

How a World's Most Ethical Company Mitigates Brand and Reputational Risks



Kris Pugsley, CCEP, CCEP-I
Global Communications and Change Management, ON Semiconductor

- Recent case studies
- Overview of an effective brand and reputational risk program where compliance and communications partner together
- Leveraging compliance and communications teams to build best-in-class compliance communication programs focused on risk assessment
- Utilization of data and metrics to drive effective compliance communication through the appropriate channels

9:30 – 9:45 AM

Networking Break

9:45 – 10:45 AM

Metrics that Matter: Gathering the Right Information to Improve Your Compliance Program



Diana Trevley
Chief of Global Services
Spark Compliance Consulting

- Learn how to identify and gather simple and next-level metrics that will take your compliance program to the next level
- Receive specific examples of next-level metrics – including how to gather them and how to leverage them over time
- Discuss the challenges compliance officers face when gathering and analyzing metrics and how to overcome them

10:45 – 11:00 AM

Networking Break

11:00 AM – 12:00 PM

It's all about the Culture: Lessons Learned from the Case Files of an Independent Monitor



Eric Feldman
Sr. Vice President
Affiliated Monitors

- Explore the importance of corporate ethical culture to employee behavior and the overall effectiveness of your Compliance and Ethics Program
- Identify the warning signs of a weak ethical culture and ways to strengthen it
- Learn the most effective ways of measuring corporate culture through case studies of companies monitored under government settlement agreements.

12:00 – 1:00 PM

Lunch

1:00 – 2:00 PM

An FBI Perspective on the Current Cyber Landscape, Threats, and Trends

Martin Hellmer
Supervisory Special Agent
FBI

- Description of the federal government's roles and capabilities to combat cyber threats
- In-depth discussion of the cybercriminals and common vulnerabilities they exploit
- A look at prevalent cyber trends and ways in which people can protect themselves

2:00 – 2:15 PM

Networking Break

2:15 – 3:15 PM

Balancing Data Disclosure Requirements and Transparency with the Protection of Confidential Information

Christina Bigelow
Senior Attorney
Pinnacle West Capital Corporation

- Managing data disclosure expectations and obligations
- Identifying when disclosure requirements implicate data protection and confidentiality
- Balancing the need for confidentiality and data protection with transparency

3:15 – 3:30 PM

Networking Break

3:30 – 4:30 PM

Less Than Zero: A Pragmatic Approach to Enforcing Sexual Harassment Policies in the Wake of the #MeToo Movement

Caroline Larsen
Shareholder/Attorney, Ogletree, Deakins, Nash, Smoak & Stewart, P.C.

- Discussion of how the #MeToo movement is influencing EEOC enforcement and state and federal laws
- Practical advice about how companies can try to curb harassment and retaliation without creating an impractical environment of "zero tolerance"
- Guidance for conducting effective sexual harassment investigations, and issues to consider when resolving harassment claims

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. (LCAZ19)

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:

The Westin Kierland Resort & Spa

6902 E. Greenway Parkway, Scottsdale, AZ 85254
 800.354.5892 | 480.624.1000

A block of rooms has not been reserved for this program. Please call the hotel directly to check rates and availability. Daytime Self-Parking is \$8 per vehicle, inclusive of tax and valet parking is \$10 per vehicle. Wireless internet will be provided in the meeting space.

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 help@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 help@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 5.0 clock hours of CLE credit will be available to attendees of this conference licensed in these states, along with 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.

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.

