

**SEPTEMBER 15-18, 2019**

Gaylord National • National Harbor, MD

SCCE's 18th Annual

# Compliance & Ethics Institute

## Insights, tools, and solutions for compliance professionals across all industries



**100+**  
SESSIONS

**150+**  
SPEAKERS

**1600+**  
ATTENDEES

**10** LEARNING  
TRACKS

[corporatecompliance.org/2019CEI](http://corporatecompliance.org/2019CEI)



**SCCE**<sup>™</sup>  
Society of Corporate  
Compliance and Ethics

# About the Compliance & Ethics Institute

SCCE's annual Compliance & Ethics Institute (CEI) is the primary educational and networking event for compliance professionals across all industries around the world. Each year we host more than 1,800 attendees from 40 countries. Leading industry experts cover real-world compliance issues, emerging trends, and practical applications.

Attendees can enjoy an array of conference features, including:

- 100+ sessions organized into 10 learning tracks, choose one topic area or sample from several
- Exhibit Hall with 75+ solution providers
- Professional headshots offered in the Exhibit Hall
- Professional development activities, including Braindates, a more meaningful way to network, and a LinkedIn booth, with experts to help boost your profile and online presence
- Other activities, including the Volunteer Project, First-timer networking breakfast, networking receptions, and the Fitness Challenge

## Become certified

Interested in getting certified? Apply to take the optional Certified Compliance & Ethics Professional (CCEP)<sup>®</sup> or Certified Compliance & Ethics Professional – International (CCEP-I)<sup>®</sup> exams on the last day of the conference.

A separate application and fee submitted directly to the Compliance Certification Board (CCB)<sup>®</sup> is required.

## Conference benefits

- Learn about current hot topics such as global antitrust compliance, Office of Foreign Assets Control (OFAC) sanctions, artificial intelligence, and preventing harassment and discrimination.
- Understand new and emerging risks and develop strategies for addressing them.
- Collaborate and share ideas and solutions with compliance professionals at all levels and from around the world.
- Gain insights, skills, and tactics to help develop and maintain a more effective compliance program at your organization.

## Who should attend

CEI is ideal for any professional who deals with compliance and ethics issues as part of their job duties, including:

- Compliance and ethics professionals
- In-house and outside counsel
- Audit managers/officers
- Consultants
- Corporate executives and leaders
- Human resource managers
- Information officers
- Privacy officers
- Regulators and other government personnel
- Researchers and policy makers
- Risk managers
- Staff educators and trainers

## Get to know SCCE

Since 2004, SCCE has been championing ethical practices and compliance standards to promote lasting success and integrity of organizations worldwide and across all industries. Headquartered in Minneapolis, MN, SCCE serves 7,600+ members in 95+ countries around the globe.

## Membership benefits

- **Professional growth** – Receive a discount for 40+ conferences per year, including national conferences, Academies, Regionals, and web conferences. You also can earn continuing education units (CEUs) and have the opportunity to speak or write for us.
- **Knowledge and resources** – Receive compliance news and updates through our CEP monthly member magazine, Corporate Compliance Weekly News e-newsletter, and our blog and podcasts. You also can use your membership discount when you purchase our books.
- **Networking** – Join a growing organization with 7,600+ members, with networking opportunities in-person at our conferences and online at *SCCEnet*, our thriving online community.
- **Certification** – Members are eligible for a discounted rate on the following Compliance Certification Board (CCB)<sup>®</sup> certifications: Certified Compliance & Ethics Professional (CCEP)<sup>®</sup> and Certified Compliance & Ethics Professional–International (CCEP-I)<sup>®</sup>. Learn more at [compliancecertification.org](http://compliancecertification.org).

Learn more about us and become a member at [corporatecompliance.org/membership](http://corporatecompliance.org/membership)

# Follow a Learning Track

To make your selection easier, educational sessions are arranged by area of interest into learning tracks. You can follow one track all the way through or switch between several depending on your needs and interests.

## RISK

### Effectively managing risk across your organization

These engaging and insightful sessions are focused on best practices and the effective management of risk across all major ethics and compliance focus areas facing global organizations today. Led by leading experts and practitioners in the field, participants will gain valuable perspective on program strategies, practical solutions, and cutting edge methods that can be used to most effectively manage and mitigate their organizational risks.

## ETHICS

### Immerse yourself in ethics

There are few things more challenging or rewarding to manage than ethics issues. Ethics track sessions will cover the ethical considerations that compliance and ethics professionals need to understand and manage their programs effectively.

## CASE STUDIES

### Just the facts: Case studies in ethics

It's one thing to discuss the issues compliance and ethics professionals face. It's another to see what companies have actually done to successfully manage these challenges. Get an inside look at how companies handle specific issues.

## MULTI-NATIONAL/ INTERNATIONAL

### Global compliance and ethics programmes face added complexities

Dive deeper into the needs of the global programme and the topics that create the biggest challenges for global companies today.

## COMPLIANCE LAW

### For in-house and outside counsel

Learn about hot compliance topics for in-house and outside legal counsel. You'll find insights of value to your practice and clients.

## PRIVACY & DATA SECURITY

### The intersection of information technology and compliance and ethics

Compliance and ethics professionals have to keep up with the ever-accelerating range of products, services, and expectations around privacy, security, data protection, cyber security, and even the growing number of tasks that are now performed by machines. Learn how to help your organization responsibility and effectively address the intersection of information technology and compliance and ethics.

## PROFESSIONAL SKILLS

### Improve your professional skills

Just understanding the law isn't enough. Compliance requires you to persuade others, build relationships, negotiate, and be a good listener. Focus on the soft skills that are essential to getting solid results for your compliance program.

## ADVANCED COMPLIANCE

### Have you been in the compliance profession for more than 10 years?

Dive deeper into the topics you struggle with most: advanced compliance program design, effective program management and so much more.

## DISCUSSION GROUPS

### Share your industry knowledge

Meet others that have faced program challenges and participate in ideation for program improvement. There are no formal presentations in this track, just discussion facilitated by industry experts. Groups are limited to 50 attendees, each session is designed to involve everyone in the room.

## GENERAL COMPLIANCE/ HOT TOPICS

### From compliance 101 to hot topics like detecting identity theft and privacy breaches

Stay up-to-date on everything that's currently happening in the compliance and ethics environment and get back to the basics to keep you grounded. Learn what you need to know from compliance and ethics professionals, regulators, outside counsel, in-house counsel, auditors, providers and industry experts.

**10** LEARNING  
TRACKS

**100+**  
SESSIONS

# Join us for SCCE's 13th Annual **Volunteer Project**

Saturday, September 14  
8:30 AM–12:00 PM



Join fellow conference attendees, speakers, and SCCE board members for this opportunity to help a local charity at the Compliance & Ethics Institute.

Volunteers will assist the Volunteers of America Chesapeake chapter with organizing and sorting donations, sorting and packaging hygiene kits, and other tasks at the Residential Program Center.

Registration is free but sign up is required. SCCE will provide a volunteer t-shirt, breakfast, and transportation to and from the project location.

To participate, select the volunteer project option on your CEI registration form.

## **About Residential Program Center**

The Residential Program Center provides three crucial services – non-medical detoxification, substance abuse recovery and housing services for single adults experiencing homelessness – all under one roof. Within this unique program, a 12-bed detoxification unit provides social model detoxification services for up to 14 days; a 10-bed Early Recovery Unit provides intensive post-detoxification treatment services for up to three months; and a 44-bed homeless shelter provides housing-focused case management, education training, job training, referral services, behavioral health treatment services, and 12-step based meetings on-site.

For more information about volunteering, contact Skyler at  
[Skyler.Sanderson@corporatecompliance.org](mailto:Skyler.Sanderson@corporatecompliance.org)



# Program at a Glance

## Saturday, September 14

8:30 AM – 12:00 PM	<b>Volunteer Project</b>
1:00 – 6:30 PM	<b>Registration Open</b>

## Sunday, September 15

7:00 AM – 6:00 PM	<b>Registration Open</b>
7:30 – 8:15 AM	<b>First Time Attendee Networking Breakfast</b> <i>(By invitation only)</i>
8:45 – 10:15 AM BREAKOUT SESSIONS	<b>P1 Effective E&amp;C Risk Management - Part 1: Framework, Program Essentials, and Core Practice Considerations</b> – Greg Triguba, Principal, Compliance Integrity Solutions; James M. Urso, Sr. Mgr, Treasury Compliance, Federal Reserve IT
	<b>P2 Ethical Leadership Doesn't Happen Overnight, or Does it? I Was an Employee Yesterday...Leader Today, but Am I an Ethical Leader?</b> – Lisa A. Gross, Ethics Analysis Senior Manager, Lockheed Martin; Darren Hill, Director Ethics Business Conduct, Lockheed Martin Aeronautics
	<b>P3 When Ethical People Make Unethical Decisions: Lessons, Reflections, and Takeaways from the Public Sector</b> – Jabu M. Sengova, Ethics Officer, City of Atlanta Ethics Office; Carlos R. Santiago, Associate Ethics Officer, City of Atlanta Ethics Office; Jenna Wiese, Deputy Inspector General, Office of the State of Georgia Inspector General
	<b>P4 The Practical Who, What, When, Why and How's of Third Party Due Diligence &amp; Monitoring</b> – James M. Lord, Shareholder, Glade Voogt Lord Smith; Andy Hinton, VP, Global Ethics & Compliance, Google; Xavier Oustaliniol, Partner, StoneTurn
	<b>P5 Advanced Conflict of Interest Risk &amp; Disclosure Process</b> – Monica Reinmiller, Corporate Counsel, Legal Affairs & Compliance, T-Mobile; Michael I. Volkov, CEO, Volkov Law Group LLC; Sonia Zeledon, Regional Counsel – Americas, ECI, Nokia
	<b>P6 Cyber Security Due Diligence: Will You Be the One to Save Your Company &amp; CEO From Disaster?</b> – Charles Shugg, Partner, Chief Operating Officer, Sylint Group, Inc.
	<b>P7 100+ Years of Business Ethics: Learn About the Future from Masters of the Profession</b> – Steven Priest, President, Integrity Insight International; Carrie Penman, Chief Compliance Officer and Senior Vice President, Advisory Services, NAVEX Global; Jeffrey M. Kaplan, Partner, Kaplan & Walker LLP; Edward Petry, Ph.D., Senior Advisor, NAVEX Global
	<b>P8 Investigations Workshop</b> <b>Part I (8:45-9:30 AM): Beginning the Investigation and Interviewing the Reporter</b> – Albert G. Gagne, Former Director Ethics & Compliance, Retired; Latour (LT) Lafferty, Partner, Holland & Knight LLP <b>Part II (9:30-10:15 AM): Planning the Investigation</b> – Meric Bloch, Vice President, Global Investigations, Booking Holdings, Inc.
10:15 – 10:30 AM	<b>Break</b>
10:30 AM – 12:00 PM BREAKOUT SESSIONS	<b>P9 Effective E&amp;C Risk Management - Part 2: Operationalizing Risk Management and Taking Your Practice to the Next Level</b> – James M. Urso, Sr. Mgr, Treasury Compliance, Federal Reserve IT; Greg Triguba, Principal, Compliance Integrity Solutions
	<b>P10 Every Choice Has a Consequence</b> – Chuck Gallagher, President, Virtual Training Associates
	<b>P11 Operationalizing Compliance</b> – Grace C. Wu de Plaza, Director Compliance & Corporate Integrity, Farmer Mac; Hillah Culman, Program Manager - Dept. of Enterprise Operations, Farmer Mac
	<b>P12 How to Dribble Corruption Risks in Latin America: Learn How to Avoid Faults, Penalty Kicks, and Score Compliance Goals</b> – Patricia Colombo, Director of Legal and Compliance, FUJIFILM do Brasil; Emanuel Batista, Director, Compliance Risk and Diligence, Kroll, a Division of Duff and Phelps; Isabel Simmerman, Ethics & Compliance Counsel, The AES Corporation
	<b>P13 The Happy Marriage between Legal and Compliance</b> – Donna C. Boehme, Principal, Compliance Strategists LLC; Patrick J. Gnazzo, Principal, Better Business Practices; Judith L. Nocito, Senior Advisor, Compliance Strategists
	<b>P14 GDPR Compliance Post-Mortems: Lessons Learned from Facebook, Uber, and Others</b> – Scott M. Giordano, VP, Data Protection, Spirion
12:00 – 1:30 PM	<b>P15 Lessons from <i>The Accidental Compliance Professional</i></b> – Roy Snell, Former CEO, SCCE/HCCA; Jenny O'Brien, Chief Compliance Officer, UnitedHealthcare
	<b>P16 Investigations Workshop</b> <i>(continued from P8)</i> <b>Part III (10:30-12:00 AM): Revealing and Evaluating Documents</b> – Latour (LT) Lafferty, Partner, Holland & Knight LLP
12:00 – 1:30 PM	<b>Lunch</b> <i>(On your own)</i>

RISK	ETHICS	CASE STUDIES	MULTI-NATIONAL/ INTERNATIONAL	COMPLIANCE LAW	PRIVACY & DATA SECURITY	GENERAL COMPLIANCE/ HOT TOPICS	INVESTIGATIONS WORKSHOP	ADVANCED COMPLIANCE	PROFESSIONAL SKILLS	DISCUSSION GROUPS
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Agenda subject to change

# Program at a Glance

Sunday, September 15

1:30 – 3:00 PM BREAKOUT SESSIONS		<b>P17 Is There a Doctor in the House? Diagnosing and Treating Your Program Ills with Data Analytics</b> – Krista Muszak, Compliance and Ethics Professional, Training and Communications Manager, Tech Data Corp; Louis J. Perold, Global Compliance Manager, Jabil
		<b>P18 Ethics &amp; Leadership: More than Slogans &amp; Sayings</b> – Don Mullinax, President & CEO, Mullinax Group, LLC
		<b>P19 Ethics and Compliance as a Start Up – 20 Steps to Up and Running</b> – Charlotte D. Young, Chief Compliance and Risk Officer, Winrock International; Grace C. Wu de Plaza, Director Compliance; Corporate Integrity, Farmer Mac
		<b>P20 Managing an Investigations Docket in Asia: Key Regional Regulatory Issues and Top Tips for Conducting Cross-Border Investigations</b> – Jimmy Chatsuthiphan, Director, Global Compliance Investigations, Panasonic Avionics; Jason Chang, Of Counsel, DLA Piper LLP (US)
		<b>P21 Top 5 Compliance Risks when Contracting with the Federal Government</b> – Erica Geibel, Counsel, Smith Pachter McWhorter; Stephen Knight, Partner, Smith Pachter McWhorter, PLC
		<b>P22 Move the Needle – Active Agent Approach to Cyber Security and Data Protection Compliance</b> – Brian Novack, Lead Compliance Analyst, AT&T; Oleg Vasilyev, Director Compliance, AT&T
		<b>P23 Grant Fraud: \$700+ Billion in Potential Risks</b> – Kenneth Dieffenbach, Assistant Special Agent in Charge, U.S. Department of Justice OIG
		<b>P24 Investigations Workshop</b> (continued from P16) <b>Part IV (1:30-2:30 PM): Taking Effective Interviews</b> – Meric Bloch, Vice President, Global Investigations, Booking Holdings, Inc. <b>Part V (2:30-3:00 PM): Preparing the Investigation Report</b> – Albert G. Gagne, Former Director Ethics & Compliance, Retired
3:00 – 3:15 PM		<b>Break</b>
3:15 – 4:45 PM BREAKOUT SESSIONS		<b>P25 Navigating the Murky (and Sometimes Treacherous) Waters of Conflicts of Interest</b> – Rebecca Walker, Partner, Kaplan & Walker LLP; Christopher Miller, Regional Compliance Officer, General Motors
		<b>P26 5 Steps to Ethical Problem Solving</b> – Marcy J. Maslov, Chief Integrity Builder, e-Factor!®- the educational board game for business ethics
		<b>P27 The First, Best Chance: Post-Merger Ethical Culture Building Challenges, Opportunities, and Lessons</b> – Robert L. Locraft, Senior Manager, Ethics and Compliance Officer, Perspecta Inc.; Jason L. Lunday, VP, Product Development & Advisory Services, Syntrio, Inc.
		<b>P28 Leveraging Political Risk Analysis to Help Reveal Local Compliance Risks and Right Size Program Design</b> – Oliver Wack, Partner, Global Risk Analysis, Control Risks; Paul Dudzinski, Director, Control Risks
		<b>P29 Navigating the Minefield: Complying with a Patchwork of Lobbying and Ethics Laws</b> – Mitchell Pawluk, Partner, Harris Beach PLLC; Joan Sullivan, Partner, Harris Beach
		<b>P30 Software License Compliance &amp; Vendor Management: Why It's Mission-Critical To Reputation &amp; Cybersecurity, 10 Reasons It's Hard (&amp; Getting Harder), &amp; 10 Action Tips For You &amp; Your Team</b> – Henry W. (Hank) Jones, Owner, Law Office of Henry W Jones III & Intersect Tech.
		<b>P31 New Beginnings: Starting your Compliance Program and What Needs to be Included</b> – Sheryl Vacca, SVP/Chief Risk Officer, Providence St Joseph Health; Debbie Troklus, Sr. Managing Director, Ankura Consulting Group
		<b>P32 Investigations Workshop</b> (continued from P24) <b>Part V (3:45-3:45 PM): Preparing the Investigation Report (continued)</b> – Albert G. Gagne, Former Director Ethics & Compliance, Retired <b>Part VI (3:45-4:45 PM): Q&amp;A Panel</b> – Albert G. Gagne, Former Director Ethics & Compliance, Retired; Latour (LT) Lafferty, Partner, Holland & Knight LLP; Meric Bloch, Vice President, Global Investigations, Booking Holdings, Inc.
4:45 – 6:30 PM		<b>Opening Reception in Exhibit Hall</b>

Monday, September 16

7:00 AM – 6:00 PM	<b>Registration Open</b>
7:00 – 8:00 AM	<b>Continental Breakfast and Exhibitor Networking in Exhibit Hall</b>
8:00 – 8:15 AM	<b>Opening Remarks and Awards Presentation</b>
8:15 – 9:15 AM	<b>General Session: From Crisis to an Electric Future – Inside the Cultural Transformation of One of the Largest Companies in the World. A discussion.</b> – Dr. Kurt Michels, Chief Compliance Officer, Volkswagen Group; Matt Kelly, Editor & CEO, Radical Compliance
9:15 – 10:00 AM	<b>Networking Break with Exhibitors</b>

RISK	ETHICS	CASE STUDIES	MULTI-NATIONAL/ INTERNATIONAL	COMPLIANCE LAW	PRIVACY & DATA SECURITY	GENERAL COMPLIANCE/ HOT TOPICS	INVESTIGATIONS WORKSHOP	ADVANCED COMPLIANCE	PROFESSIONAL SKILLS	DISCUSSION GROUPS
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Agenda subject to change

\*Discussion Groups will be filled on a first-come, first-served basis. Attendance is limited to the first 50 attendees. Pre-registration is not available for these sessions.

# Program at a Glance

Monday, September 16

10:00 – 11:00 AM BREAKOUT SESSIONS	<b>101 Mitigating Trade Compliance Risk – How to Build a Plane While Also Flying It!</b> – Gwendolyn Lee Hassan, Managing Counsel, Global Compliance & Ethics, CNH Industrial
	<b>102 Compliance Officer Ethics - 2019 Update</b> – Theodore L. Banks, Partner-President, Scharf Banks Marmor LLC - Compliance & Competition
	<b>103 How to Reinvent a Global Compliance Training Programme</b> – Joe Moxom, New Business Sales Executive, DeltaNet International; Catherine Colvin, Chief Compliance Officer - Americas, Autoliv
	<b>104 How to Conduct Internal Investigations of Compliance Violations Involving Your Foreign Operation/Business?</b> – Renata Muzzi, Partner, TozziniFreire Advogados; Shin Jae Kim, Partner, TozziniFreire Advogados; Felipe Maldonado Garcia, Ethics and Compliance Director, Americas, Stericycle, Inc.
	<b>105 Organizational Sentencing Guidelines Confidential: Does Chapter Eight Still Matter to Compliance and Ethics? And if So, Why?</b> – Eric O. Morehead, Principal Consultant, Morehead Compliance Consulting; Kathleen Grilli, General Counsel, US Sentencing Commission
	<b>106 Privacy Trends in the US and Implications for US and Global Organizations</b> – Teresa Troester-Falk, Nymity
	<b>107 Embracing Digital Transformation in Ethics &amp; Compliance</b> – Kristi Kevern, Senior Managing Director, Ethics & Compliance, Dell Technologies
	<b>108 Launching Ladies into Senior Leadership</b> – Kristy Grant-Hart, Owner, Spark Compliance Consulting; Jenny O'Brien, Chief Compliance Officer, UnitedHealthcare; Kirsten Liston, Principal, Rethink Compliance
	<b>109 Best Friends Forever: Nurturing the Compliance-Board Relationship</b> – Ellen M. Hunt, SVP, Audit, Ethics & Compliance Officer, AARP; Joan Ruff, Chair of Board of Directors, AARP; Ben DiPietro, Editor of the E&C Pulse Newsletter, LRN Corp.
	<b>DG1* Secrets from In-House Ethics &amp; Compliance Buyers: How to Keep the Gate and Your Sanity</b> – Jay Rosen, VP, Business Development and Monitoring Specialist, Affiliated Monitors, Inc.
	<b>DG2* Being Comfortable with Discomfort</b> – Meric Bloch, Vice President, Global Investigations, Booking Holdings, Inc.
11:00 – 11:30 AM	<b>Networking Break with Exhibitors</b> – Sponsored by TDI Compliance
11:30 AM – 12:30 PM BREAKOUT SESSIONS	<b>201 Social Media &amp; Compliance: A Match Made in Heaven or...?</b> – Kortney Q. Nordrum, Regulatory Counsel & Chief Compliance Officer, Deluxe Corporation
	<b>202 Becoming an Ethics Expert: Exploring How to Handle the Most Common Ethical Dilemmas in Business</b> – Brad Agle, Professor, Brigham Young University
	<b>203 How can the compliance officer be intelligent about AI?</b> – Deborah Lynne Adleman, Director, Ernst & Young LLP (EY), United States and Americas Data Protection Leader, Risk Management, Ethics & Compliance
	<b>204 From FCPA Prosecutor to Company Protector: Lessons Learned on the Anti-Corruption Front Lines of an Increasingly Multi-Jurisdictional World</b> – Maria Gonzalez Calvet, Partner, Ropes & Gray LLP; Rebecca Rohr, Vice President, Hewlett Packard Enterprise; Jonathan Rusch, Principal, DTG Risk & Compliance LLC
	<b>205 Responding to Data Subject Requests</b> – Robert J. Bond, Partner & Notary Public, Bristows LLP
	<b>206 Password Techniques and Strategies to Promote a Higher Level of IT Security</b> – Frank Ruelas, Facility Compliance Professional, St. Joseph's Hospital and Medical Center - Dignity Health
	<b>207 Strength in Numbers: Hotline is the C-Suite and Board's Strongest Tool</b> – Bob Conlin, Chief Executive Officer, NAVEX Global; William W. Cameron, Assistant General Counsel; Manager, Ethics, Exelon; Kyle Welch, Professor, George Washington University School of Business; Kristen Olson, Director, United Health
	<b>208 The 7 Habits of an Effective Compliance &amp; Ethics Professional</b> – Dan Roach, Chief Compliance Officer, Optum360
	<b>209 Taking a Dynamic Approach to Compliance Risk Assessments for U.S. Government Contractors</b> – Nick Sanders, Principal Consulting, Apogee Consulting, Inc.
	<b>DG3* Engaging your Board- The Importance of Relevance</b> – Paige Shannon, Compliance Officer and Corporate Counsel, ATI; Adelle Elia, Chief Integrity Officer, Louis Berger
	<b>DG4* Retaliation: Real or Imagined in the Age of Speak-Up Cultures</b> – Albert G. Gagne, Former Director Ethics & Compliance, Retired
12:30 – 1:15 PM	<b>Networking Lunch</b>
1:15 – 2:00 PM	<b>Dessert and Networking Break with Exhibitors</b>

RISK	ETHICS	CASE STUDIES	MULTI-NATIONAL/ INTERNATIONAL	COMPLIANCE LAW	PRIVACY & DATA SECURITY	GENERAL COMPLIANCE/ HOT TOPICS	INVESTIGATIONS WORKSHOP	ADVANCED COMPLIANCE	PROFESSIONAL SKILLS	DISCUSSION GROUPS
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# Program at a Glance

## Monday, September 16

2:00 – 3:00 PM BREAKOUT SESSIONS	<b>301 It's a Risk-Based Dinner Gathering - Compliance, ERM, and Audit</b> – <i>Stephanie Kandel, Director, Compliance &amp; Risk Management, AARP Services Inc.; Joseph M. Pugh, Enterprise Risk Mgmt &amp; Compliance Director, AARP; Ryan Abdel-Megeid, Director, Internal Audit, AARP</i>
	<b>302 Lessons in Ethical Leadership from Recent Events</b> – <i>LT Lafferty, Partner, Holland &amp; Knight</i>
	<b>303 Starting the "Great Women in Compliance:" Podcast: How an Idea from the 2018 SCCE CEI Evolved into a Podcast and What We Learned</b> – <i>Lisa Fine, Director, Compliance for the Americas, Pearson Education; Mary Shirley, Senior Director, Ethics and Compliance, Fresenius Medical Care North America</i>
	<b>304 The Increasing Importance of CCOs with International Expertise to Boards of Directors of Multinational/International Companies</b> – <i>Stephanie J. Kravetz, Former Chief Legal Officer and Corporate Secretary, LifeWatch AG (now LifeWatch GmbH)</i>
	<b>305 Avoid a Compliance Hangover: Maintain Momentum in Your Compliance Program After the Regulators Have Left</b> – <i>Gregory Bates, Counsel, Miller &amp; Chevalier; Richard Davies, Global Chief Compliance Officer, Avon</i>
	<b>306 Demystifying Government Cyber Security Compliance</b> – <i>David Kessler, Public Sector Product Compliance Counsel, Verizon</i>
	<b>307 A View from the Board: What Board Members Want and Need from Compliance and Ethics</b> – <i>Michael R. Levin, Vice President, Compliance and Ethics, Freddie Mac; Aleem Gillani, Board Member, Chair of Audit Committee, Freddie Mac; Joan Ruff, Chair of the Board of Directors, AARP</i>
	<b>308 Professional Skepticism</b> – <i>Debra Sabatini Hennelly, Founder &amp; President, Resiliti; Suri Surinder, Senior Director, Resiliti</i>
	<b>309 Advanced Investigations in Multinational Companies</b> – <i>Jannica Houben, Director, Ethics &amp; Compliance, Tech Data Europe; Katarzyna Golonka, Regional Compliance Manager Eastern Europe, Tech Data Europe</i>
	<b>DG5* What Keeps You Up at Night? How to Control Potential Travel and Expense Fraud</b> – <i>Connie Hoen, Director - Global Audit Services, SAP Concur; Caroline Butterfield, Senior Program Manager, SAP Concur</i>
	<b>DG6* AMP IT UP: Move Your Compliance Program from Good to Great</b> – <i>Jacki Cheslow, Director, Business Ethics &amp; Comp, Avis Budget Group</i>
3:00 – 3:15 PM	<b>Networking Break</b>
3:15 – 3:30 PM	<b>General Session: DOJ Evaluation of Corporate Compliance Programs Guidance Document</b> – <i>Matt Miner, Deputy Assistant Attorney General, Criminal Division, United States Department of Justice</i>
3:30 – 4:15 PM	<b>General Session: Investigations and Integrity in the Spotlight</b> – <i>Michael Horowitz, Inspector General, United States Department of Justice; Adam Turteltaub, VP of Strategic Initiatives, SCCE/HCCA</i>
4:15 – 6:00 PM	<b>Networking Reception with Exhibitors</b>

## Tuesday, September 17

7:00 AM – 5:00 PM	<b>Registration Open</b>
7:00 – 8:00 AM	<b>Continental Breakfast and Exhibitor Networking</b>
8:00 – 8:15 AM	<b>Opening Remarks and Awards Presentation</b>
8:15 – 9:15 AM	<b>General Session: The Odebrecht Transformation – A Recovery from Compliance Scandal</b> – <i>An Interview by Gerry Zack, CEO, SCCE/HCCA with Olga Pontes, Chief Compliance Officer, Odebrecht S.A.</i>
9:15 – 9:45 AM	<b>Networking Break with Exhibitors</b>
9:45 – 10:45 AM BREAKOUT SESSIONS	<b>401 Antitrust: How to Navigate a Perilous But Underappreciated Risk Area</b> – <i>Douglas M. Tween, Partner, Linklaters LLP; Pedro de la Torre, Global Compliance Officer &amp; Corporate Counsel, The Chemours Company; Marvin N. Price, Jr., Director of Criminal Enforcement, U.S. Department of Justice, Antitrust Division</i>
	<b>402 Creating a Culture of Compliance</b> – <i>Andrew G. Bucknam, Chief Compliance Officer, Knights of Columbus</i>
	<b>403 Sexual Misconduct in Olympic Sports: Compliance in the Post-Nassar Environment</b> – <i>Regis Becker, Interim CEO, US Center for SafeSport</i>
	<b>404 Global Compliance on Limited Resources</b> – <i>Domenick DiCicco, Global General Counsel &amp; Chief Compliance Officer, Cunningham Lindsey; Thomas A. Doyle, Partner, Baker &amp; McKenzie LLP; Robert Kent Jr., Partner, Baker &amp; McKenzie LLP</i>
	<b>405 Compliance by Contract - Drafting and Negotiating Terms for Peer-to-Peer Compliance</b> – <i>Jason B. Meyer, President, LeadGood, LLC; Amy E. McDougal, President, CLEAResources, LLC</i>
	<b>406 Using Automation for Compliance Management and Reporting That Will Bring a Smile to the Face of Any Prosecutor</b> – <i>Theodore L. Banks, Partner-President, Scharf Banks Marmor LLC - Compliance &amp; Competition; Heidi Rudolph, Managing Director, Morae Global; Gene Stavrou, Compliance Director, Ingredion</i>
	<b>407 Communicating Compliance Creatively: A Panel Discussion</b> – <i>Jay Rosen, VP, Business Development and Monitoring Specialist, Affiliated Monitors, Inc.; Marc Havener, CEO, Resonate Pictures Inc.; Ronald Feldman, President &amp; Creative Director, Learnings &amp; Entertainments; Ricardo P. Pellafone, Founder, Broadcast</i>
	<b>408 Making Connections Count: Tips to Gain Value Through Networking</b> – <i>Samantha Kelen, Chief Ethics and Compliance Officer, Cardinal Innovations Healthcare</i>
	<b>409 Board Overconfidence and Ethical Practices of Senior Management</b> – <i>Jonathan T. Marks, NACD Board Leadership Fellow, Partner, Forensic Litigation &amp; Valuation Services, Baker Tilly Virchow Krause, LLP</i>
	<b>DG7* Cultures of Integrity - We Know What They Are and What They Should Look Like, but How Do We Get There?</b> – <i>Mary Shirley, Senior Director, Ethics and Compliance, Fresenius Medical Care North America</i>
	<b>DG8* Building Ethics and Compliance Programs with Public-Sector Employees</b> – <i>Angelique P. Dorsey, Ethics Officer, Washington Suburban Sanitary Commission</i>



# Program at a Glance

Tuesday, September 17

10:45 – 11:30 AM	<b>Break with Exhibitors</b>
11:30 AM – 12:30 PM BREAKOUT SESSIONS	<b>501 Managing M&amp;A Risk: Essentials for Conducting Compliance &amp; Ethics Due Diligence</b> – Kasey T. Ingram, General Counsel & Chief Compliance Officer, ISK Americas Incorporated; Daniel R. Harper, General Counsel and Compliance Officer, GEA Farm Technologies, Inc.; Andrew Gentin, Acting Assistant Chief, Fraud Section, U.S. Department of Justice
	<b>502 The College Admissions Scandal: Lessons for Other Organizations</b> – Jonathan E. Turner - VP, Ethics & Compliance - Smith & Nephew
	<b>503 Measuring Program Effectiveness and Identifying Gaps on a Shoestring Budget</b> – Marjorie K. Maier, Compliance and Privacy Officer, HMS, Inc.
	<b>504 Next Generation Anti-Corruption Compliance Programs: Transforming a Policy-Based Program to a Controls-Based Program</b> – Parth Chanda, CEO, Lextegrity; Samantha Badlam, Counsel, Ropes & Gray LLP; Natasha Trifun, Executive Director, R&D, Global Medical, External Funding, Quality and Operations, Alexion Pharmaceuticals, Inc.
	<b>505 DOJ's Guidance on Compliance</b> – Billy Jacobson, Partner, Orrick; Steven Gyeszly, Chief Compliance Counsel, Marathon Oil; Andrew Gentin, Acting Assistant Chief, Fraud Section, U.S. Department of Justice
	<b>506 Optimize IT Compliance Processes to Meet New Data Privacy Challenges</b> – Ralph Villanueva, IT Security and Compliance Analyst, Diamond Resorts International
	<b>507 Transformation! 5 Success Strategies for Compliance Changemakers</b> – Amii L. Barnard-Bahn, Principal, Barnard-Bahn Consulting; Virginia MacSuibhne, VP Chief Compliance Officer, Roche
	<b>508 The Compliance Officer's Guide to Keeping Calm and Carrying On: Strategies and Tools for Thriving in a Stressful Profession</b> – Diana L. Trevley, Chief of Global Services, Spark Compliance Consulting; Lisa Beth B. Lentini, CEO and Founder, Lumen Worldwide Endeavors
	<b>509 It's Not Where You've Been; It's Where You Are Going: Improving Compliance and the Employee Experience by Tackling Policy Proliferation</b> – Cynthia Creech, Policy Governance & Assessment, Cisco Systems; Laura Ellis, Global Compliance Enablement, Cisco International Limited
	<b>DG9* Communication Essentials for Compliance Officers</b> – Sally Afonso, Senior Regulatory Compliance Officer, HSBC - North America
	<b>DG10* Making the Most of Your E&amp;C Network</b> – Jessica A. Tjornehoj, Manager, Global Ethics Strategy and Framework, US Bank; Eric Brotten, Director, International & US-Domestic Compliance Programs, Optum
12:30 – 1:30 PM	<b>Networking Lunch, Dessert, and Last Chance to Visit with Exhibitors</b>
1:30 – 2:30 PM BREAKOUT SESSIONS	<b>601 RIM 101: Managing Risk and Designing a Compliant Information Management Plan</b> – Jacki Cheslow, Director, Business Ethics & Comp, Avis Budget Group
	<b>602 Ethical Lapses of Executives and Other Notable Public Figures: Lessons Learned, and Lessons Never Learned</b> – Stuart L. Pardau, Professor, Cal State Northridge
	<b>603 Go Big or Go Home: How to Hold an Ethics Month Event</b> – Michelle Cantu, Ethics and Compliance Manager, Triad National Security
	<b>604 #WeToo – Is Your Organization Ready to Respond Properly to Allegations of Sexual Harassment?</b> – Cedric Bourgeois, Principal Investigator, UNESCO
	<b>605 Antitrust &amp; HR Compliance</b> – Justin Hedge, Counsel, Antitrust, Arnold & Porter
	<b>606 Compliant Technology - The Future is Now</b> – Stephen Majerowicz, Technical Director, Office of Compliance for Capabilities, National Security Agency
	<b>607 Choosing and Using KPIs and Metrics that Matter: How to Assess and Sell Your Program from the Inside Out</b> – Kristy Grant-Hart, CEO, Spark Compliance Consulting; Susan Du Becker, Global Compliance Enablement, Cisco Systems BV
	<b>608 How a Twenty Year Military Career Developed Me as an Ethics &amp; Compliance Professional!</b> – Mark Revel, Lead Case Manager, Compliance and Ethics Investigation Team, Northrop Grumman
	<b>609 Human Risk: Bringing Science to Compliance</b> – Christian J. Hunt, Founder, Human Risk
	<b>DG11* Compliance &amp; Cannabis in the Workplace: Navigating the Changing Landscape of Legalization</b> – Amy E. McDougal, President, CLEAResources, LLC
	<b>DG12* Theory vs Reality in your Policies and Procedures - the Dangers of Aspirational Compliance</b> – Janet Himmelreich, Managing Director, 3Comply
2:30 – 3:00 PM	<b>Break</b>

RISK	ETHICS	CASE STUDIES	MULTI-NATIONAL/ INTERNATIONAL	COMPLIANCE LAW	PRIVACY & DATA SECURITY	GENERAL COMPLIANCE/ HOT TOPICS	INVESTIGATIONS WORKSHOP	ADVANCED COMPLIANCE	PROFESSIONAL SKILLS	DISCUSSION GROUPS
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Agenda subject to change

\*Discussion Groups will be filled on a first-come, first-served basis. Attendance is limited to the first 50 attendees. Pre-registration is not available for these sessions.

# Program at a Glance

Tuesday, September 17

3:00– 4:00 PM  BREAKOUT SESSIONS	<b>701 Designing Actionable, Memorable Risk Reports</b> – <i>Melanie Herman, Executive Director &amp; CEO, Nonprofit Risk Management Center</i>
	<b>702 What do Starbucks Coffee, Jimmy Buffet and a Can of Cheez Whiz Have in Common? A Unique Look at How to Explain Ethics and Compliance and Successfully Embed it Within the Operations.</b> – <i>Beth Colling, Vice President and Chief Compliance Officer, CDM Smith, Inc.;</i>
	<b>703 Changing the Internal Audit Game: Citi Uses AI to Drive Innovation</b> – <i>Marc Sabino, Mgr Dir Chief Auditor, Citi.</i>
	<b>704 ISO 37001: The Global Future of Compliance or a Turn Down the Wrong Trail?</b> – <i>Walter E. Johnson, Senior Advisor, Compliance Strategists LLC; Joseph E. Murphy, Senior Advisor, Compliance Strategists LLC</i>
	<b>705 Leverage Legal Developments to Advance Your Program</b> – <i>Rebecca Walker, Partner, Kaplan &amp; Walker LLP; Jeffrey M. Kaplan, Partner, Kaplan &amp; Walker LLP</i>
	<b>706 Automating Privacy Operations at Scale in Azure</b> – <i>David J. Marcos, Chief, Privacy Operations: Cloud &amp; Artificial Intelligence, Microsoft</i>
	<b>707 Culturally Sensitive &amp; Regionally Specific - Ensuring Your Message Resonates Globally and is Effective Across a Multidimensional Corporate Landscape</b> – <i>Ana-Paola A. Capaldo Aoun, Director, Ethics &amp; Compliance Officer, Tech Data; Jannica Houben, Director, Ethics &amp; Compliance, Tech Data Europe</i>
	<b>708 LinkedIn 2.0: How to Maximize Your LinkedIn Membership</b> – <i>Matt Ross, Account Executive, LinkedIn Marketing Solutions</i>
	<b>709 Advanced Learning from the Latest Data Breach Incidents</b> – <i>Jonathan Armstrong, Partner, Cordery</i>
	<b>DG13* Role of the Compliance Officer in Preventing Perverse Performance Incentives that Can Drive the Wrong Employee Behaviors</b> – <i>Eric R. Feldman, Senior Vice President and Managing Director, Corporate Ethics and Compliance Programs, Affiliated Monitors, Inc.</i>
	<b>DG14* Operationalizing Workplace Civility as a Compliance Value</b> – <i>Stephen Paskoff, President and CEO, Employment Learning Innovations</i>
4:00 – 4:15 PM	<b>Break</b>
4:15 – 5:15 PM	<b>General Session: The Limits of Trust</b> – <i>Diana B. Henriques, Financial Author and Journalist, Contributing Writer for The New York Times, Author of The Wizard of Lies: Bernie Madoff and the Death of Trust</i>
5:15 PM	<b>Closing Remarks</b>

Wednesday, September 18

8:30 AM – 12:00 PM	<b>Registration Open</b>
8:30– 10:00 AM  BREAKOUT SESSIONS	<b>W1 Lock It Down: Protecting Your Data From Third-Party Security Risks</b> – <i>Matt Kelly, Editor &amp; CEO, Radical Compliance; Fernanda Beraldi, Senior Director, Ethics &amp; Compliance, Cummins Inc.; Edwin Broecker, Partner, Quarles &amp; Brady</i>
	<b>W2 Engineering Ethics into Existing Business Practices</b> – <i>Rebeka Spires, Compliance &amp; Ethics Director, Louis Berger U.S. Inc., A WSP Company; Shannon Young, US Employment &amp; Ethics Counsel, WSP USA, Inc.</i>
	<b>W3 Don't be an Armchair Quarterback. Use Just-in-Time Coaching to Reduce Compliance Risks!</b> – <i>Harper E. Wells, Director, Compliance Insights &amp; Strategy, True Office Learning; Kortney Q. Nordrum, Regulatory Counsel &amp; Chief Compliance Officer, Deluxe Corporation; Courtney A. Sander, Implementation Lead, Broadcast LLC</i>
	<b>W4 In Case the Government Comes Knocking: Best Practices in Investigating and Remediating FCPA Issues</b> – <i>Iris E. Bennett, Member, Smith Pachter McWhorter PLC; Nancy Jacobson, Counsel, Global Compliance and Ethics, United Air Lines; Maria Gomez, North American Regional Compliance Officer, Robert Bosch LLC; Brenda Morris, Deputy General Counsel, Booz Allen Hamilton</i>
	<b>W5 The Vital Role of Exceptional Investigative Teams in the #MeToo Era</b> – <i>Rebecca A. Speer, Attorney and Co-founder, Tribu Partners LLP; Elizabeth W. Gramigna, Attorney and Co-founder, Tribu Partners LLP</i>
	<b>W6 Managing Data and Promoting Privacy: A Deliberate Peer-to-Peer Experience Exchange of Ideas About How to Comply with Rapidly Changing Cyber Security and Privacy Compliance Obligations</b> – <i>Whittney A. Tom, Program Manager, Corporate Relations, TechSoup; Nisha Sehni, Senior Technical Program Manager, Technical Operations and Security, Fastly</i>
	<b>W7 Anti-Corruption Metrics &amp; Measurement: Failure is Obvious but How Do We Measure Success?</b> – <i>Peter Glover, CIPE Center for International Private Enterprise; Marjorie W. Doyle, Marjorie Doyle &amp; Associates, LLC</i>
10:00 – 10:15 AM	<b>Networking Break</b>

RISK	ETHICS	CASE STUDIES	MULTI-NATIONAL/ INTERNATIONAL	COMPLIANCE LAW	PRIVACY & DATA SECURITY	GENERAL COMPLIANCE/ HOT TOPICS	INVESTIGATIONS WORKSHOP	ADVANCED COMPLIANCE	PROFESSIONAL SKILLS	DISCUSSION GROUPS
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# Program at a Glance

Wednesday, September 18

10:15– 11:45 AM  BREAKOUT SESSIONS	<b>W8 Working with the U.S. Government: Risks and Compliance with Federal Ethics Rules in Government Contracting</b> – Steve Epstein, Former Chief Counsel Ethics & Compliance, Boeing Company; Danica Irvine, Senior Attorney, DoD Office of General Counsel
	<b>W9 Don't Boil the Ocean - Distill It!</b> – Courtney A. Sander, Implementation Lead, Broadcat LLC; Katie H. Smith, EVP Chief Compliance Officer, Convercent
	<b>W10 Counseling Compliance in Small to Medium Sized Organizations</b> – Jason Meyer, President, LeadGood LLC
	<b>W11 Same but Different: How to Effectively Manage Your Third Party Corruption Risks Globally</b> – Emanuel Batista, Director, Compliance Risk and Diligence, Kroll, a Division of Duff and Phelps; Fernanda Beraldi, Senior Director, Ethics & Compliance, Cummins Inc.; Edwin Broecker, Partner, Quarles & Brady
	<b>W12 Practical Strategies for Conducting Effective and Ethical Anti-Corruption Risk Assessments in High Risk Jurisdictions</b> – Mark Morrison, Partner, Blakes, Cassels & Graydon LLP; Jonathan Drimmer, Partner, Paul Hastings; John Vanderbeek, Vice-President Compliance, Kinross Gold Corporation; Kristine Robidoux, Senior Compliance and Regulatory Counsel, Gran Tierra Energy Inc.
	<b>W13 Designing a Compliance and Governance Model for Today's Hi-Tech Business Environment</b> – Eric Brotten, Director, International & US-Domestic Compliance Programs, Optum; Sarah E. Boswell-Healey, Director, Optum
	<b>W14 Inside Out: What Do Regulators and Enforcement Staff Understand and Misunderstand About Compliance Programs and Compliance Culture</b> – Michael Henry, Senior US Legal Counsel, Emera Energy; David Applebaum, Partner, Akin Gump Strauss Hauer & Feld LLP; Christine Roth, Associate General Counsel, Vista Outdoor; Nadira Clarke, Partner, Environmental and Workplace Safety, Katten Muchin Rosenman LLP
12:45 PM	<b>Exam Check-In:</b> Certified Compliance & Ethics Professional (CCEP) <sup>®</sup> and Certified Compliance & Ethics Professional - International (CCEP-I) <sup>®</sup>
1:00 – 4:30 PM	<b>Certified Compliance &amp; Ethics Professional (CCEP)<sup>®</sup> Exam</b> (optional)
1:00 – 5:00 PM	<b>Certified Compliance &amp; Ethics Professional - International (CCEP-I)<sup>®</sup> Exam</b> (optional)

## SCCE would like to thank our

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RISK	ETHICS	CASE STUDIES	MULTI-NATIONAL/ INTERNATIONAL	COMPLIANCE LAW	PRIVACY & DATA SECURITY	GENERAL COMPLIANCE/ HOT TOPICS	INVESTIGATIONS WORKSHOP	ADVANCED COMPLIANCE	PROFESSIONAL SKILLS	DISCUSSION GROUPS
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Agenda subject to change



# Interested in becoming certified?

The Certified Compliance & Ethics Professional (CCEP)<sup>®</sup> and the Certified Compliance & Ethics Professional-International (CCEP-I)<sup>®</sup> exams will be offered at the Compliance & Ethics Institute on Wednesday September 18, 2019.

**Exam check-in:** 12:45 PM

**Exam Time:** CCEP - 1:00 - 4:30 pm | CCEP-I - 1:00 - 5:00 pm

**Cost:** SCCE Members- \$275 | Non Members- \$375

**Individuals must be preapproved to sit for the exams.** To qualify, 20 CCB CEUs and the necessary work experience are required.

Compliance & Ethics Institute sessions qualify as follows: one clock hour equals 1.2 CCB CEUs.

For more information on how to apply for the CCEP or CCEP-I exams, visit the website [corporatecompliance.org/certification](http://corporatecompliance.org/certification).

**Questions?** Email: [ccb@compliancecertification.org](mailto:ccb@compliancecertification.org)

Exam applications may be accepted onsite depending on exam availability. Please visit CCB certification staff at the SCCE booth for information.

## Approved Credit Types

CCB is in the process of applying for continuing education units. If you have questions, or if you do not see information on your specific accreditation, please contact CCB at [ccb@compliancecertification.org](mailto:ccb@compliancecertification.org) or +1.952.933.4977.



# Saturday, September 14

8:30 AM – 12:00 PM

Volunteer Project

1:00 – 6:30 PM

Registration Open

# Sunday, September 15

7:00 AM – 6:00 PM

Registration Open

7:30 – 8:15 AM

First Time Attendee Networking Breakfast  
(By invitation only)

8:45 – 10:15 AM

Pre-Conference Breakout Sessions

## RISK TRACK

### P1 Effective E&C Risk Management - Part 1: Framework, Program Essentials, and Core Practice Considerations

Greg Triguba, Principal, Compliance Integrity Solutions

James M. Urso, Sr. Mgr, Treasury Compliance, Federal Reserve IT

- Gain a deeper understanding of the basic roles, resources and fundamentals necessary to facilitate and manage an effective ethics and compliance risk management program.
- Explore the challenges, planning considerations and strategic solutions for implementing and leading effective ethics and compliance risk assessment processes.
- Consider real-world examples and scenarios that set the stage for identifying an organization's risk universe, prioritization efforts, and next steps for effective management and mitigation.

**Note:** Part 1 and Part 2 are designed to provide an comprehensive overview of effective ethics and compliance Risk Management from fundamentals to advanced practice. While each session will cover specific practice objectives, they are designed to complement one another. Attendees are encouraged to attend both sessions if possible to maximize session benefits.

## ETHICS TRACK

### P2 Ethical Leadership Doesn't Happen Overnight, or Does it? I Was an Employee Yesterday...Leader Today, but Am I an Ethical Leader?

Lisa A. Gross, Ethics Analysis Senior Manager, Lockheed Martin

Darren Hill, Director Ethics Business Conduct, Lockheed Martin Aeronautics

- The difference between a leader and a manager and why this distinction is important to building and maintaining an ethical environment.
- Discuss and share assimilation techniques to foster ethical culture and leadership.
- Review case scenarios demonstrating good and bad ethical leadership and its impact to the company.

## CASE STUDIES TRACK

### P3 When Ethical People Make Unethical Decisions: Lessons, Reflections, and Takeaways from the Public Sector

Jabu M. Sengova, Ethics Officer, City of Atlanta Ethics Office

Carlos R. Santiago, Associate Ethics Officer, City of Atlanta Ethics Office

Jenna Wiese, Deputy Inspector General, Office of the State of Georgia Inspector General

- See and hear real life stories of public sector employees whose ethical lapses resulted in ethics investigations as well as fraud and criminal prosecution.
- Engage in an interactive and thoughtful discussion of the key factors that lead to unethical conduct and how "good" people go "bad".
- Gain insight into lessons learned and takeaways from the consequences and aftermath of poor ethical decision-making.

## MULTI-NATIONAL/INTERNATIONAL TRACK

### P4 The Practical Who, What, When, Why and How's of Third Party Due Diligence & Monitoring

James M. Lord, Shareholder, Glade Voogt Lord Smith

Andy Hinton, VP, Global Ethics & Compliance, Google

Xavier Oustalniol, Partner, StoneTurn

- Creative approaches to preventing and detecting corruption through risk-based third party management.
- Determining the right level of due diligence and identifying non-traditional sources of third party information.
- Highly engaging use of real life hypotheticals to explore current issues and challenges in third party management around the globe.

## COMPLIANCE LAWYER TRACK

### P5 Advanced Conflict of Interest Risk & Disclosure Process

Monica Reinmiller, Corporate Counsel, Legal Affairs & Compliance, T-Mobile

Michael I. Volkov, CEO, Volkov Law Group LLC

Sonia Zeledon, Regional Counsel – Americas, ECI, Nokia

- Identify heightened Conflict of Interest risks with public company Board service, Anti-trust and trade secret risks.
- Develop a sustainable and ongoing review of high risk conflict disclosures.
- Discuss Conflict of Interest best practices and guidance.

## PRIVACY & DATA SECURITY TRACK

### P6 Cyber Security Due Diligence: Will You Be the One to Save Your Company & CEO From Disaster?

Charles Shugg, Partner, Chief Operating Officer, Sylint Group, Inc.

- Discuss the importance and criteria for cyber security due diligence and how it affects corporate or organizational reputation damage, judicial punishment and senior executive careers.
- Review case studies that highlight the lack of "reasonable" corporate cyber security due diligence regarding processes, assets and incident response actions.
- Provide best practice guidance to improve senior executive awareness, reduce corporate risk and increase the likelihood of C-Staff career survival following a cyber security breach.



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## GENERAL COMPLIANCE/HOT TOPICS TRACK

### P7 100+ Years of Business Ethics: Learn About the Future from Masters of the Profession

Steven Priest, President, Integrity Insight International

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

Jeffrey M. Kaplan, Partner, Kaplan & Walker LLP

Edward Petry, Ph.D., Senior Advisor, NAVEX Global

- "Those who cannot remember the past are condemned to repeat it." Carrie Penman, Jeff Kaplan, Ed Petry and Steve Priest have worked internally and with clients for over 100 years. They have made a lot of mistakes and had quite a few successes.
- Steve will moderate--drawing out the most valuable lessons to help you navigate the challenges of 2020 and beyond.
- This interactive session will answer your most pressing questions. No matter what your situation is, one of our panelists will most certainly have experienced something similar, and draw on their expertise to help you.

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## INVESTIGATIONS WORKSHOP

### P8 Investigations Workshop

*(Morning Session: Parts 1-2)*

Albert G. Gagne, Former Director Ethics & Compliance, Retired

Latour (LT) Lafferty, Partner, Holland & Knight LLP

Meric Bloch, Vice President, Global Investigations, Booking Holdings, Inc.

- Part 1: Beginning the Investigation and Interviewing the Reporter. This session addresses the importance for a formal Investigations Policy and focuses on intake fundamentals for getting as much information as possible from the reporter.
- Part 2: Planning the Investigation. This session will focus on determining the precise allegation and making the investigation plan and strategy for conducting the investigation.

**10:15 – 10:30 AM**

Break

**10:30 AM – 12:00 PM**

*Pre-Conference Breakout Sessions*

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## RISK TRACK

### P9 Effective E&C Risk Management - Part 2: Operationalizing Risk Management and Taking Your Practice to the Next Level

James M. Urso, Sr. Mgr, Treasury Compliance, Federal Reserve IT

Greg Triguba, Principal, Compliance Integrity Solutions

- This session takes a deeper dive into effective risk management/mitigation strategies to include addressing challenges of maturing the Risk Management function and ensuring Risk Management concepts are encompassed as a part of day-to-day operations.
- Examine the pitfalls of an unincorporated Risk Management function, and how periodic "check the box" risk management exercises are the real risk to organizational success.
- Discuss methods to successfully mature Risk Management functions, engage all levels of staff and leadership, and foster a Risk-conscious organization.

**Note:** Part 1 and Part 2 are designed to provide a comprehensive overview of effective ethics and compliance Risk Management from fundamentals to advanced practice. While each session will cover specific practice objectives, they are designed to complement one another. Attendees are encouraged to attend both sessions if possible to maximize session benefits.

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## ETHICS TRACK

### P10 Every Choice Has a Consequence

Chuck Gallagher, President, Virtual Training Associates

- How easy it is for ethical people to make unethical choices and what to do about it.
- The impact of life's choices and how that affects your performance, both personally and professionally.
- Real-world practical examples of how to use ethics and integrity to create success in business and life.

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## CASE STUDIES TRACK

### P11 Operationalizing Compliance

Grace C. Wu de Plaza, Director Compliance & Corporate Integrity, Farmer Mac

Hillah Culman, Program Manager - Dept. of Enterprise Operations, Farmer Mac

- Congratulations! The CEO agreed to implement your compliance initiative across the enterprise. Now what?
- In this session, compliance officers who have never developed a project management plan, found the thought of developing a plan overwhelming, or is interested in refining their project management skills will walk away with insights and next steps.
- The speakers will take attendees through a case study of how Farmer Mac's compliance department partnered with a project manager and leveraged a project management plan to implement its GRC system and to overhaul its policies and procedures framework.

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## MULTI-NATIONAL/INTERNATIONAL TRACK

### **P12** How to Dribble Corruption Risks in Latin America: Learn How to Avoid Faults, Penalty Kicks, and Score Compliance Goals

Patricia Colombo, Director of Legal and Compliance, FUJIFILM do Brasil

Emanuel Batista, Director, Compliance Risk and Diligence, Kroll, a Division of Duff and Phelps

Isabel Simmerman, Ethics & Compliance Counsel, The AES Corporation

- 2019 Corruption Risks in Brazil, Argentina, Colombia, and Mexico: Gain insight into recent corruption headlines and their impact on local anti-corruption laws and the overall culture of compliance.
- 365 Days Later - The role of new governments and their influence in compliance and Anti-Corruption and Bribery regulations and trends in Brazil, Argentina, Colombia, and Mexico and their impact to corporate governance. What you need to know to navigate.
- Think Globally and Act Locally: What you need to know about your third parties in the region and the significance of due diligence in identifying and mitigating risks.

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## COMPLIANCE LAWYER TRACK

### **P13** The Happy Marriage between Legal and Compliance

Donna C. Boehme, Principal, Compliance Strategists LLC

Patrick J. Gnazzo, Principal, Better Business Practices

Judith L. Nocito, Senior Advisor, Compliance Strategists

- Join experts with "in the trenches" CCO experience in an engaging discussion of the respective roles and responsibilities for Compliance and Legal in your compliance program. The Partnership between these two functions should be strong and clearly defined.
- Discussion will include: The evolution away from Compliance as a captive arm of Legal, How a strong partnership can support the mandates of both functions, and Mapping out the respective responsibilities and roles of the two sister functions.
- This unique and dynamic session is intended to clarify an area of much uncertainty and controversy over the past decade, and point the way to more productive working relationships. Bring your questions with you!

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## PRIVACY & DATA SECURITY TRACK

### **P14** GDPR Compliance Post-Mortems: Lessons Learned from Facebook, Uber, and Others

Scott M. Giordano, VP, Data Protection, Spirion

- In the nearly 18 months since the EU GDPR was brought into force, several well-known companies have been penalized by EU data protection authorities for misuse and loss of personal data.
- In this session, we will review these post-mortems, determine what went wrong, and discuss the implications for complying with the GDPR and other multinational data protection regulations going forward.
- We will also examine recent European Data Protection Board (EDPB) opinions and discuss how they affect overall compliance strategy.

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## GENERAL COMPLIANCE/HOT TOPICS TRACK

### **P15** Lessons from *The Accidental Compliance Professional*

Roy Snell, Former CEO, SCCE/HCCA

Jenny O'Brien, Chief Compliance Officer, UnitedHealthcare

- How to Handle "The Big One"
- A Guide to Being Delightfully Honest
- Compliance Activism Belongs in a Rodeo
- Study Your Failures to Find a Better Way

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## INVESTIGATIONS WORKSHOP

### **P16** Investigations Workshop

*(Morning Session: Part 3)*

Latour (LT) Lafferty, Partner, Holland & Knight LLP

- Part 3: This session will explore the critical role of document in the investigation process. Internal investigators should be able to identify and explain the purpose of documentary evidence.

**12:00 – 1:30 PM**

Lunch (*on your own*)

**1:30 – 3:00 PM**

*Pre-Conference Breakout Sessions*

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## RISK TRACK

### **P17** Is There a Doctor in the House? Diagnosing and Treating Your Program Ills with Data Analytics

Krista Muszak, Compliance and Ethics Professional

Louis J. Perold, Global Compliance Manager, Jabil

- With access to so much data, where do you begin? How do you make sense of it all? How can you leverage the data to reveal gaps, mitigate risks and grow your compliance program?
- Are you wrestling with how to manage and monitor your data to make sure you are in compliance with the ever-changing rules?
- Answer these questions and discuss how you can use data analytics for risk assessments and to address other elements of an effective compliance program.

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## ETHICS TRACK

### **P18** Ethics & Leadership: More than Slogans & Sayings

Don Mullinax, President & CEO, Mullinax Group, LLC

- Managing partner of accounting firm sentenced to 20 years for theft of \$500,000 from his own company. Despite policies and codes of ethics, lapses in ethics like this occur every day. You will take an interesting look into the mindset of these fraudsters.
- Would commit a felony to pay for needed surgery for your child? How do you rate yourself when it comes to ethics? What would you do? You will test your Ethics IQ using real-world cases to determine what you "would" do versus what you "should" do.
- Leaders must set the proper tone within their organizations and that means more than just a bunch of slogans and sayings -- they must change behaviors. Where do you begin?

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## CASE STUDIES TRACK

### P19 Ethics and Compliance as a Start Up – 20 Steps to Up and Running

Charlotte D. Young, Chief Compliance and Risk Officer, Winrock International

Grace C. Wu de Plaza, Director Compliance; Corporate Integrity, Farmer Mac

- Starting a compliance office? Here is a handy checklist of how to get started and what not to forget.
- Intended for new programs but also would enhance a mid-mature program.
- Providing tested practical tips and tools to leverage your resources to build an effective program.

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## MULTI-NATIONAL/INTERNATIONAL TRACK

### P20 Managing an Investigations Docket in Asia: Key Regional Regulatory Issues and Top Tips for Conducting Cross-Border Investigations

Jimmy Chatsuthipphan, Director, Global Compliance Investigations, Panasonic Avionics

Jason Chang, Of Counsel, DLA Piper LLP (US)

- Exploration of recent hot regulatory issues affecting the Asia region.
- Effectively manage investigations in Asia, particularly for multinational organizations.
- How to build an effective cross-border investigations team and key components.

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## COMPLIANCE LAWYER TRACK

### P21 Top 5 Compliance Risks when Contracting with the Federal Government

Erica Geibel, Counsel, Smith Pachter McWhorter

Stephen Knight, Partner, Smith Pachter McWhorter, PLC

- The federal government is unlike any other customer that a company can have, imposing complex compliance requirements on contractors.
- This discussion will focus on the major government contracting compliance challenges and how to address those challenges preemptively.
- The presenters will provide an overview of the significance of doing business on federal government money; the five greatest compliance risks affecting contractors; and a summary of significant legislative and regulatory developments in those areas.

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## PRIVACY & DATA SECURITY TRACK

### P22 Move the Needle – Active Agent Approach to Cyber Security and Data Protection Compliance

Brian Novack, Lead Compliance Analyst, AT&T

Oleg Vasilyev, Director Compliance, AT&T

- Core products and processes at each company are dependent on IT. Active threats continue to evolve and drain resources. This limits a company's ability to reinvest, develop products, expand offerings to drive the next wave of growth, or to remain viable.
- To help, compliance must become an active partner supporting all facets of a company to establish the expectation for compliance, plan for compliance upfront, and drive compliance through strategic resource investment that is balanced with the risk.
- We will discuss an approach to help move companies towards active compliance, enabling each of us to build a solid foundation on which to reduce the threat opportunity and most importantly: Move the Needle.

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## GENERAL COMPLIANCE/HOT TOPICS TRACK

### P23 Grant Fraud: \$700+ Billion in Potential Risks

Kenneth Dieffenbach, Assistant Special Agent in Charge, U.S. Department of Justice OIG

- The Federal Grant Process: what you need to know about the basic parameters from application to award to implementation to oversight mechanisms.
- What Can and Does Go Wrong: the common grant fraud schemes and key liability areas that every grantee must address.
- Grant Fraud Prevention: practical tips on how to proactively protect your organization.

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## INVESTIGATIONS WORKSHOP

### P24 Investigations Workshop

*(Afternoon Session - Parts 4-5)*

Albert G. Gagne, Former Director Ethics & Compliance, Retired

Meric Bloch, Vice President, Global Investigations, Booking Holdings, Inc.

- Part 4: Taking Effective Interviews: This session will focus on the difference between an interview and an interrogation. Attendees will also gain a better understanding of the importance for documenting your interviews.
- Part 5: Preparing the Investigation Report. This session will focus on the importance for documenting key facts in the investigation report.

**3:00 – 3:15 PM**

Break

## RISK TRACK

### P25 Navigating the Murky (and Sometimes Treacherous) Waters of Conflicts of Interest

Rebecca Walker, Partner, Kaplan & Walker LLP

Christopher Miller, Regional Compliance Officer, General Motors

- Overview of conflicts of interest risk, its impact on organizations and compliance controls, including policies, questionnaires and approval methodologies.
- Explore real-world fact patterns that require difficult judgment calls and balancing of interests.
- Consider how to make decisions that can enhance the culture of integrity and sense of organizational justice.

## ETHICS TRACK

### P26 5 Steps to Ethical Problem Solving

Marcy J. Maslov, Chief Integrity Builder, e-Factor!®- the educational board game for business ethics

- We assume everyone has the same definition of ethics as we do... until there's a problem. Every business issue we face has an ethical dilemma at its core. Do you know how to recognize the ethical dilemma?
- Employers of new graduates are complaining their new hires are not "Job Ready" in one critical area: ethics. So where do we learn how to solve ethical dilemmas? Who taught you, and how do you know if you've made the right decision?
- It's important to provide a framework for ethical problem solving. Here are my 5 steps and a gamified approach to teaching not only decision-making but critical thinking, leadership and team-building skills.

## CASE STUDIES TRACK

### P27 The First, Best Chance: Post-Merger Ethical Culture Building Challenges, Opportunities, and Lessons

Robert L. Locraft, Senior Manager, Ethics and Compliance Officer, Perspecta Inc.

Jason L. Lunday, VP, Product Development & Advisory Services, Syntrio, Inc.

- Perspecta's challenges to build a new ethical culture company formed by the spin-off of the DXC Technology U.S. Public Sector business and merger with Vencore and KeyPoint Government Solutions to address big U.S. Government IT and security challenge.
- As a newly publicly traded company, and a government contractor, the ethics and compliance program had to be ready to go Day 1, including a unified Code of Conduct and plan to promote a common set of behavioral standards to bring together all employees.
- This offered Ethics & Compliance the chance to lead the way under the company's new Values statement. The ECO brought to life these Values through training and communications initiatives as central to the new company's launch and culture setting.

## MULTI-NATIONAL/INTERNATIONAL TRACK

### P28 Leveraging Political Risk Analysis to Help Reveal Local Compliance Risks and Right Size Program Design

Oliver Wack, Partner, Global Risk Analysis, Control Risks

Paul Dudzinski, Director, Control Risks

- Understanding how bribery and corruption actually work in order to design programs that better ensure compliance across disparate operational markets.
- Developing and leveraging nuanced risk indicators and benchmarks based on aggregated understanding of actual local distinctions for corruption in specific markets, sectors or industries.
- Using local insight and an understanding of stakeholder connections and government to anticipate antagonistic developments and manage investigations intelligently.

## COMPLIANCE LAWYER TRACK

### P29 Navigating the Minefield: Complying with a Patchwork of Lobbying and Ethics Laws

Mitchell Pawluk, Partner, Harris Beach PLLC

Joan Sullivan, Partner, Harris Beach

- When does meeting or communicating with government officials constitute reportable "lobbying"? And do I or my organization have to register as a "lobbyist"? Find out answers to these questions and how to best protect your organization.
- You're telling me lunch with a public official can be an illegal gift? What about attendance at a charitable event? When "that's how business is done" is no longer how business can be done. Learn more about the impact of government ethics laws.
- How to navigate the minefield that is the patchwork of federal, state, and local lobbying and ethics laws, and incorporate best practices in your organization.

## PRIVACY & DATA SECURITY TRACK

### P30 Software License Compliance & Vendor Management: Why It's Mission-Critical To Reputation & Cybersecurity, 10 Reasons It's Hard (& Getting Harder), & 10 Action Tips For You & Your Team

Henry W. (Hank) Jones, Owner, Law Office of Henry W Jones III & Intersect Tech.

- Non-Compliance, Now: How Traditional Purchasing & IT Processes + Vendor & Technology Changes Have Landed Nearly Every Entity In Contract Breach, Copyright Infringement, & Security & Reputation Risk.
- Digital Dependency Reduction & Organizational Quality Control: Best Practices: Recommended, Rank-Ordered Action Items For Compliance Professionals To Help Purchasing, IT & Other Colleagues See & Fix Software License Compliance.
- Get To Not Just Yes & Fixed, But Also Thank You: Tips For Software-Specific Change Enablement, Quantification, Persuasion, Charm, Evidence, Appreciation, Budgeting, & Career Benefits.

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## GENERAL COMPLIANCE/HOT TOPICS TRACK

### **P31** New Beginnings: Starting your Compliance Program and What Needs to be Included

Sheryl Vacca, SVP/Chief Risk Officer, Providence St. Joseph Health

Debbie Troklus, Sr. Managing Director, Ankura Consulting Group

- Discussion on the basic elements of a compliance program.
- Overview of the challenges and opportunities in developing a compliance program.
- Identifying ways to get "buy in" for the compliance efforts.

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## INVESTIGATIONS WORKSHOP

### **P32** Investigations Workshop

*(Afternoon Session - Parts 5-6) (con't)*

Albert G. Gagne, Former Director Ethics & Compliance, Retired  
LT Lafferty, Partner, Holland & Knight

Meric Bloch, Vice President, Global Investigations, Booking Holdings, Inc.

- Part 5: Preparing the Investigation Report (continued). This session will focus on the importance for documenting key facts in the investigation report.
- Part 6: Question & Answer Panel. This final session provides an opportunity for attendees to leave no stones unturned by asking any questions on conducting internal investigations. This session is lively and highly engaging.

**4:45 – 6:30 PM**

Opening Reception in Exhibit Hall

# Monday, September 16

**7:00 AM – 6:00 PM**

Registration Open

**7:00 – 8:00 AM**

Continental Breakfast and Exhibitor Networking

**8:00 – 8:15 AM**

Opening Remarks and Awards Presentation

**8:15 – 9:15 AM**

### **General Session: From Crisis to an Electric Future – Inside the Cultural Transformation of One of the Largest Companies in the World. A discussion.**

Dr. Kurt Michels, Chief Compliance Officer, Volkswagen Group

Matt Kelly, Editor & CEO, Radical Compliance

- Starting a transformation in the aftermath of a crisis.
- Behind the scenes of Volkswagen's cultural transformation: the strategies that drove the turnaround.
- Using a crisis to implement change: Lessons learned for compliance professionals.

**9:15 – 10:00 AM**

Networking Break with Exhibitors

**10:00 – 11:00 AM**

*Concurrent Breakout Sessions*

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## RISK TRACK

### **101** Mitigating Trade Compliance Risk – How to Build a Plane While Also Flying It!

Gwendolyn Lee Hassan, Managing Counsel, Global Compliance & Ethics, CNH Industrial

- Comprehensive review of emerging trade compliance risks faced by companies doing business internationally.
- Discussion of recent developments in trade sanctions, export regulations, tariffs and free trade agreements.
- How to stand-up and manage a trade compliance program "from scratch" including where to start and how to take it to the next level.

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## ETHICS TRACK

### **102** Compliance Officer Ethics - 2019 Update

Theodore L. Banks, Partner-President, Scharf Banks Marmor LLC

- Compliance & Competition

- What ethical rules govern the obligations of compliance officers, whether they are lawyers or not?
- When do lawyers or compliance officers get rewarded or get punished when they become whistleblowers?
- Does the availability of attorney-client privilege help or hinder a lawyer in a compliance role?

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## CASE STUDIES TRACK

### **103** How to Reinvigorate a Global Compliance Training Programme

Joe Moxom, New Business Sales Executive, DeltaNet International

Catherine Colvin, Chief Compliance Officer - Americas, Autoliv

- Autoliv employ over 66,000 people in 27 countries. Their compliance training programme had become disjointed with multiple vendors, multiple platforms and learner fatigue/disengagement.
- Follow their journey as they embraced scenario led, principle-based learning solutions incorporating latest techniques of microlearning and gamification.
- Learn from Autoliv's experiences of the project, identify lessons learned and the successes achieved.



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## MULTI-NATIONAL/INTERNATIONAL TRACK

### 104 How to Conduct Internal Investigations of Compliance Violations Involving Your Foreign Operation/Business?

Renata Muzzi, Partner, TozziniFreire Advogados

Shin Jae Kim, Partner, TozziniFreire Advogados

Felipe Maldonado Garcia, Ethics and Compliance Director, Americas, Stericycle, Inc.

- Cross-border investigations often add a layer of complexity beyond the issues seen in domestic work.
- In this session we will discuss how to better handle multi-jurisdictional internal investigations.
- Do's and Don'ts when conducting a cross-border internal investigation.

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## COMPLIANCE LAWYER TRACK

### 105 Organizational Sentencing Guidelines Confidential: Does Chapter Eight Still Matter to Compliance and Ethics? And if So, Why?

Eric O. Morehead, Principal Consultant, Morehead Compliance Consulting

Kathleen Grilli, General Counsel, US Sentencing Commission

- The US Sentencing Guideline apply to all organizations, and apply regardless of industry, governing structure, size or mission. They are universal and yet have evolved over the years in interesting directions we will discuss.
- We will discuss the Guideline's impact on newer regulatory guidance and best practices from peer organizations. We will discuss how re-focusing on the sometimes overlooked and misunderstood parts of Chapter Eight can improve a compliance program.
- We will also gaze into our crystal ball to see what might be in store for Chapter Eight in the future and we will take a look at Sentencing Commission data on how the guidelines are applied to organizations currently and how compliance is addressed.

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## PRIVACY & DATA SECURITY TRACK

### 106 Privacy Trends in the US and Implications for US and Global Organizations

Teresa Troester-Falk, Nymity

- For the past 2 years, the GDPR has garnered the attention, resources and budget of organizations, but privacy is in the headlines almost everyday in the US and the new California Consumer Privacy Act will take effect Jan 1, 2020 as well as Nevada's new law in October of this year.
- Several other States are considering similar legislation and these new US laws and increasing regulator attention will impact operations.
- This session will provide you with an overview of the state of play of US privacy laws and bills and provide practical insight into how organizations are handling these changes and trying to "future-proof" their operations in order to efficiently deal with any forthcoming law.

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## GENERAL COMPLIANCE/HOT TOPICS TRACK

### 107 Embracing Digital Transformation in Ethics & Compliance

Kristi Kevern, Senior Managing Director, Ethics & Compliance, Dell Technologies

- Companies from every sector are experiencing disruption in their industry and are having to transform their businesses using new digital tools and advanced data analytics.
- Ethics and Compliance organizations need to start focusing on a full scale digital transformation strategy of their own, connected to their company's journey but also maximizing new capabilities in the E&C space.
- The Dell and GE CECOs will talk about their own journey, how they are not only embracing this change but prioritizing resources to drive greater productivity, more dynamic ability to identify risk and target just in time information and controls.

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## PROFESSIONAL SKILLS

### 108 Launching Ladies into Senior Leadership

Kristy Grant-Hart, Owner, Spark Compliance Consulting

Jenny O'Brien, Chief Compliance Officer, UnitedHealthcare

Kirsten Liston, Principal, Rethink Compliance

- Are you ready to launch into the highest levels of leadership? Joining the C-suite? Being on the Board? Then this session is for you.
- Learn how to win champions and mentors; use verbal language and body language to up your confidence and likeability quotients; and move up the ladder using accountability and top negotiating skills.
- Master lessons taken from female entrepreneurship. Learn why your network is your net worth (and how to grow it strategically) and how to raise the roof on your profile.

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## ADVANCED COMPLIANCE

### 109 Best Friends Forever: Nurturing the Compliance-Board Relationship

Ellen M. Hunt, SVP, Audit, Ethics & Compliance Officer, AARP

Joan Ruff, Chair of Board of Directors, AARP

Ben DiPietro, Editor of the E&C Pulse Newsletter, LRN Corp.

- The ways board members can more effectively engage with ethics and compliance teams;
- How compliance can better communicate and make the most effective use of its time before the board;
- How boards and compliance can make better use of data to work together to grow strong ethical culture and bring greater awareness and engagement with the organization; and
- The benefits organizations can gain from having compliance officers serve as board members.

\* Discussion Groups will be filled on a first-come, first-served basis. Attendance is limited to the first 50 attendees. Pre-registration is not available for these sessions.

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## DISCUSSION GROUP

### DG1\* Secrets from In-House Ethics & Compliance Buyers: How to Keep the Gate and Your Sanity

Jay Rosen, VP, Business Development and Monitoring Specialist, Affiliated Monitors, Inc.

- Learn how to manage vendor relationships to maximize their value proposition and minimize persistent and time consuming sales pitches.
- Vendors believe they can make a buyer's life easier, but they must listen for "buying or non-buying" cues and modulate their contact proportionately.
- While the compliance community has seen that tomorrow's solutions for today's E&C issues come from the vendor community, in-house buyers respond to authentic vendor relationships as they easily can separate salesy bluster from those who really care.

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## DISCUSSION GROUP

### DG2\* Being Comfortable with Discomfort

Meric Bloch, Vice President, Global Investigations, Booking Holdings, Inc.

- Discuss some of the common friction points and speed bumps you encounter during workplace investigations and how to address them.
- Be prepared to respond both as a member of management and as the investigator when issues arise. Thinking in advance about these issues allows you to be prepared when they arise. And they will arise.
- Learn that the investigation process, by its nature, prevents us from being all things to all people. Learn how flexible you can be in accommodating management, colleagues, and investigation participants.

**11:00 – 11:30 AM**

Networking Break with Exhibitors  
*Sponsored by TDI Compliance*

**11:30 AM – 12:30 PM**

*Concurrent Breakout Sessions*

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## RISK TRACK

### 201 Social Media & Compliance: A Match Made in Heaven or...?

Kortney Q. Nordrum, Regulatory Counsel & Chief Compliance Officer, Deluxe Corporation

- Learn from the mistakes of others - using real world examples to highlight social media risks lurking in your organization.
- Learn best practices for using social media in your hiring and firing decisions (spoiler alert: it's harder than you think).
- Leave with guidance, checklists, and a sample policy to get the ball rolling toward your new social media compliance scheme.

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## ETHICS TRACK

### 202 Becoming an Ethics Expert: Exploring How to Handle the Most Common Ethical Dilemmas in Business

Brad Agle, Professor, Brigham Young University

- This session is based on the highly acclaimed book *The Business Ethics Field Guide*, which through rigorous research has identified the 13 most common ethical dilemmas faced in organizational life.
- From the lead author of the book learn about these different common ethical dilemmas, and how understanding these types can improve the ethical awareness and decision-making of those in your organization.
- Utilizing case studies from the book, practice your ability to identify which dilemma type you're dealing with as well as your ability to develop strategies for handling these dilemmas effectively.

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## CASE STUDIES TRACK

### 203 How can the compliance officer be intelligent about AI?

Deborah Lynne Adleman, Director, Ernst & Young LLP (EY), United States and Americas Data Protection Leader, Risk Management, Ethics & Compliance

- AI: Know the Lingo and the Landscape
- AI: Risks: Visible and Invisible
- AI: An Intelligent Roadmap for the Compliance Officer

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## MULTI-NATIONAL/INTERNATIONAL TRACK

### 204 From FCPA Prosecutor to Company Protector: Lessons Learned on the Anti-Corruption Front Lines of an Increasingly Multi-Jurisdictional World

Maria Gonzalez Calvet, Partner, Ropes & Gray LLP

Rebecca Rohr, Vice President, Hewlett Packard Enterprise

Jonathan Rusch, Principal, DTG Risk & Compliance LLC

- Lessons Learned from Global Anti-Corruption Enforcement: Understand the greatest enforcement risks, learn from problematic fact patterns and see how different global authorities consider compliance when resolving matters and calculating penalties.
- DOJ FCPA Policies and Your Anti-Corruption Compliance Program: From the design of risk assessments to data retention and increased efficiency of investigative strategies, learn from those who have lived how DOJ applies these policies in practice.
- Arguments for an Increased Anti-Corruption Compliance Budget: Based on regulator policy guidance and recent enforcement actions, learn five effective arguments to strengthen the case of why your company is better off with an increased compliance budget.

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## COMPLIANCE LAWYER TRACK

### 205 Responding to Data Subject Requests

Robert J. Bond, Partner & Notary Public, Bristows LLP

- Overview of data subject rights under EU and other laws. Rights to object, to request access, to erasure and to portability.
- Using case studies to give practical advice on how best to prepare for such requests and how to manage expectations given that such requests are not always absolute.
- Developing policies and procedures to meet compliance obligations and the expectations of data subjects as well as what happens when the regulator gets involved.

\* Discussion Groups will be filled on a first-come, first-served basis. Attendance is limited to the first 50 attendees. Pre-registration is not available for these sessions.

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## PRIVACY & DATA SECURITY TRACK

### 206 Password Techniques and Strategies to Promote a Higher Level of IT Security

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

- Learn key criteria applicable to passwords that have the potential to contribute to a higher level of security with respect to the organization's information system.
- Common myths and mistakes that may compromise the strength of passwords.
- Review and consideration of effective administrative, physical, and technical safeguards to apply to your organization's password management policy.

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## GENERAL COMPLIANCE/HOT TOPICS TRACK

### 207 Strength in Numbers: Hotline is the C-Suite and Board's Strongest Tool

Bob Conlin, Chief Executive Officer, NAVEX Global

William W. Cameron, Assistant General Counsel; Manager, Ethics, Exelon

Kyle Welch, Professor, George Washington University School of Business

Kristen Olson, Director, United Health

- Compliance professionals seek to quantify the business value of internal hotline reporting systems, but have had little data directly associating internal reporting with business performance. Until now.
- New research from George Washington University shows that increased use of hotline reporting systems leads to greater profitability, fewer material lawsuits, lower litigation costs and fewer external whistleblower reports.
- Join this session to flip the script on what you thought you knew about hotlines and gain the tools you need to show your C-Suite and board that hotline usage is a crucial metric of business performance.

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## PROFESSIONAL SKILLS

### 208 The 7 Habits of an Effective Compliance & Ethics Professional

Dan Roach, Chief Compliance Officer, Optum360

- Understanding the compliance and ethics challenge.
- Positioning yourself for success as a compliance and ethics professional.
- Key drivers of effectiveness.

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## ADVANCED COMPLIANCE

### 209 Taking a Dynamic Approach to Compliance Risk Assessments for U.S. Government Contractors

Nick Sanders, Principal Consulting, Apogee Consulting, Inc.

- Learn how to manage a changing risk profile as your business evolves in size and transitions from sub to prime contractor and contracts change from fixed-price to cost-reimbursable.
- Increase your organization's ability to identify and assess risks associated with organizational and contractor evolution using revenue, contract-type and acquiring agency as key differentiators.
- Better understand Federal Acquisition Regulation contract clauses and changing non-compliance risk.

\* Discussion Groups will be filled on a first-come, first-served basis. Attendance is limited to the first 50 attendees. Pre-registration is not available for these sessions.

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## DISCUSSION GROUP

### DG3\* Engaging your Board- The Importance of Relevance

Paige Shannon, Compliance Officer and Corporate Counsel, ATI  
Adelle Elia, Chief Integrity Officer, Louis Berger

- How do you as a Compliance Officer tap into your Board's current priorities to engage them?
- How compliance connects to the "hot topics" for Board members in 2019.
- How does your organization's compliance function impact the Board's actions related to how culture impacts performance; cyber security; sexual harassment; board diversity; and shareholder activism.

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## DISCUSSION GROUP

### DG4\* Retaliation: Real or Imagined in the Age of Speak-Up Cultures

Albert G. Gagne, Former Director Ethics & Compliance, Retired

- This Advanced Discussion Group will identify what exactly constitutes retaliation.
- The group will discuss methodologies for identifying various forms of retaliation and how to deal with them.
- Finally, the group will address strategies for communicating a "Speak-Up" Culture for their respective organizations.

**12:30 – 1:15 PM**  
Networking Lunch

**1:15 – 2:00 PM**  
Dessert and Networking Break with Exhibitors

**2:00 – 3:00 PM**  
*Concurrent Breakout Sessions*

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## RISK TRACK

### 301 It's a Risk-Based Dinner Gathering - Compliance, ERM, and Audit

Stephanie Kandel, Director, Compliance & Risk Management, AARP Services Inc.

Joseph M. Pugh, Enterprise Risk Mgmt & Compliance Director, AARP

Ryan Abdel-Megeid, Director, Internal Audit, AARP

- Panel will discuss the importance of having a risk-based compliance program and how Compliance, ERM and Audit have distinct yet complementary roles to executing the organization's strategy.
- Learn the value and relevance of ERM to the compliance function.
- Strategies for engaging executive management to build the case for Compliance, ERM and Audit integration.

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## ETHICS TRACK

### 302 Lessons in Ethical Leadership from Recent Events

LT Lafferty, Partner, Holland & Knight

- Examine recent ethical failures as compliance and ethics case studies.
- Understand lessons in ethical leadership from each case study.
- Learn ethics and compliance tips that can help your organization successfully manage and mitigate potential risk areas.

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## CASE STUDIES TRACK

### 303 Starting the “Great Women in Compliance.” Podcast: How an Idea from the 2018 SCCE CEI Evolved into a Podcast and What We Learned

Lisa Fine, Director, Compliance for the Americas, Pearson Education

Mary Shirley, Senior Director, Ethics and Compliance, Fresenius Medical Care North America

- At the 2018 SCCE conference, we heard from accomplished women in compliance and about issues pertaining to women, and came up with the idea of the “Great Women in Compliance” podcast.
- We were excited to see interest in this topic and quickly learned the ins-and-outs of the process to launch our podcast. We'll share tips on how to build a podcast community, and provide advice to those who may want to do something similar.
- We will discuss and what we have learned thus far, including typical challenges women in compliance are actively addressing at different points in their careers, including discrimination in hiring and compensation, board participation, mentoring, and more.

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## MULTI-NATIONAL/INTERNATIONAL TRACK

### 304 The Increasing Importance of CCOs with International Expertise to Boards of Directors of Multinational/International Companies

Stephanie J. Kravetz, Former Chief Legal Officer and Corporate Secretary, LifeWatch AG (now LifeWatch GmbH)

- Increasingly, Boards of Directors of multinational companies have international Directors who do not understand the need for strict adherence to laws and regulations in the U.S. to avoid compliance and legal risks.
- The presence of global compliance expertise on multinational companies' Boards of Directors sets the proper “tone at the top” and signals the Board's overall strategic priorities include compliance.
- The CCO is often in a sandwich position between Management and the Board of Directors. The proper reporting line for CCO's in multinational companies is to the Global CEO with dotted line to the Global Audit Committee.

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## COMPLIANCE LAWYER TRACK

### 305 Avoid a Compliance Hangover: Maintain Momentum in Your Compliance Program After the Regulators Have Left

Gregory Bates, Counsel, Miller & Chevalier

Richard Davies, Global Chief Compliance Officer, Avon

- Provide practical tactics to resist calls from management and the board of directors to undo compliance enhancements after settlements with regulators and external monitors.
- Address your organization's realities, such as compliance fatigue at a sensitive time, while maintaining an effective program and demonstrating the program's value to stakeholders.
- Learn to identify and protect what's important, prudently adjust to changing realities, and be a good corporate teammate while shielding your company from recidivism.

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## PRIVACY & DATA SECURITY TRACK

### 306 Demystifying Government Cyber Security Compliance

David Kessler, Public Sector Product Compliance Counsel, Verizon

- Understand the alphabet soup of the Federal government cyber security landscape, including FISMA, NIST, FIPS, FedRAMP, CNSSI 1253, IRS 1075, and similar requirements.
- Learn techniques for encouraging compliance-by-design for Federal cyber security requirements in a commercial company.
- Appreciate how compliance with Federal cyber security requirements can reduce a commercial company's overall cyber security risk.

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## GENERAL COMPLIANCE/HOT TOPICS TRACK

### 307 A View from the Board: What Board Members Want and Need from Compliance and Ethics

Michael R. Levin, Vice President, Compliance and Ethics, Freddie Mac

Aleem Gillani, Board Member, Chair of Audit Committee, Freddie Mac

Joan Ruff, Chair of the Board of Directors, AARP

- A panel discussion with three members of corporate boards of directors
- Frank Q and A including: Criticality of the compliance function to the Board's oversight; How much data is enough/too much?; What does the Board need when things are going fine?; What does the Board need when a crisis arises?
- General words of wisdom from real board members.

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## PROFESSIONAL SKILLS

### 308 Professional Skepticism

Debra Sabatini Hennelly, Founder & President, Resiliti

Suri Surinder, Senior Director, Resiliti

- UNDERSTAND the sources of unconscious bias that get in the way of exercising appropriate professional skepticism;
- ASSESS our level of unconscious bias through exercises that reveal our mental skews and predispositions; and
- ANALYZE and mitigate the sources of unconscious bias to help sustain our professional skepticism.

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## ADVANCED COMPLIANCE

### 309 Advanced Investigations in Multinational Companies

Jannica Houben, Director, Ethics & Compliance, Tech Data Europe

Katarzyna Golonka, Regional Compliance Manager Eastern Europe, Tech Data Europe

- Discuss various aspects of internal investigations from planning, through assembling the investigation team, designing investigative steps, interviews to internal communication and reporting.
- Comprehensive analysis of investigation process combining perspectives of legal counsel and compliance officer with that of an external forensic expert and fraud investigator.
- Practical examples and mini case studies including areas such as crisis communication external and internal, data capture and analysis and using external vs. internal team.

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## DISCUSSION GROUP

### DG5\* What Keeps You Up at Night? How to Control Potential Travel and Expense Fraud

Connie Hoen, Director - Global Audit Services, SAP – Concur

Caroline Butterfield, Senior Program Manager, SAP Concur

- Attendees will work alongside their colleagues to discuss what controls each have in place for Travel and Expense policy compliance. Discussing employee education, policies and responsibilities of your employees, managers and internal Audit teams.
- Ensuring compliance across Travel and Expense policies and regulations. Attendees will learn ways to identify the common fraudulent expenses included mileage, FCPA and Sunshine Act violations.
- This session will identify next steps after you have discovered non-compliant and fraudulent spend. Discussion will occur around how to measure fraud and anomaly compliance success.

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## DISCUSSION GROUP

### DG6\* AMP IT UP: Move Your Compliance Program from Good to Great

Jacki Cheslow, Director, Business Ethics & Comp, Avis Budget Group

- Now that the building blocks for a good compliance program - policies, training, assessments, remediation, and more - are in place, what more is needed to move your program from good to great?
- This session is designed to be a fun and interactive open discussion among peers. The goal is to get and keep your creative juices flowing and help you to identify best practices and strategies for elevating your program to the next level.
- Join us as we tap into the wisdom of the crowd rather than rely on a "sage on the stage".

**3:00 – 3:15 PM**

Networking Break

**3:15 – 3:30 PM**

### General Session: DOJ Evaluation of Corporate Compliance Programs Guidance Document

Matt Miner, Deputy Assistant Attorney General, Criminal Division, United States Department of Justice

**3:30 – 4:15 PM**

### General Session: Investigations and Integrity in the Spotlight

Michael Horowitz, Inspector General, United States Department of Justice

Adam Turteltaub, VP of Strategic Initiatives, SCCE/HCCA

- Keeping your investigation focused while in the spotlight.
- How to find the relevant facts and avoid distractions.
- Writing a report that provides a true conclusion to the investigation and protects the integrity of your office.

**4:15 – 6:00 PM**

Networking Reception with Exhibitors

## Tuesday, September 17

**7:00 AM – 5:00 PM**

Registration Open

**7:00 – 8:00 AM**

Continental Breakfast and Exhibitor Networking

**8:00 – 8:15 AM**

Opening Remarks and Awards Presentation

**8:15 – 9:15 AM**

### General Session: The Odebrecht Transformation – A Recovery from Compliance Scandal

An Interview by Gerry Zack, CEO, SCCE/HCCA with Olga Pontes, Chief Compliance Officer, Odebrecht S.A.

- Dealing with the initial shock and crisis.
- Developing a transformation plan.
- Implementing a new and world-class compliance function.

**9:30 – 9:45 AM**

Networking Break

**9:45 – 10:45 AM**

Concurrent Breakout Sessions

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## RISK TRACK

### 401 Antitrust: How to Navigate a Perilous But Underappreciated Risk Area

Douglas M. Tween, Partner, Linklaters LLP

Pedro de la Torre, Global Compliance Officer & Corporate Counsel, The Chemours Company

Marvin N. Price, Jr., Director of Criminal Enforcement, U.S. Department of Justice, Antitrust Division

- Discuss evolving competition compliance best practices, tools, and practical tips.
- Learn strategies for conducting effective antitrust risk assessments and for auditing and monitoring high-risk activities.
- Spot and remediate new and emerging antitrust risks, with a focus on HR, algorithms, blockchain, and hub-and-spoke agreements.

\* Discussion Groups will be filled on a first-come, first-served basis. Attendance is limited to the first 50 attendees. Pre-registration is not available for these sessions.



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## ETHICS TRACK

### 402 Creating a Culture of Compliance

Andrew G. Bucknam, Chief Compliance Officer, Knights of Columbus

- How to assess your company's culture by using employee survey input and data analytics.
- Conducting Ethics Investigations and Following Up on What you Find.
- Effective Employee Training to Make and Impact in the Corporate Culture.

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## CASE STUDIES TRACK

### 403 Sexual Misconduct in Olympic Sports: Compliance in the Post-Nassar Environment

Regis Becker, Interim CEO, US Center for SafeSport

- Fair, objective, and timely investigation of alleged sexual misconduct is a top priority in every organization today
- Learn about the creation and rapid growth of the US Center for SafeSport, the entity created to address sexual misconduct and promote athlete safety in the US Olympic Movement
- Gain insight from the Center's effort to train over half a million athletes, coaches and administrators on all aspects of sexual misconduct in sport, while investigating more than 2000 reports of misconduct.

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## MULTI-NATIONAL/INTERNATIONAL TRACK

### 404 Global Compliance on Limited Resources

Domenick DiCicco, Global General Counsel & Chief Compliance Officer, Cunningham Lindsey

Thomas A. Doyle, Partner, Baker & McKenzie LLP

Robert Kent Jr., Partner, Baker & McKenzie LLP

- Challenge of Increased Compliance Regs. Globally.
- Cost of Such programs for mid-cap companies is burdensome.
- How we can still create an effective program.

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## COMPLIANCE LAWYER TRACK

### 405 Compliance by Contract - Drafting and Negotiating Terms for Peer-to-Peer Compliance

Jason B. Meyer, President, LeadGood, LLC

Amy E. McDougal, President, CLEAResources, LLC

- When you negotiate a commercial contract that includes terms about compliance -- whether with customers, contractors, vendors or suppliers -- the right terms can boost your own C&E program, and the wrong terms can undermine it.
- From "Quality Agreements" to extensive "reps and warranties" to auditing and indemnification clauses, current trends in commercial contracts mean that transactional lawyers and compliance leaders must be effective partners.
- We'll share our experiences, exchange pitfalls and engage in facilitated exercises. The goal: getting better at closing good deals that support great compliance programs.

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## PRIVACY & DATA SECURITY TRACK

### 406 Using Automation for Compliance Management and Reporting That Will Bring a Smile to the Face of Any Prosecutor

Theodore L. Banks, Partner-President, Scharf Banks Marmor LLC  
- Compliance & Competition

Heidi Rudolph, Managing Director, Morae Global

Gene Stavrou, Compliance Director, Ingredion

- Technology tools to facilitate collaboration/delegation with other parts of the business (including case management systems, learning management, policy management, etc.)
- Aligning & evaluating your compliance program to fit the recommendations of the Federal Sentencing Guidelines and the DOJ Evaluation of Corporate Compliance Programs tool
- Using technology tools for management reporting and engagement (including risk assessment, financial management, ROI, etc.)

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## GENERAL COMPLIANCE/HOT TOPICS TRACK

### 407 Communicating Compliance Creatively: A Panel Discussion

Jay Rosen, VP, Business Development and Monitoring Specialist, Affiliated Monitors, Inc.

Marc Havener, CEO, Resonate Pictures Inc.

Ronald Feldman, President & Creative Director, Learnings & Entertainments

Ricardo P. Pellafone, Founder, Broadcat

- Join moderator, compliance podcaster and former screenwriter Jay Rosen as he crawls into the minds of three creative agencies that are reinventing how to communicate compliance, and why it matters.
- Promote the power and value of a creative approach to leadership by equipping yourself with insights into the behavioral science behind how creative approaches affect culture, change behavior, and influence employee's decisions.
- Learn about the creative process behind making compliance messages that stick, why it's the same strategy advertisers use, and how to understand and streamline the collaborative process so that you satisfy your stakeholders.

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## PROFESSIONAL SKILLS

### 408 Making Connections Count: Tips to Gain Value Through Networking

Samantha Kelen, Chief Ethics and Compliance Officer, Cardinal Innovations Healthcare

- Don't be caught alone. Networking with other professionals ensures you'll have the support you need to fulfill the challenges of an ethics and compliance role.
- Don't be afraid. It's not nearly as complicated, challenging, or scary as it seems. We'll discuss concrete steps you can take to improve your network.
- Don't delay. Networking can lead to countless opportunities if you put in the effort, so come prepared to exchange business cards and get connected.

\* Discussion Groups will be filled on a first-come, first-served basis. Attendance is limited to the first 50 attendees. Pre-registration is not available for these sessions.

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## ADVANCED COMPLIANCE

### 409 Board Overconfidence and Ethical Practices of Senior Management

Jonathan T. Marks, NACD Board Leadership Fellow, Partner, Forensic Litigation & Valuation Services, Baker Tilly Virchow Krause, LLP

- How the board can be misguided by management;
- The Dunning-Kruger effect, which can be interpreted as people who are least competent tend to be most sure of themselves, while those with genuine skills are frequently wracked with doubts about their abilities; and,
- What the Board can be doing to prevent overconfidence of management's ethics from setting in?

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## DISCUSSION GROUP

### DG7\* Cultures of Integrity - We Know What They Are and What They Should Look Like, but How Do We Get There?

Mary Shirley, Senior Director, Ethics and Compliance, Fresenius Medical Care North America

- Discussion of behaviors that define a good culture and what initiatives compliance can lead to inspire those behaviors.
- Mood in the middle - how to get middle management to buy into demonstrating a culture of compliance and integrity.
- Examples of what other companies just like yours are doing to build and establish a strong culture.

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## DISCUSSION GROUP

### DG8\* Building Ethics and Compliance Programs with Public-Sector Employees

Angelique P. Dorsey, Ethics Officer, Washington Suburban Sanitary Commission

- What are the best ways to impact ethical culture with employees who have been with the agency for over a decade?
- How does a program overcome the "this is the way we've always done it" syndrome?
- Techniques to translate ethics laws governing public employees into practice.

**10:45 – 11:30 AM**

Break with Exhibitors

**11:30 AM – 12:30 PM**

*Concurrent Breakout Sessions*

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## RISK TRACK

### 501 Managing M&A Risk: Essentials for Conducting Compliance & Ethics Due Diligence

Kasey T. Ingram, General Counsel & Chief Compliance Officer, ISK Americas Incorporated

Daniel R. Harper, General Counsel and Compliance Officer, GEA Farm Technologies, Inc.

Andrew Gentin, Acting Assistant Chief, Fraud Section, U.S. Department of Justice

- How to recognize the ethics and compliance risks and considerations that arise during mergers, acquisitions, and related transactions, such as joint ventures.
- How to mitigate deal-related ethics and compliance risks and considerations through due diligence, contract provisions, and strategic planning.
- How to integrate ethics and compliance after the deal to identify and mitigate any post-closing ethics & compliance risks.

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## ETHICS TRACK

### 502 The College Admissions Scandal: Lessons for Other Organizations

Jonathan E. Turner - VP, Ethics & Compliance - Smith & Nephew

- What we know is that: Unexpected ethical lapses expose organizational blind spots; We are still only as strong as our weakest employees; Reputational risk has exponentially increased
- Given that, what specific action steps do organizations take today?

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## CASE STUDIES TRACK

### 503 Measuring Program Effectiveness and Identifying Gaps on a Shoestring Budget

Marjorie K. Maier, Compliance and Privacy Officer, HMS, Inc.

- Learn low cost practical ways to measure your program's effectiveness.
- Identify program gaps and develop targeted activities to drive meaningful improvement. Leverage employees outside your team to initiate progress.
- Small teams and small budgets CAN drive meaningful culture change in your organization. See how we did it.

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## MULTI-NATIONAL/INTERNATIONAL TRACK

### 504 Next Generation Anti-Corruption Compliance Programs: Transforming a Policy-Based Program to a Controls-Based Program

Parth Chanda, CEO, Lextegrity

Samantha Badlam, Counsel, Ropes & Gray LLP

Natasha Trifun, Executive Director, R&D, Global Medical, External Funding, Quality and Operations, Alexion Pharmaceuticals, Inc.

- Hear from a DOJ-appointed monitor, a current in-house compliance lawyer, and a former in-house compliance lawyer turned technologist on how to implement a robust controls system to mitigate corruption risks that will pass muster with enforcement agencies.
- Using real-life examples, understand how to map your controls gaps to operationalize end-to-end systems and controls, from pre-approval systems and third-party due diligence, to payment controls and compliance monitoring and analytics platforms.
- Learn about how to prioritize improvements with limited resources and how to leverage resources outside of Compliance, such as Procurement, IT, Internal Audit and Finance, from three speakers with hands-on experience as in-house and outside counsel.

## COMPLIANCE LAWYER TRACK

### 505 DOJ's Guidance on Compliance

Billy Jacobson, Partner, Orrick

Steven Gyeszly, Chief Compliance Counsel, Marathon Oil

- What new ground is covered by the new, enhanced DOJ compliance guidance.
- How the DOJ is utilizing the guidance.
- How companies are and should be utilizing the new guidance.

## PRIVACY & DATA SECURITY TRACK

### 506 Optimize IT Compliance Processes to Meet New Data Privacy Challenges

Ralph Villanueva, IT Security and Compliance Analyst, Diamond Resorts International

- The audience will learn the common data privacy requirements across several legislations such as the GDPR and the California Privacy Act, and understand the interrelatedness of IT compliance and data privacy.
- The speaker will demonstrate how IT compliance processes can be leveraged to meet data privacy requirements.
- Audience will pick up techniques to make their organizations more data privacy compliant upon returning to the office.

## GENERAL COMPLIANCE/HOT TOPICS TRACK

### 507 Transformation! 5 Success Strategies for Compliance Changemakers

Amii L. Barnard-Bahn, Principal, Barnard-Bahn Consulting

Virginia MacSuihbne, VP Chief Compliance Officer, Roche

- Organizations have a natural tendency to resist change. Compliance leaders need to adopt change management principles to successfully manage this natural resistance.
- Learn the 5 change management principles that will enable you to manage compliance initiatives for optimal acceptance, cultivate positive business relationships, and create an information funnel that enables continuous improvement.
- Explore a Roche case study illustrating how change management principles transformed the business. Attendees will come away with a deep understanding that change management ensures our most important work is built to last.

## PROFESSIONAL SKILLS

### 508 The Compliance Officer's Guide to Keeping Calm and Carrying On: Strategies and Tools for Thriving in a Stressful Profession

Diana L. Trevley, Chief of Global Services, Spark Compliance Consulting

Lisa Beth B. Lentini, CEO and Founder, Lumen Worldwide Endeavors

- Share and discuss the unique challenges and stressors facing compliance officers in today's corporate world.
- Learn simple but effective life hacks for managing burnout, jet lag, crises, and crying babies (of both the corporate and infant variety).
- Discover the science behind the mindfulness, meditation, and gratitude practices that helped transform one company's compliance team.

## ADVANCED COMPLIANCE

### 509 It's Not Where You've Been; It's Where You Are Going: Improving Compliance and the Employee Experience by Tackling Policy Proliferation

Cynthia Creech, Policy Governance & Assessment, Cisco Systems

Laura Ellis, Global Compliance Enablement, Cisco International Limited

- How Cisco set to reduce complexity and frustration and improve compliance with an aspirational goal of reducing the number of companywide policies from 330+ to 33 and, along the way, align compliance posture with risk tolerance.
- How did we do this? Why did we do this? And how did the collaboration between Policy Governance and Compliance & Ethics set off a chain reaction within Cisco to make compliance easier across the company?
- In this session, we will walk through our often complex and frustrating process to optimize and consolidate, clear up inconsistencies and overlap and stop the madness of policy proliferation to improve both compliance and the employee experience.

## DISCUSSION GROUP

### DG9\* DG6\* Communication Essentials for Compliance Officers

Sally Afonso, Senior Regulatory Compliance Officer, HSBC - North America

- Discuss strategies for influence, persuasion, and cooperation that will promote effective compliance programs and people.
- Learn useful and creative frameworks for interpersonal communication in teams and organizations of all sizes.
- Practice specific communication and relationship-building techniques, tailored to compliance officers objectives and challenges.

## DISCUSSION GROUP

### DG10\* Making the Most of Your E&C Network

Jessica A. Tjornehoj, Manager, Global Ethics Strategy and Framework, US Bank

Eric Brotten, Director, International & US-Domestic Compliance Programs, Optum

- Professionals from all generations will learn about and share ideas around best practices for networking, being a connector, paying it forward, and thought leadership as an ethics & compliance professional.
- Learn to leverage in-person events (like this conference!), affinity and professional associations, mentoring, networking, publishing, and social media to expand & share your expertise in E&C.
- Increase your reach as an E&C professional and influencer and participate in the #SCCEci thread for hands-on practice of your new/improved networking skills! Let's get #SCCEci trending together!

**12:30 – 1:30 PM**

Networking Lunch, Dessert, and Last Chance to Visit with Exhibitors

\* Discussion Groups will be filled on a first-come, first-served basis. Attendance is limited to the first 50 attendees. Pre-registration is not available for these sessions.

## 1:30 – 2:30 PM

### Concurrent Breakout Sessions

#### RISK TRACK

##### 601 RIM 101: Managing Risk and Designing a Compliant Information Management Plan

Jacki Cheslow, Director, Business Ethics & Comp, Avis Budget Group

- While we live in the Information Age, not all information created or received is equal.
- This session will focus on building a compliant and legally defensible plan to manage your records and information.
- During the session we will explore the record & information lifecycle, General Accepted Accounting Principles and the steps required to design a compliant and legally defensible record retention plan.

#### ETHICS TRACK

##### 602 Ethical Lapses of Executives and Other Notable Public Figures: Lessons Learned, and Lessons Never Learned

Stuart L. Pardau, Professor, Cal State Northridge

- Spectacular ethical failings of corporate and other business leaders now appear commonplace. What drives already and otherwise successful people to commit ethical violations or even engage in criminal conduct?
- Are there common attributes that can be identified in the acts or omissions of these business actors? Equally important, can factors or circumstances be located that inform us as of early warning signs that can modify behaviors or even prevent them
- This presentation will identify specific case studies of notable recent examples to try to identify commonalities or root causes of these lapses.

#### CASE STUDIES TRACK

##### 603 Go Big or Go Home: How to Hold an Ethics Month Event

Michelle Cantu, Ethics and Compliance Manager, Triad National Security

- Planning: How to plan a month-long event, including creating a communication plan, engaging stakeholders, deciding on giveaways (purchased and free), and marketing your event.
- How to Brand Your Ethics Month: Using logos, themes, and colors to brand your event.
- Ethics Month Events: Examples of different events and communications used as part of an Ethics Month, including easy to plan events, elaborate events for large groups, newsletters, and surveys.

#### MULTI-NATIONAL/INTERNATIONAL TRACK

##### 604 #WeToo – Is Your Organization Ready to Respond Properly to Allegations of Sexual Harassment?

Cedric Bourgeois, Principal Investigator, UNESCO

- A harassment-free work environment is paramount to institutional integrity. How organizations handle allegations conveys the tone at the top, especially when they relate to sexual harassment.
- Your compliance program already has valuable elements to build a proper response to allegations of sexual harassment: learn how to transfer those skills to the challenge the #MeToo campaign has highlighted.
- This session will explore the specifics of investigations into allegations of harassment, including legal challenges and high scrutiny from a wide variety of stakeholders.

#### COMPLIANCE LAWYER TRACK

##### 605 Antitrust & HR Compliance

Justin Hedge, Counsel, Antitrust, Arnold & Porter

- Federal and state antitrust enforcers have increased attention on hiring practices.
- DOJ & FTC published new antitrust guidelines for HR professionals and since then, investigations have continued with a number resulting in enforcement actions.
- Join us as we discuss recent developments in this area.

#### PRIVACY & DATA SECURITY TRACK

##### 606 Compliant Technology - The Future is Now

Stephen Majerowicz, Technical Director, Office of Compliance for Capabilities, National Security Agency

- Analytics - replacing the human - tools that make our work easier can be compliant. They have to be compliant in the context of government access to data.
- The future of analytics - is now - the development of analytics is proceeding at breakneck speeds and compliance must keep pace.
- Use case - streaming analytics - to show how human-only functions are being replaced and where compliance fits into the equation.

#### GENERAL COMPLIANCE/HOT TOPICS TRACK

##### 607 Choosing and Using KPIs and Metrics that Matter: How to Assess and Sell Your Program from the Inside Out

Kristy Grant-Hart, CEO, Spark Compliance Consulting

Susan Du Becker, Global Compliance Enablement, Cisco Systems BV

- Learn how to choose Key Performance Indicators that actually matter: meaningful, impactful and business relevant.
- Find out how to evaluate your program from the inside out by using cutting edge metrics that not only tell the story of your program's progression, but also how you've supported business initiatives.
- Hear over 40 specific Key Performance Indicators so you can choose those that best fit your program. You'll find out how to track, monitor, and manage in a more effective way.

\* Discussion Groups will be filled on a first-come, first-served basis. Attendance is limited to the first 50 attendees. Pre-registration is not available for these sessions.

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## PROFESSIONAL SKILLS

### 608 How a Twenty Year Military Career Developed Me as an Ethics & Compliance Professional!

Mark Revel, CCEP, Lead Case Manager, Compliance and Ethics Investigation Team, Northrop Grumman

- Part One: Integrity First! The USAF #1 Core Value is the very foundation of all we do as CEPs. Learn how basic core values can be applied to your working life with integrity lessons learned and applied.
- Part Two: Employee Engagement when the bullets are flying! — Everyone knows engaged employees are more productive. Here's why...You will learn how and why you should become the most engaged employee on your organization's team.
- Part Three: Leadership is everything! You will learn what true leadership is and will be given practical examples and tips for learning and applying the crucial art of leadership in our roles as CEPs. Leadership is essential for our professional development at CEPs.

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## ADVANCED COMPLIANCE

### 609 Human Risk: Bringing Science to Compliance

Christian J. Hunt, Founder, Human Risk

- In the Knowledge Economy, people are often seen as the greatest asset of an organisation. Yet those assets also pose a bigger risk than ever before.
- In fact, Human Risk, the risk of people doing things they shouldn't or not doing things they should, is the largest single risk facing most organisations.
- Yet this risk is widely managed by using techniques that rely on presumptions about human decision-making that aren't valid. This presentation will explore how Behavioral Science can facilitate the management of Human Risk.

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## DISCUSSION GROUP

### DG11\* Compliance & Cannabis in the Workplace: Navigating the Changing Landscape of Legalization

Amy E. McDougal, President, CLEAResources, LLC

- Discuss how to manage legal cannabis use in the workplace; how it may impact your business.
- Consider how to proactively plan for cannabis in your business; updating policies, delivering relevant training and adjusting monitoring protocols.
- Learn about ways to prepare your corporate compliance and ethics program for legalized recreational and medical marijuana use in order to lead management's adaptation to the changing legal landscape.

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## DISCUSSION GROUP

### DG12\* Theory vs Reality in your Policies and Procedures - the Dangers of Aspirational Compliance

Janet Himmelreich, Managing Director, 3Comply

- Join the discussion to explore "aspirational" compliance and determine if you are a practitioner and to what degree.
- Using case study examples, determine the dangers that lurk among policies and procedures.
- Develop your action plan to uncover the drivers of aspirational compliance in your organization and steps to limit the dangers.

**2:30 – 3:30 PM**

Break

**3:00 – 4:00 PM**

*Concurrent Breakout Sessions*

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## RISK TRACK

### 701 Designing Actionable, Memorable Risk Reports

Melanie Herman, Executive Director & CEO, Nonprofit Risk Management Center

- Attend this session to learn how to create compelling risk reports for a variety of audiences.
- Learn how risk dashboards have evolved including design tips for choosing data for a risk dashboard.
- Leave this session with ideas and insights you can use to inspire risk-aware decision-making by management and governing teams.

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## ETHICS TRACK

### 702 What do Starbucks Coffee, Jimmy Buffet and a Can of Cheez Whiz Have in Common? A Unique Look at How to Explain Ethics and Compliance and Successfully Embed it Within the Operations

Beth Colling, Vice President and Chief Compliance Officer, CDM Smith, Inc.

- Learn how to introduce or refresh a compliance and ethics program into your organization, especially where buy-in seems lacking.
- Develop methods to market your program to internal stakeholders using real-life examples.
- Take away practical tips for establishing and defining the program and embedding it within your organization using the operational leaders as your Compliance Ambassadors.

\* Discussion Groups will be filled on a first-come, first-served basis. Attendance is limited to the first 50 attendees. Pre-registration is not available for these sessions.



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## CASE STUDIES TRACK

### 703 Changing the Internal Audit Game: Citi Uses AI to Drive Innovation

Marc Sabino, Mgr Dir Chief Auditor, Citi

- Citi uses Artificial Intelligence to achieve greater audit assurance, insights and operational efficiency.
- How does AI empower Citi's auditors with greater capabilities of detection as well as data driven insights?
- Regulatory expectations are changing. Learn what regulators think of AI in Internal Audit.

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## MULTI-NATIONAL/INTERNATIONAL TRACK

### 704 ISO 37001: The Global Future of Compliance or a Turn Down the Wrong Trail?

Walter E. Johnson, Senior Advisor, Compliance Strategists LLC

Joseph E. Murphy, Senior Advisor, Compliance Strategists LLC

- What is ISO 37001 and what are its implications for compliance globally?
- In what ways does it impact compliance professionals and our organizations?
- Can the standard be improved to achieve better results in fighting corruption?

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## COMPLIANCE LAWYER TRACK

### 705 Leverage Legal Developments to Advance Your Program

Rebecca Walker, Partner, Kaplan & Walker LLP

Jeffrey M. Kaplan, Partner, Kaplan & Walker LLP

- Review recent developments in U.S. and other law related to compliance and ethics, including case law, deferred prosecution agreements and government pronouncements.
- Examine the impact of recent legal developments on C&E program design and implementation.
- Consider strategies for using C&E legal developments to enhance your program.

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## PRIVACY & DATA SECURITY TRACK

### 706 Automating Privacy Operations at Scale in Azure

David J. Marcos, Chief, Privacy Operations: Cloud & Artificial Intelligence, Microsoft

- Built on Trust: operationalizing privacy compliance for Cloud.
- Data-driven continuous monitoring of privacy.
- Looking to the future: laying the groundwork for ethical computation.

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## GENERAL COMPLIANCE/HOT TOPICS TRACK

### 707 Culturally Sensitive & Regionally Specific - Ensuring Your Message Resonates Globally and is Effective Across a Multidimensional Corporate Landscape

Ana-Paola A. Capaldo Aoun, Director, Ethics & Compliance Officer, Tech Data

Jannica Houben, Director, Ethics & Compliance, Tech Data Europe

- Know Where You Are - How to tailor critical aspects of your program, such as communications and policies to a global audience, and how to ensure your message resonates across various countries, employee profiles, and operations.
- Know Who They Are - How to assess and develop a program that is effective in many geographies, specifically as it relates to policies, communications, and training. Exploring statistics and studies on how messaging is interpreted by various cross-sections.
- Brief highlights on other considerations (regulatory, legal landscape, investigations, privacy, and more).

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## PROFESSIONAL SKILLS

### 708 LinkedIn 2.0: How to Maximize Your LinkedIn Membership

Matt Ross, Account Executive, LinkedIn Marketing Solutions

- How to best optimize your profile.
- How to conceptualize content and utilize it to become a subject matter expert.
- The little daily actions you can take that collectively elevate your LinkedIn feed.

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## ADVANCED COMPLIANCE

### 709 Advanced Learning from the Latest Data Breach Incidents

Jonathan Armstrong, Partner, Cordery

- How to reassess your current practices.
- Gleaning insights from enforcement actions and regulatory comments.
- Raising your risk level calculations.

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## DISCUSSION GROUP

### DG13\* Role of the Compliance Officer in Preventing Perverse Performance Incentives that Can Drive the Wrong Employee Behaviors

Eric R. Feldman, Senior Vice President and Managing Director, Corporate Ethics and Compliance Programs, Affiliated Monitors, Inc.

- Discuss why employee incentives, such as bonuses and promotions, should be properly aligned with corporate ethics and integrity objectives.
- Identify through sharing of case examples how perverse incentives can contribute to employee misconduct.
- Learn how Compliance Officers can play a value-added role in corporate performance management processes.

\* Discussion Groups will be filled on a first-come, first-served basis. Attendance is limited to the first 50 attendees. Pre-registration is not available for these sessions.

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## DISCUSSION GROUP

### DG14\* Operationalizing Workplace Civility as a Compliance Value

Stephen Paskoff, President and CEO, Employment Learning Innovations

- Defining workplace civility in the context of your organization's values, mission and compliance standards;
- Using civility-driven behaviors to encourage leaders and employees to speak up about compliance and related issues;
- Sustaining civility initiatives so they become cultural norms for daily workplace behaviors furthering compliance objectives and mission results.

**4:00 – 4:15 PM**

Break

**4:15 – 5:15 PM**

### General Session: The Limits of Trust

Diana B. Henriques, Financial Author and Journalist, Contributing Writer for The New York Times, Author of *The Wizard of Lies*:

*Bernie Madoff and the Death of Trust*

- The Bernie Madoff scandal in 2008 cast new light on an age-old Challenge: Too often, our psychological and procedural defenses are set up to detect threats from the outside
- How do we defend ourselves from the trusted criminal—the admired and respected high-achiever who wins our trust, and then betrays us?
- Gain a better understanding of how Madoff's fraud can inform a smarter approach to keep us safe from such predators.

**5:15 PM**

Closing Remarks

## Wednesday, September 18

**8:00 AM – 12:00 PM**

Registration Open

**8:30 – 10:00 AM**

*Post Conference Breakout Sessions*

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## RISK TRACK

### W1 Lock It Down: Protecting Your Data From Third-Party Security Risks

Matt Kelly, Editor & CEO, Radical Compliance

Fernanda Beraldi, Senior Director, Ethics & Compliance, Cummins Inc.

Edwin Broecker, Partner, Quarles & Brady

- Review the current state of oversight that most companies have over business partners handling their confidential data, and why weak oversight is more a failure of policy and procedures rather than of IT security;
- Understand the risk assessment process and other resources that companies can use to gauge and monitor data security risk with its vendors and other third parties;
- Hear how one global corporation does track the third parties handling its confidential data, and the techniques it uses to ensure compliance with its data privacy and securities policies.

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## ETHICS TRACK

### W2 Engineering Ethics into Existing Business Practices

Rebeka Spires, Compliance & Ethics Director, Louis Berger U.S. Inc., A WSP Company

Shannon Young, US Employment & Ethics Counsel, WSP USA, Inc.

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## CASE STUDIES TRACK

### W3 Don't be an Armchair Quarterback. Use Just-in-Time Coaching to Reduce Compliance Risks!

Harper E. Wells, Director, Compliance Insights & Strategy, True Office Learning

Kortney Q. Nordrum, Regulatory Counsel & Chief Compliance Officer, Deluxe Corporation

Courtney A. Sander, Implementation Lead, Broadcast LLC

- Create a game plan – We'll share real-life examples on how to identify and leverage existing systems and business practices to help your employees be their own coach.
- Work with you special teams – You'll need stakeholder and subject matter expert buy-in to make compliance a built-in activity, so we'll give you tips on how to make that happen.
- Keep score – We'll show you how to monitor and continuously improve your compliance program the easy and effective way.

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## MULTI-NATIONAL/INTERNATIONAL TRACK

### W4 In Case the Government Comes Knocking: Best Practices in Investigating and Remediating FCPA Issues

Iris E. Bennett, Member, Smith Pachter McWhorter PLC

Nancy Jacobson, Counsel, Global Compliance and Ethics, United Air Lines

Maria Gomez, North American Regional Compliance Officer, Robert Bosch LLC

Brenda Morris, Deputy General Counsel, Booz Allen Hamilton

- Lessons from DOJ and SEC policies and settlements: their expectations of corporate internal investigations and remediation and how those expectations impact obtaining a favorable resolution.
- Managing FCPA internal investigations: lessons for compliance officers and in-house counsel on effective resourcing; preserving, gathering and analyzing the evidence; local law issue-spotting; data privacy; language and culture; and the key legal concepts
- Managing FCPA remediation: lessons for compliance officers and in-house counsel on types of remediation in FCPA cases; how much is enough; what about your third parties; and documenting and implementing.

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## COMPLIANCE LAWYER TRACK

### **W5** The Vital Role of Exceptional Investigative Teams in the #MeToo Era

Rebecca A. Speer, Attorney and Co-founder, Tribu Partners LLP  
Elizabeth W. Gramigna, Attorney and Co-founder, Tribu Partners LLP

- The Key Cultural Shifts That #MeToo Has Driven, and Their Impact on Compliance.
- Internal Investigative Teams as Stewards of Organizational Justice: the Accountability That This New Era Demands.
- Building Exceptional Internal Investigative Teams: Lessons Leveraged From Decades of Experience.

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## PRIVACY & DATA SECURITY TRACK

### **W6** Managing Data and Promoting Privacy: A Deliberate Peer-to-Peer Experience Exchange of Ideas About How to Comply with Rapidly Changing Cyber Security and Privacy Compliance Obligations

Whitney A. Tom, Program Manager, Corporate Relations, TechSoup

Nisha Sehn, Senior Technical Program Manager, Technical Operations and Security, Fastly

- The TechSoup Team is back for take two due to positive feedback from their 2018 debut. We will facilitate dialogue about how companies monitor changing cyber security obligations and how you work across departments to protect data and enhance privacy.
- Who's responsible and accountable for data management and protection? A discussion about the intersection of business, technology, and compliance teams involvement in data management and protection. We will share successful and collaborative strategies
- Strategies to address the risks: Strategies to take a risk-based approach to map, manage, and protect data. How you can use technology as a tool to monitor and enforce data protection. A facilitated dialogue about participants' experiences.

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## GENERAL COMPLIANCE/HOT TOPICS TRACK

### **W7** Anti-Corruption Metrics & Measurement: Failure is Obvious but How Do We Measure Success?

Peter Glover, CIPE Center for International Private Enterprise

Marjorie W. Doyle, Marjorie Doyle & Associates, LLC

- How do we evaluate the effectiveness of an anti-corruption compliance program, whether it is at a multi-national company's Midwestern factory or at a mid-sized business in an emerging market supported by an NGO program?
- Closing the circle. Showing the connection between the principles and rules that get violated and the audits and investigations that result. Case studies from Dupont and CIPE's Kenyan compliance program showing that success is grounded in practice.
- The other Oedipus Complex, when organizations intentionally blind themselves to the difficult truths that come with genuine evaluation. How to avoid incentivizing avoidance of failure and making success inevitable.

**10:00 – 10:15 AM**

Networking Break

**10:15 – 11:45 AM**

*Post Conference Breakout Sessions*

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## RISK TRACK

### **W8** Working with the U.S. Government: Risks and Compliance with Federal Ethics Rules in Government Contracting

Steve Epstein, Former Chief Counsel Ethics & Compliance, Boeing Company

Danica Irvine, Senior Attorney, DoD Office of General Counsel

- When contracting with the U.S. Government, suppliers must understand and comply with Federal ethics rules. This session will focus on common compliance and ethics issues that can arise in contracting and provide helpful guidance to compliance officers so they can take proactive measures to prevent or ameliorate them.
- This is a "must-attend" session for companies who contract to provide services to the Federal Government, particularly when co-located. We will cover a broad array of potential issues, to include conflicts of interest, gifts, social interactions, post-employment restrictions, and protection of data.
- This is a continuously evolving landscape that creates unique compliance challenges not addressed elsewhere. We will identify current and developing issues while also leveraging the shared knowledge of the presenters and the audience in discussing best practices for managing risk.

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## ETHICS TRACK

### **W9** Don't Boil the Ocean - Distill It!

Courtney A. Sander, Implementation Lead, Broadcat LLC

Katie H. Smith, EVP Chief Compliance Officer, Convercent

- You've got a sea of cultural survey results, but what do you do with it? Is data even reality?
- Learn how to do your own self-assessment and avoid analysis paralysis.
- We'll show you how to set achievable goals and craft your own practical action plan.

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## CASE STUDIES TRACK

### **W10** Counseling Compliance in Small to Medium Sized Organizations

Jason Meyer, President, LeadGood LLC

- "SMBs" (under 100 employees) make up 97% of US companies, but they likely face their compliance obligations without a CCO, full C&E department or perhaps even a GC.
- We will explore the unique challenges (and opportunities) of compliance leadership in SMBs – and nonprofits and governments – where budgets and headcount are limited, processes informal, and executive power dominant.
- We'll share experiences and successes, including ways to use regular operational processes as tools to promote compliance, and to use the strong culture in these organizations to their ethical advantage.

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## MULTI-NATIONAL/INTERNATIONAL TRACK

### **W11** Same but Different: How to Effectively Manage Your Third Party Corruption Risks Globally

Emanuel Batista, Director, Compliance Risk and Diligence, Kroll, a Division of Duff and Phelps

Fernanda Beraldi, Senior Director, Ethics & Compliance, Cummins Inc.

Edwin Broecker, Partner, Quarles & Brady

- 2019 FCPA Around the Globe: Review the largest and latest global third-party related bribery violations.
- One-size does not fit all: How to conduct risk-based third party management program that works globally.
- Technology and Human Capital: Learn best practices to jumpstart your Third Party Management Program with a combination of both approaches.

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## COMPLIANCE LAWYER TRACK

### **W12** Practical Strategies for Conducting Effective and Ethical Anti-Corruption Risk Assessments in High Risk Jurisdictions

Mark Morrison, Partner, Blakes, Cassels & Graydon LLP

Jonathan Drimmer, Partner, Paul Hastings

John Vanderbeek, Vice-President Compliance, Kinross Gold Corporation

Kristine Robidoux, Senior Compliance and Regulatory Counsel, Gran Tierra Energy Inc.

- An interactive seminar with leading US and Canadian compliance and investigation counsel focusing on practical strategies for ethically conducting and responding to issues arising from anti-corruption risk assessments in high-risk jurisdictions.
- The speakers will discuss the benefits of partnering ethics with risk-based strategies to identify effective risk assessment tools such as formal schedules, mapping exercises, desktop assessments, interviews, testing and sampling, and more.
- Attendees will also learn about approaches for dealing with authorities in multiple jurisdictions, how risk assessments can prevent costly investigations and their importance to the SEC/DOJ, and implications of jurisdictional whistleblower trends.

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## PRIVACY & DATA SECURITY TRACK

### **W13** Designing a Compliance and Governance Model for Today's Hi-Tech Business Environment

Eric Brotten, Director, International & US-Domestic Compliance Programs, Optum

Sarah E. Boswell-Healey, Director, Optum

- The line between tech and traditional companies is blurring, so are the traditional roles-based silos between IT Governance, Privacy and Compliance. Rapid innovation and product development in a global environment requires a cross-functional strategy.
- As a compliance professional, you need to understand how to add value in these team of teams times. Explore differences between traditional waterfall/stagegate product development and current agile methodologies. Learn how to avoid scrum burnout.
- Today's compliance professionals support hi-tech governance. Explore how you can be a valuable part of a governance team and learn practical tips about how to design a program using tools like artifact libraries, playbooks, hazard logs, and RACIs.

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## GENERAL COMPLIANCE/HOT TOPICS TRACK

### **W14** Inside Out: What Do Regulators and Enforcement Staff Understand and Misunderstand About Compliance Programs and Compliance Culture

Michael Henry, Senior US Legal Counsel, Emera Energy

David Applebaum, Partner, Akin Gump Strauss Hauer & Feld LLP

Christine Roth, Associate General Counsel, Vista Outdoor

Nadira Clarke, Partner, Environmental and Workplace Safety, Katten Muchin Rosenman LLP

- Presentation from four former regulators drawing on experiences from four different federal agencies (with expertise in enforcement, labor/employment, environment, and energy) on what regulators get right and what they get wrong about compliance programs.
- How to create internal procedures that will help your company withstand scrutiny and how to communicate those procedures, and the company's overall compliance culture, to regulators.
- How to ensure the regulator understands the relevant facts and circumstances so that you can help keep an investigation from spinning out of control.

### **12:45 PM**

Check-In for CCEP and CCEP-I Certification Exams

*(Optional)*

### **1:00 – 4:30 PM**

Certified Compliance & Ethics Professional (CCEP) Exam

*(Optional)*

### **1:00 – 5:00 PM**

Certified Compliance & Ethics Professional – International (CCEP-I) Exam *(Optional)*

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# REGISTRATION

SCCE's Compliance & Ethics Institute • September 15-18, 2019 • Gaylord National • National Harbor, MD

## CONTACT INFORMATION

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Member ID/Account Number

First Name MI

Last Name

Credentials (CCEP, etc.)

Job Title

Organization (Name of Employer)

Street Address

City/Town

State/Province

Zip/Postal Code

Country

Phone

Email (required for registration confirmation and conference info)

**Use of your information.** To find out how we may use your information please read our Privacy Statement at [corporatecompliance.org/privacy](http://corporatecompliance.org/privacy). **By submitting this registration form you agree to the terms and conditions, including the use of your information as stated on page 35.**

## REGISTER ONLINE [complianceethicsinstitute.org](http://complianceethicsinstitute.org)

**EMAIL** your completed form to [helpteam@corporatecompliance.org](mailto:helpteam@corporatecompliance.org)  
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**MAIL** your registration form with check enclosed:  
SCCE, 6500 Barrie Rd, Suite 250, Minneapolis, MN 55435

**FAX** your completed form to 952.988.0146 (include all billing info)

**QUESTIONS?** Call 888.277.4977 or 952.933.4977  
or email [helpteam@corporatecompliance.org](mailto:helpteam@corporatecompliance.org)

## REGISTRATION OPTIONS

	before 9/1/19	on/after 9/1/19
<input type="checkbox"/> SCCE Members: MONDAY & TUESDAY	\$1,249	\$1,299
<input type="checkbox"/> Non-Members: MONDAY & TUESDAY	\$1,549	\$1,599
<input type="checkbox"/> First-Time Membership & Registration: MON & TUE	\$1,469	\$1,519
<i>First-time members only. Dues regularly \$325 annually—register now to save!</i>		
<input type="checkbox"/> Pre-Conference: SUNDAY MORNING	\$175	\$195
<input type="checkbox"/> Pre-Conference: SUNDAY AFTERNOON	\$175	\$195
<input type="checkbox"/> Post-Conference: WEDNESDAY	\$175	\$195
<input type="checkbox"/> Discount for 5 or more from same org.	(\$100)	(\$100)
<input type="checkbox"/> Discount for 10 or more from same org.	(\$150)	(\$150)

*Registration fees are as listed and considered net of any local withholding taxes applicable in your country of residence. All prices are subject to change.*

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

### Dietary Needs Request

- ☐ Gluten Free ☐ Vegetarian ☐ Vegan  
☐ Kosher ☐ Dairy Free  
☐ Other (write in): \_\_\_\_\_

### Volunteer Project\*

- ☐ Sign me up for SCCE's Volunteer Project

\*Pre-registration required.

## PAYMENT OPTIONS

- ☐ Check enclosed (payable to SCCE)  
☐ Invoice me  
☐ I authorize SCCE to charge my credit card (choose card below):  
CREDIT CARD: ☐ American Express ☐ Discover ☐ MasterCard ☐ Visa

Due to PCI Compliance, please **do not provide any credit card information via email**. You may email this form to [helpteam@corporatecompliance.org](mailto:helpteam@corporatecompliance.org) (without credit card information) and call SCCE at 888.277.4977 or 952.933.4977 with your credit card information.

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CEI2019





# TERMS & CONDITIONS

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**GROUP DISCOUNTS. 5 or more:** \$100 discount for each registrant  
**10 or more:** \$150 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@corporatecompliance.org](mailto: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 depending upon the membership status of the substitute. Substitution requests must be submitted by email to [helpteam@corporatecompliance.org](mailto:helpteam@corporatecompliance.org).

**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 acknowledgment 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 SCCE Compliance & Ethics Institute 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 SCCE Compliance & Ethics Institute, I grant SCCE the right to use my name, photograph, video, and biography for such purposes. As a participant of this event, your 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.

**PREREQUISITES.** Education level for the "Advanced Compliance Learning Track" is considered Advanced. The prerequisite for the sessions offered in this track is that an attendee have a minimum of 10 years of experience in the compliance profession. For all other "Learning Tracks," the education level is considered Basic.

**ADVANCED PREPARATION.** None.

**CONTINUING EDUCATION.** SCCE is in the process of applying for additional internal 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](mailto:ccb@compliancecertification.org).

To see the most up-to-date CEU information go to SCCE's website, [corporatecompliance/all-conferences](http://corporatecompliance/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 **24.0** 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)®.

**Daily Breakdown:** **Sunday** | 7.2 CCB CEUs, **Monday** | 6.0 CCB CEUs, **Tuesday** | 7.2 CCB CEUs, **Wednesday** | 3.6 CCB CEUs | Totals subject to change

**Continuing Legal Education (CLE):** The Society of Corporate Compliance and Ethics is a provider/sponsor, approved/accrued by the State Bar of California, the Pennsylvania Bar Association, and the State Bar of Texas. An approximate maximum of **16.0** clock hours of CLE credit will be available to attendees of this conference licensed in these states. 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: [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 Live. Advanced Preparation: None. A recommended maximum of **24.0** 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-level 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.

**HOTEL INFORMATION.** Gaylord National is the official conference hotel for the 2019 Compliance & Ethics Institute. SCCE does not call or contact our attendees to book hotel room reservations. If you receive a call or email from a hotel booking service requesting that you book your hotel reservation for the SCCE conference through them, please note that the organization is not affiliated with or contracted by SCCE.

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The Society of Corporate Compliance & Ethics  
6500 Barrie Road, Suite 250  
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**SEPTEMBER 15-18, 2019**

*Gaylord National • National Harbor, MD*

SCCE's 18th Annual

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