

AGENDA AND LEARNING OBJECTIVES / ALL TIMES LISTED ARE IN EASTERN DAYLIGHT TIME (EDT)

8:25 AM EDT

Opening Remarks

8:30 – 9:30 AM EDT

The Importance of a Working CMS in a High-Risk Environment

Stephan Lutz, Compliance Officer, Daimler AG Commercial Vehicle MENA and Africa

Merlyn Pamela D'Souza, Local Compliance Specialist, Daimler Commercial Vehicles MENA FZE

Anand Guruswamy, Legal & Compliance – Daimler India Commercial Vehicles

- Introduction of typical shortcoming of a Compliance Management System and how this can influence its effectiveness
- Introduction of Daimlers Compliance Management Systems
- Focus on the mitigation of Third Party Risk and sanction screening

9:30 – 9:45 AM EDT

Break

9:45 – 10:45 AM EDT

Global Update on Data Privacy Laws

Brad Hammer, Attorney, Vakaris

As data privacy laws develop around the world, this presentation will explain the emerging pattern of similar laws and regulations.

- When did privacy principles start
- What are the current trends
- Are there similarities around the world
- What does 2022 bring

10:45 – 11:00 AM EDT

Break

11:00 AM – 12:00 PM EDT

Compliance Career Development: Practical and Team Approaches

Gates Garrity-Rokous, Vice President and Chief Compliance Officer, The Ohio State University

- Deliver a practical career framework and tools for those working in all areas of compliance
- Engage participants in professional self-assessment using framework
- Identify opportunities for compliance leaders to leverage framework in building teams and increasing development and retention of key staff

12:00 – 1:00 PM EDT

Mid-Conference Break

1:00 – 2:00 PM EDT

Investigations: Trends and Tips

Wendy Evans, CCEP, Sr. Manager Ethics Core Programs, Lockheed Martin Corporation

C. Fawn Hudson, CCEP, Sr. Manager Ethics and Business Conduct, Missiles and Fire Control, Lockheed Martin Corporation

- Contacts to E&C: How did contacts trend in 2019, 2020, and 2021?
- Has work-from-home or hybrid environments really impacted investigations?
- Evolving investigative tips and best practices.

2:00 – 2:15 PM EDT

Break

2:15 – 3:15 PM EDT

The “RIG”ors of Compliance: Risk Assessments, Investigations and the Growth of your compliance program

Krista Muszak, GS SOX Controls and Compliance, Supervisor, Johnson & Johnson

- Risk: Identifying the areas of risk in your business and creating a road map for your program.
- Investigations: Discuss challenges and strategies and the impact investigation outcomes have on your risk assessment. Brainstorm how to use these cases to communicate the “lessons learned”.
- Growth: Responding, reporting and remediation. Using your investigation reports and outcome to inform and evolve your program.

3:15 – 3:30 PM EDT

Break

3:30 – 4:30 PM EDT

Building Fraud Risk Management into a Compliance and Ethics Program

James Rumph, Senior Director, Anti-Fraud Compliance, Nationwide

- How fraud risk management can be effectively built into a compliance and ethics program and pitfalls to avoid
- Practical examples of the roles compliance and ethics can play in fraud risk management, ranging from governance, risk assessment, control and investigation consulting, and monitoring

4:30 PM EDT

Conference Adjourns

Regional Compliance & Ethics Conference



Columbus, OH • November 5, 2021 • Virtual • Eastern Daylight Time (EDT)

SECTION 1 Attendee Information

☐ Mr ☐ Mrs ☐ Ms ☐ Dr ☐ Other _____ Member/Account ID (if known/applicable) _____

First Name _____ MI _____ Last Name _____

Credentials (CHC, CCEP, etc.) _____ Job Title _____

Organization (name of employer) _____

Street Address _____ City/Town _____

State/Province _____ Zip/Postal Code _____ Country _____

Work Phone _____ Email (required) _____

SECTION 2 Registration

Options

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

*Save by joining today (first-time members only). Dues renew at \$325. See "Acknowledgements" below for details.

Group Discount

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

TOTAL \$ _____

SCCE Membership: By selecting the Registration + First-Time Membership Offer, you agree to the full membership Terms and Conditions, including the use of your information, viewable at corporatecompliance.org/membership/tandc. To see the full use of your information or if you wish to opt-out, visit corporatecompliance.org/privacy.

Opt-Out: Select if you would like to opt-out of the following:

- ☐ Member Magazine Listing: SCCE lists all new members (first and last name, organization, and state or country) in our monthly magazine, *Compliance & Ethics Professional*® (CEP).
- ☐ Online Member Directory: SCCE's member directory lists first and last name, organization, title, address, and phone number.

SECTION 3 Payment

Online registration at corporatecompliance.org/regionals

Mail to SCCE, 6462 City West Parkway, Eden Prairie, MN 55344 USA Fax to +1 952.988.0146

Email to helpteam@corporatecompliance.org — Due to PCI compliance, do not provide credit card information via email. Email this form without credit card information, then call SCCE at +1 952.933.4977 or 888.277.4977 with your payment.

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

Credit Card Account Number _____ Expiration Date _____

Cardholder Name _____ Cardholder Signature _____

SECTION 4 Acknowledgements

By registering for this event, you agree to the full event Terms and Conditions, viewable at corporatecompliance.org/conference/tandc, including the use of your information that may be shared with conference exhibitors, attendees, speakers, affiliates, and partners for promotional and/or networking purposes. To see the full use of your information or if you wish to opt-out, visit corporatecompliance.org/privacy.

This virtual event registration form allows only the registered attendee to stream, participate, and earn CEUs for the event. If a second person would like to join, they must register themselves and have their own unique login to participate. No audio or video recording by attendees is allowed.

Group Discount Policy: Registration forms must be sent together to ensure that the discount is applied. 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.

New Members: By selecting the Registration + First-Time Membership Offer, you agree to the full membership Terms and Conditions, including the use of your information, viewable at corporatecompliance.org/membership/tandc.

Photo/Video Release: By registering for this event, you grant SCCE, or anyone authorized by SCCE, the right to use or publish in print or electronic format, any photographs or video containing your image or likeness for educational, news, or promotional purposes, without compensation.

Questions? Call +1 952.933.4977 or 888.277.4977 or email helpteam@corporatecompliance.org

Regional Compliance & Ethics Conference



Columbus, OH • November 5, 2021 • Virtual • Eastern Daylight Time (EDT)

Frequently Asked Questions

How will I access this event the day it begins?

Before the event starts, you will receive an access email with links to the virtual platform and additional information such as the presentations. The email goes out 1–3 days prior to the event start date and is sent to the primary email address on your account. Please be sure to check your spam folder.

What is included in the cost of my attendance?

Virtual access to the sessions, access to any supplemental conference materials, and networking opportunities.

What software is required to attend this event?

We use a variety of platforms based on the needs of each conference, but they are all web-based platforms and require a strong and stable internet connection. We highly recommend testing the platform once the access email is received to confirm you can access the platform, view the video player, and utilize the chat feature. Occasionally, those who access these digital platforms over a VPN can experience technical difficulties. Zoom will be utilized for small group discussions at applicable events, but downloading Zoom is not necessary, as they have a web-based version as well.

Can my co-workers listen in with me using screensharing or sitting together in the same room?

No, each individual who would like participate in the conference needs to complete and submit an individual registration form. We do offer group discounts; please see our group discount options below.

Will I receive a recording of this conference?

Recordings of this event will be available for purchase. Registered attendees have the option to purchase the recordings at a discounted rate. Please visit the event web page to access the recordings order form. No audio or video recording by attendees is allowed.

Is there a group discount, and if so, what is it?

Yes, we offer discounts for groups of three or more from the same organization for all our live in-person and virtual events (excluding webinars). Please send all group registration forms together to helpteam@corporatecompliance.org for processing. 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. For groups of 10 or more, please call +1 952.933.4977 or 888.277.4977 or email helpteam@corporatecompliance.org.

What do I get with “Registration + First-Time Membership?”

If you've never been an SCCE member, you can register as a First-Time Member. This gives you SCCE membership at a discounted rate for your first year. You also receive the member rate for the conference. As a member you receive all SCCE member benefits (discounts, *Compliance & Ethics Professional*® (CEP) monthly magazine, *Ethikos*® digital quarterly newsletter, member-exclusive webinars, and more). A full list of benefits can be viewed at corporatecompliance.org/membership. Your membership will begin once payment is received.

How do I use the credit on my account for this event?

You can complete the registration online and select the “Invoice Me” payment option at checkout. Once you receive your confirmation, email helpteam@corporatecompliance.org or call +1 952.933.4977 or 888.277.4977 to request your credit be applied toward the registration fee.

Can I get the member rate if I am an HCCA member instead of SCCE or vice versa?

Yes. As a member of SCCE or HCCA, you can receive the membership discount for both organizations' conferences; however, this cannot be done online. Please send your registration form via email to helpteam@corporatecompliance.org to complete your registration.

How can I cancel my registration?

If you need to cancel your participation (or send a substitute), your request must be submitted by email to helpteam@corporatecompliance.org. A conference credit will be issued for all registration fees paid (minus any cancellation fee) and will expire 12 months from the date of the original canceled event. Conference credits will not be issued if you do not attend the event and have not requested cancellation prior to the event start date. If sending a substitute, an additional fee may apply depending upon the membership status of the substitute.

Who can I notify of special needs or concerns prior to the event?

Please call SCCE at +1 952.933.4977 or 888.277.4977 or email helpteam@corporatecompliance.org if you have a special need and/or require an accommodation to participate.

Continuing Education

Can I earn continuing education units (CEUs) for attending this regional conference?

Yes. This conference offers live Compliance Certification Board (CCB)® continuing education units (CEUs) for participation as well as other external credit types. For those attendees seeking external credit types, you must participate in the conference using the online virtual conference format (not just using the dial in) for attendance monitoring purposes.

To see the most up-to-date CEU approval information, go to SCCE's website, corporatecompliance.org/conferences/regional. Select your regional and choose the Continuing Education option on the left-hand menu.

How many CEUs will I earn from attending?

CEUs are assessed based on actual attendance and credit type requested. Should the overall number of education hours you attend or that the regional offers decrease or increase, the maximum number of CEUs available will be changed accordingly.

How do I request CEUs following this regional?

Following this regional, you will be provided the Application for Continuing Education Units (CEUs). To receive CEUs, you must submit this completed application following the regional to ccb@compliancecertification.org. Only registered attendees are eligible to request CEUs for participation.

When will I receive my CEU certificate for participation?

Once your completed Application for Continuing Education Units (CEUs) has been received by our staff, your CEU account will be updated within 2–4 weeks. To view your CCB CEUs and access your certificate, you can log in to your corporatecompliance.org account, go to your Account Dashboard, and scroll down to View My CEUs.

I would like to sit for one of the Compliance Certification Board (CCB)® exams following this regional; will I qualify?

In order to qualify for a CCB Certification exam, you must review the applicable Candidate Handbook found at corporatecompliance.org/candidate-handbooks to ensure you meet the CEU requirement as well as the work experience requirement.

I have reviewed the Candidate Handbook and want to apply for the exam as soon as the regional concludes; what's next?

Immediately following the conclusion of the regional, if you have reviewed your Candidate Handbook, submitted your Application for Continuing Education Units (CEUs), and confirmed you will meet the CEU requirements you can go ahead and apply online for your exam at corporatecompliance.org/apply-exam.

Can I take my exam remotely?

Yes, CCB offers the flexibility for candidates to take their exam remotely, at a local testing site, or following certain SCCE conferences. To learn more about our various testing options, visit SCCE's website, corporatecompliance.org/exam-information.

I have more questions about exams and seeking certification; who can help me?

For more questions about CCB certifications, call to speak to a Certification Specialist at +1 952.933.4977 or 888.277.4977 or email ccb@compliancecertification.org.