

AGENDA AND LEARNING OBJECTIVES / ALL TIMES LISTED ARE IN LOCAL TIME

7:30 – 8:25 AM

Registration & Continental Breakfast

8:25 – 8:30 AM

Opening Remarks

8:30 – 9:30 AM

Complying with Employment and Safety Laws During a Pandemic

Jennifer Kogos, Partner, Jones Walker LLP

- We will explore legal and practical considerations regarding the COVID-19 vaccine, including the decision to mandate that employees receive the vaccine and accommodations that must be made pursuant to the ADA and Title VII if an employer chooses to do so
- We will discuss the Americans with Disabilities Act (ADA) rules on medical testing and accommodations in general and in light of COVID-19
- We will explore Occupational Safety and Health Administration (OSHA) rules for employers in the COVID-19 era

9:30 – 9:45 AM

Break

9:45 – 10:45 AM

How Technology Can Improve Effectiveness and Deliver More Value to Our Compliance Programs

Andrew Neblett, Co-Founder and CEO, informed360 LLC

The role of technology is rapidly changing as expectations for ethics and compliance continue to rise. In this presentation, you will learn how organizations are leveraging technology in three primary areas to improve effectiveness and deliver more value to their programs and company:

- Automation: Turning manual processes into streamlined processes
- Integration: Integrating and aligning data and processes
- Data and analytics: Improving the data, analytics, and reporting across your program

10:45 – 11:00 AM

Break

11:00 AM – 12:00 PM

We Inspect What We Expect: Compliance Reviews

Russell Phillips, Director Compliance, AT&T

- Compliance reviews are an evaluation of processes to help determine compliance with standards
- The goal is to partner with the business unit to get ahead of potential government reviews
- Compliance reviews are designed to precede and/or complement internal audit efforts

12:00 – 1:00 PM

Mid-Conference Break

1:00 – 2:00 PM

Memos and Guidelines: Practical Considerations and Regulator Expectations for Compliance Programs

Eric Morehead, Principal Consultant, Morehead Compliance Consulting

- What does recent regulator guidance tell us about compliance expectations?
- What does a risk-based compliance program look like?
- What are some practical steps for benchmarking or reviewing a program to develop a plan of action?

2:00 – 2:15 PM

Break

2:15 – 3:15 PM

Connecting the Dots: How to Bring Abstract Risks to Employee Reality

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

Courtney Sander, Global Compliance Project Manager, Flowserve Corporation

- Discuss strategies for delivering training that is focused on behavior change
- Dive in to how to go beyond training to localize and contextualize risk
- Uncover examples of successful programs integrating training

3:15 – 3:30 PM

Break

3:30 – 4:30 PM

What the “E” in ESG Means for You: Building Your Practical Toolkit for Assessing and Managing Risks

Kevin S. Minoli, Partner, Alston & Bird LLP

Elise N. Paeffgen, Partner, Alston & Bird LLP

- How new environmental regulations and executive orders from the Biden administration and pending legislation in Congress may impact corporate disclosures.
- What to watch for out of Washington, D.C. as companies evaluate environmental risks and disclosures.
- Best practices companies should consider when creating and updating ESG policies.

Regional Compliance & Ethics Conference

October 22, 2021 • Dallas, TX



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	\$220
<input type="checkbox"/> Non-Member	\$270
<input type="checkbox"/> Registration + First-Time Membership Offer*	\$440

*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 3–9**	(\$25)
<input type="checkbox"/> Group Discount for 10 or More**	(\$40)

**See "Group Discount Policy" under "Acknowledgements" below for details.

TOTAL \$ _____

Dietary Needs Request

☐ Dairy Free ☐ Gluten Free ☐ Kosher ☐ Vegetarian ☐ Vegan ☐ Other _____

On-Site Cell Phone (for emergency on-site use only) _____

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 submitting this registration, 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.

By registering for this event, you also agree that you have read and agree to the Personal Accountability Commitment, the Assumption of Risk, and the Liability Waiver and Release viewable at corporatecompliance.org/conference/tandc.

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.

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Frequently Asked Questions

Where will the conference take place?

Hyatt Regency Frisco – Dallas
2615 Preston Rd.
Frisco, Texas 75034
+1 469 598 1235

A block of rooms has not been reserved for this program. To make a reservation, please use the website or call the number listed above. Parking and wi-fi are complimentary.

PLEASE NOTE: Neither SCCE nor any hotel it is affiliated with will ever contact you to make a hotel reservation. If you receive a call soliciting reservations on behalf of SCCE or the event, it may be fraudulent. We recommend you make reservations directly with the hotel using the phone number or web link in this brochure. If you have concerns or questions, please contact SCCE at +1 952.933.4977 or 888.277.4977.

What is included in the cost of my attendance?

Access to the sessions, supplemental conference materials, networking opportunities, exhibitor booths (when available), and you will enjoy a complimentary lunch.

What COVID-19 safety precautions will be implemented?

SCCE considers the health and safety of all those at in-person programs a top priority. Although participants should recognize that there is risk involved in attending, SCCE will follow the safety recommendations/guidelines provided by the CDC and other state and local government agencies in place at the time of the event. Additionally, SCCE will follow the venue requirements and work with the venue to provide a safe and enjoyable environment for all participants.

Can I see what sessions will be presented before I arrive on-site?

Yes. The program for the conference is posted online as soon as it is finalized.

Will I receive a recording of this conference?

No. Registered attendees must participate in this event in real time as recordings are not available for any missed sessions. No audio or video recording by attendees is allowed.

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

Yes, we offer group 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' events, but 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 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. An additional fee may apply depending upon the membership status of the substitute.

Who can I notify of special needs or accommodations 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 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.

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?

While on-site at this regional conference, you will be provided the Application for Continuing Education Units (CEUs). To receive CEUs, you must submit this completed application following the conference 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.