

New York City

Regional Compliance & Ethics Conference

March 15, 2019



Learn, Network & Earn CEUs in Your Neighborhood

The Regional Compliance & Ethics Conference offers convenient opportunities for compliance and ethics training, updates on the latest news in regulatory requirements and enforcement, and strategies to develop effective compliance programs. Additionally, attendees will have ample opportunity to network with industry peers. Breakfast and lunch are also included in the conference price.

corporatecompliance.org/regionals

Questions? katie.burk@corporatecompliance.org



7:30 – 8:25 AM

Registration and Continental Breakfast

8:25 AM

Opening Remarks

8:30 – 9:30 AM

Linking Culture to Ethics and Risk Using the Strategic Culture Framework



Caterina Bulgarella, Ph.D.
Culture Architect & Ethics Advisor in collaboration with SAI Global

- This session will use the Wells Fargo and BP scandals to illustrate the relationship between culture, ethics and risk
- Participants will be introduced to the Strategic Culture Framework and its implications for proactively managing risk in organizations
- A high-level roadmap for culture measurement and program impact measurement will also be discussed

9:30 – 9:45 AM

Networking Break

9:45 – 10:45 AM

Think Global, Act Local i.e., Why Designing a Global Ethics Program is Important... Even for Domestic Organizations



Rielle Miller Gabriel
Compliance Manager
Freddie Mac

- A key component of a global ethics program is the acknowledgment of, and adaptability to, the various cultures of your workforce.
- Recognition that even domestic organizations have a heterogeneous workforce and can adopt implementation strategies of global ethics programs to enhance their own programs.
- Explore small changes that can have a large impact on globalizing your thinking and the implementation of your ethics program.

10:45 – 11:00 AM

Networking Break

11:00 – 12:00 PM

Somebody's Watching Me: Defining Borders in the Age of Social Media



Sean P. Bamford
Chief Privacy Officer & Associate General Counsel
Lockheed Martin Corporation

- Discuss the risk and “rewards” of reviewing job applicants’ social media accounts during the hiring process
- Provide practical advice on how and when it is appropriate to review employees social media accounts
- How has recent changes in global and domestic privacy laws, i.e. EU General Data Protection Regulation and the California Consumer Privacy Act of 2018, impacted use of information contained on social media platforms

12:00 – 1:00 PM

Lunch

1:00 – 2:00 PM

Building Diversity & Inclusion in the Legal Department and Beyond



Heather A. Bloom
Associate General Counsel – Litigation & Compliance
Lockheed Martin Corporation

- Advantages of fostering a diverse and inclusive environment
- Practical advice for advancing diversity and inclusion within the legal department and overall organization
- Tips for promoting diversity and inclusion within your law firms and outside suppliers

2:00 – 2:15 PM

Networking Break

2:15 – 3:15 PM

Professional Skepticism (Part 1)



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.

3:15 – 3:30 PM

Networking Break

3:30 – 4:30 PM

Professional Skepticism (Part 2)



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.

REGISTRATION FEE

Registration fees are as listed and considered net of any local withholding taxes applicable in your country of residence.

- SCCE Member** \$220
- Non-Member** \$270
- Registration plus SCCE membership** \$440
Save by joining SCCE today (first-time members only) Dues regularly \$325

TOTAL \$ _____

ATTENDEE INFORMATION (please type or print)

Mr. Mrs. Ms. Dr.

Member/Account Number (if applicable/known) _____

First Name _____ M.I. _____ Last Name _____

Credentials (CCEP, CPA, CFE, etc.) _____

Job Title _____

Organization (Name of Employer) _____

Address _____

City _____ Province/State _____ Postal Code/Zip _____

Country _____

Phone _____

Fax _____

E-mail (required for confirmation and conference information) _____

SPECIAL REQUEST DIETARY ACCOMODATION

- Gluten free Vegetarian Vegan Other _____
- Kosher (no shellfish, pork or meat/dairy mixed) Kosher (Hechsher certified)

PAYMENT METHOD

Mail check (including registration form) to:
 SCCE, 6500 Barrie Road, Suite 250, Minneapolis, MN 55435
 Fax to: +1 952.988.0146



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

Credit Card Account Number _____

Credit Card Expiration Date _____

Cardholder's Name _____

Cardholder's Signature _____

If your total is miscalculated, SCCE will charge your card the correct amount. Hotel accommodations are not included in the registration fee, but continental breakfast and lunch are provided. (LCNY19)

Due to PCI compliance, please do not provide any credit card information via email. You may email this form (without credit card information) and call SCCE at +1 952.933.4977 or 888.277.4977 with your credit card information, fax your registration to 952.988.0146, or visit corporatecompliance.org/regionals and register online

HOTEL/CONFERENCE LOCATION:

New York Marriott Downtown

85 West Street at Albany Street, New York, NY 10006

A small block of rooms has been arranged for Thursday, March 14th at a rate of \$229 plus applicable state and local taxes (currently 14.75% and \$3.50 occupancy tax per night). To make your reservations, please call Marriott Reservations at 800-228-9290 or 212-385-4900 and request the rate for the SCCE New York Regional Conference. Reservations must be received no later than Thursday, February 21.

NOTICE: Neither SCCE or any hotel it is affiliated with will ever contact you to make a hotel reservation. If you receive a call soliciting reservations on behalf of SCCE or the event, it is likely from a room poacher and may be fraudulent. We recommend you make reservations directly with the hotel using the phone number or web link in this brochure. If you have concerns or questions, please contact 888.580.8373.

TERMS AND CONDITIONS

REGISTRATION PAYMENT TERMS: Checks are payable to SCCE. Credit cards accepted: American Express, MasterCard, Visa, or Discover. SCCE will charge your credit card the correct amount should your total be miscalculated. If you wish to pay using wire transfer funds, please email helpsteam@corporatecompliance.org for instructions.

CANCELLATIONS/SUBSTITUTIONS: Refunds will not be issued. You may send a substitute in your place or request a conference credit. Conference credits are issued in the full amount of the registration fees paid, and will expire 12 months from the date of the original, cancelled event. Conference credits may be used toward any SCCE service or product. If a credit is applied toward an event, the event must take place prior to the credit's expiration date. If you need to cancel your participation, notification is required by email, sent to helpsteam@corporatecompliance.org, prior to the start date of the event. Please note that if you are sending a substitute, an additional fee may apply.

GROUP DISCOUNT: 5 or more: \$25 discount for each registrant. 10 or more: \$40 discount for each registrant. Discounts take effect the day a group reaches the discount number of registrants. Please send registration forms together to ensure that the discount is applied. A separate registration form is required for each registrant. Note that discounts will NOT be applied retroactively if more registrants are added at a later date, but new registrants will receive the group discount.

TAX DEDUCTIBILITY: Expenses of training (including tuition, travel, lodging and meals) incurred to maintain or improve skills in your profession may be tax deductible. Consult your tax advisor.

USE OF INFORMATION: By submitting this registration form, you agree to the use of your information and the terms and conditions stated on this form. To view our Privacy Statement visit corporatecompliance.org/privacy.aspx.

AGREEMENTS & ACKNOWLEDGEMENTS: I agree and acknowledge that I am undertaking participation in SCCE events and activities as my own free and intentional act, and I am fully aware that possible physical injury might occur to me as a result of my participation in these events. I give this acknowledgement freely and knowingly and assert that I am, as a result, able to participate in SCCE events, and I do hereby assume responsibility for my own well-being. I agree and acknowledge that SCCE plans to take photographs and/or video at this conference and reproduce them in SCCE educational, news, or promotional material, whether in print, electronic, or other media, including the SCCE website. By participating in this SCCE event, I grant SCCE the right to use my name, photograph, video, and biography for such purposes. As a participant in this event, my name, job title, organization, city, state, and country will be listed on the attendee list that will be distributed to attendees, speakers, and exhibitors of this event.

CONTINUING EDUCATION: SCCE is in the process of applying for additional external continuing education units (CEUs). Should overall number of education hours decrease or increase, the maximum number of CEUs available will be changed accordingly. Credits are assessed based on actual attendance and credit type requested.

Approval quantities and types vary by state or certifying body. For entities that have granted prior approval for this event, credits will be awarded in accordance with their requirements. **CEU totals are subject to change.**

Upon request, if there is sufficient time and we are able to meet their requirements, SCCE may submit this course to additional states or entities for consideration. **Only requests from registered attendees will be considered.** If you would like to make a request, please contact us at +1 952.933.4977 or 888.277.4977 or email ccb@compliancecertification.org. Visit SCCE's website, corporatecompliance.org, for up-to-date information.

COMPLIANCE CERTIFICATION BOARD (CCB)®: CCB has awarded a maximum of 7.2 CEUs for these certifications: Certified in Healthcare Compliance (CHC)®, Certified in Healthcare Compliance—Fellow (CHC-F)®, Certified in Healthcare Privacy Compliance (CHPC)®, Certified in Healthcare Research Compliance (CHRC)®, Certified Compliance & Ethics Professional (CCEP)®, Certified Compliance & Ethics Professional—Fellow (CCEP-F)®, Certified Compliance & Ethics Professional—International (CCEP-I)®.

CONTINUING LEGAL EDUCATION (CLE): The Society of Corporate Compliance and Ethics is a provider/sponsor, approved/accredited by the State Bar of California, the Pennsylvania Bar Association, and the State Bar of Texas. An approximate maximum of 2.0 clock hours of CLE credit will be available to attendees of this conference licensed in these states, along with Alabama, Illinois, Ohio, and Rhode Island. SCCE's practice is to apply for CLE credits to the state in which the event is being held, if that state has a CLE approval process for sponsors. Upon request, if there is sufficient time and if we are able to meet their CLE requirements, SCCE may submit this course to additional states for consideration. Only requests from registered attendees will be considered. All CLE credits will be assessed based on actual attendance and in accordance with each state's requirements.

NASBA/CPE: The Society of Corporate Compliance and Ethics is registered with the National Association of State Boards of Accountancy (NASBA) as a sponsor of continuing professional education on the National Registry of CPE sponsors. State boards of accountancy have final authority on the acceptance of individual courses for CPE credit. Complaints regarding registered sponsors may be submitted to the National Registry of CPE Sponsors through its website: nasbaregistry.org. Sponsor Identification No: 143451. The education level for this activity is considered basic. No prerequisites are required for this education. Delivery Method: Group Live. Advanced Preparation: None. A recommended maximum of 7.0 credits based on a 50-minute hour will be granted for this activity. This program addresses topics that are of a current concern in the compliance environment and is a group-live activity in the recommended field of study of Specialized Knowledge. For more information regarding administrative policies such as complaints or refunds, call 888.277.4977 or +1 952.933.4977.