



SOCIETY OF CORPORATE  
COMPLIANCE AND ETHICS

SPECIAL  
COMPLIANCE  
& ETHICS  
RISK TRACK

9TH ANNUAL

# COMPLIANCE & ETHICS INSTITUTE

SEPTEMBER 12-15, 2010

CHICAGO, ILLINOIS | SWISSÔTEL CHICAGO



## KEYNOTE/GENERAL SESSION SPEAKERS



**KURT EICHENWALD,**  
Author of *The Informant*,  
Pulitzer Prize Finalist



**DR. MICHAEL SHERMER,**  
Skeptics Society, Author of  
*Why People Believe Weird  
Things* and *The Mind of the  
Market*, Founding Publisher,  
*Skeptic Magazine*



**JIM SKINNER,**  
Chief Executive Officer,  
McDonald's Corporation

**TOPICS INCLUDE:** FCPA anti-corruption, internal investigations, antitrust, social media, new regulations, FAR, case studies from several companies, and more... including a special track on managing risk

LEARN MORE AT

[www.complianceethicsinstitute.org](http://www.complianceethicsinstitute.org)

PLATINUM SPONSORS

ethics•point  
integrity of work

KAPLAN ETHICS

## DEAR COMPLIANCE AND ETHICS LEADER:

At the 2009 Compliance and Ethics Institute, Judge Castillo told attendees in no uncertain terms: don't cut back on compliance spending. His words were echoed loudly by the Department of Justice.

In the year since we have seen a dramatic escalation in prosecutions, new focus on issues such as antitrust, and continued governmental scrutiny of long-standing flash points such as FCPA, and anti-corruption in general. And along with the prosecutions has come a dramatic increase in fines.

The 2010 Compliance and Ethics Institute is designed to help guide you through challenges, both old and new:

- Tackling social media
- Writing policies that work
- Managing third-party risk
- Navigating international issues, including bribery
- Conducting effective internal investigations

Plus, this year we have added an entire track focused on managing risk in its many forms.

In total, you will get to choose from 45 breakout sessions, four general sessions, and a host of pre- and post-conference workshops. We have over 70 speakers, which means you'll hear from a wide range of perspectives. And you'll have ample networking opportunities to learn directly from your peers. So mark your calendar for September 12–15, and join me in Chicago for the Compliance and Ethics Institute. It's the must-attend event for the compliance and ethics community.

*Sincerely,*



*Daniel Roach*

*Program Committee and SCCE Advisory Board Chair*

### MEDIA SPONSORS

Compliance 360°

COMPLIANCE  
CARTOONS

Cornerstone  
Institute  
of Ethics

KAPLAN ETHICS

LRN Inspiring Principled Performance™

MITRATECH

MITRATECH

STEELE

# ABOUT THE INSTITUTE

SCCE's annual Compliance & Ethics Institute is the primary education and networking event for professionals working in the compliance and ethics profession across all industries around the world. Sessions at the 2010 conference will offer the latest compliance information on hot topics and current events. Sessions have been carefully selected and will be presented by leading experts who will explore real-world compliance issues, practical application, emerging trends, and state of the art techniques.

Pre-Conference Sessions will be offered on Sunday, September 12, 2010. The day is divided into two longer sessions: morning sessions and afternoon sessions. The longer timeframe allows for in-depth discussion and interaction covering topics in more detail.

Post-Conference Workshops will be offered on Wednesday, September 15, 2010. The sessions are four hour interactive workshops designed to cover some of the most important and timely topics.

## Learning Objectives

- Provide your organization with the most current views concerning the corporate regulatory environment, internal controls and the overall conduct of business
- Enhance strategic thinking on how to develop compliance and ethics programs to address potential corporate regulatory problems
- Address compliance, internal audit, and ethics issues common to all industries and professions
- Obtain insight on how to develop and implement an action plan for developing compliance and ethics programs that reflect current trends and guidance from broad industry segments

## THE 2010 COMPLIANCE AND ETHICS RISK TRACK

Risk, and managing it, has come to dominate the discussion of the compliance and ethics agenda. In 2010 we will offer a special track to fully explore this topic, including pre- and post-conference sessions.

To ensure the track meets the needs of the compliance and ethics community, we tapped long-time compliance professional Greg Triguba to help set the agenda, which covers topics such as:

- Risk Management
- Conflicts of interest
- Internal investigations
- Data privacy
- Mergers & Acquisitions

Follow the entire track or select a few sessions. The choice, and the risk, is yours!

## Who Should Attend

The Compliance & Ethics Institute is designed for compliance and ethics professionals and those who work with them in either an advisory or partnership capacity, to include (but not limited to):

- Audit Managers
- Compliance and Ethics Journalists
- Compliance and Ethics Trainers and Analysts
- Compliance Professionals
- Consultants
- Corporate Executives (including CEOs and CFOs)
- Ethics Professionals
- Human Resource Managers
- Information Officers
- In-House and Outside Counsel
- Privacy Officers
- Regulators and other Government Personnel
- Researchers and Policy Makers
- Risk Managers
- Staff Educators and Trainers

## SCCE WOULD LIKE TO THANK OUR CONFERENCE SPONSORS

### PLATINUM SPONSORS

**ethics·point**  
integrity at work

**KAPLAN** ETHICS

### GOLD SPONSORS

**GLOBAL COMPLIANCE.**  
Good for Business.

**SAI GLOBAL**

### SILVER SPONSORS

**BROAD AND CASSEL**  
ATTORNEYS AT LAW

**Integrity.**

**LRN**

Inspiring Principled Performance

**MITRATECH**

## TAKE THE CCEP EXAM AT THE INSTITUTE

The CCEP certification exam will be held on Wednesday, September 15, from 2:00–4:00 pm in the Swissôtel Chicago.

*Learn more on pages 16–17.*

# CCEP

Certified Compliance & Ethics Professional

# PROGRAM AT A GLANCE

## SUNDAY, SEPTEMBER 12

7:00 AM – 6:00 PM	<b>Registration Open</b>					
9:00 AM – 12:00 PM <small>INCLUDES 15-MINUTE BREAK FROM 10:30 – 10:45</small>	<b>P1 Compliance 101</b> <small>CCEP</small> / Joseph E. Murphy, CCEP, Of Counsel, CSLG, Co-Founder, Integrity Interactive, Co-Editor, <i>Ethikos</i>		<b>P2 Building an Effective Compliance and Ethics Program: Challenges and Strategies</b> <small>CCEP</small> / Greg Triguba, JD, CCEP, Principal, Compliance Integrity Solutions, LLC; C. Lee Essrig, JD, CCEP, Chief Ethics and Compliance Officer and Director of Government Affairs, Lenovo Group Ltd.; Jason L. Lunday, Principal, The Ethical Element			<b>RISK TRACK</b> <b>P3 Risk Management Practices 101</b> <small>CCEP</small> / Dan Roach, JD, Vice President, Compliance & Audit, Catholic Healthcare West; Catherine Finamore Henry, CCEP, President, Finamore Associates, LLC; Michael Ward, Director of Compliance, Adobe Systems Incorporated
12:00 PM – 1:30 PM	<b>Lunch (on your own)</b>					
1:30 PM – 4:30 PM <small>INCLUDES 15-MINUTE BREAK FROM 3:00 – 3:15</small>	<b>P4 Creating, Managing, and Proving the Effectiveness of a Compliance Program for the Small to Medium-Sized Company</b> <small>CCEP</small> / Art Weiss, JD, CCEP, Chief Compliance & Ethics Officer, TAMKO Building Products		<b>P5 Explore the Changing Anti-bribery Landscape, Review the New Laws and Regulations, and Understand the Implications of Extending Your E&amp;C Program throughout Your Enterprise</b> / Michael Levin, Esq., CCEP, Director of Business Conduct, BAE Systems, Electronic Solutions; Jim Slavin, Senior Director of Advisory Services, Integrity Interactive; Marjorie Doyle, JD, CCEP-F, Principal, Marjorie Doyle & Associates LLC			<b>RISK TRACK</b> <b>P6 Investigations: Effectiveness and Management</b> / <small>CCEP</small> Latour "LT" Lafferty, JD, CHC, CCEP, Shareholder, Fowler White Boggs, P.A.; Al Gagne, CCEP, Director, Ethics & Compliance, Textron Systems Corporation
4:30 PM – 6:00 PM	<b>Opening Reception</b>					

## MONDAY, SEPTEMBER 13

7:00 AM – 7:00 PM	<b>Registration Open</b>					
7:00 AM – 8:15 AM	<b>Continental Breakfast in Exhibit Hall</b>					
8:15 AM – 8:30 AM	<b>Opening Remarks</b>					
8:30 AM – 10:30 AM	<b>General Session Part 1</b> / Dr. Michael Shermer, Skeptics Society, Author of <i>Why People Believe Weird Things</i> and <i>The Mind of the Market</i> , Founding Publisher, <i>Skeptical Magazine</i> <b>General Session Part 2: Tackling Social Networking Risks</b> / Adam Turteltaub, CCEP, CHC, Vice President of Membership Development, The Society of Corporate Compliance and Ethics (moderator); Orrie Dinstein, CIPP, Chief Privacy Leader and Senior IP Counsel, GE Capital; Kimberly Cilke, JD, Assistant General Counsel, The Go Daddy Group, Inc.; Grace F. Renbarger, Vice President-Legal, Chief Ethics & Compliance Officer, Dell Inc.					
10:30 AM – 11:00 AM	<b>Networking Break</b>					
11:00 AM – 12:00 PM	<b>101 Ethics/Compliance Benchmarking Best Practices and Data Trends</b> <small>CCEP</small> / Nick Ciancio, President, Global Compliance International, Chief Compliance Officer, Global Compliance; Carrie Penman, Vice President, Ethical Leadership Group	<b>102 In House Counsel and Compliance Officer: Can Both Hats Sit on the Same Person?</b> / Russ Berland, JD, Of Counsel, Stinson Morrison Hecker LLP; Ronald E. Berenbeim, Principal Researcher, Business Ethics, The Conference Board; Odell Guyton, JD, CCEP, Director of Compliance, Microsoft Corporation	<b>103 Driving from Good to Great: One Ethics &amp; Compliance Department's Three-Year Journey</b> / Steve Koslow, JD, SVP, Chief Ethics & Compliance Officer, CUNA Mutual Group	<b>104 International Panel: The Differences Between European and American Compliance and How to Overcome Them</b> / Andrijana Zrinji, LLB, CCEP, Compliance Officer, Officer of the Management Board, Triglav Insurance Company Ltd.; Haydee Olinger, Corporate Vice President, Global Compliance Officer, McDonald's Corporation; Ruth N. Steinholtz, Former General Counsel and Group Security Coordinator, Borealis AG	<b>105 DOL Compliance: Preparing for Increased Enforcement</b> / Jennifer Swayze, GPHR, SPHR-CA, CPP, CEBS, RPA, CMS, Risk Management Compliance Analyst, Paychex	<b>RISK TRACK</b> <b>106 Privacy and Data Protection</b> <small>CCEP</small> / George B. Breen, JD, Shareholder, Epstein Becker & Green, P.C.; Marti Arvin, JD, CHC-F, CPC, CCEP-F, CHRC, CHPC, Chief Compliance Officer, UCLA Health Sciences
12:00 PM – 1:00 PM	<b>Lunch Speaker</b>					
1:30 PM – 2:30 PM	<b>201 Writing Policies, Making Sense</b> <small>CCEP</small> / J. Stuart Showalter, JD, MFS, Atlanta, GA	<b>202 Beyond the Hotline</b> <small>CCEP</small> / David Childers, CIPP, President & CEO, EthicsPoint	<b>203 Practical Training Challenges for Improving Compliance Execution</b> <small>CCEP</small> / Michael Bednar, Sr. Director, Operations Compliance, Walmart, Inc.; Kirstie Sims, Compliance Director–Southeast Division, Walmart	<b>204 Culture and the Science of Compliance: Behavioral Science Weighs in on Corporate Culture</b> / Scott Killingsworth, JD, Partner, Bryan Cave LLP	<b>205 Nonprofits Have Compliance Concerns Too!</b> / Donna McPartland, CCEP, CIPP, Corporate Counsel, Graduate Management Admission Council	<b>RISK TRACK</b> <b>206 Records and Information Management</b> / Gene Stavrou, Associate Director, Global Records Management, Kraft Foods; Virginia MacSuihne, JD, CCEP, Director, Ethics & Compliance, Roche Molecular Systems, Inc.
2:30 PM – 3:00 PM	<b>Networking Break</b>					



# PROGRAM AT A GLANCE

## MONDAY, SEPTEMBER 13 (CONTINUED)

3:00 PM – 4:00 PM	<b>301 Working with Uncle Sam: Compliance Issues that Arise When Working Among Federal Employees</b> / John Szabo, Senior Counsel for Ethics, U.S. Nuclear Regulatory Commission; Steve Epstein, Chief Counsel, Ethics and Compliance, The Boeing Company	<b>302 Compliance Program Integration: Building Empowerment and Accountability into the Business</b> <b>CCEP</b> / Kevin L. Espinoza, Director, Ethics & Compliance, North American Pharma, GSK	<b>303 Monitoring for Retaliation: An Essential Part of Your Compliance and Ethics Program</b> <b>CCEP</b> / Victoria Sweeney, PIC, Ethics and Compliance, KPMG LLP; Carrie Penman, President, Ethical Leadership Group, A Global Compliance Company	<b>304 The One Page Compliance Program</b> / Deena King, CCEP, CISA, Managing Director, Pure Knowledge Consulting, LLC	<b>305 Anatomy of an Internal Investigation</b> <b>CCEP</b> / Larry Parsons, JD, CCEP, Vice President and Chief Ethics and Compliance Officer, Freescale Semiconductor, Inc.	<b>RISK TRACK</b> <b>306 Conflicts of Interest</b> <b>CCEP</b> / Rebecca Walker, Partner, Kaplan & Walker LLP
4:00 PM – 4:30 PM	<b>Networking Break</b>					
4:30 PM – 5:30 PM	<b>401 Third Party Ethics &amp; Compliance Programs as Good for Business</b> / Marjorie Doyle, JD, CCEP-F, Principal, Marjorie Doyle & Associates LLC; Diana M. Lutz, JD, Chief Ethics & Compliance Officer and Managing Director, The Steele Foundation	<b>402 Understanding &amp; Working Effectively with Independent Corporate Monitors</b> / John Hanson, Executive Director, Artifice Forensic Financial Services; Douglas Lankler, Chief Compliance Officer, Pfizer	<b>403 Compliance and Ethics: An International Perspective</b> / Joseph E. Murphy, CCEP, Of Counsel, CSLG, Co-Founder, Integrity Interactive, Co-Editor, <i>Ethikos</i> ; David Nitkin, President, EthicScan; Donna Boehme, Principal, Compliance Strategists, LLC; Patrick J. Gnazzo, General Manager of U.S. Public Sector and Senior Vice President, CA, Inc.	<b>404 Combating Culture Conflicts: Applying J&amp;J's Credo to Past (Tylenol) and Present Crises</b> / Paul Fiorelli, JD, MBA, CCEP, Co-Director, Cintas Institute for Business Ethics, Xavier University	<b>405 Compliance from the Worker's Perspective</b> / Adam Turteltaub, CCEP, CHC, Vice President of Membership Development, The Society of Corporate Compliance and Ethics (moderator); Marsha Ershaghi, Ed.D. Candidate, CCEP, Practice Leader, Education Solutions, LRN, Inc.; Caroline McMichen, CCEP, CIA, Global Director, Ethics and Business Conduct, Molson Coors; Amyn Thawer, Senior Director & Global Compliance and Regulatory Affairs Counsel, eBay, Inc.	<b>RISK TRACK</b> <b>406 Mergers &amp; Acquisitions</b> <b>CCEP</b> / John D. Soriano, Corporate Vice President and Chief Compliance Officer, Celgene Corporation; Lisa Kuca, Former Ad Hoc Advisory Group Member, U.S. Sentencing Commission
5:30 PM – 7:00 PM	<b>Networking Reception</b>					
7:00 PM – 10:00 PM	<b>Annual Dinner and Awards Presentation</b>					

## TUESDAY, SEPTEMBER 14

7:00 AM – 5:30 PM	<b>Registration Open</b>					
7:00 AM – 8:15 AM	<b>Continental Breakfast in Exhibit Hall</b>					
8:15 AM – 8:30 AM	<b>Opening Remarks</b>					
8:30 AM – 10:30 AM	<b>General Session</b> / Jim Skinner, Chief Executive Officer, McDonald's Corporation; Kurt Eichenwald, Author of <i>The Informant</i> , Pulitzer Prize Finalist					
10:30 AM – 11:00 AM	<b>Networking Break</b>					
11:00 AM – 12:00 PM	<b>501 Impact of Compliance Programs When the Government Knocks: Compliance Programs in Real Cases</b> <b>CCEP</b> / Win Swenson, Partner, Compliance Systems Legal Group	<b>502 Transnational Fraud and Corruption Risks: Impact and Avoidance in International Development Aid-Financed Business</b> <b>CCEP</b> / David G. Hawkes, Dr.iur, Head of Special Litigations, World Bank Group Integrity Vice Presidency; Paul Haynes, CCEP, Head of World Bank's Voluntary Disclosure Program, World Bank Group	<b>503 Case Study: Investigations System Selection &amp; Implementation</b> <b>CCEP</b> / Ray Gerard, MBA, President, Customer Expressions (i-Sight); Lyn Scrine, Ethics Director, Enterprise Business Conduct, Allstate Insurance Company	<b>504 Tone Your "Middle" in 5 Minutes a Day</b> / Mary-James (Jami) Young, JD, LL.M, Senior Regulatory Counsel, Vectren Corporation	<b>505 The Role of Internal Audit in the Identification and Reporting of Ethical Issues</b> / Dr. Rodney Irwin, BSc, MSc, DBA, FCA, CFE, SIRM, CCEP, DipITEC, Group Director of Risk Management and Internal Controls, TNT NV	<b>RISK TRACK</b> <b>506 Government Contracts and Relationships</b> <b>CCEP</b> / Steve A. Linick, Director, National Procurement Fraud Task Force, U.S. Department of Justice; Eric R. Feldman, CFE, CIG, Senior Advisor to the Director for Procurement Integrity, National Reconnaissance Office
12:00 PM – 1:00 PM	<b>Networking Lunch</b>					

# PROGRAM AT A GLANCE

## TUESDAY, SEPTEMBER 14 (CONTINUED)

1:30 PM – 2:30 PM	<b>601 Practical Applications of the Code of Ethics for Compliance &amp; Ethics Professionals</b> / Marjorie Doyle, JD, CCEP-F, Principal, Marjorie Doyle & Associates LLC; Urton Anderson, CIA, CCSA, CGAP, CFSa, CCEP, Chair, Department of Accounting, McCombs School of Business, University of Texas at Austin	<b>602 Managing Regulatory Compliance in a Global Environment</b> / Rob Shoemaker, Head of Global Compliance, GE Transportation	<b>603 Making the Grade: A Case Study on the Transformation of Bausch &amp; Lomb's Code of Business Conduct and Ethics</b> / Courtney Barton, CCEP, Compliance Manager, Bausch & Lomb; Susan Roberts, Corporate Vice President and Chief Compliance Officer, Bausch & Lomb	<b>604 Anti-Corruption/ Anti-Bribery: Getting Unstuck: Tactics for Defining and Executing Systematic, Risk-Based Third-Party Due Diligence for FCPA Compliance</b> / Kenneth Kurtz, CEO, The Steele Foundation	<b>RISK TRACK</b> <b>605 International Trade and Exports</b> / Geoffrey M. Goodale, Senior Counsel, Foley & Lardner LLP; James E. Bartlett, Senior Counsel, Export/Import, Northrop Grumman Corp.; Steven W. Pelak, National Export Coordinator, US DOJ
2:30 PM – 3:00 PM	<b>Networking Break</b>				
3:00 PM – 4:00 PM	<b>701 Interactive Workgroup: Meeting the Social Networking Challenges</b> / Adam Turteltaub, CCEP, CHC, Vice President of Membership Development, The Society of Corporate Compliance and Ethics	<b>702 Recent Compliance Investigations</b> / Stephen Martin, General Counsel & Chief Compliance Officer, Corpedia; Paul McNulty, Baker & McKenzie LLP; Marc Litt, Assistant U.S. Attorney for the Southern District of New York, U.S. Department of Justice	<b>703 E-Verify: The Ghost in the Verification Machine</b> / Kevin Lashus, Of Counsel, Greenberg Traurig LLP	<b>704 Deploying GRC Technology</b> / John J. Chico, Global Compliance Manager, Johnson Controls, Building Efficiency	<b>RISK TRACK</b> <b>705 Antitrust and Competition</b> / Theodore L. Banks, President, Compliance & Competition Consultants, LLC, and Counsel, Schoeman, Updike, Kaufman & Scharf; Roxane C. Busey, Partner, Baker & McKenzie LLP; Mildred L. Calhoun, Senior Counsel, BP America, Inc.
4:00 PM – 4:30 PM	<b>Networking Break</b>				
4:30 PM – 5:30 PM	<b>801 Internal Audit and the Corporate Ethics Program</b> / Elliot A. Fisch, CPA, CIA, CFE, Director, Internal Audit and Chief Compliance Officer, Easton-Bell Sports; Adrian Mebane, Director of Ethics & Compliance, Weatherford International, Ltd.	<b>802 International Privacy and Security Panel: Managing Your Growing Privacy and Security Obligations</b> / Michael Horowitz, JD, Partner, Cadwalader, Wickersham & Taft LLP, Former Commissioner, U.S. Sentencing Commission	<b>803 What to Do When the Government Comes Knocking</b> / Gabriel L. Imperato, Esq., CHC, Managing Partner, Broad and Cassel	<b>804 Corporate Values: Choosing Values That Build Trust</b> / John Hannesson, CEO White Stone Ethics	<b>RISK TRACK</b> <b>805 Ethics and Culture</b> / Jim Cocito, Chief Compliance Officer, Alcatel-Lucent; Lyn Scrine, Ethics Director, Enterprise Business Conduct, Allstate Insurance Company

## WEDNESDAY, SEPTEMBER 15

7:00 AM – 12:30 PM	<b>Registration Open</b>				
8:00 AM – 12:00 PM <small>INCLUDES 15-MINUTE BREAK FROM 10:00 – 10:15</small>	<b>W1 Part 1: Municipal Compliance Program Case Study</b> / Anthony Boswell, Former Executive Director, Office of Compliance, City of Chicago  <b>W1 Part 2: Overcoming Check-The-Box IT Compliance</b> / Chong Ee, CISA, CGEIT, Director, Compliance and Accounting Process, ZipRealty	<b>W2 Part 1: I Can Read You Like a Book: Detecting Deception in Workplace Interviews</b> / Meric Bloch, JD, CFE, PCI, Vice President–Corporate Investigations, Adecco Group North America  <b>W2 Part 2: Who's Lying? How to Identify and Document Untruthfulness in Internal Investigative Interviews</b> / Michael Johnson, Senior Vice President, Global Compliance, Brightline Learning Division	<b>RISK TRACK</b> <b>W3 Anti-Corruption/Anti-Bribery Workshop</b> / J. Troy Beatty, Senior Counsel, Office of International Affairs, Securities and Exchange Commission; Kevin J. Rogan, Chief Compliance Officer North America, Siemens Corporation; Mark Snyderman, Senior Knowledge Leader, LRN		
2:00 PM – 4:00 PM	<b>CCEP Exam</b>				

# ANNUAL DINNER AND AWARDS

Monday, September 13 | 7:00–10:00 PM

Join us for a fun evening of networking, food, and music as we celebrate the growth of the compliance profession. We'll also take a brief time out to honor some of the individuals and organizations that have made significant contributions to the compliance profession. Join us for this complimentary event, but be sure to RSVP on your registration form to let us know if you are coming.



2009 AWARD RECIPIENTS

## Sunday, September 12

7:00 AM – 6:00 PM | SUNDAY

### Registration Open

9:00 AM – 12:00 PM | SUNDAY

### P1 Compliance 101 CCEP

JOSEPH E. MURPHY, CCEP, Of Counsel, CSLG, Co-Founder, Integrity Interactive, Co-Editor, *Ethikos*

- An in-depth look into the seven elements of an effective compliance program
- “How to’s” of designing and implementing an ethics and compliance program from the ground up
- A suggested governance structure and program frame-work, project and program management techniques, systems, tools, etc.

### P2 Building an Effective Compliance and Ethics Program: Challenges and Strategies CCEP

GREG TRIGUBA, JD, CCEP, Principal, Compliance Integrity Solutions, LLC

C. LEE ESSRIG, JD, CCEP, Chief Ethics and Compliance Officer and Director of Government Affairs, Lenovo Group Ltd.

JASON L. LUNDAY, Principal, The Ethical Element

- Overview of program essentials and strategies for program design, implementation, and management
- Gaining support, making your business case, and overcoming program challenges
- Interactive exercises and scenarios that mirror real-world situations and challenges

## RISK TRACK

### P3 Risk Management Practices 101 CCEP

DAN ROACH, JD, Vice President, Compliance & Audit, Catholic Healthcare West

CATHERINE FINAMORE HENRY, CCEP, President, Finamore Associates, LLC

MICHAEL WARD, Director of Compliance, Adobe Systems Incorporated

- Gain a deeper understanding of the fundamentals of risk management with a focus on risk related responsibilities and opportunities for compliance and ethics professionals
- Explore various risk management tools, methodologies and emerging methods for capturing culture-related risks

- Participate in simulated risk assessment exercises to practice risk assessment methodologies, and experience first-hand the challenges of leading a cross-functional risk assessment process

12:00 – 1:30 PM | SUNDAY

### Lunch (on your own)

1:30 – 4:30 PM | SUNDAY

### P4 Creating, Managing, and Proving the Effectiveness of a Compliance Program for the Small to Medium-Sized Company CCEP

ART WEISS, JD, CCEP, Chief Compliance & Ethics Officer, TAMKO Building Products

- Why have a compliance and ethics program
- How to develop a compliance and ethics program
- How to use data to prove the effectiveness of a compliance and ethics program

### P5 Explore the Changing Anti-bribery Landscape, Review the New Laws and Regulations, and Understand the Implications of Extending Your E&C Program throughout Your Enterprise

MICHAEL LEVIN, Esq., CCEP, Director of Business Conduct, BAE Systems, Electronic Solutions

JIM SLAVIN, Senior Director of Advisory Services, Integrity Interactive

MARJORIE DOYLE, JD, CCEP-F, Principal, Marjorie Doyle & Associates LLC

- Industry experts will share a perspective on the new anti-bribery laws, and regulations, i.e. UK Bribery Act vs. FCPA
- Hear from your peers as an expert panel discusses how the new regulations will affect their programs
- Participate in an interactive workshop to develop a roadmap for your program considering the new anti-bribery requirements and determine the steps necessary to manage your risk with your employees and business partners throughout your enterprise from joint ventures to agents/distributors
- Receive tangible action items for improving and expanding your anti-corruption program— all participants will receive a comprehensive program plan including shared best practices gathered during the workshop

## RISK TRACK

### P6 Investigations: Effectiveness and Management CCEP

LATOURETTE “LT” LAFFERTY, JD, CHC, CCEP, Shareholder, Fowler White Boggs, P.A.

AL GAGNE, CCEP, Director, Ethics & Compliance, Textron Systems Corporation

- Learn the basic framework for any internal investigation
- Apply this knowledge to several practical scenarios for on hand experience and application
- Understand proper documentation of misconduct for subsequent personnel action

4:30 – 6:00 PM | SUNDAY

### Opening Reception

## Monday, September 13

7:00 AM – 7:00 PM | MONDAY

### Registration Open

7:00 AM – 8:15 AM | MONDAY

### Continental Breakfast in Exhibit Hall

8:15 – 8:30 AM | MONDAY

### Opening Remarks

8:30 – 10:30 AM | MONDAY

### General Session Part 1

DR. MICHAEL SHERMER, Skeptics Society, Author of *Why People Believe Weird Things* and *The Mind of the Market*, Founding Publisher, *Skeptic Magazine*

- How biology and psychology shape our economic lives
- Why we get so emotional about financial decisions
- How much less rational people are than they think

## General Session Part 2: Tackling Social Networking Risks

ADAM TURTELTAUB, CCEP, CHC, Vice President of Membership Development, The Society of Corporate Compliance and Ethics (MODERATOR)

ORRIE DINSTEIN, CIPP, Chief Privacy Leader and Senior IP Counsel, GE Capital

KIMBERLY CILKE, JD, Assistant General Counsel, The Go Daddy Group, Inc.

GRACE F. RENBARGER, Vice President-Legal, Chief Ethics & Compliance Officer, Dell Inc.

10:30 – 11:00 AM | MONDAY

## Networking Break

11:00 – 12:00 PM | MONDAY

## 101 Ethics/Compliance Benchmarking Best Practices and Data Trends CCEP

NICK CIANCIO, President, Global Compliance International, Chief Compliance Officer, Global Compliance

CARRIE PENMAN, President, Ethical Leadership Group, A Global Compliance Company

- How do you know if you are getting the right numbers and types of calls through your ethics hotline/helpline?
- Trends in helpline data across industries
- How should you interpret findings and trends, and how do those findings correlate to actions?

## 102 In House Counsel and Compliance Officer: Can Both Hats Sit on the Same Person?

RUSS BERLAND, JD, Of Counsel, Stinson Morrison Hecker LLP

RONALD E. BERENBEIM, Principal Researcher, Business Ethics, The Conference Board

ODELL GUYTON, JD, CCEP, Director of Compliance, Microsoft Corporation

- Should the compliance function be housed within the legal department?
- What do the Model Rules of Professional Conduct say about how attorneys should act as compliance officers?
- Under what circumstances do the roles of in house counsel and compliance officer come into conflict?

## 103 Driving from Good to Great: One Ethics & Compliance Department's Three-Year Strategy for a Successful Journey

STEVE KOSLOW, JD, SVP, Chief Ethics & Compliance Officer, CUNA Mutual Group

- One company's three-year blueprint for moving an ethics and compliance department from "Good" to "Great"
- How to build and use a low tech risk assessment to identify where compliance functions work and where they need enhancement
- Tools and techniques to measure and report on the status of initiatives, performance and program effectiveness

## 104 International Panel: The Differences Between European and American Compliance and How to Overcome Them

ANDRIJANA ZRINJI, LLB, CCEP, Compliance Officer, Officer of the Management Board, Triglav Insurance Company Ltd.

HAYDEE OLINGER, Corporate Vice President, Global Compliance Officer, McDonald's Corporation

RUTH N. STEINHOLTZ, Former General Counsel and Group Security Coordinator, Borealis AG

- The impact of business and legislation environment in European Union and South East Europe on compliance practices
- Comparing compliance principles from US FSG and compliance approach in Europe; connecting similarities and overcoming challenges
- Case for Triglav Insurance Company Ltd.: building compliance in one of the region's biggest financial companies

## 105 DOL Compliance: Preparing for Increased Enforcement

JENNIFER SWAYZE, GPHR, SPHR-CA, CPP, CEBS, RPA, CMS, Risk Management Compliance Analyst, Paychex

- Overview of FLSA and FMLA requirements
- Update on current regulatory and legal changes
- Conducting FMLA and FLSA compliance audits

## RISK TRACK

## 106 Privacy and Data Protection

CCEP

GEORGE B. BREEN, JD, Shareholder, Epstein Becker & Green, P.C.

MARTI ARVIN, JD, CHC-F, CPC, CCEP-F, CHRC, CHPC, Chief Compliance Officer, UCLA Health Sciences

- Overview of global privacy and data protection risks and challenges, including the rapidly expanding regulatory and legal landscape
- Best practices in privacy program development, management and strategies for securing information and protecting against data breaches
- Managing privacy and data protection risks: Effective compliance and ethics practices for responding when a breach occurs, including litigation planning

12:00 – 1:00 PM | MONDAY

## Lunch Speaker

1:30 – 2:30 PM | MONDAY

## 201 Writing Policies, Making Sense CCEP

J. STUART SHOWALTER, JD, MFS, Atlanta, GA

- Make your compliance policies clear and enforceable
- Learn to avoid legalese, ambiguities and pitfalls
- Practice policy-writing skills with practical tools

## 202 Beyond the Hotline CCEP

DAVID CHILDERS, CIPP, President & CEO, EthicsPoint

- Best practice guidance for collecting reports of code of conduct violations
- Insight into updated trends and benchmarking data relating to fraud and other misconduct
- Practical advice for incorporating social media into your ethics and compliance programs

## 203 Practical Training Challenges for Improving Compliance Execution CCEP

MICHAEL BEDNAR, Sr. Director, Operations Compliance, Walmart, Inc.

KIRSTIE SIMS, Compliance Director-Southeast Division, Walmart

- Examine the challenges faced while training on the importance of compliance execution
- Discuss training techniques to create long term behavior change
- Measuring the effectiveness of compliance training



## 204 Culture and the Science of Compliance: Behavioral Science Weighs in on Corporate Culture

SCOTT KILLINGSWORTH, JD, Partner,  
Bryan Cave LLP

- How corporate ethical culture has been proven to influence employee compliance
- How promoting ethical culture enlists the loyalty of the “good guys” and leads to sustainable compliance even “when no one is looking” and in times of stress
- How to promote specific cultural traits that most dramatically affect compliance

## 205 Nonprofits Have Compliance Concerns Too!

DONNA MCPARTLAND, CCEP, CIPP,  
Corporate Counsel, Graduate Management  
Admission Council

- International compliance for non-profits, including anti-corruption, export, sanctions and anti-boycott, privacy and grant making
- Tax Compliance, including the 990 and the IRS initiatives, including corporate governance, employment tax and international activities
- Compliance tools

### RISK TRACK

## 206 Records and Information Management

GENE STAVROU, Associate Director, Global  
Records Management, Kraft Foods

VIRGINIA MACSUIBHNE, JD, CCEP, Director,  
Ethics & Compliance, Roche Molecular  
Systems, Inc.

- Building an effective Records and Information Management infrastructure
- Managing Records and Information: Lifecycle, rules, and accountability
- Effective risk management practices and being prepared for litigation, investigation, and audit

2:30 PM – 3:00 PM | *MONDAY*

## Networking Break

3:00 PM – 4:00 PM | *MONDAY*

## 301 Working with Uncle Sam: Compliance Issues that Arise When Working Among Federal Employees

JOHN SZABO, Senior Counsel for Ethics,  
U.S. Nuclear Regulatory Commission

STEVE EPSTEIN, JD, Chief Counsel, Ethics and  
Compliance, The Boeing Company

- Help prevent ethical/compliance violations by informing you of pitfalls to avoid and ways to deal with problems raised by interactions between private sector and government employees
- Improve your compliance program by training and informing employees of the government rules on conduct
- Provide remedies to potential and real violations of the government conduct rules

## 302 Compliance Program Integration: Building Empowerment and Accountability into the Business CCEP

KEVIN L. ESPINOZA, Director, Ethics &  
Compliance, North American Pharma, GSK

- Discuss how to move your organization from policing to collaborating with the business
- Examples of compliance and business collaborations for improved monitoring activities
- An examination of training effectiveness and opportunities for commercial ownership

## 303 Monitoring for Retaliation: An Essential Part of Your Compliance and Ethics Program CCEP

VICTORIA SWEENEY, PIC, Ethics and  
Compliance, KPMG LLP

CARRIE PENMAN, President Ethical  
Leadership Group, A Global Compliance  
Company

- Focus on the difficult task of preventing or proving retaliation in your organization without putting the reporter in more jeopardy
- Learn to identify and respond to red flags using ARS keypad voting, a hands-on data analysis exercise, and discussion of real examples of retaliation
- Facilitated by experienced ethics and compliance professionals with practical tips developed while implementing their own retaliation monitoring program

## 304 The One Page Compliance Program

DEENA KING, CCEP, CISA, Managing Director,  
Pure Knowledge Consulting, LLC

- How a compliance program can be reduced to one page
- The value of indexing
- Present a variety of cross-industry examples for interactive discussion

## 305 Anatomy of an Internal Investigation CCEP

LARRY PARSONS, JD, CCEP, Vice President  
and Chief Ethics and Compliance Officer,  
Freescale Semiconductor, Inc.

- Learn how to prepare for and conduct an internal investigation
- Review privilege issues related to the reporting and documentation of investigation results
- Completing the investigation and implementing corrective action

### RISK TRACK

## 306 Conflicts of Interest and Gifts and Entertainment CCEP

REBECCA WALKER, Partner,  
Kaplan & Walker LLP

- Conflicts of interest impact all organizations—how can we deal with the risks that conflicts present in a practical and effective way?
- Best practices in assessing conflicts risks
- Policies, pre-approvals, questionnaires, audits—what are best practices in conflicts controls

4:00 – 4:30 PM | *MONDAY*

## Networking Break



4:30 – 5:30 PM | MONDAY

## 401 Third Party Ethics & Compliance Programs as Good for Business

MARJORIE DOYLE, JD, CCEP-F, Principal, Marjorie Doyle & Associates LLC

DIANA M. LUTZ, JD, Chief Ethics & Compliance Officer and Managing Director, The Steele Foundation

- What you can do as a vendor to satisfy your customers that you are ethical and compliant
- How customers and vendors are working together to make sure they have strong ethics and compliance programs
- Practical steps that vendors can take to satisfy their customers that they will live up to the customers ethics and compliance values

## 402 Understanding & Working Effectively with Independent Corporate Monitors

JOHN HANSON, Executive Director, Artifice Forensic Financial Services

DOUGLAS LANKLER, Chief Compliance Officer, Pfizer

- What is a “monitor”?
- Current trends in monitor usage
- Finding & selecting a monitor
- Scope, role, transparency, reporting and costs of monitors
- Benefits to the monitored entity and government
- Working effectively with a monitor

## 403 Compliance and Ethics: An International Perspective

JOSEPH E. MURPHY, CCEP, Of Counsel, CSLG, Co-Founder, Integrity Interactive, Co-Editor, *Ethikos*

DAVID NITKIN, President, EthicScan

DONNA BOEHME, Principal, Compliance Strategists, LLC

PATRICK J. GNAZZO, General Manager of U.S. Public Sector and Senior Vice President, CA, Inc.

- Cross cultural differences
- Permissive regulations versus compliance laws
- Best practices

## 404 Combating Culture Conflicts: Applying J&J’s Credo to Past (Tylenol) and Present Crises

PAUL FIORELLI, JD, MBA, CCEP, Co-Director, Cintas Institute for Business Ethics, Xavier University

- Review the Johnson & Johnson Credo
- Relive the Tylenol incident
- Rethink the importance of corporate culture

## 405 Compliance from the Worker’s Perspective

ADAM TURTELTAUB, CCEP, CHC, Vice President of Membership Development, The Society of Corporate Compliance and Ethics (MODERATOR)

MARSHA ERSHAGHI, Ed.D. Candidate, CCEP, Practice Leader, Education Solutions, LRN, Inc.

CAROLINE MCMICHEN, CCEP, CIA, Global Director, Ethics and Business Conduct, Molson Coors

AMYN THAWER, Senior Director and Global Compliance and Regulatory Affairs Counsel, eBay, Inc.

- Hear the latest learning on what makes for effective adult educational design
- Get a better understanding of the multiple perspectives office and manufacturing workers bring, and how to speak directly to them
- Learn about effectively addressing young, technologically immersed workers

## RISK TRACK

### 406 Mergers & Acquisitions CCEP

JOHN D. SORIANO, Corporate Vice President and Chief Compliance Officer, Celgene Corporation

LISA KUCA, Former Ad Hoc Advisory Group Member, U.S. Sentencing Commission

- Importance of due diligence
- Investigation, disclosure and remediation before and after closing
- How to integrate ethics and compliance programs

5:30 – 7:00 PM | MONDAY

## Networking Reception

7:00 – 10:00 PM | MONDAY

## Annual Dinner

Tuesday, September 14

7:00 AM – 5:30 PM | TUESDAY

## Registration Open

7:00 – 8:15 AM | TUESDAY

## Continental Breakfast in Exhibit Hall

8:15 – 8:30 AM | TUESDAY

## Opening Remarks

8:30 – 10:30 AM | TUESDAY

## General Session

JIM SKINNER, Chief Executive Officer, McDonald’s Corporation

KURT EICHENWALD, Author of *The Informant*, Pulitzer Prize Finalist

10:30 – 11:00 AM | TUESDAY

## Networking Break

11:00 AM – 12:00 PM | TUESDAY

## 501 Impact of Compliance Programs When the Government Knocks: Compliance Programs in Real Cases CCEP

WIN SWENSON, Partner, Compliance Systems Legal Group

- Does it really even matter to the government whether you have a good C/E program if your company has a non-compliance problem?
- How does the government evaluate programs? Do they go beyond the “paper” to find out whether the company’s program is actually working?
- What are some do’s and don’ts if you are in front of the government?

## 502 Transnational Fraud and Corruption Risks: Impact and Avoidance in International Development Aid-Financed Business CCEP

DAVID G. HAWKES, Dr.iur, Head of Special Litigations, World Bank Group Integrity Vice Presidency

PAUL HAYNES, CCEP, Head of World Bank's Voluntary Disclosure Program, World Bank Group

- Recent fraud and corruption cases in international development-financed business
- Impact of multi-jurisdictional enforcement action
- INT's voluntary disclosure program and other innovative compliance tools

## 503 Case Study: Investigations System Selection & Implementation CCEP

RAY GERARD, MBA, President, Customer Expressions (i-Sight)

Lyn Scrine, Ethics Director, Enterprise Business Conduct, Allstate Insurance Company

- Key considerations for an effective system (for Allstate)
- Key success factors to consider for a smooth implementation
- Results realized from new system "ROI"

## 504 Tone Your "Middle" in 5 Minutes a Day

MARY-JAMES (JAMI) YOUNG, JD, LL.M., Senior Regulatory Counsel, Vectren Corporation

- Tone the "middle"—manager and supervisors—in 5 minutes a day
- Assure that the tone at the top makes its way throughout the organization
- See proven strategies for integrating and energizing the "middle" into the culture of compliance

## 505 The Role of Internal Audit in the Identification and Reporting of Ethical Issues

DR. RODNEY IRWIN, BSc, MSc, DBA, FCA, CFE, SIRM, CCEP, DipITEC, Group Director of Risk Management and Internal Controls, TNT NV

- Identification of ethical issues by internal audit
- Reporting of ethical issues by internal audit
- Gaps and opportunities: a suggested way forward!

## RISK TRACK

### 506 Government Contracts and Relationships CCEP

STEVE A. LINICK, Director, National Procurement Fraud Task Force, U.S. Department of Justice

ERIC R. FELDMAN, CFE, CIG, Senior Advisor to the Director for Procurement Integrity, National Reconnaissance Office

- Obtain the federal government perspective on implementing the new FAR requirements related to mandatory disclosure and corporate ethics programs
- Learn how to more proactively engage federal customers on ethics and compliance issues
- Confused by the FAR requirements related to Ethics and Compliance? Learn how one federal agency with high-value contracts is approaching these requirements with its industrial partners

12:00 – 1:00 PM | TUESDAY

### Networking Lunch

1:30 – 2:30 PM | TUESDAY

### 601 Practical Applications of the Code of Ethics for Compliance & Ethics Professionals

MARJORIE DOYLE, JD, CCEP-F, Principal, Marjorie Doyle & Associates LLC

URTON ANDERSON, CIA, CCSA, CGAP, CFSA, CCEP, Chair, Department of Accounting, McCombs School of Business, University of Texas at Austin

- How the Code of Ethics for Professionals can help in making tough decisions
- How others are using the Code
- How to educate your team and your management on the Code

### 602 Managing Regulatory Compliance in a Global Environment

ROB SHOEMAKER, Head of Global Compliance, GE Transportation

- Establishing a strong regulatory framework within domestic and emerging markets
- People, processes, and tools to facilitate regulatory compliance programs
- The importance of strong business leaders, and why they need to own regulatory compliance

### 603 Making the Grade: A Case Study on the Transformation of Bausch & Lomb's Code of Business Conduct and Ethics

COURTNEY BARTON, CCEP, Compliance Manager, Bausch & Lomb

SUSAN ROBERTS, Corporate Vice President and Chief Compliance Officer, Bausch & Lomb

- Identifying what you really need to have in a Code of Conduct
- Using global employee focus groups to draft the Code and engage employees
- Fully engaging management in implementation, training and certification

### 604 Anti-Corruption/Anti-Bribery: Getting Unstuck: Tactics for Defining and Executing Systematic, Risk-Based Third-Party Due Diligence for FCPA Compliance CCEP

KENNETH KURTZ, CEO, The Steele Foundation

- Go beyond high-level understanding of FCPA to identify concrete tools and tactics for ensuring third-party due diligence compliance
- Receive nuts-and-bolts guidance on cost-effective, risk-based approaches to defining and vetting overseas partners
- Leverage technology and third-party inventory techniques to create a robust due diligence program with minimal administrative and financial burden

## RISK TRACK

### 605 International Trade and Exports CCEP

GEOFFREY M. GOODALE, Senior Counsel, Foley & Lardner LLP

JAMES E. BARTLETT, Senior Counsel, Export/Import, Northrop Grumman Corp.

STEVEN W. PELAK, National Export Coordinator, US DOJ

- Hear about the U.S. Government's increasingly aggressive enforcement of U.S. trade laws
- Learn about best practices in international trade compliance and how to implement them
- Obtain insights on how to minimize exposure to trade-related penalties

2:30 – 3:00 PM | TUESDAY

## Networking Break

3:00 – 4:00 PM | TUESDAY

### 701 Interactive Workgroup: Meeting the Social Networking Challenges

ADAM TURTELTAUB, CCEP, CHC, Vice President of Membership Development, The Society of Corporate Compliance and Ethics

- An interactive exercise involving peer collaboration
- Work together to create a model social networking policy and plan for auditing and monitoring
- Develop ways to make social networking an asset for your compliance program

### 702 Recent Compliance Investigations CCEP

STEPHEN MARTIN, General Counsel & Chief Compliance Officer, Corpedia

PAUL MCNULTY, Baker & McKenzie LLP

MARC LITT, Assistant U.S. Attorney for the Southern District of New York, U.S. Department of Justice

- How to handle government investigations
- Learning from the past: recent compliance investigations
- A roundtable discussion of compliance failures: learning from the past

### 703 E-Verify: The Ghost in the Verification Machine

KEVIN LASHUS, Of Counsel, Greenberg Traurig LLP

- Addressing the risk of E-Verify related data mining
- Setting-up a comprehensive compliance plan to address employment verification exposure
- Protecting the attorney/client privilege during a mitigation/remediation process

### 704 Deploying GRC Technology

JOHN J. CHICO, Global Compliance Manager, Johnson Controls, Building Efficiency

- Learn benefits of GRC technology
- Understand why planning and coordination is essential
- Enhance deployment plans through lessons learned

## RISK TRACK

### 705 Antitrust and Competition CCEP

THEODORE L. BANKS, President, Compliance & Competition Consultants, LLC, and Counsel, Schoeman, Updike, Kaufman & Scharf

ROXANE C. BUSEY, Partner, Baker & McKenzie LLP

MILDRED L. CALHOUN, Senior Counsel, BP America, Inc.

- Identifying organizational risks related to antitrust and competition
- Global challenges and approaches
- Managing the risk: controls and education

4:00 – 4:30 PM | TUESDAY

## Networking Break

4:30 – 5:30 PM | TUESDAY

### 801 Internal Audit and the Corporate Ethics Program

ELLIOT A. FISCH, CPA, CIA, CFE, Director, Internal Audit and Chief Compliance Officer, Easton-Bell Sports

ADRIAN MEBANE, Director of Ethics & Compliance, Weatherford International, Ltd.

- Combining the Internal Audit and Compliance departments can create a more effective oversight function
- Internal Audit and compliance investigations can provide valuable information about company risks
- Combining the Internal Audit and Compliance departments can be a lower cost alternative to separate departments

### 802 International Privacy and Security Panel: Managing Your Growing Privacy and Security Obligations

MICHAEL HOROWITZ, JD, Partner, Cadwalader, Wickersham & Taff LLP, Former Commissioner, U.S. Sentencing Commission

### 803 What to Do When the Government Comes Knocking CCEP

GABRIEL L. IMPERATO, Esq., CHC, Managing Partner, Broad and Cassel

- Explore in depth what to do in response to an initial contact by government agents conducting an investigation
- Review how investigations are initiated and who typically contacts individuals or members of organizations
- Review the types of contacts that can be initiated by government representatives, including search warrants, arrest warrants and subpoenas

### 804 Corporate Values: Choosing Values That Build Trust

JOHN HANNESSON, CEO, White Stone Ethics

- It's better to have no corporate values statement than one perceived as hypocritical: learn how to craft an authentic and memorable one
- Corporate values should be broad enough to support the moral reasoning necessary to choose from alternative courses of action when values conflict
- Enron had a corporate values statement, but an unethical culture: how to start building an ethical culture with your values statement

## RISK TRACK

### 805 Ethics and Culture

JIM COCITO, Chief Compliance Officer, Alcatel-Lucent

LYN SCRINE, Ethics Director, Enterprise Business Conduct, Allstate Insurance Company

- Design a Global Compliance Program aimed at creating and sustaining a corporate culture of integrity
- Learn how to engage middle and lower management to view compliance not as a program, but more of a way of doing business
- Design a program that is sensitive to cultural differences, yet clear on boundaries and consequences



## Wednesday, September 15

7:00 AM – 12:30 PM | WEDNESDAY

### Registration Open

8:00 AM – 12:00 PM | WEDNESDAY

### W1 Part 1: Municipal Compliance Program Case Study

ANTHONY BOSWELL, Former Executive Director, Office of Compliance, City of Chicago

- Understanding the nature of adversity in compliance program development
- How to recognize when hostility and roadblocks to program development are more than routine in nature
- Identifying personality-driven culture from a process-driven culture and how to address conflict in each

### W1 Part 2: Overcoming Check-The-Box IT Compliance

CHONG EE, CISA, CGEIT, Director, Compliance and Accounting Process, ZipRealty

- Assess IT risks in a holistic context with financial and entity risks
- Revisit existing controls from a lifecycle management perspective
- Review organizational and psychological biases that can hinder process updates and improvement

### W2 Part 1: I Can Read You Like a Book: Detecting Deception in Workplace Interviews

MERIC BLOCH, JD, CFE, PCI, Vice President—Corporate Investigations, Adecco Group North America

- Understand the human needs and motives for deception
- Know the signs of deception through speech and body language
- Learn ways you can minimize the risk your interview will be derailed by a deceptive witness

### W2 Part 2: Who's Lying? How to Identify and Document Untruthfulness in Internal Investigative Interviews

MICHAEL JOHNSON, Senior Vice President, Global Compliance, Brightline Learning Division

- Learn to interview the complainant, the accused and the witnesses using the “Funnel Method”
- Learn how to deal with “he said/she said” allegations
- Learn how to decide the appropriate level of discipline, if needed

## RISK TRACK

### W3 Anti-Corruption/Anti-Bribery Workshop **CCEP**

J. TROY BEATTY, Senior Counsel, Office of International Affairs, Securities & Exchange Commission

KEVIN J. ROGAN, Chief Compliance Officer North America, Siemens Corporation

MARK SNYDERMAN, Senior Knowledge Leader, LRN

- Overview of anti-corruption risks, challenges and risk mitigation strategies
- Addressing the legal, regulatory and enforcement landscape of anti-corruption risks and failures
- Developing an effective Anti-Corruption/Anti-Bribery Program: Fundamentals, third-parties/ due diligence, and auditing practices

2:00 – 4:00 PM | WEDNESDAY

### CCEP Exam

## How to Conduct Effective Internal Investigations

A TWO-DAY WORKSHOP

November 11-12, 2010  
Orlando, Florida

To learn more and register, visit [www.internalinvestigations.org](http://www.internalinvestigations.org)

## EXPLORING CHICAGO

Chicago's great magic lies in its mix: sophisticated yet friendly, bustling city streets adjacent to long stretches of green parks and sparkling blue Lake Michigan, and a stunning year-round array of things to see and do unique in all the world.



Chicago is more walkable than most global cities, and visitors of all ages enjoy the proximity of such attractions as Navy Pier, Millennium Park, Art Institute of Chicago and other treasures.

The city's explosive performance art scene delivers audience-thrilling theatre, music and dance in historic venues. And, of course, an endless assortment of restaurants, shopping and nightlife are all at your fingertips, ready to match every taste, budget and mood.

Come and discover why so many visitors fall in love with the city every year.

For more information on all that Chicago has to offer, visit [www.choosechicago.com/meetinichicago](http://www.choosechicago.com/meetinichicago)

# SPEAKERS



**URTON ANDERSON**, CIA, CCSA, CGAP, CFSA, CCEP, Chair, Department of Accounting, McCombs School of Business, University of Texas at Austin



**MARTI ARVIN**, JD, CHC-F, CPC, CCEP-F, CHRC, CHPC, Chief Compliance Officer, UCLA Health Sciences



**THEODORE L. BANKS**, President, Compliance & Competition Consultants, LLC, and Counsel, Schoeman, Updike, Kaufman & Scharf



**JAMES E. BARTLETT**, Senior Counsel, Export/Import, Northrop Grumman Corp.



**COURTNEY BARTON**, CCEP, Compliance Manager, Bausch & Lomb

**J. TROY BEATTY**, Senior Counsel, Office of International Affairs, Securities and Exchange Commission



**MICHAEL BEDNAR**, Sr. Director, Operations Compliance, Wal-Mart, Inc.



**RONALD E. BERENBEIM**, Principal Researcher, Business Ethics, The Conference Board



**RUSS BERLAND**, JD, Of Counsel, Stinson Morrison Hecker LLP



**MERIC BLOCH**, JD, CFE, PCI, Vice President—Corporate Investigations, Adecco Group North America



**DONNA BOEHME**, Principal, Compliance Strategists, LLC



**ANTHONY BOSWELL**, Former Executive Director, Office of Compliance, City of Chicago



**GEORGE B. BREEN**, JD, Shareholder, Epstein Becker & Green, P.C.



**ROXANE C. BUSEY**, Partner, Baker & McKenzie LLP



**MILDRED L. CALHOUN**, Senior Counsel, BP America, Inc.



**JOHN J. CHICO**, Global Compliance Manager, Johnson Controls, Building Efficiency



**DAVID CHILDERS**, CIPP, President & CEO, EthicsPoint



**NICK CIANCIO**, President, Global Compliance International, Chief Compliance Officer, Global Compliance



**KIMBERLY CILKE**, JD, Assistant General Counsel, The Go Daddy Group, Inc.



**JIM COCITO**, Chief Compliance Officer, Alcatel-Lucent



**ORRIE DINSTEIN**, CIPP, Chief Privacy Leader and Senior IP Counsel, GE Capital



**MARJORIE DOYLE**, JD, CCEP-F, Principal, Marjorie Doyle & Associates LLC

**CHONG EE**, CISA, CGEIT, Director, Compliance and Accounting Process, ZipRealty



**KURT EICHENWALD**, Author of *The Informant*, Pulitzer Prize Finalist

**STEVE EPSTEIN**, JD, Chief Counsel, Ethics and Compliance, The Boeing Company



**MARSHA ERSHAGHI**, Ed.D. Candidate, CCEP, Practice Leader, Education Solutions, LRN, Inc.



**KEVIN L. ESPINOZA**, Director, Ethics & Compliance, North American Pharma, GSK



**C. LEE ESSRIG**, JD, CCEP, Chief Ethics and Compliance Officer and Director of Government Affairs, Lenovo Group Ltd.

**ERIC R. FELDMAN**, CFE, CIG, Senior Advisor to the Director for Procurement Integrity, National Reconnaissance Office



**CATHERINE FINAMORE HENRY**, CCEP, President, Finamore Associates, LLC



**PAUL FIORELLI**, JD, MBA, CCEP, Co-Director, Cintas Institute for Business Ethics, Xavier University



**ELLIOT A. FISCH**, CPA, CIA, CFE, Director, Internal Audit and Chief Compliance Officer, Easton-Bell Sports



**AL GAGNE**, CCEP, Director, Ethics & Compliance, Textron Systems Corporation



**RAY GERARD**, MBA, President, Customer Expressions (i-Sight)



**PATRICK J. GNAZZO**, General Manager of U.S. Public Sector and Senior Vice President, CA, Inc.



**GEOFFREY M. GOODALE**, Senior Counsel, Foley & Lardner LLP



**ODELL GUYTON**, JD, CCEP, Director of Compliance, Microsoft Corporation



**JOHN HANNESSON**, CEO, White Stone Ethics

**JOHN HANSON**, Executive Director, Artifice Forensic Financial Services

**DAVID G. HAWKES**, Dr.iur, Head of Special Litigations, World Bank Group Integrity Vice Presidency

**PAUL HAYNES**, CCEP, Head of World Bank's Voluntary Disclosure Program, World Bank Group



**MICHAEL HOROWITZ**, JD, Partner, Cadwalader, Wickersham & Taft LLP, Former Commissioner, U.S. Sentencing Commission



**GABRIEL L. IMPERATO**, Esq., CHC, Managing Partner, Broad and Cassel



**DR. RODNEY IRWIN**, BSc, MSc, DBA, FCA, CFE, SIRM, CCEP, DiplTEC, Group Director of Risk Management and Internal Controls, TNT NV



**MICHAEL JOHNSON**, Senior Vice President, Global Compliance, Brightline Learning Division



**SCOTT KILLINGSWORTH**, JD, Partner, Bryan Cave LLP



**DEENA KING**, CCEP, CISA, Managing Director, Pure Knowledge Consulting, LLC



**STEVE KOSLOW**, JD, SVP, Chief Ethics & Compliance Officer, CUNA Mutual Group



**LISA KUCA**, Former Ad Hoc Advisory Group Member, U.S. Sentencing Commission

# SPEAKERS



**KENNETH KURTZ**, CEO,  
The Steele Foundation



**LATOUR "LT" LAFFERTY**, JD, CHC,  
CCEP, Shareholder, Fowler White  
Boggs, P.A.

**DOUGLAS LANKLER**, Chief  
Compliance Officer, Pfizer



**KEVIN LASHUS**, Of Counsel,  
Greenberg Traurig LLP



**MICHAEL LEVIN ESQ.**, CCEP,  
Director of Business Conduct,  
BAE Systems, Electronic Solutions

**STEVE A. LINICK**, Director, National  
Procurement Fraud Task Force, U.S.  
Department of Justice



**MARC LITT**, Assistant U.S. Attorney  
for the Southern District of New  
York, U.S. Department of Justice



**JASON L. LUNDAY**, Principal,  
The Ethical Element



**DIANA M. LUTZ**, JD, Chief Ethics  
& Compliance Officer and  
Managing Director, The Steele  
Foundation



**VIRGINIA MACSUIBHNE**, JD, CCEP,  
Director, Ethics & Compliance,  
Roche Molecular Systems, Inc.



**CAROLINE MCMICHEN**, CCEP,  
CIA, Global Director, Ethics and  
Business Conduct, Molson Coors



**PAUL MCNULTY**,  
Baker & McKenzie LP



**DONNA MCPARTLAND**, CCEP,  
CIPP, Corporate Counsel, Graduate  
Management Admission Council



**STEPHEN MARTIN**, General  
Counsel & Chief Compliance  
Officer, Corpedia

**ADRIAN MEBANE**, Director of  
Ethics & Compliance, Weatherford  
International, Ltd.



**JOSEPH E. MURPHY**, CCEP,  
Of Counsel, CSLG, Co-Founder,  
Integrity Interactive, Co-Editor,  
*Ethikos*

**DAVID NITKIN**,  
President, EthicScan



**HAYDEE OLINGER**,  
Corporate Vice President,  
Global Compliance Officer,  
McDonald's Corporation



**LARRY PARSONS**, JD, CCEP, Vice  
President and Chief Ethics and  
Compliance Officer, Freescale  
Semiconductor, Inc.

**STEVEN W. PELAK**,  
National Export Coordinator,  
US DOJ



**CARRIE PENMAN**,  
President, Ethical Leadership  
Group, A Global Compliance  
Company



**GRACE F. RENBARGER**, Vice  
President-Legal, Chief Ethics &  
Compliance Officer, Dell Inc.



**DAN ROACH**, JD, Vice President,  
Compliance & Audit, Catholic  
Healthcare West



**SUSAN ROBERTS**, Corporate Vice  
President and Chief Compliance  
Officer, Bausch & Lomb



**KEVIN J. ROGAN**, Chief  
Compliance Officer North  
America, Siemens Corporation



**LYN SCRINE**, Ethics Director,  
Enterprise Business Conduct,  
Allstate Insurance Company



**DR. MICHAEL SHERMER**, Skeptics  
Society, Author of *Why People  
Believe Weird Things* and *The Mind  
of the Market*, Founding Publisher,  
*Skeptic Magazine*



**ROB SHOEMAKER**, Head of Global  
Compliance, GE Transportation



**KIRSTIE SIMS**, Compliance  
Director-Southeast Division,  
Walmart



**J. STUART SHOWALTER**, JD, MFS,  
Atlanta, GA



**JIM SKINNER**, Chief Executive  
Officer, McDonald's Corporation



**JIM SLAVIN**, Senior Director  
of Advisory Services, Integrity  
Interactive



**MARK SNYDERMAN**, Senior  
Knowledge Leader, LRN



**JOHN D. SORIANO**, Corporate  
Vice President and Chief  
Compliance Officer, Celgene  
Corporation



**GENE STAVROU**, Associate  
Director, Global Records  
Management, Kraft Foods



**RUTH N. STEINHOLTZ**, Former  
General Counsel and Group  
Security Coordinator, Borealis AG

**JENNIFER SWAYZE**, GPHR, SPHR-  
CA, CPP, CEBS, RPA, CMS, Risk  
Management Compliance Analyst,  
Paychex



**VICTORIA SWEENEY**, PIC, Ethics  
and Compliance, KPMG LLP



**WIN SWENSON**, Partner,  
Compliance Systems Legal Group



**JOHN SZABO**, Senior Counsel for  
Ethics, U.S. Nuclear Regulatory  
Commission

**AMYN THAWER**, Senior Director and  
Global Compliance and Regulatory  
Affairs Counsel, eBay, Inc.



**GREG TRIGUBA**, JD, CCEP,  
Principal, Compliance Integrity  
Solutions, LLC



**ADAM TURTELTAUB**, CCEP, CHC,  
Vice President of Membership  
Development, The Society of  
Corporate Compliance and Ethics



**REBECCA WALKER**, Partner,  
Kaplan & Walker LLP



**MICHAEL WARD**,  
Director of Compliance,  
Adobe Systems Incorporated



**ART WEISS**, JD, CCEP, Chief  
Compliance & Ethics Officer,  
TAMKO Building Products



**MARY-JAMES (JAMI) YOUNG**, JD,  
LLM, Senior Regulatory Counsel,  
Vectren Corporation



**ANDRIJANA ZRINJI**, LLB, CCEP,  
Compliance Officer, Officer of  
the Management Board, Triglav  
Insurance Company Ltd.



# CONTINUING EDUCATION CREDITS

SCCE is in the process of applying for additional continuing education credits.

**ACHE:** The Society of Corporate Compliance & Ethics along with the Health Care Compliance Association is authorized to award 21 hours of pre-approved Category II (non-ACHE) continuing education credit for this program toward advancement, or recertification in the America College of Healthcare Executives. Participants in this program wishing to have the continuing education hours applied toward Category II credit should indicate on their attendance when submitting application to the American College of Healthcare Executives for advancement or recertification.

**CA Nursing Credit:** The Society of Corporate Compliance and Ethics is preapproved by the California Board of Registered Nursing: Provider Number CEP 12990, for a maximum of 25.5 contact hour(s). The following states will accept CA Board of Nursing Contact Hours: Alabama, Alaska, Arkansas, Iowa, Kansas, Kentucky, Louisiana, Michigan, Minnesota, Nebraska, Nevada, New Mexico, North Carolina, North Dakota, Ohio, Oregon, Texas, West Virginia and Wyoming. The following states do not have continuing education requirements: Arizona, Colorado, Connecticut, Georgia, Hawaii, Indiana, Maine, Missouri, Montana, New York, Oklahoma, Pennsylvania, South Dakota, Tennessee, Vermont, Virginia, Washington and Wisconsin. The following states will not accept CA Board of Nursing contact hours: Delaware, Florida, New Jersey and Utah. Massachusetts and Mississippi nurses may submit CA Board of Nursing contact hours to their state board, but approval will depend on review by the board. Please contact the Accreditation Department at [ccb@hcca-info.org](mailto:ccb@hcca-info.org) with any questions you may have.

**CLE:** The Health Care Compliance Association/Society of Corporate Compliance and Ethics is a State Bar of California Approved MCLE provider, a Rhode Island Accredited Provider, and a Texas Accredited Sponsor. SCCE is in the process of applying to additional MCLE states for CLE approval of this program. Approximately 21.25 Clock Hours of CLE

credit will be available at maximum. All CLE credits will be awarded based on individual attendance. Visit <http://www.complianceethicsinstitute.org/certification/ceucle.htm> to view an up-to-date list of state CLE approvals.

**Compliance Certification Board (CCB):** Certified in Healthcare Compliance (CHC), Certified Compliance & Ethics Professional (CCEP), Certified in Healthcare Research Compliance (CHRC): CCB has awarded a maximum of 25.5 CEUs (based on a 50-minute hour) for these accreditations in the following subject areas: Application of management Practices for the Compliance Professional; Application of Personal and Business Ethics in Compliance; Written Compliance Policies and Procedures; Designation of Compliance Officers and Committees; Compliance Training and Education; Communication and Reporting Mechanisms in Compliance; Enforcement of Compliance Standards and Discipline; Auditing and Monitoring for Compliance; Response to Compliance Violations and Corrective Actions; and Complying with Government Regulations.

**NASBA/CPE:** The Society of Corporate Compliance and Ethics/Health Care Compliance Association 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, Sponsor Identification No: 105638. State boards of accountancy have final authority on the acceptance of individual courses for CPE credit and may not accept one-half credits. Complaints regarding registered sponsors may be addressed to the National Registry of CPE Sponsors, 150 Fourth Avenue North, Suite 700, Nashville, TN 37219-2417. Website: [www.nasba.org](http://www.nasba.org). A recommended maximum of 25.5 credits based on a 50-minute hour will be granted for the entire learning activity. This program addresses topics that are of a current concern in the compliance environment. This is an update, group-live activity. For more information regarding administrative policies such as complaints or refunds, call the HCCA at 888-580-8373 or 952-988-0141.

## TAKE THE CCEP EXAM AT THE INSTITUTE

### CCEP Exam Date and Time

The CCEP certification exam will be held on Wednesday, September 15, from 2:00–4:00 pm in the Swissôtel Chicago.

### CCEP Exam Registration

The exam application deadline is Wednesday, August 18, 2010. You must register for the CCEP exam separately from your conference registration.

To register for the exam, visit the website for the Compliance & Ethics Institute ([www.complianceethicsinstitute.org](http://www.complianceethicsinstitute.org)) and click on the “Certification” tab. Submit the application and fee (\$250 SCCE members or \$350 non-members) to the testing agency (as listed on the application).

You must meet the eligibility requirements to sit for the exam. Please review these requirements on page 2 of the CCEP Candidate Handbook online at [www.corporatecompliance.org/CCEP](http://www.corporatecompliance.org/CCEP).

### Questions?

Contact Liz Hergert, SCCE Certification Coordinator, at +1 952 405 7905 or [ccep@corporatecompliance.org](mailto:ccep@corporatecompliance.org).

## AFFINITY GROUP MEETINGS

Did you know you can get free meeting space for a meeting with your work colleagues while at the Compliance and Ethics Institute? Just let us know what you have in mind. We can arrange a complimentary meeting room at the conference site, along with your choice of a complimentary continental breakfast or an AM or PM break. As an added benefit, all of your attendees will also receive the SCCE member rate for the annual conference. This is a great way to stretch your meeting budget dollars.

To apply for an affinity group meeting, please contact SCCE at +1 952 933 4977.





# Become a Certified Compliance & Ethics Professional



*Broaden your professional qualifications*

*Increase your value to your employer*

*Gain expertise in the fast-evolving compliance field*

**LEARN MORE AT**

***[www.corporatecompliance.org/ccep](http://www.corporatecompliance.org/ccep)***

**CCEP**  
Certified Compliance & Ethics Professional



The following Compliance & Ethics Institute sessions may be helpful if you're planning to sit for the CCEP exam (marked with **CCEP** throughout the program):

**P1** Compliance 101

**P2** Building an Effective Compliance and Ethics Program: Challenges and Strategies

**P3** Risk Management Practices 101

**P4** Creating, Managing, and Proving the Effectiveness of a Compliance Program for the Small to Medium-Sized Company

**P6** Investigations: Effectiveness and Management

**101** Ethics/Compliance Benchmarking Best Practices and Data Trends

**106** Privacy and Data Protection

**201** Writing Policies, Making Sense

**202** Beyond the Hotline

**203** Practical Training Challenges for Improving Compliance Execution

**302** Compliance Program Integration: Building Empowerment and Accountability into the Business

**303** Monitoring for Retaliation: An Essential Part of Your Compliance and Ethics Program

**305** Anatomy of an Internal Investigation

**306** Conflicts of Interest and Gifts and Entertainment

**406** Mergers & Acquisitions

**501** Impact of Compliance Programs When the Government Knocks: Compliance Programs in Real Cases

**502** Transnational Fraud and Corruption Risks: Impact and Avoidance in International Development Aid-Financed Business

**503** Case Study: Investigations System Selection & Implementation

**506** Government Contracts and Relationships

**604** Anti-Corruption/Anti-Bribery: Getting Unstuck: Tactics for Defining and Executing Systematic, Risk-Based Third-Party Due Diligence for FCPA Compliance

**605** International Trade and Exports

**702** Recent Compliance Investigations

**705** Antitrust and Competition

**803** What to Do When the Government Comes Knocking

**W3** Anti-Corruption/Anti-Bribery Workshop

# DETAILS

## REGISTRATION HOURS

**Saturday, September 11**

3:00 – 7:00 PM

**Sunday, September 12**

7:00 AM – 6:00 PM

**Monday, September 13**

7:00 AM – 7:00 PM

**Tuesday, September 14**

7:00 AM – 5:30 PM

**Wednesday, September 15**

7:00 AM – 12:30 PM

## EXHIBIT HALL HOURS

**Sunday, September 12**

4:30 – 6:00 PM

**Monday, September 13**

7:00 AM – 7:00 PM

(closed for lunch from 12:00 – 1:00 PM)

**Tuesday, September 14**

7:00 – 11:00 AM

## BOOKSTORE

Stop by the Bookstore and browse through a wide selection of titles authored by and recommended by your presenters. The SCCE Bookstore will be open as follows:

**Sunday, September 12**

11:00 AM – 5:00 PM

**Monday, September 13**

7:00 AM – 5:30 PM

**Tuesday, September 14**

7:00 AM – 11:30 AM

## INTERNET CAFÉ HOURS

**Sunday, September 12**

9:00 AM – 5:30 PM

**Monday, September 13**

7:00 AM – 7:00 PM

**Tuesday, September 14**

7:00 AM – 5:00 PM

**Wednesday, September 15**

7:00 AM – 12:00 PM

## AUDIO RECORDINGS

Audio recordings of most educational sessions will be available for purchase. Find lists of audio recordings and order forms at the audio sales booth on-site near registration.

## EXHIBITORS

Interact with these exhibitors at SCCE's 2010 Compliance & Ethics Institute:

- 360training.com
- ACFE
- ARC Logics, a Wolters Kluwer business
- Compliance 360 Inc.
- Compliance Cartoons
- Compliance Week
- The Conference Board
- Cornerstone Institute of Ethics
- Corpedia Education
- Customer Expressions (i.-Sight)
- DuPont Sustainable Solutions
- Duquesne University
- Ethics Point
- G4S Compliance & Investigations
- Global Compliance
- Integrity Interactive
- Kaplan Ethics
- Language & Culture Worldwide
- LRN
- MediTract
- Mitratch
- The Network
- Red Flag Group
- SAI Global
- The STEELE Foundation
- Thomson Reuters
- Wolters Kluwer Law & Business



## SCCE PRODUCTS

Learn more and order SCCE products at [www.corporatecompliance.org](http://www.corporatecompliance.org).



**The Complete Compliance and Ethics Manual, 2nd Edition**

With contributions and input

from leading experts and practitioners, the new and improved edition of The manual has evolved in a number of key ways to give you the tools you need to efficiently and effectively improve your program.



**Compliance 101**

This 106-page guide provides the basic information you need to develop an effective compliance and ethics

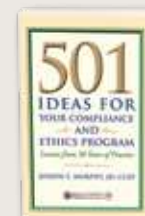
program in any organization. Ideal for compliance professionals new to the field and others tasked with compliance and ethics duties.



**Building a Career in Compliance and Ethics**

A step-by-step guide to establishing a career in this hot new field. Gain

tips and insights from experts who have first-hand experience making powerful organizations safer and more ethical.



**501 Ideas for Your Compliance and Ethics Program**

Jump-start your program with SCCE's new idea guide! Author Joe Murphy has collected

501 great ideas for building and operating an effective program.

# NETWORKING OPPORTUNITIES

## VOLUNTEER PROJECT

Saturday, September 11

12:00–4:30 PM

The SCCE Compliance & Ethics Institute will partner with the Greater Chicago Food Depository to assist in repacking donated food and other products. Together, we can properly and efficiently distribute quality food to participating food pantries, soup kitchens and shelters in the greater Chicago area. Join your fellow CEI attendees during our annual volunteer project. Sign up on your registration form or contact Patti Hoskin at [patti.hoskin@corporatecompliance.org](mailto:patti.hoskin@corporatecompliance.org) to register for this free event. The project will take place on Saturday, September 11, 2010, from 12:00–4:30 PM. SCCE will provide volunteers with lunch and transportation to and from the Depository.

## NETWORKING DINNERS

Sunday, September 12 and

Tuesday, September 14

Dining opportunities with reservations, 7:00 PM

Looking for someone to have dinner with? Selected venue choices will be posted at the conference with price range and estimated cab fare to help make your decision simple. All you have to do is sign up for the one you're interested in and meet at the restaurant. This is a great opportunity to meet some new people in a smaller setting.

## OPENING RECEPTION

Sunday, September 12

4:30–6:00 PM

Enjoy beverages, light hors d'oeuvres, and networking during your first look at the exhibit hall this year.

## AUTHORS' RECEPTION

Sunday, September 12

5:00–6:00 PM

Whether you contribute to a SCCE book or to its magazine, SCCE authors are a significant force behind the success of SCCE and the development of the compliance profession. Join SCCE in recognizing the contributions of this esteemed group of individuals at the *Compliance & Ethics* Magazine Authors' Reception. Those who are interested in learning how to contribute their expertise are also welcome!

## ACADEMIES REUNION

Sunday, September 12

5:00–6:00 PM

This year we will be holding a reception for past SCCE Academy attendees. This is a great opportunity for you to network with people you met while attending an SCCE Academy, as well as meet new people.

## TAILGATE PARTY

Monday, September 13

Networking Reception with games and food, 5:30–7:00 PM

Join us for a reception you won't want to miss! Games, prizes, food and beverages are all part of the true American Tailgating experience. Join us and meet up with colleagues for a fun night of entertainment. Thank you to EthicsPoint for sponsoring this event!

## AWARDS CELEBRATION AND DINNER

Monday night's main event

7:00–10:00 PM

Following the Tailgate, join us for a true celebration of the compliance & ethics profession. We're looking forward to hosting our annual dinner and awards in a different, less-formal fashion to make it easier for you to mix and mingle. Enjoy a Chicago-themed buffet-style dinner, live music by Lynne Jordan & the Shivers, and dancing while taking a brief timeout to honor a few organizations and individuals that have significantly contributed to our profession. Please join us for this free event and celebrate your profession.

## Web 2.0 is about the new, faster, everyone connected Internet.



Dozens of discussion groups and more than 6,000 participants

<http://community.corporatecompliance.org>

JOIN OUR GROUP



Profiles of over 2,700 compliance and ethics professionals

<http://www.corporatecompliance.org/LinkedIn>

FOLLOW US ON



Follow SCCE\_News to keep up with the latest compliance news and events

[http://twitter.com/SCCE\\_News](http://twitter.com/SCCE_News)



Connect with compliance and ethics professionals on Facebook

<http://www.corporatecompliance.org/FaceBook>



# Don't Face Compliance and Ethics Issues Alone

Join the Society of Corporate Compliance and Ethics and Enjoy the Support of Over 1,900 Compliance and Ethics Professionals Worldwide



Declining budgets, increased regulation, and a crisis in business confidence are all making compliance and ethics more challenging, and more important, than ever.

The Society of Corporate Compliance and Ethics can help you manage your compliance and ethics program—and your career—through these times. We'll help you connect with and learn from compliance and ethics professionals from across industries, giving you new ideas for how to manage your program.

Our magazine and electronic newsletter will keep you informed of the latest issues, and give you perspective on how to effectively manage the long-term challenges. Our conferences will enable you to build out your network and hear directly from other professionals, at a discounted, members-only rate. Can't travel? Our online social network is the next best thing, providing online interaction with hundreds of compliance and ethics professionals. Or try a web conference.

In sum, SCCE can help you tap into a vast network of information and resources to help move your ethics and compliance program forward, no matter how difficult the times.

To learn more about the SCCE and how we can help, visit us online at [www.corporatecompliance.org](http://www.corporatecompliance.org), and join more than 1,900 other professionals who already call themselves members of the Society of Corporate Compliance and Ethics.



**SOCIETY OF CORPORATE  
COMPLIANCE AND ETHICS**

6500 Barrie Road, Suite 250, Minneapolis, MN 55435, United States  
+1 952 933 4977 (p) | +1 952 988 0146 (f)  
[membership@corporatecompliance.org](mailto:membership@corporatecompliance.org)  
[www.corporatecompliance.org](http://www.corporatecompliance.org)



# REGISTRATION

SCCE'S COMPLIANCE & ETHICS INSTITUTE • CHICAGO, ILLINOIS • SEPTEMBER 12-15, 2010

Name: \_\_\_\_\_

(please type or print)

## #1 Demographic Information

Please fill out the following information. Sharing your demographic information with SCCE will help us create better networking opportunities for you.

What is your functional job title? Please select one.

- |  |   |
|--|---|
| <input type="checkbox"/> Academic/Professor          | <input type="checkbox"/> Compliance Officer                       |
| <input type="checkbox"/> Administration              | <input type="checkbox"/> Compliance Specialist                    |
| <input type="checkbox"/> Analyst                     | <input type="checkbox"/> Consultant                               |
| <input type="checkbox"/> Asst Compliance Officer     | <input type="checkbox"/> Controller                               |
| <input type="checkbox"/> Attorney (In-House Counsel) | <input type="checkbox"/> Corporate Responsibility and Performance |
| <input type="checkbox"/> Attorney (Outside Counsel)  | <input type="checkbox"/> Ethics & Integrity Officer               |
| <input type="checkbox"/> Audit Analyst               | <input type="checkbox"/> Executive Director                       |
| <input type="checkbox"/> Audit Manager/Officer       | <input type="checkbox"/> General Corporate Counsel                |
| <input type="checkbox"/> Billing Manager/Officer     | <input type="checkbox"/> Human Resources                          |
| <input type="checkbox"/> Charger Master              | <input type="checkbox"/> Information Technology                   |
| <input type="checkbox"/> Chief Compliance Officer    | <input type="checkbox"/> Nurse                                    |
| <input type="checkbox"/> Chief Executive Officer     | <input type="checkbox"/> Privacy Officer                          |
| <input type="checkbox"/> Chief Financial Officer     | <input type="checkbox"/> President                                |
| <input type="checkbox"/> Chief Information Officer   | <input type="checkbox"/> Quality Assurance                        |
| <input type="checkbox"/> Chief Medical Officer       | <input type="checkbox"/> Regulatory Affairs                       |
| <input type="checkbox"/> Chief Operating Officer     | <input type="checkbox"/> Reimbursement Coordinator                |
| <input type="checkbox"/> Clinical                    | <input type="checkbox"/> Risk Management                          |
| <input type="checkbox"/> Coder                       | <input type="checkbox"/> Security/Services Technology             |
| <input type="checkbox"/> Compliance Analyst          | <input type="checkbox"/> Trainer/Educator                         |
| <input type="checkbox"/> Compliance Coordinator      | <input type="checkbox"/> Vice President                           |
| <input type="checkbox"/> Compliance Director         | <input type="checkbox"/> Other (please indicate below)            |
| <input type="checkbox"/> Compliance Fraud Examiner   |   |

List others not listed here: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

What certifications do you hold? Select all that apply.

- |                                |                               |                                |                               |
|--------------------------------|-------------------------------|--------------------------------|-------------------------------|
| <input type="checkbox"/> ACHE  | <input type="checkbox"/> CFE  | <input type="checkbox"/> DDS   | <input type="checkbox"/> MPH  |
| <input type="checkbox"/> APA   | <input type="checkbox"/> CHC  | <input type="checkbox"/> ESQ   | <input type="checkbox"/> MS   |
| <input type="checkbox"/> BA    | <input type="checkbox"/> CHE  | <input type="checkbox"/> FHFMA | <input type="checkbox"/> MSHA |
| <input type="checkbox"/> BBA   | <input type="checkbox"/> CHP  | <input type="checkbox"/> ISS   | <input type="checkbox"/> MSN  |
| <input type="checkbox"/> BS    | <input type="checkbox"/> CHPC | <input type="checkbox"/> JD    | <input type="checkbox"/> MT   |
| <input type="checkbox"/> BSN   | <input type="checkbox"/> CHRC | <input type="checkbox"/> LLM   | <input type="checkbox"/> NHA  |
| <input type="checkbox"/> CCEP  | <input type="checkbox"/> CIA  | <input type="checkbox"/> MA    | <input type="checkbox"/> PhD  |
| <input type="checkbox"/> CEM   | <input type="checkbox"/> CPA  | <input type="checkbox"/> MBA   | <input type="checkbox"/> RHIA |
| <input type="checkbox"/> CCS   | <input type="checkbox"/> CPC  | <input type="checkbox"/> MHA   | <input type="checkbox"/> RHIT |
| <input type="checkbox"/> CCS-P | <input type="checkbox"/> CPHQ | <input type="checkbox"/> MPA   | <input type="checkbox"/> RN   |

List others not listed here: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

What best describes the industry you work for? Please select one.

- |   |  |
|---|--|
| <input type="checkbox"/> Accounting/Auditing                    | <input type="checkbox"/> Hospitality/Tourism               |
| <input type="checkbox"/> Administrative and Support Services    | <input type="checkbox"/> Human Resources/Recruiting        |
| <input type="checkbox"/> Advertising/Marketing/Public Relations | <input type="checkbox"/> Information Technology            |
| <input type="checkbox"/> Aerospace/Aviation/Defense             | <input type="checkbox"/> Installation/Maintenance/Repair   |
| <input type="checkbox"/> Agriculture                            | <input type="checkbox"/> Insurance                         |
| <input type="checkbox"/> Airlines                               | <input type="checkbox"/> Internet/E-Commerce               |
| <input type="checkbox"/> Architectural Services                 | <input type="checkbox"/> Law Enforcement/Security Services |
| <input type="checkbox"/> Arts/Entertainment/Media               | <input type="checkbox"/> Legal                             |
| <input type="checkbox"/> Automotive/Motor Vehicles/Parts        | <input type="checkbox"/> Manufacturing and Production      |
| <input type="checkbox"/> Banking                                | <input type="checkbox"/> Military                          |
| <input type="checkbox"/> Biotechnical and Pharmaceutical        | <input type="checkbox"/> Mining                            |
| <input type="checkbox"/> Chemical/Polymers/Fibers               | <input type="checkbox"/> Operations Management             |
| <input type="checkbox"/> Computer Hardware                      | <input type="checkbox"/> Personal Care and Service         |
| <input type="checkbox"/> Computer Services                      | <input type="checkbox"/> Publishing/Printing               |
| <input type="checkbox"/> Computer Software                      | <input type="checkbox"/> Purchasing                        |
| <input type="checkbox"/> Construction                           | <input type="checkbox"/> Real Estate/Mortgage              |
| <input type="checkbox"/> Consulting Services                    | <input type="checkbox"/> Research & Development            |
| <input type="checkbox"/> Consumer Products                      | <input type="checkbox"/> Restaurant and Food Service       |
| <input type="checkbox"/> Customer Service/Call Center           | <input type="checkbox"/> Retail/Wholesale                  |
| <input type="checkbox"/> Education/Training/Library             | <input type="checkbox"/> Science                           |
| <input type="checkbox"/> Electronics                            | <input type="checkbox"/> Sports and Recreation/Fitness     |
| <input type="checkbox"/> Energy                                 | <input type="checkbox"/> Supply Chain/Logistics            |
| <input type="checkbox"/> Engineering                            | <input type="checkbox"/> Telecommunications                |
| <input type="checkbox"/> Environmental Services                 | <input type="checkbox"/> Textiles                          |
| <input type="checkbox"/> Finance/Economics                      | <input type="checkbox"/> Tobacco                           |
| <input type="checkbox"/> Financial Services                     | <input type="checkbox"/> Transportation/Warehousing        |
| <input type="checkbox"/> Forest Products                        | <input type="checkbox"/> Veterinary Services               |
| <input type="checkbox"/> Government/Policy                      | <input type="checkbox"/> Utilities                         |
| <input type="checkbox"/> Healthcare                             | <input type="checkbox"/> Waste Management Services         |
| <input type="checkbox"/> Higher Education                       | <input type="checkbox"/> Other (please indicate below)     |

List others not listed here: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Are you a first-time attendee of this conference?

- This is my first annual Compliance & Ethics Institute

**REGISTRATION CONTINUES ON NEXT PAGE (OVER)**

# REGISTRATION

SCCE'S COMPLIANCE & ETHICS INSTITUTE • CHICAGO, ILLINOIS • SEPTEMBER 12-15, 2010

## #2 CONTACT INFORMATION (please type or print)

MR.  MRS.  MS.  DR.

SCCE MEMBER ID

FIRST MI LAST

CREDENTIALS (CCEP, CPA, CFE, ETC.)

TITLE

PLACE OF EMPLOYMENT

ADDRESS

CITY STATE ZIP

PHONE

FAX

E-MAIL (REQUIRED FOR CONFIRMATION NOTIFICATION / CONFERENCE INFORMATION)

## #3 CHOOSE YOUR SESSIONS

Please select sessions & networking events to assist SCCE in room planning. Choices are not binding. Please select only ONE session per time slot.

### Saturday, September 11

4th Annual Volunteer Project | 9:00 AM-1:00 PM

### Sunday, September 12

Pre Conf | 9:00 AM-12:00 PM |  P1  P2  P3

Pre Conf | 1:30-4:30 PM |  P4  P5  P6

### Monday, September 13

Breakout Sessions | 11:00 AM-12:00 PM

101  102  103  104  105  106

Breakout Sessions | 1:30-2:30 PM

201  202  203  204  205  206

Breakout Sessions | 3:00-4:00 PM

301  302  303  304  305  306

Breakout Sessions | 4:30-5:30 PM

401  402  403  404  405  406

### Tuesday, September 14

Breakout Sessions | 11:00 AM-12:00 PM

501  502  503  504  505  506

Breakout Sessions | 1:30-2:30 PM

601  602  603  604  605

Breakout Sessions | 3:00-4:00 PM

701  702  703  704  705

Breakout Sessions | 4:30-5:30 PM

801  802  803  804  805

### Wednesday, September 15

Post Conf | 8:00 AM-12:00 PM |  W1  W2  W3

## #4 CHOOSE YOUR REGISTRATION

	ON OR BY 9/1/10	AFTER 9/1/10
<input type="checkbox"/> SCCE Members.....	\$949	\$999
<input type="checkbox"/> Membership Renewal & Registration.....	\$1,244	\$1,294
<input type="checkbox"/> Non-Members .....	\$1,099	\$1,149
<input type="checkbox"/> New Membership & Registration*.....	\$1,149	\$1,199
<input type="checkbox"/> Pre-Conference Registration Morning.....	\$125	\$125
<input type="checkbox"/> Pre-Conference Registration Afternoon.....	\$125	\$125
<input type="checkbox"/> Post-Conference Registration .....	\$125	\$125
<input type="checkbox"/> Conference Binders.....	\$75	\$75
<input type="checkbox"/> Annual Celebration and Awards Presentation.....	FREE	FREE

\*New members only. (Dues regularly \$295 annually.)

**TOTAL:**

## #5 PAYMENT

Check enclosed (payable to SCCE)

Invoice me Purchase Order # \_\_\_\_\_

Charge my:  American Express  Diners Club  
 MasterCard  Visa

CREDIT CARD ACCOUNT NUMBER

EXPIRATION DATE ON CARD

CARDHOLDER'S NAME

CARDHOLDER'S SIGNATURE

CEI2010

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

# DETAILS

## Conference and Hotel Accommodations

Swissôtel Chicago, 323 E. Wacker Drive, Chicago, IL 60601  
Phone: +1 312 565 0565 | [www.swissotel.com](http://www.swissotel.com)

**Reservations:** Call 888 737 9477 (toll-free U.S. and Canada) or 800 637 9477 (international) and provide the reservationist with the group rate name of SCCE.

A special rate of \$219.00 plus 15.4% tax (subject to change) per single/double per night has been arranged for SCCE Compliance & Ethics Institute attendees. When making your reservation, please provide the group name SCCE to receive the group rate. The rate is good until Friday, August 20, 2010, or until the group block is sold out, whichever comes first. Reservations received after this date or after the group block is filled will be accepted based on space and rate availability. The Swissôtel Chicago requires a first night room deposit, guaranteed with a major credit card. Any reservation canceled within (72) hours of the arrival date, will be charged for (1) night's room and tax.

**Meals:** Continental breakfast and lunch are provided on Monday and Tuesday. Coffee will be served on Sunday and Wednesday for conference attendees.

**Special Needs/Concerns:** Prior to your arrival, please call SCCE at +1 952 933 4977 if you have a special need and require accommodation to participate in the Compliance & Ethics Institute.

**Dress Code:** Business casual dress is appropriate for this conference.

**Agreements & Acknowledgements:** By registering for this conference, 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 at the SCCE Compliance & Ethics Institute and reproduce these photos 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, and biography.

**Prerequisites:** Designed for compliance and ethics professionals.

**Advanced preparation:** None.

## HOW TO REGISTER

**MAIL:** Include registration form with check payable to: SCCE, 6500 Barrie Road, Suite 250  
Minneapolis, MN 55435, United States

**ONLINE:** [www.complianceethicsinstitute.org](http://www.complianceethicsinstitute.org)

**FAX:** +1 952 988 0146 (including billing information)

**QUESTIONS?** Call +1 952 933 4977 or  
888 277 4977 (U.S. & Canada) or e-mail  
[helpteam@corporatecompliance.org](mailto:helpteam@corporatecompliance.org)

## PAYMENT TERMS

Checks are payable to SCCE. Credit cards accepted: American Express, Diners Club, MasterCard, or Visa. SCCE will charge your credit card the correct amount should your total be miscalculated.

**Group Discounts:** \$100 per person for five or more from the same company, based on membership status; only if each attendee completes a registration and they are faxed or mailed in simultaneously.

**Tax Deductibility:** All expenses incurred to maintain or improve skills in your profession may be tax deductible; including tuition, travel, lodging and meals. Please consult your tax advisor (Federal Tax ID # 23-2882664).

**Cancellations/Substitutions:** No refunds will be given for "no-shows" or cancellations. You may send a substitute, or receive a credit for other conferences to be used within one year. Please call Patti Hoskin at +1 952 933 4977 or 888 277 4977 or e-mail [patti.hoskin@www.corporatecompliance.org](mailto:patti.hoskin@www.corporatecompliance.org).

**SCCE Is Going Green:** Attendees will receive electronic access to the course materials prior to the program as well as an electronic version of the materials at the program. Attendees will not automatically receive the binders. If you would like to purchase the binders for \$75, please check "Conference Binders" on the registration form.

**NO AUDIO OR VIDEO RECORDING  
OF SCCE CONFERENCES IS ALLOWED.**



**SOCIETY OF CORPORATE  
COMPLIANCE AND ETHICS**

6500 Barrie Road, Suite 250, Minneapolis, MN 55435, United States  
+1 952 933 4977 or 888 277 4977 (p) | +1 952 988 0146 (f)  
[helpteam@corporatecompliance.org](mailto:helpteam@corporatecompliance.org)  
[www.corporatecompliance.org](http://www.corporatecompliance.org)





# 9TH ANNUAL COMPLIANCE & ETHICS INSTITUTE

SEPTEMBER 12-15, 2010  
SWISSÔTEL CHICAGO | CHICAGO, ILLINOIS

**TOPICS INCLUDE:** FCPA anti-corruption, internal investigations, antitrust, social media, new regulations, FAR, case studies from several companies, and more...including a special track on managing risk



## KEYNOTE/GENERAL SESSION SPEAKERS



**KURT EICHENWALD,**  
Author of *The Informant*,  
Pulitzer Prize Finalist



**DR. MICHAEL SHERMER,**  
Skeptics Society, Author of  
*Why People Believe Weird  
Things* and *The Mind of the  
Market*, Founding Publisher,  
*Skeptic Magazine*



**JIM SKINNER,**  
Chief Executive Officer,  
McDonald's Corporation



LEARN MORE AT [www.complianceethicsinstitute.org](http://www.complianceethicsinstitute.org)