Look inside for

- Educational opportunities
- Books and other resources
- Solution providers
- Web-based networking
- SCCE membership application

2016 Compliance & Ethics RESOURCE GUIDE

And don’t miss SCCE’s yearly SCALENDAR

Our wall calendar is packed with dates from major corporate scandals. Use it to remind people about the importance of compliant, ethical behavior.

corporatecompliance.org
It is my pleasure to share with you SCCE’s 2016 Compliance & Ethics Resource Guide.

As we all seek to maximize the effectiveness of compliance and ethics programs in a time of constrained resources, this guide is designed to provide you with a convenient tool for finding the products, solutions, and educational opportunities you need to keep your career and compliance and ethics program moving forward.

Inside the Guide you’ll find:

- **Solution provider listings.** Use them to find the right solutions for your organization.
- **Online resources.** From Twitter to LinkedIn, we have you covered, and inside you’ll learn how to take advantage of all of these opportunities.
- **Educational opportunities.** We’ve mapped out for you our educational opportunities—where they’ll take place and when—so you can determine which has the most information for your unique needs.
- **Books and other program resources.** SCCE has developed a wide range of books and other tools for helping you to efficiently and effectively improve your program.
- **A corporate Scalendar.** Want to know when Bernie Madoff was arrested? When Martha Stewart sold her stock? Our wall calendar provides humor and the groundwork for a year’s worth of reminders to your workforce about the consequences of unethical, non-compliant behavior.

We hope you find the 2016 Compliance & Ethics Resource Guide to be a valuable resource to your career and program, and we look forward to serving you in 2016 and beyond.

_Sincerely,_

_Roy Snell, Chief Executive Officer_
Society of Corporate Compliance and Ethics
The Society of Corporate Compliance and Ethics (SCCE)® is a premier provider of compliance and ethics education. Presenters include industry experts from around the world and professionals from the corporate environment, academia, government, and the law. Attracting 3,000+ compliance and ethics professionals a year, SCCE’s events provide unparalleled networking opportunities, with special discounts for members.

**Utilities & Energy Compliance & Ethics Conference**
February 21–24 • Houston, TX

**European Compliance & Ethics Institute**
March 20–23 • Prague, Czech Republic

**Higher Education Compliance Conference**
June 5–8 • Baltimore, MD

**Compliance & Ethics Institute**
September 25–28 • Chicago, IL

**Board Audit & Compliance Committee Conference**
November 7–8 • Scottsdale, AZ

**SCCE WEB CONFERENCES**
Explore hot topics for compliance & ethics professionals with instant and up-to-date education from the convenience of your office. SCCE announces new conferences regularly, and prior sessions are available for purchase. Visit corporatecompliance.org/webconferences to learn more.

Learn more about SCCE events at corporatecompliance.org/events

Conference dates and locations are subject to change.

**BASIC COMPLIANCE & ETHICS ACADEMIES**
February 8–11 • Scottsdale, AZ
March 7–10 • New Orleans, LA
April 25–28 • Boston, MA
June 13–16 • San Francisco, CA
August 8–11 • New York City, NY
September 12–15 • Chicago, IL
October 3–6 • Las Vegas, NV
November 14–17 • Orlando, FL
December 5–8 • San Diego, CA

**INTERNATIONAL BASIC COMPLIANCE & ETHICS ACADEMIES**
May 23–26 • Brussels, Belgium
July 11–14 • Singapore
August 22–25 • São Paulo, Brazil
November 28 – December 1 • Madrid, Spain
January 8–11, 2017 • Dubai, UAE

**REGIONAL COMPLIANCE & ETHICS CONFERENCES**
February 26 • Boston, MA
March 11 • Minneapolis, MN
April 8 • Chicago, IL
April 15 • Scottsdale, AZ
May 6 • Miami, FL
May 20 • San Francisco, CA
June 10 • Atlanta, GA
June 23–24 • Anchorage, AK
September 16 • Washington, DC
October 7 • New York, NY
November 4 • Dallas, TX
November 18 • Seattle, WA - NEW
December 9 • Philadelphia, PA - NEW
Why join SCCE?

About SCCE

The Society of Corporate Compliance and Ethics (SCCE)® is the premier international, non-profit organization solely dedicated to improving the quality of compliance and ethics in all organizations.

Why should you join?

SCCE understands the complex compliance environment. We’re here to help you build and maintain a strong and effective compliance and ethics program. We offer the latest tools, resources, and training to help you lead with compliance—to compliance.

Become a member of SCCE for just $295/year and you’ll enjoy:

- A free subscription to Compliance & Ethics Professional, exclusive to our members
- Discounts to every SCCE national, regional, and web conference
- Discounts on all SCCE products, programs, and services
- Access to members-only sections on SCCE’s website

Learn more online at corporatecompliance.org/join
SCCE MEMBERSHIP APPLICATION

CONTACT INFORMATION (PLEASE TYPE OR PRINT)

☐ Mr  ☐ Mrs  ☐ Ms  ☐ Dr

<table>
<thead>
<tr>
<th>First Name</th>
<th>Mi</th>
<th>Last Name</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Credential(s)</th>
<th>Job Title(s)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Name of Employer

<table>
<thead>
<tr>
<th>Street Address</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>City</th>
<th>State/Province</th>
<th>Zip/Postal Code</th>
<th>Country</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Telephone

<table>
<thead>
<tr>
<th>Email</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
</tr>
</tbody>
</table>

MEMBERSHIP OPTIONS

- **Individual Membership** $295
  - $295 per individual annually.

- **Group Employee Membership** $250
  - $250 per employee annually. Must have four or more applicants from the same organization to qualify. Please fill out one form for each applicant.

- **Corporate Membership** $2,500
  - $2,500 annually. Includes four individual memberships plus corporate publicity benefits.

- **Student Membership** $150
  - $150 annually. To qualify you must be a full-time or part-time student and unemployed.

TOTAL $ __________________

PAYMENT OPTIONS

- ☐ Check enclosed (payable to SCCE)
- ☐ Invoice me
- ☐ I authorize SCCE to charge my credit card *(choose card below)*

**CREDIT CARD:**
- ☐ American Express
- ☐ Discover
- ☐ MasterCard
- ☐ Visa

Due to PCI Compliance, please do not provide any credit card information via email. You may email the application to helpteam@corporatecompliance.org (without credit card information) and call SCCE at +1 952 933 4977 or 888 277 4977 with your credit card.

<table>
<thead>
<tr>
<th>Credit Card Number</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Credit Card Expiration Date</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Cardholder’s Name</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Cardholder’s Signature</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
</tr>
</tbody>
</table>

Questions?
Call +1 952 933 4977 or 888 277 4977 or email service@corporatecompliance.org

LEARN MORE ONLINE AT CORPORATECOMPLIANCE.ORG/JOIN

Apply online at: corporatecompliance.org/join
Fax application to: +1 952 988 0146
Mail application to:
Society of Corporate Compliance and Ethics
6500 Barrie Road, Suite 250
Minneapolis, MN 55435, United States
PRELIMINARY AGENDA NOW AVAILABLE

Questions? Lizza.catalano@corporatecompliance.org

Learn more and register at complianceethicsinstitute.org
2016 BASIC COMPLIANCE & ETHICS ACADEMIES
FROM THE SOCIETY OF CORPORATE COMPLIANCE & ETHICS®

“The SCCE Compliance & Ethics Academy was immensely valuable to me. The presentations, discussions and other learning opportunities were focused on real-world situations that were immediately applicable to my job. This was my first engagement with the SCCE. I will certainly be looking for other programs offered by the SCCE based on the value of the Academy.”

– Steven Dillard, Compliance Manager, Altria

GET CERTIFIED. ENROLL NOW.
PLAN NOW TO TAKE A CCEP® CERTIFICATION EXAM AFTER YOU COMPLETE THIS INTENSIVE TRAINING.

REGISTER EARLY TO RESERVE YOUR PLACE
LIMITED TO 75 FOR EACH ACADEMY

www.corporatecompliance.org/academies
Questions: jennie.nguyen@corporatecompliance.org

8,100+ COMPLIANCE PROFESSIONALS
HOLD A COMPLIANCE CERTIFICATION BOARD (CCB)® CREDENTIAL

ACADEMIES OFFERED IN 2016

SCOTTSDALE, AZ
FEBRUARY 8-11

NEW ORLEANS, LA
MARCH 7-10

BOSTON, MA
APRIL 25-28

SAN FRANCISCO, CA
JUNE 13-16

NEW YORK, NY
AUGUST 8-11

CHICAGO, IL
SEPTEMBER 12-15

LAS VEGAS, NV
OCTOBER 3-6

ORLANDO, FL
NOVEMBER 14-17

SAN DIEGO, CA
DECEMBER 5-8

CLE APPROVED
### SCCE'S BASIC COMPLIANCE & ETHICS ACADEMIES

**MONDAY**

8:00–8:30 AM  
Registration and Continental Breakfast  
(provided)

8:30–8:45 AM  
Welcome and Introduction

8:45–10:30 AM  
Organizational Ethics  
Marjorie W. Doyle, JD, CCEP-F, CCEP-I, Marjorie Doyle & Associates, LLC

This is a focus on what an ethical culture is and its importance as the underlying basis for a strong culture of compliance and ethics. It focuses on the legal requirement of an ethical culture and the business value of one. The course also covers the current ethical landscape and the practical steps to creating and maintaining a strong ethical corporate culture.

10:45 AM–12:15 PM  
Introduction to Compliance Practice: Abbreviated Compliance 101  
Sheryl Vacca, CCEP-F, CCEP-I, CHC-F, CHRC, CHPC, Senior Vice President/Chief Compliance & Audit Officer, University of California

This course provides a basic introduction to compliance and compliance programs. It covers the seven essential elements of a compliance program and reviews the organizational steps necessary to implement a successful compliance program. The laws, rules and regulations pertinent to compliance programs are introduced. Challenges confronting compliance officers are discussed.

12:15–1:15 PM  
Lunch  
(provided)

**TUESDAY**

7:30–8:00 AM  
Continental Breakfast  
(provided)

8:00–9:45 AM  
Enterprise-Wide Risk Assessment  
Sheryl Vacca, CCEP-F, CCEP-I, CHC-F, CHRC, CHPC, Senior Vice President/Chief Compliance & Audit Officer, University of California

If there were an eighth key element of compliance program guidance, risk assessment would be it. In this session, participants will learn what risk is and how it can be assessed, who should be involved in risk assessments, ways to identify risk areas, and what to do with the results of a risk assessment.

10:00–10:15 AM  
CCEP Exam Discussion

10:15–11:45 AM  
Privacy  
David J. Heller, CCEP, VP Enterprise Risk Assessment and General Auditor, Edison International

This session is an overview of key privacy laws and regulations that could impact a US or global company. The Privacy session provides a basic high level introduction to law and regulations in all segments of industry. It covers laws and regulations from both the private and governmental industry segments. Laws and regulations for activities in the US, Europe, Asia and other areas of the world are touched on in this session.

11:45 AM–12:45 PM  
Lunch  
(provided)

12:45–2:00 PM  
Discipline & Program Improvement  
Marjorie W. Doyle, JD, CCEP-F, CCEP-I, Marjorie Doyle & Associates, LLC

This session focuses on two of the most important elements of a program. When a failure is detected, discipline shows the culture that enforcement of the standards of the organization is serious. Discipline not only affects the individuals involved but is a message to the culture. Program improvement is an analysis after every failure to see what can be done to which elements of the program to prevent the same failure in the future. The program is always a work in progress.

2:00–3:00 PM  
Legal Issues, Risk Factors, and Disclosure Issues  
Art Weiss, JD, CCEP-F, CCEP-I, Chief Compliance & Ethics Officer, TAMKO Building Products

This session will cover the need to identify legal risks, the need to investigate those risks, disclosure of wrongdoing, and the prevention of damage arising from both risks and non-disclosure.
Ethics & Compliance Programs: Best Practices and Perspectives
Greg Triguba, JD, CCEP, CCEP-I
Senior Practice Leader, Ethics, Compliance and Risk, Affiliated Monitors, Inc.

This interactive session provides a comprehensive overview of ethics, compliance, and risk management best practices, including strategies and insights for taking your program to the next level. Highlights of this session include considerations and first steps to best practices programs; highlights and metrics on industry trends and perspectives; exploration of program successes, challenges, and opportunities; resources available for developing and enhancing your program; and an interactive networking and information sharing opportunity.

5:30 PM Networking Dinner

WEDNESDAY

8:00–8:30 AM Continental Breakfast (provided)

8:30–10:15 AM Education and Training
Art Weiss, JD, CCEP-F, CCEP-I, Chief Compliance & Ethics Officer, TAMKO Building Products

This session will cover the need for compliance and ethics training, the different types of training, targeted training, the dangers of ineffective training, and the use of data to help prove “effectiveness”.

10:30 AM–12:15 PM Lunch (provided)

12:15–1:15 PM Lunch (provided)

1:15–3:00 PM Investigations
Meric Bloch, CCEP-F, JD, CCEP, PCI, Principal, Winter Compliance LLC

This session provides an overview of the workplace investigation process and the key steps in conducting a workplace investigation. Session content is presented for compliance officers who conduct investigations regularly as well as those who incorporate investigation findings in their other compliance work. The structure of an investigations process within the compliance program is discussed. The session proceeds through the investigation process and includes examples from actual investigations.

3:15–5:00 PM E&C Programs: Evaluation and Effectiveness
Greg Triguba, JD, CCEP, CCEP-I
Senior Practice Leader, Ethics, Compliance and Risk, Affiliated Monitors, Inc.

This session looks at the evaluation of compliance program effectiveness. What are the things that can be measured, what are the tools for doing this measurement, and what else do you need to know to avoid pitfalls and get valid results? We consider why it is not enough simply to do surveys, and how different tools work best for measuring effectiveness in addressing different compliance risks. We also consider who should do the evaluations and who should get the results.

THURSDAY

7:30–8:00 AM Continental Breakfast (provided)

8:00–9:45 AM Conflicts of Interest
Martin T. Biegelman, CFE, CCEP-F
Director, Forensic Investigations, Deloitte Financial Advisory Services LLP

Conflicts of interest are some of the most common and challenging issues for compliance and ethics programs. Employees are expected to act in the best interests of their organizations and exercise sound judgment, unclouded by personal interest or divided loyalties, but that does not always occur. This session is designed to assist compliance professionals in understanding ethical and organizational risks that result from conflicts of interest. It will review the many kinds of conflicts of interest and how they occur; gifts, gratuities, and kickbacks; policy development; disclosure programs; detection and auditing for compliance; training; case studies; and best practices.

10:00 AM–11:45 AM FCPA Anti-Corruption & Bribery
Odell Guyton, CCEP, CCEP-I, SCCE Co-Chair; Vice President, Global Compliance, Jabil Circuit, Inc

This course explores the domestic and global administrative and law enforcement efforts surrounding anti-corruption enforcement principles, and provides a practical (hands-on) approach for dealing with these and other organizational compliance and ethics risks.

11:45 AM Boxed Lunch (provided)

1:45 PM CCEP Exam Check-In

2:30–5:00 PM CCEP Exam

The exam is optional. You must pre-register for the CCEP exam separately from the Academy. To register for the exam, download the PDF application for your Academy from www.corporatecompliance.org/academies.

Academy and certification exams offered are only in English at this time.

PLEASE NOTE: If you are not present at the specified ‘Exam Time’ as listed above, and as determined by the exam proctor, you will not be allowed to sit for the exam. Actual exam duration is 120 minutes per the Candidate Handbook. Time range above includes mandatory exam procedures and proctor instructions.

AGENDA IS SUBJECT TO CHANGE
8,100+ COMPLIANCE PROFESSIONALS
HOLD A COMPLIANCE CERTIFICATION BOARD (CCB)® CREDENTIAL

INTERNATIONAL
2016 BASIC COMPLIANCE & ETHICS ACADEMIES
FROM THE SOCIETY OF CORPORATE COMPLIANCE & ETHICS®

Now you and your international colleagues around the world can benefit from the same invaluable, intensive training available in the U.S. Our international Academies cover critical content in-depth and are a great preparation course for the CCEP-I exam. You’ll learn about:

• Standards, policies, and procedures
• Compliance and ethics program administration
• Communications, education, and training
• Monitoring, auditing, and internal reporting systems
• Response and investigation, discipline and incentives
• Anti-corruption and bribery
• Risk assessment

So let your colleagues around the world know about SCCE’s Academies, and get your entire compliance team on the same page.

REGISTER EARLY TO RESERVE YOUR PLACE
LIMITED TO 75 FOR EACH ACADEMY

corporatecompliance.org/academies
Questions: lizza.catalano@corporatecompliance.org

ACADEMIES OFFERED IN THE NEXT 12 MONTHS

BRUSSELS, BELGIUM
23–26 MAY

SINGAPORE
11–14 JULY

SÃO PAULO, BRAZIL
22–25 AUGUST

MADRID, SPAIN
28 NOV – 1 DEC

DUBAI, UAE
8–11 JANUARY 2017

PLAN NOW TO TAKE A CCEP-I® CERTIFICATION EXAM AFTER YOU COMPLETE THIS INTENSIVE TRAINING.

GET CERTIFIED ENROLL NOW

CLE APPROVED
SCCE Regional Conferences

Join SCCE in 2016 to learn and share information and experiences about compliance successes and challenges that are unique in your region. Take advantage of this opportunity to learn from your peers, network and earn CEUs, all in your area.

Questions? katie.burk@corporatecompliance.org

Boston, MA • February 26, 2016
Minneapolis, MN • March 11, 2016
Scottsdale, AZ • April 15, 2016
Chicago, IL • April 8, 2016
Miami, FL • May 6, 2016
San Francisco, CA • May 20, 2016
Atlanta, GA • June 10, 2016

Anchorage, AK • June 23–24, 2016
Washington DC • September 16, 2016
New York, NY • October 7, 2016
Dallas, TX • November 4, 2016
Seattle, WA • November 18, 2016
Philadelphia, PA • December 9, 2016

corporatecompliance.org/regionals
New Data Protection Rules
The UK Bribery Act
And CEUs

Society of Corporate Compliance and Ethics

European Compliance & Ethics Institute

20–23 March 2016
Prague, Czech Republic

➤ Hear directly from top compliance and ethics professionals from Europe and around the world
➤ Learn the latest and best solutions for compliance and ethics challenges, including anti-corruption, data protection, and risk management
➤ Benefit from the insights of multiple industries, gathering in one place
➤ Build your network of experienced compliance and ethics experts
➤ Get the continuing education units (CEUs) you need and take the Certified Compliance & Ethics Professional–International (CCEP-I)® exam

TO LEARN MORE VISIT
europeancomplianceethicsinstitute.org

Questions? lizza.catalano@corporatecompliance.org
Board Audit & Compliance Committee Conference
Scottsdale, AZ | FireSky Resort & Spa
November 7–8, 2016

Join us and learn:
• The latest on regulatory risk and compliance obligations
• The latest on fulfilling your fiduciary obligations as a board member
• How to help improve your board performance

Questions: jennie.nguyen@corporatecompliance.org
www.corporatecompliance.org/audit
Set a higher bar for yourself.

Become a CCEP-Fellow.

Do you have 5 or more years of experience in the compliance field? Have you held the CCEP certification for at least 3 years?

You could qualify for the Certified Compliance & Ethics Professional-Fellow (CCEP-F)® and showcase your compliance expertise and commitment to the profession by building on your CCEP certification.

Set the bar higher and demonstrate you have what it takes to become a leader in this important and ever-changing field.

To learn more about this certification and how you can set yourself apart, visit us online at compliancecertification.org.
Compliance 101, Second Edition: How to Build and Maintain an Effective Compliance and Ethics Program

As SCCE moves into its second decade of supporting the compliance and ethics profession, authors Debbie Troklus and Sheryl Vacca have updated this classic text with new insights and more tips on how to build an effective program that meets federal standards. Its coverage includes:

- The Importance of Compliance and Ethics
- The Seven Essential Elements of a Compliance Program
- Organizational Steps for an Effective Program
- Tips for Tailoring Your Compliance Plan
- Sample Compliance Materials

This book is ideal for compliance professionals new to the field, compliance committee members, compliance liaisons, board members, and others tasked with compliance and ethics duties.

MEMBERS $50 / NON-MEMBERS $60

Building a Career in Compliance and Ethics: Find Your Place in the Business World’s Hottest New Field

Authors Joseph E. Murphy and Joshua H. Leet have condensed their original book, Working for Integrity, to offer step-by-step instructions on how to establish a career in compliance and ethics. You’ll discover:

- the wide range of compliance and ethics jobs
- the skills and temperament needed for this field
- practical ways to prepare for and get ahead in your career
- steps for conducting an effective job search
- advice from seasoned compliance and ethics professionals
- tips for selling your compliance and ethics program to upper management

MEMBERS SOFTCOVER $50 / NON-MEMBERS SOFTCOVER $60
MEMBERS HARDCOVER $50 / NON-MEMBERS HARDCOVER $60

“This book is an immensely valuable contribution to the field. It will not only help guide a new generation of compliance and ethics officers through the many professional challenges that await them, but will also provide considerable useful insight and know-how to their experienced counterparts.”

Jeffrey M. Kaplan, Partner, Kaplan & Walker LLP, former Program Director of the Conference Board’s Business Ethics Conference

International Compliance 101

While laws and regulatory authorities may vary nation to nation, the basic job of compliance and ethics professionals remains the same—to prevent, detect, and respond to misconduct. What’s more, no matter where your organization is based, the steps required to build and maintain an effective program are essentially the same.

International Compliance 101 provides the basic information you need to build and maintain an effective compliance and ethics program. This book is ideal for compliance professionals new to the field, compliance liaisons, board members, and others with compliance duties. Its coverage includes:

- The Importance of Compliance and Ethics
- The Seven Essential Elements of a Compliance Program
- Steps for Putting an Effective Program in Operation
- Tips for Tailoring a Program to Your Organization
- Sample Compliance Materials
- Glossary of Compliance Terms

MEMBERS $50 / NON-MEMBERS $60
Get the latest in compliance news and trends

complianceandethics.org
Gather with your peers for the primary networking and learning event for compliance and ethics professionals in higher education.

Learn how to increase the effectiveness of your institution’s compliance program, discuss emerging risks and issues with your colleagues, share best practices, and build valuable relationships.

corporatecompliance.org/highered

QUESTIONS? catherine.stollenwerk@corporatecompliance.org
Ethics and Compliance on the Job: Classic Ethikos articles with no-nonsense solutions

As the beacon of business ethics publications, Ethikos has shined a spotlight on ethics and compliance for more than 25 years. This anthology of articles from Ethikos brings together highly relevant and practical ideas, insights, and advice for today’s practitioners. Articles for this collection were selected to cover five key subject areas:

- Establishing/Promoting an Ethical & Compliant Culture
- Program Implementation Details
- Communicating Ethics & Compliance
- Ethics & Compliance Education & Training
- Assessing & Measuring Program Effectiveness

MEMBERS $75 / NON-MEMBERS $85

The SCCE and Amazon.com Compliance & Ethics Reference Library

SCCE has partnered with Amazon.com to help our members have easy access to a wide range of compliance and ethics reference works. We have scoured the Amazon.com catalog and put together a library of high quality compliance and ethics titles. If you purchase through our Amazon.com store, SCCE receives a small commission—so everyone wins!

VISIT THE STORE AT http://astore.amazon.com/sociofcorpcom-20

SAVE MONEY WHEN YOU BUY BOTH OF MERIC BLOCH’S BOOKS BELOW

- The First Information Is Almost Always Wrong: MEMBERS $80 / NON-MEMBERS $90
- Workplace Investigations: MEMBERS $90 / NON-MEMBERS $100
- BOTH BOOKS AS A SET: MEMBERS $150 / NON-MEMBERS $170

The First Information Is Almost Always Wrong: 150 Things to Know About Workplace Investigations

Effective workplace investigations are equal parts art and science. Author Meric Bloch has mastered both aspects through years of hard-earned experience. In this book, he details the strategies and tactics he knows work best. His approach is mapped out in three sections:

- Protect Your Career—How to Think Like a Workplace Investigator
- Protect Your Company—How to Integrate Your Investigations into Your Company’s Operations
- Protect Your Case—How to Conduct an Effective Workplace Investigation

MEMBERS $80 / NON-MEMBERS $90

Workplace Investigations: Techniques and Strategies for Investigators and Compliance Officers

Author Meric Bloch is back with more expert guidance! His book offers step-by-step guidance on internal investigations, covering how to:

- Structure the process
- Select an investigations team
- Plan the investigation
- Interview reporters and witnesses
- Interview implicated employees
- Secure relevant documents
- Evaluate evidence
- Reach conclusions
- Write a final report and move forward

MEMBERS $90 / NON-MEMBERS $100
You Can STOP Harassment

Video training produced by QMR—The Respectful Workplace Company

Harassment goes beyond gender issues. Racial, religious, ethnic, and other forms of workplace harassment are equally dangerous to an organization and its employees. This two-program series (one for all employees, the other for managers) looks at all forms of illegal work-related harassment. Each program is comprised of short dramatizations that explore harassment issues that are common within organizations. Each scenario is then analyzed by a diverse group of legal, human resources, and communications experts.

**PROGRAM ONE: Taking Responsibility (26 minutes)**
MEMBERS $625 / NON-MEMBERS $720

**PROGRAM TWO: The Responsible Leader (25 minutes)**
MEMBERS $625 / NON-MEMBERS $720

**TWO-PROGRAM PACKAGE: You Can STOP Harassment**
MEMBERS $1,062 / NON-MEMBERS $1,224

Compliance Is Just the Beginning

Video training produced by QMR—The Respectful Workplace Company

How do you make better ethical decisions at work? Just because a particular choice is legal does not make it right. This two-program video series introduces a three-step process for handling tough ethical decisions. The first program, "3 Steps to Ethical Decisions," introduces the three steps we can take when faced with a tough ethical choice. The second program, "Ethical Situations to Consider," presents eight dramatized scenarios to spark discussion about familiar ethical issues.

**PROGRAM ONE: 3 Steps to Ethical Decisions (24 minutes)**
MEMBERS $625 / NON-MEMBERS $720

**PROGRAM TWO: Ethical Situations to Consider (32 minutes)**
MEMBERS $625 / NON-MEMBERS $720

**TWO-PROGRAM PACKAGE: Compliance Is Just the Beginning**
MEMBERS $1,062 / NON-MEMBERS $1,224

PATTERNS Training Series

Video training produced by QMR—The Respectful Workplace Company

Sexual harassment at work is more than a legal issue. It is fundamentally a behavioral problem. PATTERNS takes on the behavioral challenge, arming employees and managers with the information they need to prevent sexual harassment and the tools that will help them to respond when incidents occur.

**PROGRAM ONE: Preventing Sexual Harassment (26 minutes)**
MEMBERS $625 / NON-MEMBERS $720

For employees and managers, Program 1 looks at four common patterns of inappropriate behavior.

**PROGRAM TWO: Responding to Sexual Harassment (26 minutes)**
MEMBERS $625 / NON-MEMBERS $720

For managers, Program 2 examines the legal liability issues and questions of personal responsibility that managers and supervisors must face.

**PROGRAM THREE: Rights & Responsibilities (10 minutes)**
MEMBERS $395 / NON-MEMBERS $455

For new employees, Program 3 is a brief introduction to the issue of sexual harassment prevention intended for new employees.

**THREE-PROGRAM PACKAGE**
MEMBERS $1,285 / NON-MEMBERS $1,478
The Ethics Series with Dr. Marianne Jennings

Produced by DuPont Sustainable Solutions

“Ethics Is a Competitive Advantage” lists five key reasons why ethics matter. This program explores why working in the gray areas is risky and a recipe for non-sustainable business. (20 min.)

“Speaking Up Without Fear” discusses work environments where employees keep silent and fear retaliation if ethical concerns are reported. This program explores how organizations can draw out wrongdoing and help create a culture where employees feel empowered. (15 min.)

“Ethical Leadership: Tone at All Levels” explores how employees can handle the tension between increasing an organization’s bottom line and protecting its good reputation. This program discusses what every employee can do to help build and sustain an ethical culture. (20 min.)

Each segment is available individually, or all together on one DVD.

MEMBERS $450 PER SEGMENT OR $1,175 FOR THE SERIES
NON-MEMBERS $495 PER SEGMENT OR $1,295 FOR THE SERIES

Corporate Compliance & Ethics: Guidance for Engaging Your Board

This video training kit serves as a call to action for board members. In this 12-minute video, your board of directors will learn their responsibilities in identifying compliance risks, engaging in compliance program oversight, ensuring needed resources for program monitoring, and assessing the effectiveness of the whistleblowing detection system. With this valuable training kit, you receive the DVD as well as key support materials.

MEMBERS $345 / NON-MEMBERS $395

“The Board’s role in corporate compliance is a critical one. This video calls attention to the need for board action in this area.”

John F. Morrow, CPA, Vice President, American Institute of Certified Public Accountants

501 Ideas for Your Compliance and Ethics Program: Lessons from 30 Years of Practice

Author Joseph Murphy has spent his career collecting great ideas for building an effective compliance and ethics program. He shares 501 of them here—ideas big and small—to help others find new ways to improve their programs. All are practical and ready to use. For those who want more background on the ideas, Murphy has included print and Web citations right next to each idea. Topics covered in this collection include:

- identifying compliance & ethics risks
- preparing for investigations
- establishing and enforcing a program
- evaluating effectiveness
- conducting audits
- benchmarking against industry practices
- and much more!

MEMBERS $50 / NON-MEMBERS $60

Sample ideas from the book:

#12: Online comment period. Put the draft code of conduct online and invite all employees to provide input and comments.

#66: Field participation. Invite field managers to participate in compliance committee meetings to bring fresh perspectives, and to spread understanding about the compliance and ethics program.

#283: Employee surveys. Use employee surveys to gauge employee awareness of the compliance and ethics program and their views of its effectiveness.

#470: Bribery red flag lists. Provide a list of corruption red flags to all those who are at risk for bribery opportunities. This list can include things like agents with no offices, and consultants requiring payment to third parties outside of the country.

Published by CCH, a Wolters Kluwer business

This manual presents an overview of the responsibilities and operation of audit committees. It offers guidance based on real-world experiences from serving on audit committees. The book focuses primarily on publicly held companies, but also includes a short chapter on audit committees for not-for-profit and public sector entities.

Written in a non-technical, active-voice, easy-to-read format, it is intended for directors serving on audit committees, other members of the board of directors, CEOs, CFOs, legal in-house counsel, internal and external auditors, outside legal counsel, and consultants to audit committees.

This practical book comes with a companion CD containing work papers, checklists and document templates that can be put to immediate use.

MEMBERS $162 / NON-MEMBERS $180

Order online at corporatecompliance.org/pastweb

A SELECTION OF RECENT WEB CONFERENCES

Know your Business Partners, Know your Customer! Why Businesses Risk Difficult Regions

Candice D. Tal, CEO, Infortal Worldwide Inc.; Jonathan P. Armstrong, Partner, Cordery; Andre Bywater, Principal Advisor European Regulatory, Cordery

- UK Bribery Act 2010 updates and compliance trends 2015
- Specific legal challenges and key elements of UK Bribery Act 2010 and FCPA compliance issues in high-risk, high-growth markets
- Specific challenges; sanctions, privacy, changing regulatory landscapes in regions such as China, Russia, Middle East and Brazil
- When & how do you “safely” take business risks? Risk mitigation and risk management strategies

Creating and Maintaining an Effective Code of Conduct

Eric Morehead, CCEP, Senior Compliance Counsel, NYSE Governance Services

- What resources and expertise are needed for a successful code of conduct revision or re-write?
- What are the components of a “effective” code of conduct? And can an organization support a code project?
- What can benchmarking data and trend data tell us about code of conduct best practices?

Writing Effective Investigation Reports

Meric Bloch, Principal, Winter Compliance LLC

- The structure of a professional investigation report, regardless of the format your organization chooses
- How to keep language clear and simple in order to persuade your reader that the findings are complete and the conclusion is defensible
- Common report-writing errors and how you can avoid them

The 4 Cs of Information Governance

Emily Bone, Global Records Manager, Molson Coors Brewing Company; Christine Vanderpool, CISO, Molson Coors Brewing Company

- The 4 Cs of an Information Governance Program: Classify, Categorize, Control, and Cultivate
- How Records, Information Management, IT and others collaborate on needs for each stage, which departments need to be involved, what data to look out for, and what business practices need to be implemented
- Review in detail the applicable regulations, standards, best practices, and continued awareness the entire IG program needs in order to maintain credibility and compliance

Becoming Familiar with Common Fraud Schemes and Risks

Craig Taggart, BCC Capital Partners

- Identify fraud risks and the factors that influence them
- Analyze existing risk management frameworks and their application to managing fraud risk
- Develop and implement the necessary components of a successful fraud risk management program
- Identify the elements of a strong ethical corporate culture
- Promote fraud awareness to employees at all levels of the organization

For information about additional SCCE Web conferences available for purchase on CD, visit corporatecompliance.org/pastweb
### SCCE Products Order Form

<table>
<thead>
<tr>
<th>Qty</th>
<th>Description</th>
<th>Members</th>
<th>Non-members</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>500</td>
<td>501 Ideas for Your Compliance &amp; Ethics Program</td>
<td>$50</td>
<td>$60</td>
<td></td>
</tr>
<tr>
<td>500</td>
<td>Building a Career in Compliance and Ethics (SOFTCOVER)</td>
<td>$50</td>
<td>$60</td>
<td></td>
</tr>
<tr>
<td>500</td>
<td>Building a Career in Compliance and Ethics (HARDCOVER)</td>
<td>$50</td>
<td>$60</td>
<td></td>
</tr>
<tr>
<td>500</td>
<td>Compliance 101, Second Edition</td>
<td>$50</td>
<td>$60</td>
<td></td>
</tr>
<tr>
<td>500</td>
<td>International Compliance 101</td>
<td>$50</td>
<td>$60</td>
<td></td>
</tr>
<tr>
<td>500</td>
<td>The Complete Compliance and Ethics Manual</td>
<td>$375</td>
<td>$419</td>
<td></td>
</tr>
<tr>
<td>500</td>
<td>Corporate Compliance &amp; Ethics: Guidance for Engaging Your Board (DVD)</td>
<td>$345</td>
<td>$395</td>
<td></td>
</tr>
<tr>
<td>500</td>
<td>Ethics and Compliance on the Job: Classic Ethikos articles with no-nonsense solutions</td>
<td>$75</td>
<td>$85</td>
<td></td>
</tr>
<tr>
<td>500</td>
<td>Workplace Investigations Two-Book Set (INCLUDES BOTH BOOKS LISTED BELOW)</td>
<td>$150</td>
<td>$170</td>
<td></td>
</tr>
<tr>
<td>500</td>
<td>_________________ _________________ _________________ _________________</td>
<td>$90</td>
<td>$100</td>
<td></td>
</tr>
<tr>
<td>500</td>
<td>_________________ _________________ _________________ _________________</td>
<td>$80</td>
<td>$90</td>
<td></td>
</tr>
<tr>
<td></td>
<td>The Ethics Series with Dr. Marianne Jennings</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>QMR Video Training (please call +1 952 933 4977 or 888 277 4977 to order the streaming video format)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Compliance Is Just the Beginning</td>
<td>$625</td>
<td>$720</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Two-program package</td>
<td>$1,062</td>
<td>$1,224</td>
<td></td>
</tr>
<tr>
<td></td>
<td>PATTERNS Training Series</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Please check □ Program 1 or □ Program 2</td>
<td>$625</td>
<td>$720</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Three-program package</td>
<td>$1,285</td>
<td>$1,478</td>
<td></td>
</tr>
<tr>
<td></td>
<td>You Can STOP Harassment</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Please check □ Program 1 or □ Program 2</td>
<td>$625</td>
<td>$720</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Two-program package</td>
<td>$1,062</td>
<td>$1,224</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Join SCCE and pay member prices for your order! Add $200 to join (regular price $295)</td>
<td>$80</td>
<td>$90</td>
<td></td>
</tr>
<tr>
<td></td>
<td>SUBTOTAL</td>
<td>$200</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Please type or print your mailing information below

- **Mr** - **Mrs** - **Ms** - **Dr**

<table>
<thead>
<tr>
<th>SCCE Member ID</th>
</tr>
</thead>
<tbody>
<tr>
<td>First Name</td>
</tr>
<tr>
<td>Last Name</td>
</tr>
<tr>
<td>Job Title</td>
</tr>
<tr>
<td>Name of Employer</td>
</tr>
<tr>
<td>Street Address (NO PO BOXES)</td>
</tr>
<tr>
<td>City/Town</td>
</tr>
<tr>
<td>State/Province</td>
</tr>
<tr>
<td>Country</td>
</tr>
<tr>
<td>Phone</td>
</tr>
<tr>
<td>Email</td>
</tr>
</tbody>
</table>

Questions? Call 888-580-8373 or email service@corporatecompliance.org

MAIL CHECK TO: SCCE, 6500 Barrie Road, Suite 250
Minneapolis, MN 55435, United States

FAX ORDER TO: +1 952 988 0146

- Check enclosed (payable to SCCE)
- Invoice me

I authorize SCCE to charge my credit card (choose card below)

- American Express
- Discover
- MasterCard
- Visa

Credit Card Account Number

Credit Card Expiration Date

Cardholder’s Name

Cardholder’s Signature

Prices are as listed and considered net of any local withholding taxes applicable in your country of residence. Prices are subject to change without notice. Any applicable sales tax is included in the product prices listed unless otherwise noted. Shipping is complimentary to addresses within the continental United States via FedEx Ground. Please include your full physical address. Products shipped via FedEx cannot be delivered to a PO box. Addresses outside the continental United States are subject to standard shipping rates. Contact SCCE for pricing. Please note that SCCE will charge your credit card the correct amount should your total be miscalculated.
Add some ethics to your reading list

Subscribe to ethikos and get the latest, best practices written by and for the business ethics community

- Receive six issues each year, filled with deep insights
- Hear from experts in business ethics
- Take away practical ideas designed to help your program

Enjoy special pricing for SCCE members: JUST $125 A YEAR

Not yet a member of SCCE? Subscribe to ethikos for $135 a year

Subscribe online at corporatecompliance.org/ethikos
SOLUTION PROVIDERS
319InSight, Inc.
www.319insight.com

319 InSight fosters a modern compliance department through cutting-edge platform solutions for 3rd Party Due Diligence, Employee Certification, Gifts & Hospitality, and more. Our distinctive reconfigurable platform molds to your unique workflows and business rules, resulting in the fastest cycle times, precise data assembly & audit, powerful reporting, continual improvements, and the lowest cost of ownership. 319 InSight’s reach extends across the enterprise to reveal critical business insights, providing unparalleled value. Contact us today!

Aegis Compliance & Ethics Center LLP
www.aegis-compliance.com

Aegis is a leading management consulting firm that serves clients seeking to bolster the impact and structure of their compliance programs. Organizations face increasing regulatory scrutiny and must deal with a growing number of competitive, financial, and operational challenges that can undermine organizational integrity. We collaborate with these companies to strengthen controls, enhance an ethical culture, and assure the success of initiatives aimed at fortifying compliance. Aegis offers dynamic compliance services including assessments, investigation support, interim management, and regulatory counsel for Life Sciences, Manufacturing, Technology, Higher Education, and other industries.

Association of Certified Fraud Examiners
www.acfe.com

The Association of Certified Fraud Examiners (ACFE) is the world’s largest anti-fraud organization and premier provider of anti-fraud training and education. Together with more than 75,000 members, the ACFE is reducing business fraud worldwide and inspiring public confidence in the integrity and objectivity within the profession.

Baker & McKenzie LLP
www.bakermckenzie.com

Founded in 1949, Baker & McKenzie advises many of the world’s most dynamic and successful business organizations through more than 11,000 people in 77 offices in 47 countries. The Firm is known for its global perspective, deep understanding of the local language and culture of business, uncompromising commitment to excellence, and world-class fluency in its client service.

Blue Umbrella
www.bluedd.com

Blue Umbrella is a leading provider of volume enhanced due diligence and pre-employment screening services. With its unique focus on operational excellence, Blue Umbrella provides thoroughly researched reports derived from legally available public source information at competitive prices and industry leading turnaround times. Clients include global top tier investment banks, multinational companies and governments who utilize tailored research solutions to fully understand the backgrounds of their clients, vendors, partners and employees. Blue Umbrella is headquartered in Hong Kong and has operations in New Delhi, Tokyo, New York, Singapore and Bangalore. Its research products focus on entities based in Asia and around the world.

Broad and Cassel
www.broadandcassel.com

For more than 30 years, Broad and Cassel has successfully handled matters in virtually every area of health law and fraud and abuse and enforcement and compliance matters with all types and sizes of clients. Our attorneys are uniquely qualified to serve the legal needs of health industry clients because of the seamless integration of our Health Law and White Collar and Criminal and Civil Fraud Defense and Compliance Practice Groups. This integrated organization and experience allows us to successfully navigate complex enforcement, compliance and legal issues and avoid litigation and enforcement action wherever possible.

Charles Schwab
www.scrs.schwab.com

Compliance Solutions’ employee-monitoring offer includes Schwab Designated Brokerage Services, Schwab Compliance Technologies™, and a wide range of financial products and services for employees. These solutions can help you proactively manage compliance, promote a positive employee experience, build long-term value across your business, and instill trust with clients.

Charles Russell Speechlys LLP
www.charlesrussellspeechlys.com

We are a law firm headquartered in London with over 500 lawyers and offices in the UK, Europe and the Middle East. Unusually for a firm of our size, we provide both specialist business law and private wealth legal services to clients in the UK and internationally. We offer personalised, considered advice to the dynamic and entrepreneurial businesses which come to us for our specialist business law knowledge and sector expertise and many commercial clients find us a refreshing alternative to larger, but less personal, law firms.

CEB
cebglobal.com

CEB is a best practice insight and technology company. In partnership with leading organizations around the globe, we develop innovative solutions to drive corporate performance. CEB equips leaders at more than 10,000 companies with the intelligence to effectively manage talent, customers, and operations. CEB is a trusted partner to 90% of the Fortune 500, nearly 75% of the Dow Asian Titans, and more than 85% of the FTSE 100. Visit cebglobal.com to learn more.

Blue Umbrella is a leading provider of volume enhanced due diligence and pre-employment screening services. With its unique focus on operational excellence, Blue Umbrella provides thoroughly researched reports derived from legally available public source information at competitive prices and industry leading turnaround times. Clients include global top tier investment banks, multinational companies and governments who utilize tailored research solutions to fully understand the backgrounds of their clients, vendors, partners and employees. Blue Umbrella is headquartered in Hong Kong and has operations in New Delhi, Tokyo, New York, Singapore and Bangalore. Its research products focus on entities based in Asia and around the world.
Click 4 Compliance
www.click4compliance.com
Click 4 Compliance is the leader in online compliance training developed by experts in global compliance. Its practical, interactive, cost-effective training meets the needs of HQ and “the field” with real-life examples (and no legalese). Click 4 Compliance’s courses are all “international ready” for global audiences and not US-Centric. Each course is created by experts in the field of corporate compliance and ethics with practical experience in training on the subject matter of the course. These compliance experts and trainers specialize in designing effective online training for employees, company partners and 3rd parties across all major market sectors.

Compliance Science
www.complysci.com
Compliance Science, Inc. (CSI) provides Governance, Risk Management and Compliance solutions, market validated by over 600 financial and professional services firms. Led by GRC industry pioneers, we designed our platform to meet the needs of Private Equity firms, Hedge Funds, Investment Banks, Broker-Dealers, Registered Investment Advisors and Professional Services firms. We combine web-based compliance technology with the industry’s highest quality data to help protect firms from the specter of reputational damage and revenue loss from non-compliant activities. Our clients include 8 of the top 10 Private Equity firms, 3 of the top 5 Hedge Funds and 3 of the Big 4 Accounting Firms.

ComplianceLine, Inc
www.complianceline.com
Established in 1998, ComplianceLine™ is the industry standard in comprehensive compliance solutions. With 24-hour toll-free telephonic personal answering, reporting and tracking of compliance concerns, ComplianceLine® provides clients with the industry’s best tools to assist in the identification of possible unethical, illegal, or questionable behavior. ComplianceLine also offers SanctionCheck, which allows our clients to search for individuals or entities that have been sanctioned, disbarred or otherwise excluded from participation in federally funded health care programs.

Convercent
www.convercent.com
Convercent’s risk-based global compliance solution enables the design, implementation and measurement of an effective compliance program. Delivering an intuitive user experience with actionable executive reporting, Convercent integrates the management of corporate compliance risks, cases, disclosures, training and policies. With hundreds of customers in more than 130 countries—including Philip Morris International, CH2M Hill and Under Armour—Convercent’s award-winning GRC solution safeguards the financial and reputational health of your company. Backed by Azure Capital, Sapphire Ventures (formerly SAP Ventures), Mantucket Capital and Rho Capital Partners, Convercent will revolutionize your company’s compliance program.

ConvergePoint
www.convergepoint.com
ConvergePoint, the leading Compliance solution provider on Microsoft SharePoint, boasts five full-featured software products for the complete life-cycle management of your Policies & Procedures, Contracts, Conflict of Interest Disclosures, Incident Tracking and Employee Training. Extend your existing Microsoft Office 365 or on-site SharePoint instance, or rely on ConvergePoint’s secure cloud platform so you can access the power of ConvergePoint whether or not you have SharePoint. With workflow builders, version control, audit trails, keyword search, custom data fields, dashboards, reporting, and more, ConvergePoint provides industry best practices and U.S.-based support.

corporatecompliance.org
Cordery
www.corderycompliance.com
Cordery provides innovative ways of helping compliance professionals and lawyers across industries manage compliance. We’re a proud supporter of SCCE and have presented programs on data protection, bribery & corruption, sanctions and the right to be forgotten. We’re seasoned compliance professionals and we provide expert advice and develop compliance products. Cordery is licensed by the Solicitors Regulation Authority in the UK as an Alternative Business Structure so that we can provide our solutions and services with the quality, confidentiality and legal privilege that clients value.

Corporate Research and Investigations LLC
www.crigroup.com
Corporate Research and Investigations LLC (CRI Group) is a global supplier of risk management, forensic accounting, due diligence and background screening services for some of the world’s leading business organizations. A business intelligence network in over 80 countries allows us to get local knowledge in places our competitors cannot. We achieve success using a network of international professionals specially trained in due diligence, financial crime investigations, counter fraud and counter corruption solutions and risk management.

Corporate Secretary
www.corporatesecretary.com
Since its launch in 2002, Corporate Secretary has successfully met the needs of corporate secretaries, general counsel and other governance professionals in North America. Corporate Secretary reports the relevant news, offers analysis of and comment on topical issues, provides in-depth feature articles on regulatory and other developments, and offers practical solutions to tricky problems. Our inside access to a range of experts in governance, compliance, technology, education and business means we can provide timely and targeted content. Over the last couple of years corporate secretaries and governance professionals have been propelled center stage, with their roles encompassing an ever-widening range of responsibilities.

Dow Jones Risk & Compliance
www.dowjones.com/riskandcompliance
Dow Jones is a global provider of news and business information, delivering content to consumers and organizations around the world across multiple formats, including print, digital, mobile and live events. Dow Jones has produced unrivaled quality content for more than 125 years and today has one of the world’s largest newsgathering operations with nearly 2,000 journalists in more than 75 bureaus globally. Dow Jones is also the provider of Dow Jones Risk & Compliance, which offers data solutions to help organizations mitigate regulatory, commercial and reputational risks.

Emtrain
www.emtrain.com
Emtrain provides fun and memorable online HR, Compliance, and People Skills training. Our courses are authored by top industry experts who answer your questions and provide best practices. Our solutions are used by some of the best organizations in the world, including Netflix, Pandora, Hubspot, and many others.

GIR
www.globalinvestigationsreview.com
GIR is the only service providing you with everything you need to know about the law and practice of international investigations in one place. GIR’s news, analysis, surveys, reports and practical guides provide you with all the information you need to make informed decisions when managing cross-border investigations. In 2015, GIR acquired Just Anti-Corruption, the leading daily service for in-depth FCPA news, analysis and exclusive reporting. Together our coverage provides unparalleled global investigations coverage for wherever your business takes you. Online. Print. Mobile. Live.

ETHIC Intelligence
www.ethic-intelligence.com
Since 2006, ETHIC Intelligence has been providing best practices certification of corporate anti-corruption compliance programs so companies can communicate credibly on their compliance achievements. Thanks to expert recommendations by on-site accredited auditors and a committee of international lawyers guided by standards set through the FCPA, UKBA, OECD, ICC, TI and ISO among others, companies can identify areas for improvement and strengthen their programs. Certification: protects companies and staff, reassures investors, attracts honest talent, serves as compliance management tool, and much more.

Ethisphere
www.ethisphere.com
The Ethisphere® Institute is the global leader in defining and advancing the standards of ethical business practices that fuel corporate character, marketplace trust and business success. Ethisphere has deep expertise in measuring business practices that fuel corporate character. Ethisphere honors superior achievement through its World’s Most Ethical Companies® recognition program, provides a community of industry experts with the Business Ethics Leadership Alliance (BELA), offers independent verification of corporate ethics and compliance programs and showcases trends and best practices in ethics with the Ethisphere Magazine.
Socialize
Join the online conversation with SCCE and your compliance colleagues

corporatecompliance.org/sccenet
GovDocs
GovDocs, Inc
www.govdocs.com
GovDocs provides ongoing labor law post-
ing compliance to North America’s largest
employers. Our customers include 30% of
Fortune 50 companies.

Hiperos
an OutSo Global Company
Hiperos LLC
www.hiperos.com
Hiperos 3PM™ is the industry’s first automated,
intelligent, SaaS-based third party manage-
ment. 3PM™ helps organizations to fully realize
the benefits of using third parties, while mitigat-
ing regulatory risk, brand/ reputational risk, and
supply chain performance issues. 3PM™ simulta-
neously addresses multiple business processes
that are critical to the management of third par-
ties: from onboarding, due diligence and risk
assessment, to addressing specific regulatory
requirements, to performance management.
Hiperos customers include global 500 companies
across many industries.

Hitec Labs
www.hiteclabs.com
For more than 20 years Hitec Laboratories has
been helping customers to address some of
their most pressing business and operational
challenges. Our customers in the Financial,
Commercial and Public/Government Sectors
use our solutions to address some of their
most pressing business and operational chal-
 lenges. Hitec solutions span Enterprise Content
Management (ECM) and Governance Risk &
Compliance (GRC), enabling enterprises across
the world to reduce costs, increase efficiencies,
ensure compliance and protect against risk.

Hitec
Laboratories

i-Sight
www.i-sight.com
Ensure a standardized approach to investigating
ethics and compliance lapses. High-profile cor-
ruption cases in recent years have showcased
the importance of investigating corruption
allegations immediately and self-reporting to
mitigate sanctions. i-Sight’s ethics investiga-
tions software ensures your company has the
right tools to investigate corruption and bribery
allegations quickly and thoroughly, before they
become full-blown FCPA investigations.

ICSA
icsa.org.uk/about-us
ICSA is the chartered membership and qualifying
body for people working in governance, risk and
compliance, including company secretaries. With
over 120 years’ experience, we develop the skills,
knowledge and experience of governance pro-
fessionals through our qualifications, training,
high-quality guidance and technical know-how.
We support members throughout their career by
providing guidance, advice and opportunities for
professional development, helping them reach
and exceed their ambitions.

Interactive Services
www.interactiveservices.com/clc
CLC, by Interactive Services, is a library of over 70
eLearning topics that covers compliance essen-
tials such as anti-bribery, workplace harassment
and information security. What makes CLC so
special is our ability to customize learning to
your unique business, and that can range from
teaching your ethics policy through to exploring
industry specific examples or simply using your
company’s own terminology. Each eLearning
topic provides a 4 to 6 minute burst of learning
that plays on multiple devices including smart-
phones, tablets and PCs. Best of all CLC can be
delivered in over 20 languages and includes sup-
port for region specific content. Experience how
CLC can improve your compliance learning today!

Interfax
www.interfax.com
Interfax is the biggest information group in the
CIS and the recognized leader on the Russian
information market, we are known for deliver-
ing a wide spectrum of financial and business
data from the region to global companies. One
of our products, SPARK - is a tool that provides
Due Diligence and Corporate Risk data and covers
every registered entity in Russia, Ukraine and
Kazakhstan. Our strength is in-depth under-
standing of specifics of the local legislation which
results in accurate and timely delivery of relevant
information. Combining various company data
sets, SPARK has changed market perceptions
about the transparency of Russian corporate
disclosure legislation and become an indus-
try standard service.

International Screening
Solutions, Inc.
www.intlscreening.com
WorldWatchPlus®, a registered trademark of
International Screening Solutions, is a self-serve,
web-based, SaaS, Global Due Diligence tool that
enables you to instantly screen and monitor
existing employees, contractors, vendors, suppli-
ers and customers against thousands of sources.
WW+® is the first Global Sanctions & Watch List,
PEP and Negative & Social Media search engine
that features daily refreshed data along with
automated continuous monitoring. This inno-

Klink & Co., Inc.
Klink & Co. Inc
www.klink-co.com
Klink & Co., Inc. is an international consulting and
investigative firm specializing in Foreign Corrupt
Practices Act, UK Anti-Bribery Act, and Anti-
Corruption Compliance, Transactional and FCPA
Due Diligence, Internal/Fraud Investigations,
Litigation Support, Forensic Accounting, and
Computer Forensics. Since 2001 we have worked
in over 100 countries on hundreds of complex due
diligence projects, FCPA and fraud investigations,
and billion dollar litigation support projects. We
have particular expertise in emerging markets
and markets that are less transparent.

KPMG
www.kpmg.com
KPMG works with organizations to help them
in their efforts to achieve the highest level of
business integrity and to effectively manage
the costs and risks of complying with new regu-
lations and enforcement activity. Our Forensic
practice is distinguished by a global network of
over 2,800 multidisciplinary professionals in
over 50 countries who assist clients in an array
of capacities including, third party risk manage-
ment, investigations, anti-bribery and corruption
matters and data analytics, eDiscovery, cyber
intrusions, and the prevention, detection and
deterrence of fraud and misconduct.
Kroll
www.kroll.com

Kroll is the market leader for due diligence and compliance solutions. Legal and compliance professionals in the world’s top companies and financial institutions count on us to deliver high-quality services that enable them to focus on their most important and immediate challenges. With an unmatched global footprint, robust in-house language capabilities and flexible technology tools, Kroll calls on over 40 years of experience to provide clients with the confidence to make informed decisions and seize rewarding opportunities.

LexisNexis
LEXIS® RISK SOLUTIONS

LexisNexis Risk Solutions is a leader in providing essential information that helps customers across all industries and governments to predict, assess, and manage risk by combining cutting edge technology, unique data and advanced scoring analytics. As an expert in 3rd party risk management, we offer a multifaceted solution that allows companies to screen all parties against global watch lists and recognize when any of their business partners (vendors, resellers, customers and prospective customers) represent a risk. We also have one of the largest databases in the industry of persons and companies being investigated for corruption. Our solutions are used to identify entities linked to risk categories including terrorism, narcotics, money laundering, fraud, and Politically Exposed Persons (PEP).

Loyola University Chicago
School of Law
www.LUC.edu/compliancestudies

Loyola University Chicago School of Law is leading the way in Compliance Studies. Loyola offers several unique programs that focus on the rapidly growing area of compliance: a Masters of Jurisprudence in Health Law or Business Law for professionals or a Master of Laws in Health Law or Business Law for attorneys. We feature more than 30 courses on compliance topics, including corporate compliance, global compliance, health care compliance, and research compliance. Some degree programs allow students to sit for the Compliance Certification Board’s examinations. Online classes are offered starting in January, May, or September. For more information, visit our website or call 1-800-424-3986.

LRN
www.lrn.com

LRN is inspiring principled performance.

LRN’s combination of practical tools, education, and strategic advice helps companies translate their values into concrete corporate practices and leadership behaviors that create compliant cultures and sustainable competitive advantage. In partnership with LRN, companies need not choose between living principles and maximizing profits, or between enhancing reputation and growing revenue: all are a product of principled performance. LRN works with organizations in more than 100 countries and has offices in Los Angeles, New York, London, and Mumbai.

McGovern & Greene LLP
www.mcgoverngreene.com

Whether you’re building a world-class compliance program from the ground up or assessing a mature program we’re here to work with you and are dedicated to building professional relationships through finding expert solutions. You will be amazed what we can accomplish. We are a compliance advisory and investigations firm providing a wide array of compliance related financial, legal, due diligence, and fraud examination services. We have talented and experienced individuals that understand your compliance and investigative needs. We can assist in conducting compliance gap assessments, work place investigations, and examinations, and have worked extensively with clients in a wide variety of size and industry types. We build every relationship with care and competency and keep them with trust and confidence.

MetricStream
MetricStream Inc
www.metricstream.com

MetricStream is the market leader in integrated Governance, Risk, Compliance (GRC) and Internal Audit Solutions for Healthcare providers and payers. MetricStream GRC solutions are used by leading Health Insurance companies, Healthcare service providers, Pharmaceutical, Medical devices & Healthcare product companies for automating and streamlining risk, compliance, policy and audit programs across the enterprise. Independent analysts recognize MetricStream as a leader in GRC Platforms.

Modevity, LLC
www.modevity.com

Modevity is a leader in GRC Platforms.

ARALOC Policy Management Secure Distribution of Compliance Policies to Mobile Devices. Whether it’s Company owned or BYOD; iPad, Android or PC, ARALOC Compliance Management can support your enterprise. Our extensive feature set makes it a breeze to keep your employees and stakeholders up to date with the latest HR and Company policies. Maintain complete control over all policies and versions and organize them in whatever way best fits the organization using our “Groups” and “Library” features. The ARALOC Compliance Management System is part of your GRC suite of tools.
MyComplianceOffice
mycomplianceoffice.com

Advance your reputation by synchronizing your business with your compliance activities and the demands of regulation in your sector through MyComplianceOffice. As experienced experts, we believe that great governance is at the heart of great business, which is why our software solutions integrate seamlessly with your business and compliance processes to monitor activity and deliver real-time oversight through one command center. Choose from our comprehensive suite of configurable solutions, with modules that cover Anti-Corruption and Bribery Procedures, Supplier Management and Conflicts of Interest management such as Gifts and Entertainment, Insider Trading and other custom code of conduct activities. Call MyComplianceOffice today.

NAVEX Global
The Ethics and Compliance Experts
www.navexglobal.com

NAVEX Global’s comprehensive suite of ethics and compliance software, content and services helps protect your people, reputation and bottom line. Trusted by 96 of the FORTUNE 100 and more than 12,500 clients, our solutions are informed by the largest ethics and compliance community in the world. For more information, visit www.navexglobal.com.

New England College of Business
www.neceb.edu

New England College of Business is committed to educating compliance professionals and offers the nation’s first Master of Science in Business Ethics and Compliance. This specialized program allows students to focus in the areas of compliance, corporate social responsibility or forensic accounting. Founded in 1909, NECB offers accredited associate’s, bachelor’s and master’s degrees in high demand, high growth business disciplines. All programs are 100% online and utilize an interactive, award-winning eLearning platform. SCCE attendees are eligible for preferred tuition rates. To learn more, contact Amy Amaru at +1 203 512 8989 or Amy.Amaru@necb.edu.

Northeastern University
School of Law
www.neu.edu/mls

Northeastern’s 100% online Master of Legal Studies (MLS) offers the opportunity for non-lawyers to learn fundamental legal skills and help employers navigate complex regulatory terrain. It is tailored to compliance professionals, and includes concentrations in healthcare and human resources (as well as a general track). Courses are taught by law school faculty and industry experts to help students better address legal issues in their fields. Ranked as the number one law school for practical training, our courses are infused with experiential learning. It is this philosophy that makes the MLS program both relevant and impactful in advancing students’ careers.

PwC

PwC helps companies build sustainable risk management and compliance & ethics programs by bringing deep expertise, global reach, analytical insights and practical advice. We help our clients in their efforts to become risk resilient—identifying, prioritizing and solving for issues which could imperil the organization’s achievement of its strategic goals. These solutions are tailored to meet the unique needs of companies as they look to improve profitability, operating performance and ultimately shareholder value.

Osprey Software Inc
www.ospreysoftware.com

COI RiskManager; (Conflict of Interest Solution) is a powerful and cost-effective web-based solution that efficiently captures, tracks and reports the required disclosures for any sized organization. The system also protects organizations by ensuring compliance with the regulations set forth by the Public Health Service (PHS)/National Institutes of Health (NIH). COI RiskManager;; Easy to use and deploy, reduces risk and costs, proven in world-class organizations, and improves organizational effectiveness. Osprey also manages attestations (ex. Code of conduct, certification, security acknowledgements) and other types of forms including surveys.

Novareté
novarete.com

We focus on employee engagement, aligning employee behavior with corporate values. Our interactive software, Novareté, is designed to integrate and reinforce your company’s core values to create a culture of high performance. This online platform builds employee awareness of your values to influence day-to-day behavior—transcending organizational and regional boundaries. Novareté is visual, fun, mobile, and measurable.

New York Stock Exchange Governance Services
www.nyse.com/governance

NYSE Governance Services provides unmatched governance and compliance analytics as well as education solutions for leading organizations and their boards. We empower individuals and organizations to elevate accountability, enhance performance, and manage risk through dynamic learning solutions in concert with preeminent thought leadership and quantitative analysis.

Novarete
www.novarete.com

Novarete builds employee awareness of your values to influence day-to-day behavior—transcending organizational and regional boundaries. Novareté is visual, fun, mobile, and measurable.

NYSE
www.nyse.com/governance

NYSE Governance Services provides unmatched governance and compliance analytics as well as education solutions for leading organizations and their boards. We empower individuals and organizations to elevate accountability, enhance performance, and manage risk through dynamic learning solutions in concert with preeminent thought leadership and quantitative analysis.

NYSE Governance Services
www.nyse.com/governance

NYSE Governance Services provides unmatched governance and compliance analytics as well as education solutions for leading organizations and their boards. We empower individuals and organizations to elevate accountability, enhance performance, and manage risk through dynamic learning solutions in concert with preeminent thought leadership and quantitative analysis.

PwC

PwC helps companies build sustainable risk management and compliance & ethics programs by bringing deep expertise, global reach, analytical insights and practical advice. We help our clients in their efforts to become risk resilient—identifying, prioritizing and solving for issues which could imperil the organization’s achievement of its strategic goals. These solutions are tailored to meet the unique needs of companies as they look to improve profitability, operating performance and ultimately shareholder value.

Osprey Software Inc
www.ospreyssoftware.com

COI RiskManager; (Conflict of Interest Solution) is a powerful and cost-effective web-based solution that efficiently captures, tracks and reports the required disclosures for any sized organization. The system also protects organizations by ensuring compliance with the regulations set forth by the Public Health Service (PHS)/National Institutes of Health (NIH). COI RiskManager;; Easy to use and deploy, reduces risk and costs, proven in world-class organizations, and improves organizational effectiveness. Osprey also manages attestations (ex. Code of conduct, certification, security acknowledgements) and other types of forms including surveys.

Novareté
novarete.com

We focus on employee engagement, aligning employee behavior with corporate values. Our interactive software, Novareté, is designed to integrate and reinforce your company’s core values to create a culture of high performance. This online platform builds employee awareness of your values to influence day-to-day behavior—transcending organizational and regional boundaries. Novareté is visual, fun, mobile, and measurable.

PwC

PwC helps companies build sustainable risk management and compliance & ethics programs by bringing deep expertise, global reach, analytical insights and practical advice. We help our clients in their efforts to become risk resilient—identifying, prioritizing and solving for issues which could imperil the organization’s achievement of its strategic goals. These solutions are tailored to meet the unique needs of companies as they look to improve profitability, operating performance and ultimately shareholder value.

Osprey Software Inc
www.ospreyssoftware.com

COI RiskManager; (Conflict of Interest Solution) is a powerful and cost-effective web-based solution that efficiently captures, tracks and reports the required disclosures for any sized organization. The system also protects organizations by ensuring compliance with the regulations set forth by the Public Health Service (PHS)/National Institutes of Health (NIH). COI RiskManager;; Easy to use and deploy, reduces risk and costs, proven in world-class organizations, and improves organizational effectiveness. Osprey also manages attestations (ex. Code of conduct, certification, security acknowledgements) and other types of forms including surveys.

Novareté
novarete.com

We focus on employee engagement, aligning employee behavior with corporate values. Our interactive software, Novareté, is designed to integrate and reinforce your company’s core values to create a culture of high performance. This online platform builds employee awareness of your values to influence day-to-day behavior—transcending organizational and regional boundaries. Novareté is visual, fun, mobile, and measurable.

PwC

PwC helps companies build sustainable risk management and compliance & ethics programs by bringing deep expertise, global reach, analytical insights and practical advice. We help our clients in their efforts to become risk resilient—identifying, prioritizing and solving for issues which could imperil the organization’s achievement of its strategic goals. These solutions are tailored to meet the unique needs of companies as they look to improve profitability, operating performance and ultimately shareholder value.

Osprey Software Inc
www.ospreyssoftware.com

COI RiskManager; (Conflict of Interest Solution) is a powerful and cost-effective web-based solution that efficiently captures, tracks and reports the required disclosures for any sized organization. The system also protects organizations by ensuring compliance with the regulations set forth by the Public Health Service (PHS)/National Institutes of Health (NIH). COI RiskManager;; Easy to use and deploy, reduces risk and costs, proven in world-class organizations, and improves organizational effectiveness. Osprey also manages attestations (ex. Code of conduct, certification, security acknowledgements) and other types of forms including surveys.

Novareté
novarete.com

We focus on employee engagement, aligning employee behavior with corporate values. Our interactive software, Novareté, is designed to integrate and reinforce your company’s core values to create a culture of high performance. This online platform builds employee awareness of your values to influence day-to-day behavior—transcending organizational and regional boundaries. Novareté is visual, fun, mobile, and measurable.

PwC

PwC helps companies build sustainable risk management and compliance & ethics programs by bringing deep expertise, global reach, analytical insights and practical advice. We help our clients in their efforts to become risk resilient—identifying, prioritizing and solving for issues which could imperil the organization’s achievement of its strategic goals. These solutions are tailored to meet the unique needs of companies as they look to improve profitability, operating performance and ultimately shareholder value.

Osprey Software Inc
www.ospreyssoftware.com

COI RiskManager; (Conflict of Interest Solution) is a powerful and cost-effective web-based solution that efficiently captures, tracks and reports the required disclosures for any sized organization. The system also protects organizations by ensuring compliance with the regulations set forth by the Public Health Service (PHS)/National Institutes of Health (NIH). COI RiskManager;; Easy to use and deploy, reduces risk and costs, proven in world-class organizations, and improves organizational effectiveness. Osprey also manages attestations (ex. Code of conduct, certification, security acknowledgements) and other types of forms including surveys.

Novareté
novarete.com

We focus on employee engagement, aligning employee behavior with corporate values. Our interactive software, Novareté, is designed to integrate and reinforce your company’s core values to create a culture of high performance. This online platform builds employee awareness of your values to influence day-to-day behavior—transcending organizational and regional boundaries. Novareté is visual, fun, mobile, and measurable.
Character is much easier kept than recovered. – Thomas Paine

Right is right, even if everyone is against it, and wrong is wrong, even if everyone is for it. – William Penn

Whenever you do a thing, act as if all the world were watching. – Thomas Jefferson

It is easy to dodge our responsibilities, but we cannot dodge the consequences of dodging our responsibilities. – Josiah Charles Stamp
RISC, Inc
www.risc-inc.com
RISC Inc. has specialized in enterprise learning management solutions since 1992. The award-winning VTA Talent Management Suite integrates training, assessment and competency management into a single system with robust reporting to support the needs of organizations spanning multiple sites and languages. Students can search course offerings, review training assignments, enroll in classes, and launch eLearning. Supervisors can monitor and schedule compliance training, assess employees and assign developmental activities through an intuitive web interface. RISC is a technology innovator as an xAPI early adopter and a cloud LMS provider since 1999 supporting hosted sites on six continents in a number of heavily regulated industries.

SAI Global Compliance
www.saiglobal.com/Compliance/
SAI Global Compliance provides governance, risk and compliance (GRC) solutions including the Compliance 360 software as well as learning and training awareness tools. Over 225,000 healthcare professionals rely on us for the management of regulatory changes, medical claims audits, policies, incidents, HIPAA and third-party risk management to name a few. Contact us for a demonstration of our software and training tools at Marketing.Americas@SAIGlobal.com.

The Second City Works
www.secondcityworks.com
Second City Works (SCW) is the innovative business solutions arm of the world-renowned improvisational comedy institution, The Second City. We focus on creative approaches to talent development and workplace effectiveness. Our RealBiz Shorts videos (realbizshorts.com) help improve communication and compliance culture around these key topics. RealBiz Shorts is a series of more than 150 short, witty, and engaging videos, focused on ethics and compliance and other GRC related problems; designed to get attention, improve subject matter retention, and change perceptions for how these important subjects are received. After all, you can’t bore people into changing behavior.

security METRICS
SecurityMetrics
www.securitymetrics.com
SecurityMetrics is a global leader in data security and compliance that enables businesses of all sizes to comply with financial, government, and healthcare mandates. Since its founding date, the company has tested over 1 million systems for data security and compliance. Among other services, SecurityMetrics offers HIPAA compliance services, penetration testing, security consulting, mobile device vulnerability scanning, payment data discovery, and incident response. Founded in October 2000, SecurityMetrics is a privately held corporation headquartered in Orem, Utah. For more information visit www.securitymetrics.com.

SnapComms
SnapComms
www.snapcomms.com
SnapComms: visual messaging software delivers messages directly to staff without the need for email. You can raise awareness of compliance issues and drive behaviour change AND prove important information has been seen! Target messages to mobile devices, machines, users, shared logins, groups or the entire organisation, including: interactive screensavers, scrolling headlines, pop-up alert notifications, SMS, newsletter, quiz, survey and more. Full measurement of message display, repetition and acknowledgement down to specific user or group level.

Sponge UK
www.spongeuk.com
Award-winning elearning company Sponge UK, specialise in the creation of custom-made elearning, designed to supercharge workplace performance. We support organisations with tailored courses and campaigns that enhance staff effectiveness and ensure compliant workplaces. Our focus is on making learning deeply absorbing, inspiring people to connect with and apply what they learn. We are a trusted supplier to major corporations and national public sector bodies from the UK, Europe and USA.

Steele CIS
www.steelecis.com
STEELE Compliance and Investigation Services (CIS) is a global business advisory and compliance intelligence firm offering comprehensive third-party due diligence solutions that help organizations comply with regulatory requirements and align with best practices. With more than 26 years of experience, STEELE CIS provides Fortune 1000 companies and mid-sized businesses with pragmatic solutions, including Regulatory Due Diligence, Third-Party Program Advisory Services, Program Management Services, and Compliance Analytics and Benchmarking Services. With engagements in over 190 countries, STEELE CIS delivers local and regional expertise with ‘on-the-ground’ resources.

SurveilLens
www.surveil-lens.com
surveilLens, is a provider of advanced technology-enabled governance, compliance and risk solutions. Our software is designed to identify, mitigate and remediate organizational risks while bringing convenience, effectiveness and efficiencies to an organization’s compliance program. Founded by professionals with experience in compliance, technology, data science and auditing, we offer our clients customized and scalable compliance solutions. Our goal is to transform the traditional approach to GRC from a manual process to an automated one, where all of a company’s data sources are harnessed to provide meaningful insights.
Syntrio Inc
www.syntrio.com
Syntrio is a leading provider of online Ethics and HR Compliance training solutions. Syntrio delivers complete e-learning solutions with robust learning management systems and expertise in online learning design, standards, and technology. Our courses are written by in-house experts in partnership with practicing attorneys, risk managers, and expert consultants reflecting a breadth of ethics, legal, and compliance expertise. Our courses contain real-life scenarios along with built-in customization features allowing clients to customize important aspects of each course to meet their needs.

TRACE International
www.traceinternational.org
TRACE International and TRACE Incorporated are two distinct entities with a common mission to advance commercial transparency worldwide by supporting the compliance efforts of multinational companies and their third party intermediaries. TRACE International is a non-profit business association that pools resources to provide members with anti-bribery compliance support while TRACE Incorporated offers both members and non-members customizable risk-based due diligence, anti-bribery training and advisory services. Working alongside one another, TRACE International and TRACE Incorporated offer an end-to-end, cost-effective and innovative solution for anti-bribery and third party compliance.

The Red Flag Group
www.redflaggroup.com
The Red Flag Group is a global integrity and compliance risk firm. We apply our unique set of advice, technology and business intelligence applications to manage the integrity and compliance risks of our customers. We have a proven methodology that we use to help companies manage these risks.

Whistleblower Justice Network
www.whistleblowerjustice.net
Whistleblower Justice Network has 20+ years of combined experience helping whistleblowers. Financial, healthcare and government fraud experts, we develop whistleblower actions under the False Claims Act, IRS & SEC Whistleblower Programs. Our international team assists clients worldwide, having filed whistleblower actions covering billions of dollars of international bribery in violation of the Foreign Corrupt Practices Act, as well as complex cross-border tax schemes involving multinational corporations.

Delaware Law School
Delaware Law School
delawarelaw.widener.edu/compliance
Delaware Law offers legal education for compliance professionals with award-winning, graduate-level compliance degrees. Studies are completed entirely online with no residency requirement. For most programs, you can choose from a two-year Master of Jurisprudence degree or a one-year certificate. The Compliance Certification Board-accredited program offers education tracks in Corporate, Global, and Healthcare Compliance. We also offer a corporate MJ/MBA dual degree. GMAT waived, no LSAT needed. Successful completion of the program provides eligibility to sit for a CCB exam. Courses begin Spring, Summer, and Fall. Competitive tuition.

Widener University
Delaware Law School
delawarelaw.widener.edu/compliance
Widener University
Delaware Law School
risk.thomsonreuters.com
Thomson Reuters brings together trusted regulatory, customer and pricing data, intuitive software and expert insight and services – an unrivaled combination in the industry that empowers professionals and enterprises to confidently anticipate and act on risks. Our risk management business provides market leading solutions for training and e-learning, global regulatory intelligence, policy management, financial crime, anti-bribery and corruption, enhanced due diligence, enterprise risk management, internal audit and controls management, supply chain risk, conflicts compliance and global KYC managed services.

WingSwept
www.wingswept.com
WingSwept is a technology company focused on helping organizations improve their operations through technology. Our Case Management & Tracking System (CMTS) improves case management by improving workflow management, increasing security and streamlining document storage. Our software has focused on investigative groups for over a decade, and WingSwept works with each agency to configure the software to meet their workflow needs. More information is available at www.mycmts.com.
 KNOW WHERE YOU STAND

While most of our work involves helping others to act ethically and in compliance with the law, there are times when we in the compliance and ethics community may find ourselves in an ethical grey area, a place where it’s difficult to see which path is the right one.

To help provide guidance, the Society of Corporate Compliance and Ethics created the Code of Professional Ethics for Compliance and Ethics Professionals. The Principles it contains are broad standards that provide a framework, and the Rules of Conduct prescribe the minimum level of professional conduct expected. It’ll help you know exactly where you stand.

Download a copy today in the language of your choice at corporatecompliance.org/code
2016
Society of Corporate Compliance and Ethics
SCALENDAR

6500 Barrie Road, Suite 250, Minneapolis, MN 55435-2358, United States
p +1 952 933 4977 or 888 277 4977 | f +1 952 988 0146
corporatecompliance.org | helpteam@corporatecompliance.org
- **January 27**: Transocean Ltd reaches $1.4 billion DOJ settlement over Gulf oil spill.
- **January 31**: Former University of Louisville dean pleads guilty to fraud.
- **February 1**: SCCE OFFICE CLOSED (New Year's Day).
- **February 4**: Sankam CEO resigns and admits inflated financial results.
- **February 7**: Barclays agree to $11.9 billion in settlements to resolve federal allegations of mortgage wrongdoing.
- **February 8**: Morgan agrees to $17 billion Madoff-related settlement.
- **February 10**: Former University of Louisville dean pleads guilty to fraud.
- **February 13**: Honda fined a record $70 million for failure to report accidents, including fatalities.
- **February 20**: New York Times reports that Tyco's Kozlowski and Swartz both sold more than $100 million in Tyco stock.
- **February 21**: SAP fined $80 million and suspended from rating heart of commercial mortgage bonds market.
- **February 24**: Broadcom announces $2.4 billion restatement of results.
- **February 27**: TracFone agrees to $40 million settlement over misleading customers.

**Events to Remember**:

- **New Year's Day**: January 1, 2016
- **Martin Luther King Jr Day**: January 18, 2016
- **SCCE OFFICE CLOSED**: February 1, 2016

**Important Dates**:

- **January 27**: Transocean Ltd reaches $1.4 billion DOJ settlement over Gulf oil spill.
- **February 7**: Barclays agree to $11.9 billion in settlements to resolve federal allegations of mortgage wrongdoing.
- **February 8**: Morgan agrees to $17 billion Madoff-related settlement.
- **February 21**: SAP fined $80 million and suspended from rating heart of commercial mortgage bonds market.
- **February 24**: Broadcom announces $2.4 billion restatement of results.
- **February 27**: TracFone agrees to $40 million settlement over misleading customers.
<table>
<thead>
<tr>
<th>SUNDAY</th>
<th>MONDAY</th>
<th>TUESDAY</th>
<th>WEDNESDAY</th>
<th>THURSDAY</th>
<th>FRIDAY</th>
<th>SATURDAY</th>
</tr>
</thead>
<tbody>
<tr>
<td>31</td>
<td>1</td>
<td>2</td>
<td>3</td>
<td>4</td>
<td>5</td>
<td>6</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Morgan Stanley agrees to $1.25 billion mortgage settlement</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>November</td>
<td>Morgan Stanley agrees to $1.25 billion mortgage settlement</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>2014</td>
<td>Morgan Stanley agrees to $1.25 billion mortgage settlement</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>2014</td>
<td>Morgan Stanley agrees to $1.25 billion mortgage settlement</td>
<td></td>
<td></td>
</tr>
<tr>
<td>7</td>
<td>8</td>
<td>9</td>
<td>10</td>
<td>11</td>
<td>12</td>
<td>13</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>CCEP Exam</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>2014</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>2014</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>14</td>
<td>15</td>
<td>16</td>
<td>17</td>
<td>18</td>
<td>19</td>
<td>20</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>President's Day</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>2012</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>2012</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>21</td>
<td>22</td>
<td>23</td>
<td>24</td>
<td>25</td>
<td>26</td>
<td>27</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Morgan Stanley and SEC agree in principle to $2.75 billion mortgage settlement</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Morgan Stanley and SEC agree in principle to $2.75 billion mortgage settlement</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**February 2016**

- **January 2016**: 27-28-29-30
- **February 2016**: 28-29-30
- **March 2016**: 1-2-3-4-5-6

**Events**:

- **January 2016**: 31-1-2-3-4-5-6
- **February 2016**: 7-8-9-10-11-12-13
- **March 2016**: 14-15-16-17-18-19-20

**Calendar Notes**:

- **January 2016**: 31-1-2-3-4-5-6
- **February 2016**: 7-8-9-10-11-12-13
- **March 2016**: 14-15-16-17-18-19-20

**Holiday Observances**:

- **January 2016**: 31-1-2-3-4-5-6
- **February 2016**: 7-8-9-10-11-12-13
- **March 2016**: 14-15-16-17-18-19-20

**Special Days**:

- Groundhog Day
- Chinese New Year
- Mardi Gras
- Ash Wednesday
- Lincoln's Birthday
- Valentine's Day
- President's Day
- Washington's Birthday
- Leap Day

**Conference Schedule**:

- **Basic Compliance & Ethics Academy® Scottsdale, AZ**: January 27-28-29-30-31
- **Utilities & Energy Compliance & Ethics Conference**: February 20-21-22-23-24-25-26-27
- **Regional Conference Boston, MA**: March 28-29-30-31-1-2-3-4-5

**Significant Events**:

- 2004: Janet Jackson experiences “wardrobe malfunction”
- 2009: BAE agrees to $450 million settlement in bribery probe
- 2010: Qualcomm agrees to $975 million China antitrust fine
- 2011: Former Indian telecom minister arrested amidst allegations of involvement in 2G spectrum scandal
- 2012: Former Fiesta Bowl chief pleads guilty in scheme to funnel political contributions
- 2013: Royal Bank of Scotland reaches $612 million settlement with UK and US governments for interest rate manipulation
- 2014: Bridgestone agrees to plead guilty, pay $425 million fine in price fixing scheme
- 2015: Morgan Stanley and SEC agree in principle to $2.75 billion mortgage settlement
- 2016: Morgan Stanley reaches $2.6 billion mortgage settlement
2011 Johnson & Johnson agrees to $77 million global FCPA settlement

2014 Bank of America agrees to nearly $800 million in fines and restitution over credit card marketing tactics

2014 HP reaches $108 million settlement over foreign bribery allegations. Russian subsidiary pleads guilty

2014 Judge accepts SAC Capital settlement, including guilty plea and $1.8 billion penalty

2013 Bank of America reaches $500 million settlement with investors over Countrywide debt

2010 Deepwater Horizon oil rig explodes

2012 New York Times reports that Walmart allegedly paid bribes in Mexico

2013 NewsCorp directors agree to $139 million settlement with investors over phone hacking scandal

2015 Kolon Industries pleads guilty to trying to steal DuPont Kevlar trade secrets, penalized $360 million
**JUNE**

29  30  31  1  2  3  4  5  6  7  8  9  10  11  12  13  14  15  16  17  18  19  20  21  22  23  24  25  26  27  28  29  30  1  2  3  4  5  6

LAST DAY TO REGISTER at the early-bird rate for SCCE’s 2016 Compliance & Ethics Institute

**REGIONAL CONFERENCE**

**Atlanta, GA**

**Anchorage, AK**

**Higher Education Compliance Conference**

Baltimore, MD

**Basic Compliance & Ethics Academy®**

San Francisco, CA

**Regional Conference**

Atlanta, GA

**Flag Day**

**Father’s Day**

**Ramadan Begins**

**New Moon**

**Full Moon**

**LAST DAY TO REGISTER** at the early-bird rate for SCCE’s 2016 Compliance & Ethics Institute

**HIGHER EDUCATION COMPLIANCE CONFERENCE**

Baltimore, MD

**REGIONAL CONFERENCE**

Atlanta, GA

** оказываются $105 млн согласие**

**Global Agreement to $105 million settlement**

**AT&T hit with $100 million fine over “unlimited” data plans**

**BP agrees to set up $20 billion oil spill fund**

**Bernard Madoff is sentenced to 150 years in prison, the maximum punishment for his crimes**

**United Technologies found liable for $473 million in damages in Air Force engine case**

**Technip SA agrees to pay $338 million after allegations of bribery in Nigeria**

**BNP Paribas agrees to plead guilty and pay $8.8 billion**

**GSK agrees to $105 million settlement over promotion of drugs**

**AT&T hit with $100 million fine over “unlimited” data plans**

**BP agrees to set up $20 billion oil spill fund**

**BNP Paribas agrees to plead guilty and pay $8.8 billion**

2002 Worldcom shares trade at $2.1
Previous high was over $64

2012 Akin Stanford sentenced to 110 years in $7 billion fraud case

2012 Akin Stanford sentenced to 110 years in $7 billion fraud case

2005 Dennis Kozlowski and Mark Swartz convicted

2015 AT&T hit with $100 million fine over “unlimited” data plans

2002 Dennis Kozlowski resigns from Tyco

2003 Martha Stewart is indicted

2014 GSK agrees to $105 million settlement over promotion of drugs
<table>
<thead>
<tr>
<th>Date</th>
<th>Event</th>
</tr>
</thead>
<tbody>
<tr>
<td>26</td>
<td></td>
</tr>
<tr>
<td>27</td>
<td></td>
</tr>
<tr>
<td>28</td>
<td></td>
</tr>
<tr>
<td>29</td>
<td></td>
</tr>
<tr>
<td><strong>30</strong></td>
<td></td>
</tr>
<tr>
<td>1</td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>2010 DOJ extradites Italian to U.S. for alleged involvement in FCPA violation</td>
</tr>
<tr>
<td><strong>3</strong></td>
<td>2011 News of the World publishes last issue and closes down in wake of phone hacking scandal</td>
</tr>
<tr>
<td><strong>4</strong></td>
<td>SCCE OFFICE CLOSED</td>
</tr>
<tr>
<td>5</td>
<td>Independence Day</td>
</tr>
<tr>
<td><strong>6</strong></td>
<td>2016 Former CEO of CalPERS pleads guilty to committing bribery and fraud</td>
</tr>
<tr>
<td><strong>7</strong></td>
<td>2004 Kenneth Lay indicted</td>
</tr>
<tr>
<td><strong>8</strong></td>
<td>2004 Adelphia’s John Rigas convicted</td>
</tr>
<tr>
<td><strong>9</strong></td>
<td>2004</td>
</tr>
<tr>
<td><strong>11</strong></td>
<td>2005 Worldcom’s Bernard Ebbers sentenced to 25 years in prison</td>
</tr>
<tr>
<td><strong>12</strong></td>
<td>2004 Citigroup agrees to $7 billion subprime mortgages settlement</td>
</tr>
<tr>
<td><strong>13</strong></td>
<td>2005 Bastille Day</td>
</tr>
<tr>
<td><strong>14</strong></td>
<td>2014 Pilot Flying J reaches $92 million settlement over fuel rebate skimming</td>
</tr>
<tr>
<td><strong>15</strong></td>
<td>2014 Former Alba CEO jailed for 16 months in UK for conspiracy to corrupt</td>
</tr>
<tr>
<td><strong>16</strong></td>
<td>2014 Toshiba CEO resigns amid $1.2 billion accounting scandal</td>
</tr>
<tr>
<td><strong>17</strong></td>
<td>2013 Toyota reaches $1.6 billion sudden acceleration class action settlement</td>
</tr>
<tr>
<td><strong>18</strong></td>
<td>2013 Halliburton agrees to plead guilty to destroying documents in Gulf spill case</td>
</tr>
<tr>
<td><strong>19</strong></td>
<td>2013 UBS reaches $885 million mortgage bond settlement</td>
</tr>
<tr>
<td><strong>20</strong></td>
<td>2013 Fiat Chrysler reaches record $105 million settlement for ballyhooed recalls</td>
</tr>
<tr>
<td><strong>21</strong></td>
<td>2013 SAC Capital indicted</td>
</tr>
<tr>
<td><strong>22</strong></td>
<td>2013</td>
</tr>
<tr>
<td><strong>24</strong></td>
<td>2014 Mead Johnson reaches $12 million FCPA books and records settlement</td>
</tr>
<tr>
<td><strong>25</strong></td>
<td>2014 Avery Dennison Corp settles with the SEC for improper payments to Chinese through foreign subsidiary</td>
</tr>
<tr>
<td><strong>26</strong></td>
<td>2013 JPMorgan Chase reaches $4.9 billion settlement over energy price rigging</td>
</tr>
<tr>
<td><strong>27</strong></td>
<td>2013 DOJ announces $400.5 million settlement with Wyeth over off-label marketing of Rapamune</td>
</tr>
<tr>
<td><strong>28</strong></td>
<td>2014 Bank of America ordered to pay $1.27 billion over &quot;Harpie&quot; fraud</td>
</tr>
<tr>
<td><strong>29</strong></td>
<td>2014 Former CEO of CalPERS pleads guilty to committing bribery and fraud</td>
</tr>
<tr>
<td><strong>30</strong></td>
<td>2016</td>
</tr>
<tr>
<td><strong>31</strong></td>
<td>2014</td>
</tr>
<tr>
<td><strong>2</strong></td>
<td>2015 Toshiba CEO resigns amid $1.2 billion accounting scandal</td>
</tr>
<tr>
<td><strong>3</strong></td>
<td>2015 Toyota reaches $1.6 billion sudden acceleration class action settlement</td>
</tr>
<tr>
<td><strong>4</strong></td>
<td>2015 Halliburton agrees to plead guilty to destroying documents in Gulf spill case</td>
</tr>
<tr>
<td><strong>5</strong></td>
<td>2015 UBS reaches $885 million mortgage bond settlement</td>
</tr>
<tr>
<td><strong>6</strong></td>
<td>2015 Fiat Chrysler reaches record $105 million settlement for ballyhooed recalls</td>
</tr>
<tr>
<td><strong>7</strong></td>
<td>2014 Mead Johnson reaches $12 million FCPA books and records settlement</td>
</tr>
<tr>
<td><strong>8</strong></td>
<td>2014 Avery Dennison Corp settles with the SEC for improper payments to Chinese through foreign subsidiary</td>
</tr>
<tr>
<td><strong>9</strong></td>
<td>2013 JPMorgan Chase reaches $4.9 billion settlement over energy price rigging</td>
</tr>
<tr>
<td><strong>10</strong></td>
<td>2013 DOJ announces $400.5 million settlement with Wyeth over off-label marketing of Rapamune</td>
</tr>
<tr>
<td><strong>11</strong></td>
<td>2014 Bank of America ordered to pay $1.27 billion over &quot;Harpie&quot; fraud</td>
</tr>
<tr>
<td>SUNDAY</td>
<td>MONDAY</td>
</tr>
<tr>
<td>--------</td>
<td>--------</td>
</tr>
<tr>
<td>31</td>
<td>1</td>
</tr>
<tr>
<td>7</td>
<td>8</td>
</tr>
<tr>
<td>14</td>
<td>15</td>
</tr>
<tr>
<td>21</td>
<td>22</td>
</tr>
<tr>
<td>28</td>
<td>29</td>
</tr>
</tbody>
</table>

**August**

- **2001**: Jeff Skilling announces his resignation from Enron.

- **2013**: Merrill Lynch agrees to $160 million settlement in racial bias case.

- **2014**: Goldman Sachs reaches $1.2 billion mortgage settlement.

- **2015**: Libor Scandal conspirator sentenced by UK court to 14 years.

- **2014**: Three former Innospec executives sentenced to jail in the UK for roles in bribery scheme.

- **2015**: Former SAP International exec pleads guilty to FCPA conspiracy charge.

- **2013**: Philip Falcone admits wrongdoing and agrees to $18 million settlement with SEC.

- **2014**: NGK Sparkplug agrees to plead guilty and pay $52.1 million for price fixing and bid rigging.

- **2014**: Consent decree issued for $300 million failure of Standard Chartered to remediate AML deficiencies.

- **2014**: PWC regulatory advisory unit receives two year NYC suspension.

- **2014**: Bank of America reaches $17 billion mortgage settlement.

WANT TO GET CERTIFIED?

Apply now to take the exam for your CCEP or CCEP-I at next month’s Compliance & Ethics Institute. The exam application deadline is September 19.
Plan now to take the CCEP or CCEP-I exam at September’s Compliance & Ethics Institute, and you could soon be joining more than 3,200 professionals who have already earned their CCEP, CCEP-I, or CCEP-F.

Exam applications are due by September 19. Visit the CEI website, complianceethicsinstitute.org, to download the exam application.

“The certifications indicate that a person understands the field of compliance and has met the criteria set to become certified. We see individuals not only becoming certified in one area but in many.”

— Debbie Troklus, CHC-F, CCEP-F, CCEP-I, CHRC, CHPC, Managing Director, Aegis Compliance and Ethics Center
<table>
<thead>
<tr>
<th>Sunday</th>
<th>Monday</th>
<th>Tuesday</th>
<th>Wednesday</th>
<th>Thursday</th>
<th>Friday</th>
</tr>
</thead>
<tbody>
<tr>
<td>28</td>
<td>29</td>
<td>30</td>
<td>31</td>
<td>1</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>2</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>3</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>4</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>5</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>6</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>7</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>8</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>9</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>10</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>11</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>12</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>13</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>14</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>15</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>16</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>17</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>18</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>19</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>20</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>21</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>22</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>23</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>24</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>25</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>26</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>27</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>28</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>29</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>30</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>1</td>
</tr>
</tbody>
</table>

**SCCE Office Closed**
- Labor Day
- Eid al-Adha
- SCCE Office Closed
- Thanksgiving

**WANT TO GET CERTIFIED?**
2016 Compliance & Ethics Institute exam applications due today
- 2013 $920 million settlement announced in JPMorgan Chase London Whale case
- 2014 Three executives convicted in peanut plant salmonella case
- 2014 China fines GSK $489 million for bribery. Orders executive deported

**2001** Ken Lay tells employees Enron shares are an "incredible bargain!"
- 2002 Tyco's Kasulowki and Swartz charged
- 2002 Broadcom announces $1.5 billion subtraction in earnings due to stock options irregularities
- 2002 Former Worldcom controller pleads guilty
- 2003 Enron treasurer pleads guilty
- 2003 Tyco's Kasulowki and Swartz sentenced
- 2005 Tyco's Kasulowki and Swartz sentenced

**2009** Pfizer announces settlement; terms specify Compliance Officer should not report to General Counsel
- 2014 Court finds BP grossly negligent in Gulf spill
- 2014 Pacific Gas & Electric penalized $14 billion for pipeline blast
- 2014 Halliburton agrees to $1.1 billion Gulf Oil spill settlement

**2006** HP tells SEC it reviewed private phone records of board members
- 2006 Broadcom announces $15 billion subtraction in earnings due to stock options irregularities
- 2006 SCCE Office Closed

**2014** Court finds BP grossly negligent in Gulf spill
- 2014 Pacific Gas & Electric penalized $14 billion for pipeline blast
- 2014 Halliburton agrees to $1.1 billion Gulf Oil spill settlement

**2002** Tyco's Kasulowki and Swartz charged
- 2002 Ken Lay tells employees Enron shares are an "incredible bargain!"
- 2002 Tyco's Kasulowki and Swartz charged
- 2002 Broadcom announces $1.5 billion subtraction in earnings due to stock options irregularities
- 2002 Former Worldcom controller pleads guilty
- 2003 Enron treasurer pleads guilty
- 2003 Tyco's Kasulowki and Swartz sentenced
- 2005 Tyco's Kasulowki and Swartz sentenced

**2013** $920 million settlement announced in JPMorgan Chase London Whale case
- 2014 Three executives convicted in peanut plant salmonella case
- 2014 China fines GSK $489 million for bribery. Orders executive deported

**2002** Tyco's Kasulowki and Swartz charged
- 2002 Ken Lay tells employees Enron shares are an "incredible bargain!"
- 2002 Tyco's Kasulowki and Swartz charged
- 2002 Broadcom announces $1.5 billion subtraction in earnings due to stock options irregularities
- 2002 Former Worldcom controller pleads guilty
- 2003 Enron treasurer pleads guilty
- 2003 Tyco's Kasulowki and Swartz sentenced
- 2005 Tyco's Kasulowki and Swartz sentenced
<table>
<thead>
<tr>
<th>Date</th>
<th>Event</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>All Saints Day</td>
</tr>
<tr>
<td>4</td>
<td>Regional Conference (Dallas, TX)</td>
</tr>
<tr>
<td>9</td>
<td>Corporate Compliance &amp; Ethics Week November 6–12</td>
</tr>
<tr>
<td>14</td>
<td>Basic Compliance &amp; Ethics Academy® (Orlando, FL)</td>
</tr>
<tr>
<td>15</td>
<td>Basic Compliance &amp; Ethics Academy® (Scottsdale, AZ)</td>
</tr>
<tr>
<td>20</td>
<td>SCCE Office Closed (Thanksgiving Day)</td>
</tr>
<tr>
<td>28</td>
<td>Basic Compliance &amp; Ethics Academy® (Madrid, Spain)</td>
</tr>
<tr>
<td>30</td>
<td>SCCE Office Closed (First Sunday of Advent)</td>
</tr>
</tbody>
</table>

**Key Events (dates mentioned):**

- 2012: Walmart discloses that it has expanded an internal investigation into bribery accusations in Mexico, Brazil, China, and India.
- 2014: Bo-Rat agrees to $1.55 billion FCPA settlement.
- 2014: Hyunil and Kianeco $100 million settlement over reported MPGs. Also lose $200 million in credits.
- 2013: Johnson & Johnson agrees to $2.2 billion settlement over Biop presidential marketing.
- 2014: Bio-Rad agrees to $55 million FCPA settlement.
- 2014: Hyundai and Kia reach $100 million settlement over Reported MPGs. Also lose $200 million in Credits.
- 2014: Bank of Tokyo Mitsubishi hit with $315 million penalty for sanctions violations report whitewash.
- 2013: JP Morgan agrees to $13 billion settlement with government over mortgages.
- 2014: UBS AG fined $76.8 million by UK FSA in rogue trading scandal.
- 2013: Weatherford agrees to $252 million FCPA settlement. Three subsidiaries plead guilty. Company also agrees to $100 million export controls settlement.
- 2006: Police raid Siemens headquarters over bribery allegations.
Become Certified

Certified Compliance & Ethics Professional (CCEP)®

Certified Compliance & Ethics Professional-International (CCEP-I)®

Certified Compliance & Ethics Professional-Fellow (CCEP-F)®

Set the bar for your compliance team and demonstrate your current skill in the compliance profession

Make yourself marketable

Increase your value in the workplace and to future employers

Showcase your compliance knowledge and experience

A few letters after your name can make a big difference

Why do people add JD, MBA, or CPA after their name? They know those initials instantly identify them as experts in their field.

Now’s the time to add CCEP, CCEP-I or CCEP-F after your name. Just a few initials will help show your colleagues that what you say isn’t just your opinion, but a product of your expertise as a Certified Compliance and Ethics Professional (CCEP)®, Certified Compliance & Ethics Professional-International (CCEP-I)®, or Certified Compliance & Ethics Professional-Fellow (CCEP-F)®.

Applying to become certified is likely easier than you think.

To learn more about what it takes to earn the CCEP, CCEP-I, or CCEP-F designation, visit compliancecertification.org. And you could soon be joining more than 3,200 professionals who have already earned their CCEP, CCEP-I, or CCEP-F.