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

Don’t miss the Society of Corporate Compliance and Ethics’ 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.

2017 COMPLIANCE & ETHICS Resource Guide
corporatecompliance.org
It is my pleasure to share with you SCCE’s 2017 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 2017 Compliance & Ethics Resource Guide to be a valuable resource to your career and program, and we look forward to serving you in 2017 and beyond.

Sincerely,

Roy Snell, Chief Executive Officer
Society of Corporate Compliance and Ethics
Utilities & Energy Compliance & Ethics Conference
February 19–22 • Washington, DC

European Compliance & Ethics Institute
April 2–5 • Prague, Czech Republic

Higher Education Compliance Conference
June 4–7 • Baltimore, MD

Compliance & Ethics Institute
October 15–18 • Las Vegas, NV

Board Audit Committee Compliance Conference
November 6–7 • Scottsdale, AZ

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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.

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February 6–9 • Scottsdale, AZ
March 6–9 • New Orleans, LA
April 24–27 • Chicago, IL
May 1–4 • San Francisco, CA
August 7–10 • New York, NY
September 11–14 • Philadelphia, PA
October 2–5 • Nashville, TN
November 13–16 • Orlando, FL
December 4–7 • San Diego, CA

International Basic Compliance & Ethics Academies
January 8–11 • Dubai, UAE
May 15–18 • Amsterdam, Netherlands
July 10–13 • Singapore
August 21–24 • São Paulo, Brazil
Dates TBA • Madrid, Spain

Regional Compliance & Ethics Conferences
March 10 • Minneapolis, MN
March 24 • Boston, MA
April 7 • Scottsdale, AZ
April 28 • Chicago, IL
May 5 • Miami, FL
May 19 • San Francisco, CA
June 9 • Atlanta, GA
June 22–23 • Anchorage, AK
August 25 • São Paulo, Brazil
September 8 • Washington, DC
November 3 • Dallas, TX
November 10 • New York, NY
November 17 • Seattle, WA
December 8 • Philadelphia, PA

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.
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March 6–9, 2017
New Orleans, LA

April 24–27, 2017
Chicago, IL

May 1–4, 2017
San Francisco, CA

August 7–10, 2017
New York, NY

September 11–14, 2017
Philadelphia, PA

October 2–5, 2017
Nashville, TN

November 13–16, 2017
Orlando, FL

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San Diego, CA

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FROM THE SOCIETY OF CORPORATE COMPLIANCE & ETHICS®
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)

1:15 – 3:00 pm
Compliance Infrastructure
Debbie Troklus, CCEP-F, CCEP-I, CHC-F, CHRC, CHPC, Managing Director, Aegis Compliance and Ethics Center

This course is designed to help compliance professionals understand the components of an effective compliance infrastructure. Implementation of a compliance program, selection of qualified staff, budgeting for compliance and the overall structure of the office are discussed. Time is spent discussing the various positions needed and the qualifications for each. The auditing position along with qualifications (coding credentials) is discussed. A compliance professional should be able to use what is taught in this course to design an adequate structure to facilitate an effective compliance program.
**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  
Auditing & Monitoring

Urton Anderson, CCEP  
Director, Von Allmen School of Accountancy, Gatton College of Business and Economics, University of Kentucky

The goal for this session is to provide compliance professionals with a solid understanding of the role of auditing and monitoring in the compliance system. It begins with determining the role of auditing and monitoring in the organizational governance process—specifically what assurances the board and management need to meet their responsibilities. The session explores the relationship between monitoring activities and internal controls. A practical process for developing effective monitoring plans and strategies is then presented along with attributes needed for these plans to provide assurance on the effectiveness of the compliance program. Finally, the session ends with a discussion of internal reporting systems as a key part of an organization’s monitoring activities.

12:15 – 1:15 PM  
Lunch *(provided)*

1:15 – 3:00 PM  
Investigations

Meric Bloch, CCEP-F, JD, CFE, 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,  
Managing 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)*

1:00 PM  
CCEP Exam Check-In

1:15 – 4:30 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.
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This conference is designed for board members and members of a Board Audit and/or Compliance Committee of organizations. Compliance officers and other senior leaders in the organization are also welcome to attend.

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New in the 2016 edition:
- Preparing for and responding to subpoenas and search warrants
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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

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
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- **Investigative Interviewing**: MEMBERS $50 / NON-MEMBERS $60
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**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

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**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

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**Investigative Interviewing: It’s Not Just What You Ask, But How You Ask It—A Q&A Guide**

Author Meric Bloch has been training workplace investigators for years—as a faculty member at SCCE’s Basic Compliance and Ethics Academies, and as a trainer at countless other conferences. In this book, Meric has gathered the most useful questions posed to him and provided his expert answers. He covers seven key areas of investigative interviewing:

- Preliminary considerations
- Fine-tuning your approach
- The interview process
- Interviewing the reporter
- Interviewing the subject
- Assessing credibility and detecting deception
- Writing the interview memo

This book offers effective strategies and tactics that can help you become a better workplace investigator.

MEMBERS $50 / NON-MEMBERS $60

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**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
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

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

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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.

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*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.

<table>
<thead>
<tr>
<th>Membership Type</th>
<th>Individual Segment Cost</th>
<th>Series Cost</th>
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## 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**

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## 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!

<table>
<thead>
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<td>Members</td>
<td>$50</td>
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<tr>
<td>Non-Members</td>
<td>$60</td>
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**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.

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www.hiperos.com
Hiperos, an Opus Global company, is the market leader for third party management solutions. Our flagship product, Hiperos 3PM™, is relied on by companies around the world to manage the risk, performance and communication associated with their third parties—vendors, suppliers, distributors, partners and others. As global regulatory requirements around third-party management expand, companies increasingly turn to Hiperos to help them facilitate compliance, reduce risk and improve performance.
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 challenges. 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.

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

Interfax Europe Ltd.
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 delivering 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 understanding 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 industry standard service.

International Screening Solutions
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, suppliers 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 innovative software encompasses all of the sought after features offered sporadically between existing solutions available in the market today, as well as innovative enhancements only available through the WorldWatchPlus® platform.

Kantola Training Solutions
www.kantola.com
At Kantola, we believe that great video helps make training sessions more engaging. We believe that the talent pool is deepest in Hollywood, so we film there. We believe that old videos look old, so we are continually producing new programs. We believe that choice matters, so we have - not one or two harassment titles - but more than a dozen. Visit our booth and learn more about our award-winning DVDs, streaming video, and eLearning. Top-quality training really is more effective.

Klink & Co., Inc.
Your Global Risk Management Partner
Klink & Co. Inc
www.klink-co.com
Klink & Co., Inc. is an international consulting and investigative firm specializing in Foreign Corrupt Practices Act (FCPA), UK Anti-Bribery Act, and Anti-Corruption Compliance; Transactional and FCPA Due Diligence; Internal/Fraud Investigations; Litigation Support; Forensic Accounting; and Computer Forensics. With a global focus since 2001, the team has worked in over 100 countries on thousands of due diligence projects, FCPA and fraud investigations, and billion dollar litigation support projects. Offices in New York, Pittsburgh, Hong Kong and London serve clients, which include Fortune 500 companies, law firms, universities, technology firms and hedge funds.
KPMG
www.kpmg.com/fraudster

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 regulations and enforcement activity. Our Forensic practice is distinguished by a global network of over 3500 multidisciplinary professionals in over 50 countries who assist in an array of capacities including third party risk management, investigations, anti-bribery and corruption matters and data analytics, eDiscovery, cyber intrusions, and the prevention, detection and deterrence of fraud and misconduct. We also have a distinguished team of compliance transformation professionals to help go beyond simply meeting the next requirement and instead, fundamentally reassess and retool compliance governance, culture, and business and risk operations.

Kroll
www.kroll.com

Clients around the world rely on Kroll’s Compliance team to help them manage their anti-money laundering (AML) and anti-bribery and corruption (AB&C) risks. We deliver on their trust with in-depth subject matter expertise, global research capabilities, and flexible technology tools that enable them to address compliance challenges with confidence and efficiency. We provide a wide range of services that cover the whole continuum of compliance needs, from third party screening, to enhanced due diligence and monitoring solutions. Combined with our remediation and look-back capabilities, our services are as multidimensional as our clients’ compliance challenges.

LexisNexis® Risk Solutions/ Risk/Compliance
www.lexisnexis.com/risk/compliance/

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).

LRN
www.lrn.com

Since 1994, LRN has helped over 20 million people at more than 700 companies worldwide simultaneously navigate complex legal and regulatory environments, meet their compliance obligations, and foster ethical cultures. LRN’s combination of practical tools, compliance education and strategic advice helps companies translate their values into concrete corporate practices and leadership behaviors that create 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. As a global company, LRN works with organizations in more than 100 countries.

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 Master 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 (CCB) examinations. Online classes are offered starting in January, May, or September. For more information, visit our website or call 1-800-424-3986.

Loyola University Chicago
www.LUC.edu/compliancestudies

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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. Contact us at 312-692-1000.

MetricStream
MetricStream Inc
www.metricstream.com
MetricStream is a market leader in Enterprise-wide Governance, Risk, Compliance (GRC) and Quality Management Solutions for global corporations and has consistently been rated as best-in-class by independent analysts. The MetricStream GRC suite includes solutions for managing policy and procedures, enterprise risk, regulatory compliance, corporate compliance, incident and case management, regulatory reporting and submissions, ethics, supplier governance and IT GRC.

Modeity
www.modeity.com
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.

Morehead Compliance Consulting
www.moreheadconsulting.com
Morehead Compliance Consulting delivers effective solutions for your compliance and ethics program. Our team brings substantial practical experience together with benchmarking data and best practices to provide market-leading solutions for a flat fee. Our services include code of conduct and policy development, live training for every level of employee and the board of directors, program assessment and certification, and custom solutions, such as manager tool kits.

MyComplianceOffice
www.mycomplianceoffice.com
We work with you to synchronize the needs of your business with the demands of regulation in your sector through effective compliance program solutions. Our software integrates with your existing processes, providing real-time oversight and control, through one command center dashboard. Our expertise is built on almost 20 years of experience, allowing us to offer you a comprehensive suite of solutions covering employee code of conduct, third party and vendor management, customer management and trade surveillance systems. We offer an extensive range of modules covering everything from gifts & entertainment to personal trade monitoring to vendor on-boarding. Visit www.mycomplianceoffice.com and book a demonstration now.

National Association of Corporate Directors (NACD)
www.NACDonline.org
The National Association of Corporate Directors (NACD) is the advocate for the profession of directorship and is focused on advancing exemplary board leadership. NACD delivers insights and resources that more than 16,000 corporate director members rely on to make sound strategic decisions and confidently confront complex business challenges. NACD provides world-class director education programs, national peer-exchange forums, and proprietary research to promote director professionalism, ultimately enhancing the economic sustainability of the corporate enterprise and bolstering stakeholder confidence.

NAVEX Global
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 95 of the FORTUNE 100 and more than 12,500 clients, our solutions are informed by the largest ethics and compliance community in the world.

New England College of Business
www.neceb.edu/landings/mbec
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 Lisa Turk at (617) 388-9201 or lisa.turk@neceb.edu.
Northeastern University
School of Law
Northeastern University
www.northeastern.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 business law, health law and human resources law (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.

Novareté
www.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.

Intercontinental Exchange company (NYSE:ICE).

NYSE Governance Services
www.nyse.com/governance

NYSE Governance Services is the leading governance, compliance and education solutions provider for companies and their boards of directors. Through a complete set of technology-enabled and data-driven solutions designed to address compliance, accountability and risk management, NYSE Governance Services helps companies comprehensively build a culture of integrity from employee to board level. NYSE Governance Services is a division of the New York Stock Exchange Group, an Intercontinental Exchange company (NYSE:ICE).

Osprey Compliance Software
www.ospreycompliancesoftware.com

COI RiskManager™ (a powerful web-based solution) efficiently captures, tracks and reports the required disclosures for tens of thousands of users across many industries. The system also protects organizations by ensuring compliance with industry regulations and best practices. COI RiskManager – The Industry leader in conflict of interest software: Highest in client satisfaction, proven in any sized organization, easy to use and reduces risk, saves time and cuts costs, no lock-in/long term contracts, quick setup.

Palmtree – by Guidant Technology LLC
getpalmtree.com

Guidant Technology is pleased to announce the launch of Palmtree—a revolutionary app created to place compliance in the palm of your hand; and the hands of your entire workforce wherever they may be, 24 hrs a day. In today’s fast-paced business world, your employees find themselves in countless situations everyday needing guidance or simply reassurance they’re making the right decisions aligned to their company’s compliance program. Let Palmtree guide them through company policies, trade compliance rules, FCPA situations and so much more. Palmtree removes the uncertainty for the employee and mitigates compliance risk for the company. Please visit getpalmtree.com for more details.

PricewaterhouseCoopers
www.pwc.com/us

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.

SAI Global
www.saiglobal.com/Compliance/

SAI Global Compliance provides a full range of risk management solutions, including governance, risk and compliance (GRC) software applications, ethics, compliance learning and awareness solutions. With over twenty-five years’ experience and offices worldwide, we combine deep expertise with practical technology solutions to help thousands of organizations reduce risk, enhance compliance, streamline governance and make better decisions. Small entities and Fortune 100 companies rely on us as the Compliance System of Record.
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.

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.

Skillsoft
www.skillsoft.com
Skillsoft Compliance Solutions, provides compliance-based risk mitigation and safety training for customers ranging from global enterprises, government and education institutions, to small and mid-sized businesses. Today we serve over 1,600 organizations worldwide, of which many are leading Fortune 500 companies. We provide one of the largest selections of compliance topics to ensure organizations effectively meet regulatory requirements, mitigate risks, address global audience requirements with language considerations, develop awareness around critical risk areas—all while building a strong culture of compliance through a comprehensive suite of training services and compliance-based learning solutions.

SnapComms
www.snapcomms.com
Get Employee Attention! SnapComms delivers and measures your compliance campaigns. Our visual messaging software places your compliance messages directly on employee screens without the need for email. Target the messages to mobiles, machines, users, shared logins, groups or the entire organisation. Build a campaign to raise awareness of compliance topics, drive behavior change and measure compliance rates! Campaigns consist of nurture communications delivered as pop-up alerts, videos, scrolling tickers, quizzes, surveys, invitations or wallpaper and culminate in individual tracked employee commitment.

Squire Patton Bogg
www.squirepattonboggs.com
One of the world’s strongest integrated law firms, Squire Patton Boggs delivers commercially focused business solutions by combining legal and political capabilities and invaluable connections on five continents to serve our clients. Prague office maintains an extensive practice for over 2 decades, combining comprehensive international experience with essential local knowledge in a broad and varied commercial practice. Focus areas include cybersecurity, antitrust, government investigations, employment law, public policy and regulated industries.

Steele CIS
www.steelecis.com
STEEL Compliance & Investigation Services
The Red Flag Group
www.redflaggroup.com
The Red Flag Group is a global integrity and compliance firm. We apply our unique set of advice, research, technology and business intelligence applications to effectively manage the risks of our customers and their third parties. We help clients increase sales, reduce costs and give them solutions to manage their compliance and integrity risks. Our suite of services comprises due diligence research covering all regions, client-tailored advisory, predictive analytics, eLearning and compliance-specific software. The Red Flag Group helps companies turn compliance into a competitive advantage.

surveillens
surveillens.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.
Thomson Reuters Risk brings together trusted information, managed services, software and expertise that helps you manage customer, third party, compliance, enterprise and financial risk. Agile, innovative, and unrivalled anywhere in the marketplace, Thomson Reuters Risk helps you go beyond mere risk avoidance and turn regulatory complexity into business opportunity. From regulatory change management to third party risk management to compliance training, Thomson Reuters can help you proactively create and sustain a culture of compliance, and build a reputation for consistently driving the best behavior and performance from your people and operations.

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.

Transparency International
www.transparency.org
From villages in rural India to the corridors of power in Brussels, Transparency International gives voice to the victims and witnesses of corruption. We work together with governments, businesses and citizens to stop the abuse of power, bribery and secret deals. As a global movement with one vision, we want a world free of corruption. Through chapters in more than 100 countries and an international secretariat in Berlin, we are leading the fight against corruption to turn this vision into reality.

Twist and Shout Media Ltd
www.tuesdayswithbernie.com
There’s nothing like hearing the phrase “Compliance Training” to get eyes rolling and employees sighing like a 13-year-old being told to clean her room... So—From the team that brought you “Restricted Intelligence”, the award-winning employee awareness series about information security, “Tuesdays With Bernie” is a breakout approach to ethics, bribery and corruption awareness training. Using web-series viral marketing techniques and high quality film production, it’s comprehensive, contemporary and conversation-starting.

V-Comply
www.v-comply.com
V-Comply.com is a SaaS designed for a single purpose—SIMPLIFY Governance and Management of Risk and Compliance. It is an omnibus software with one of the largest Compliance Libraries in the world with elaborate instances of Regulations, Standards and Internal Controls. The unique CAL-Repository helps organizations to hold, monitor or renew Certification, Agreements and Licenses. The software itself is a digitally functional embodiment of three pathbreaking management theories—Theory of Responsibility in Organizations (Prendergast), Management by Exception (Taylor) and Management by Objectives (Drucker).

Whistleblower Justice Network
www.whistleblowerjustice.net
Whistleblower Justice Network has 20+ years experience analyzing, filing, investing in and consulting on dozens of whistleblower actions. We have partnered with whistleblowers all over the world from countless industries. Working with whistleblowers is all we do. We provide perspective, expertise and support to ensure our clients file the strongest case possible. Our areas of expertise include: Government Procurement Fraud International Bribery Tax Schemes Pharmaceutical & Medical Device Fraud Financial Fraud. We provide free consultations that are 100% confidential. In addition, we are available 24/7/365. From start to finish, we stand by our clients every step of the way.

Corporate Compliance
www.corporatecompliance.org
Help your employees make good choices!

And join hundreds of organizations in raising awareness of their compliance and ethics programs.

Corporate Compliance & Ethics Week helps you highlight the importance of compliance and ethics, engage employees, and promote an ethical culture.

Plan to celebrate

Corporate Compliance & Ethics Week

November 5–11, 2017

Learn more at corporatecompliance.org/CCandEweek
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 gray 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.

Download a copy today in the language of your choice at corporatecompliance.org/code
2017
Society of Corporate Compliance and Ethics
Scalendar
2017 SCCE Events

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.

Learn more about SCCE events at corporatecompliance.org/events

Conference dates and locations are subject to change.

Basic Compliance & Ethics Academies
February 6–9 • Scottsdale, AZ
March 6–9 • New Orleans, LA
April 24–27 • Chicago, IL
May 1–4 • San Francisco, CA
August 7–10 • New York, NY
September 11–14 • Philadelphia, PA
October 2–5 • Nashville, TN
November 13–16 • Orlando, FL
December 4–7 • San Diego, CA

International Basic Compliance & Ethics Academies
January 8–11 • Dubai, UAE
May 15–18 • Amsterdam, Netherlands
July 10–13 • Singapore
August 21–24 • São Paulo, Brazil
Dates TBA • Madrid, Spain

Regional Compliance & Ethics Conferences
March 10 • Minneapolis, MN
March 24 • Boston, MA
April 7 • Scottsdale, AZ
April 28 • Chicago, IL
May 5 • Miami, FL
May 19 • San Francisco, CA
June 9 • Atlanta, GA
June 22–23 • Anchorage, AK
August 25 • São Paulo, Brazil
September 8 • Washington, DC
November 3 • Dallas, TX
November 10 • New York, NY
November 17 • Seattle, WA
December 8 • Philadelphia, PA

Utilities & Energy Compliance & Ethics Conference
February 19–22 • Washington, DC

European Compliance & Ethics Institute
April 2–5 • Prague, Czech Republic

Higher Education Compliance Conference
June 4–7 • Baltimore, MD

Compliance & Ethics Institute
October 15–18 • Las Vegas, NV

Board Audit Committee Compliance Conference
November 6–7 • 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.
### January

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<td><strong>SCCE OFFICE CLOSED</strong></td>
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#### Important Dates

- **2013**: Transocean Ltd reaches $1.4 billion DOJ settlement over Gulf oil spill
- **2010**: Former University of Louisville dean pleads guilty to fraud
- **2014**: Honda fined a record $70M for failure to report accidents, including fatal ones
- **2009**: Satyam CEO resigns and admits inflated financial results
- **2013**: Banks agree to $18.9B in settlements to resolve federal allegations of mortgage wrongdoing
- **2014**: JPMorgan agrees to $1.7B Madoff-related settlement
- **2007**: New York Times reports that Tyco’s Kozlowski and Swartz both sold more than $100M in Tyco stock
- **2014**: SAP fined $180M and suspended from rating heart of commercial mortgage bonds market
- **2015**: TracFone agrees to $40M settlement over misleading customers
- **2007**: Broadcom announces $2.4 billion restatement of results
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**February**

- **Sunday, February 16**: Wells Fargo announces $1.2B FHA home mortgage settlement.

- **Monday, February 17**: Morgan Stanley agrees to $2.5B mortgage settlement.

- **Tuesday, February 18**: Morgan Stanley reaches $2.6B mortgage settlement.

- **Wednesday, February 19**: Morgan Stanley and SEC agree in principle to $2.75B settlement of mortgage cases.

- **Thursday, February 20**: Goldman Sachs announces $538M mortgage settlement.

- **Friday, February 21**: JPMorgan settles $614M False Claims Act case.

- **Saturday, February 22**: Former Siemens executives fined $1.46M in bribery case.

- **Sunday, February 23**: Morgan Stanley reaches $3.2B mortgage settlement.

- **Monday, February 24**: Former Fiesta Bowl chief pleads guilty in scheme to funnel political contributions.

- **Tuesday, February 25**: VimpelCom agrees to $795M corruption settlement.

- **Wednesday, February 26**: Royal Bank of Scotland reaches $612M settlement with UK and US governments for interest rate manipulation.

- **Thursday, February 27**: Chinese police arrest six in bribery probe.

- **Friday, February 28**: Morgan Stanley agrees to $975M China antitrust fine.

- **Saturday, February 29**: Jeff Skilling arrested by FBI.

- **Sunday, March 1**: KBR pleads guilty to bribery charges, agrees to $402M fine.

- **Monday, March 2**: Morgan Stanley reaches $425M fine in price fixing scheme.

- **Tuesday, March 3**: Qualcomm agrees to $975M China antitrust fine.

- **Wednesday, March 4**: Royal Bank of Scotland reaches $612M settlement with UK and US governments for interest rate manipulation.

- **Thursday, March 5**: BAE agrees to $450M settlement in bribery probe.

- **Friday, March 6**: Qualcomm agrees to $975M China antitrust fine.

- **Saturday, March 7**: Morgan Stanley agrees to $2.5B mortgage settlement.

- **Sunday, March 8**: Morgan Stanley agrees to $2.5B mortgage settlement.

- **Monday, March 9**: Morgan Stanley agrees to $2.5B mortgage settlement.

- **Tuesday, March 10**: Morgan Stanley agrees to $2.5B mortgage settlement.

- **Wednesday, March 11**: Morgan Stanley agrees to $2.5B mortgage settlement.

- **Thursday, March 12**: Morgan Stanley agrees to $2.5B mortgage settlement.

- **Friday, March 13**: Morgan Stanley agrees to $2.5B mortgage settlement.

- **Saturday, March 14**: Morgan Stanley agrees to $2.5B mortgage settlement.

**WANT TO GET CERTIFIED?**

Apply now to take the exam for your CCEP-I at next month’s European Compliance & Ethics Institute. The exam application deadline is March 27.
### March

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**WANT TO GET CERTIFIED?**

2017 European Compliance & Ethics Institute exam applications are due today

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**2004**

- Martha Stewart convicted in ImClone scandal

**2010**

- Former chairman of McKesson sentenced for securities fraud

**2014**

- Toyota reaches $1.2B sudden acceleration-related criminal settlement

**2015**

- Former Worldcom CFO Scott Sullivan pleads guilty to several crimes

- Commerzbank reaches $1.45B settlement over AML, sanctions and other violations

- Schumacherunit fined $232.7M, pleads guilty to Iran and Sudan sanctions violations

- Schulemberger unit pleads guilty to broker fraud

---

**2016**

- Qualcomm settles FCPA case over hiring of relatives of Chinese government officials

- Commerzbank reaches $1.45B settlement over AML, sanctions and other violations

- Bitcoin reaches $865M settlement over loans sold to Freddie Mac and Fannie Mae

- Schulemberger unit fined $232.7M, pleads guilty to Iran and Sudan sanctions violations

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**March 2017**

- **Regional Conference**
  - Minneapolis, MN
  - Boston, MA
  - New Orleans, LA

- **Basic Compliance & Ethics Academy®**
  - New Orleans, LA

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- **Ash Wednesday**
- **Daylight Saving Time begins**
- **Purim begins at sundown**
- **St Patrick's Day**

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- **Equifax**
- **WCM**
- **CCEP Exam**
- **Regional Conference**
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**European Compliance & Ethics Institute**
*Prague, Czech Republic*

**Regional Conference**
*Scottsdale, AZ*

**LAST DAY TO REGISTER AT THE EARLY BIRD RATE for SCCE’s 2017 Higher Education Compliance Conference**

**Regional Conference**
*Chicago, IL*

- 2011 Johnson & Johnson agrees to $77 million global FCPA settlement
- 2014 Bank of America agrees to nearly $800M in fines and restitution over credit card marketing tactics

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- 2014 HP reaches $100M settlement over foreign bribery allegations, Russia subsidiary pleads guilty
- 2014 Judge accepts SAC Capital settlement, including guilty plea and $1.8B penalty

**Regional Conference**
*Scottsdale, AZ*

**Easter Sunday**

- 2013 Bank of America reaches $500M settlement with investors over Countrywide debt
- 2010 Deepwater Horizon oil rig explodes

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- 2014 HP reaches $100M settlement over foreign bribery allegations, Russia subsidiary pleads guilty
- 2014 Judge accepts SAC Capital settlement, including guilty plea and $1.8B penalty

**Good Friday**

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- 2013 Bank of America reaches $500M settlement with investors over Countrywide debt
- 2010 Deepwater Horizon oil rig explodes

**Isra and Mi’raj begins at sundown**

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

**April Fool’s Day**

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**Basic Compliance & Ethics Academy®**
*Chicago, IL*

**Regional Conference**
*Chicago, IL*

- 2012 DOJ publicly declines to prosecute Morgan Stanley in FCPA case, citing effectiveness of company’s compliance program
- 2007 Siemens confirms SEC investigation
- 2009 Madoff Investment Securities LLC is auctioned off to the highest bidder

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

**Earth Day**

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**Earth Day**

- 2013 NewsCorp directors agree to $159M settlement with investors over phone hacking scandal
- 2016 VW posts $18.2B write down and $4.6B operating loss in diesel scandal

- 2015 Kolon Industries pleads guilty to trying to steal DuPont Kevlar trade secrets, penalized $360M
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<td>Basic Compliance &amp; Ethics Academy®&lt;br&gt;San Francisco, CA</td>
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<td>Regional Conference&lt;br&gt;Miami, FL</td>
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<td>CCEP Exam</td>
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<td>3</td>
<td>Cinco de Mayo</td>
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<td>Mother’s Day</td>
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<td>Armed Forces Day</td>
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<td>Memorial Day</td>
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<td>International Basic Compliance &amp; Ethics Academy®&lt;br&gt;Amsterdam, Netherlands</td>
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<td>8</td>
<td>SCCE OFFICE CLOSED</td>
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<td>9</td>
<td>Raj Rajaratnam of Galleon Group found guilty on 14 counts</td>
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<td>UnitedHealth announces it may need to restate as much as $2.86 billion in earnings</td>
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<td>BNP Paribas formally sentenced, fines and forfeitures total over $9.8 billion</td>
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<td>Teva Pharmaceuticals agrees to $1.2 billion antitrust settlement</td>
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<td>Lindsey Manufacturing becomes first corporation convicted under the FCPA</td>
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<td>Raj Rajaratnam of Galleon Group found guilty on 14 counts</td>
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<td>Regional Conference&lt;br&gt;San Francisco, CA</td>
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<td>Four banks agree to plead guilty and pay $5 billion for rigging currency marketing</td>
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<td>2009</td>
<td><strong>Technip SA agrees to pay $338M</strong> after allegations of bribery in Nigeria.</td>
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<tr>
<td>2016</td>
<td><strong>VW reaches $14.7 billion settlement in diesel scandal</strong></td>
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<tr>
<td>2002</td>
<td>Dennis Kozlowski resigns from Tyco.</td>
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<td>2002</td>
<td>Dennis Kozlowski charged with avoiding $1 million in sales taxes.</td>
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<td>2003</td>
<td>Martha Stewart indicted</td>
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<td>2014</td>
<td><strong>GSK agrees to $105M settlement over promotion of drugs</strong></td>
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<td>2014</td>
<td><strong>GM releases 315-page report on ignition switch recalls</strong></td>
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<td>2012</td>
<td><strong>Allen Stanford sentenced to 110 years in jail in $7B fraud case</strong></td>
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<td>2014</td>
<td><strong>SunTrust $968M mortgage settlement announced</strong></td>
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<td>2013</td>
<td>United Technologies found liable for $473M in damages in Air Force engine case</td>
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<td>2013</td>
<td><strong>ImClone’s Sam Waksal arrested and charged with insider trading</strong></td>
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<tr>
<td>2015</td>
<td><strong>Dennis Kozlowski and Mark Swartz convicted</strong></td>
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<td>2015</td>
<td><strong>DaVita agrees to $450M False Claims Act Settlement</strong></td>
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<td>2002</td>
<td><strong>Worldcom announces need to restate financial results</strong></td>
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<td>2002</td>
<td><strong>Worldcom shares trade at $.21. Previous high was over $64</strong></td>
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<td>2012</td>
<td><strong>Barclays settle with DOJ for $453M in Libor scandal</strong></td>
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<td>2009</td>
<td><strong>Technip SA agrees to pay $388M after allegations of bribery in Nigeria</strong></td>
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<td>2009</td>
<td>Bernard Madoff is sentenced to 150 years in prison, the maximum punishment for his crimes</td>
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<td>2014</td>
<td><strong>BNP Paribas agrees to plead guilty and pay $8.8B</strong></td>
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<td>2005</td>
<td><strong>AT&amp;T hit with $100M fine over “unlimited” data plans</strong></td>
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<tr>
<td>2010</td>
<td><strong>BP agrees to set up $20B oil spill fund</strong></td>
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<td>2014</td>
<td><strong>SunTrust $968M mortgage settlement announced</strong></td>
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**June Calendar**

- **2002** Dennis Kozlowski resigns from Tyco.
- **2013** United Technologies found liable for $473M in damages in Air Force engine case.
- **2014** SunTrust $968M mortgage settlement announced.
- **2010** BP agrees to set up $20B oil spill fund.
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- **2012** Allen Stanford sentenced to 110 years in jail in $7B fraud case.
- **2009** Bernard Madoff is sentenced to 150 years in prison, the maximum punishment for his crimes.
- **2014** BNP Paribas agrees to plead guilty and pay $8.8B.
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**2010**  
- DOJ extradites Italian to U.S. for alleged involvement in FCPA violation
- Glaxo Smith Kline pleads guilty and pays $3B to resolve fraud and safety data allegations

**2012**  
- DOJ accuses Italian of FCPA violations

**2011**  
- News of the World publishes fact sheet on phone hacking scandal

**2014**  
- Former CEO of CalPERS pleads guilty to committing bribery and fraud
- Worldcom's Bernard Ebbers sentenced to 25 years in prison
- Citigroup agrees to $7B subprime mortgages settlement
- Former Alba CEO jailed for 16 months in UK for conspiracy to corrupt

**2015**  
- Toshiba CEO resigns amid $1.2B accounting scandal
- Citibank ordered to pay customers $700M, fined $70M for credit card add-ons marketing
- Fiat Chrysler reaches record $105M settlement for badly handled recalls
- Former Alba CEO jailed for 16 months in UK for conspiracy to corrupt

**2002**  
- Worldcom files for Chapter 11 bankruptcy protection

**2004**  
- Former Enron CEO indicted

**2006**  
- News of the World publishes list on phone hacking scandal

**2009**  
- SAC Capital indicted

**2013**  
- JPMorgan Chase reaches $410M settlement over energy prices
- DOJ announces $490.9M settlement with Weyerhaeuser for off-label marketing of Rapamune
- Bank of America ordered to pay $12.7B over "House" fraud

**2014**  
- News of the World publishes last issue and closes down in wake of phone hacking scandal
- Former CEO of CalPERS pleads guilty to committing bribery and fraud
- Former Alba CEO jailed for 16 months in UK for conspiracy to corrupt
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<td>Basic Compliance &amp; Ethics Academy® New York, NY</td>
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<td>Former SAP International exec pleads guilty to FCPA conspiracy charge</td>
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<td>Goldman Sachs reaches $1.2B mortgage settlement</td>
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<td>Philip Falcone admits wrongdoing and agrees to $18M settlement with SEC</td>
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<td>Libor Scandal conspirator sentenced by UK court to 14 years</td>
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<td>Consent decree issued for $300M for failure of Standard Chartered to remediate AML deficiencies</td>
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<td>NGK Sparkplug agrees to plead guilty and pay $52.7M for price fixing/bid rigging</td>
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<td>PMAC regulatory advisory unit receives two year FIRC suspension</td>
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<td>PWC regulatory advisory unit receives two year FIRC suspension</td>
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<td>Three plead guilty to bribery-related charges involving Russian nuclear energy</td>
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<td>Former SAP International exec pleads guilty to FCPA conspiracy charge</td>
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Footnotes:

- **2001**: Jeff Skilling announces his resignation from Enron
- **2013**: Merrill Lynch agrees to $160M settlement in racial bias case
- **2014**: Bank of America reaches $17 billion mortgage settlement
- **2015**: Goldman Sachs reaches $1.2B 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 October 9.

Eid al-Adha begins at sundown

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Regional Conference
Washington, DC

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Eid al-Adha begins at sundown
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2017 Compliance & Ethics Institute exam applications are due today: **October 1st**

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<td>2009 Galleon Group Founder Raj Rajaratnam and five others arrested for alleged insider trading</td>
<td>2014 Novartis reveals employee pleads guilty in Poland bribery case.</td>
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<td>2013 Bank of America found liable for Countrywide Fraud</td>
<td>2001 Andrew Fastow pleads Erion</td>
<td>2010 Glaxo Smith Kline pleads guilty and agrees to $750M settlement</td>
<td>2011 Olympus admits to $78M accounting fraud</td>
<td>2014 RBS avoids $140M fine by blowing whistle on Swiss Franc bank cartel</td>
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<td>2015 Allergan unit agrees to $125M settlement and pleads guilty to healthcare fraud</td>
<td>2015 Bank of America reaches $3.35B mortgage settlement</td>
<td>Halloween</td>
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2009 Galleon Group Founder Raj Rajaratnam and five others arrested for alleged insider trading

2014 Novartis reveals employee pleads guilty in Poland bribery case.
### November

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<td>Government announces SAC Capital to plead guilty to fraud and agrees to $1.8B settlement</td>
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<td>Corporate Compliance &amp; Ethics Week November 5–11</td>
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<td>Veterans Day</td>
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<td>2012 Walmart disclose an expanded internal investigation into bribery accusations in Mexico to Brazil, China, and India</td>
<td>2012  BP agrees to record $4.5 billion in penalties in criminal settlement of Gulf of spilt</td>
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<td>2012  JPMorgan Chase and Credit Suisse agree to $4.5B settlement over subprime bonds</td>
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<td>2012  US government temporarily bans US from new federal contracts over “lack of business integrity”</td>
<td>2001  SEC investigation of Enron begins</td>
<td>2015  UK Serious Fraud Office announces Deferred Prosecution Agreement</td>
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<td>2012  UBS AG fined $47M by UK FSA in rogue trading scandal</td>
<td>2015  Novartis reaches $1B settlement</td>
<td>2015  Novartis reaches $100M civil fraud settlements over kickback scheme</td>
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<td>2013  BP agrees to record $4.5 billion in penalties in criminal settlement of Gulf of spilt</td>
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<td>2012  JPMorgan agrees to $13B settlement with government over mortgages</td>
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<td>2014  Five banks agree to $3.3B Forex rate manipulation settlement with US and UK regulators</td>
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<td>2015  Weatherford pays $252M FCPA settlement</td>
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<td>2012  BP agrees to record $4.5 billion in penalties in criminal settlement of Gulf of spilt</td>
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<td>2014  Bio-Rad agrees to $50M FCPA settlement</td>
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<td>2014  Hyundai and Kia reach $100M settlement over reported MPGs: Also lose $200M in credits</td>
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<td>2015  Japan’s Takata fined $70M over airbags</td>
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<td>2015  Deutch Bank agrees to $25B FCPA sanctions settlement</td>
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### Notes
- **Halloween**
- **All Saints Day**
- **Daylight Saving Time ends**
- **Veterans Day**
- **SCCE OFFICE CLOSED**
- **Thanksgiving Day**
- **Mawlid al-Nabi begins at sundown**

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- **2001**: SEC investigation of Enron begins
- **2012**: BP agrees to record $4.5 billion in penalties in criminal settlement of Gulf of Spilt
- **2012**: JPMorgan Chase and Credit Suisse agree to $4.5B settlement over subprime bonds
- **2013**: Bank of Tokyo Mitsubishi hit with $315M penalty for sanctions violations report whitewash
- **2014**: JPMorgan Chase and Credit Suisse agree to $417M settlement over subprime loans
- **2013**: Five banks agree to $3.3B Forex rate manipulation settlement with US and UK regulators
- **2015**: Deutsche Bank agrees to $258M sanctions settlement
- **2014**: Police raid Siemens headquarters over bribery allegations
- **2015**: Deutsche Bank agrees to $258M sanctions settlement
- **2014**: JPMorgan agrees to $13B settlement with government over mortgages
- **2015**: JPMorgan agrees to $13B settlement with government over mortgages
### December

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- **December 1, 2014**: Supreme Group pleads guilty, agrees to pay $389M in fines and damages for overcharging Pentagon.

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- **December 3, 2014**: SCCE Office CLOSED.

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- **December 10, 2014**: Avon subsidiary pleads guilty to FCPA violation, $15M settlement reached.

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- **December 17, 2014**: Eli Lilly agrees to pay $29.4 million to resolve allegations of possible corrupt business practices by overseas partners.

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- **December 24, 2014**: SCCE Office CLOSED.

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- **December 31, 2013**: Martha Stewart sells 3,928 shares of ImClone stock.

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**Key Dates**:

- **December 1, 2001**: Enron files for bankruptcy.
- **December 10, 2008**: Bernard Madoff is arrested on counts of securities fraud, but is released on $10M bail.
- **December 10, 2011**: HSBC announces $1.9B settlement in money laundering case.
- **December 17, 2013**: Target data breach first reported.
- **December 24, 2013**: SCCE Office CLOSED.
- **December 31, 2014**: Former SAP exec sentenced to 22 months in prison for Panama bribery.

**Event Locations**:

- **Regional Conference**: Philadelphia, PA
- **Basic Compliance & Ethics Academy**: San Diego, CA

**Other Events**:

- **New Year’s Eve**: SCCE Office CLOSED
- **New Year’s Day**: Wells Fargo agrees to $541M settlement with Fannie Mae over defective home loans
- **Kwanzaa begins**: 2014
- **Hanukkah begins at sundown**: 2014
- **Advent begins**: 2014
- **Adventure begins at sundown**: 2014
- **New Year’s Eve**: 2015
- **New Year’s Day**: 2015
- **Christmas Eve**: 2015
- **Christmas Day**: 2015
- **Kwanzaa begins**: 2015
- **SCCE Office CLOSED**: 2015
- **Solstice**: 2015
- **Solstice**: 2016
- **SCCE Office CLOSED**: 2016
- **SCCE Office CLOSED**: 2016
- **SCCE Office CLOSED**: 2016
- **SCCE Office CLOSED**: 2016

**Miscellaneous**:

- **EU imposes $2.3B in fines on banks for rate rigging**: 2014
- **Bank of America and Freddie Mac agree to $404M settlement over Countrywide mortgage loans**: 2015
- **Judge orders Anadarko to pay $159.5M over Deepwater Horizon disaster**: 2015
- **Bank Leumi reaches $400M settlement with US over tax charges**: 2014
- **Alstrom agrees to $772M FCPA settlement**: 2014
- **SFO secures first conviction under UK Bribery Act**: 2014
- **Wells Fargo agrees to $541M settlement with Fannie Mae over defective home loans**: 2015
- **Supreme Group pleads guilty, agrees to pay $389M in fines and damages for overcharging Pentagon**: 2014
- **Eli Lilly agrees to pay $29.4 million to resolve allegations of possible corrupt business practices by overseas partners**: 2014
- **Enron files for bankruptcy**: 2001
- **Bank of America and Freddie Mac agree to $404M settlement over Countrywide mortgage loans**: 2015
- **Judge orders Anadarko to pay $159.5M over Deepwater Horizon disaster**: 2015
- **Former SAP exec sentenced to 22 months in prison for Panama bribery**: 2015
- **Target data breach first reported**: 2013
- **Avon subsidiary pleads guilty to FCPA violation, $15M settlement reached**: 2014
- **UBS subsidiary pleads guilty of fraud in case with $1.5B in fines**: 2012
- **HSBC agrees to pay $1.9B settlement in money laundering case**: 2012
- **Eli Lilly agrees to pay $29.4 million to resolve allegations of possible corrupt business practices by overseas partners**: 2012
- **Target data breach first reported**: 2013
- **Enron files for bankruptcy**: 2001
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