36th International Conference on the

FCPA

Foreign Corrupt Practices Act

December 4 – 5, 2019
Gaylord National Resort & Convention Center | Washington, D.C.

DISTINGUISHED GOVERNMENT FACULTY INCLUDES:

- Christopher J. Cestaro
  Acting Chief, FCPA Unit, Fraud Section, Criminal Division
  U.S. Department of Justice

- James M. McDonald
  Director of Enforcement
  Commodity Futures Trading Commission (CFTC)

- Leslie Backschies
  Chief, International Corruption Unit
  Criminal Investigative Division
  Federal Bureau of Investigation (FBI)

- Deborah Connor
  Chief, Money Laundering and Asset Recovery Section
  U.S. Department of Justice

- Lawrence Scheinert
  Associate Director, Office of Compliance and Enforcement, OFAC
  U.S. Department of the Treasury

- Tracy Price
  Deputy Chief, FCPA Unit
  Division of Enforcement
  U.S. Securities and Exchange Commission

- Daniel Kahn
  Senior Deputy Chief, Fraud Section, Criminal Division
  U.S. Department of Justice

- Hannah Von Dadelszen
  Head of Fraud
  UK Serious Fraud Office

- Jean-François Bohnert
  Chief Public Prosecutor, Head
  Parquet National Financier (PNF)

- Marcelo Ribeiro de Oliveira
  Prosecutor
  Procurador Ministério Público Federal (MPF) (Brazil)

SPECIAL REMARKS BY:

- Brian Benczkowski
  Assistant Attorney General
  U.S. Department of Justice

- Matt Miner
  Deputy Assistant Attorney General
  U.S. Department of Justice

- Steven Peikin
  Co-Director, Division of Enforcement
  U.S. Securities and Exchange Commission

- Charles E. Cain
  Chief, FCPA Unit, Division of Enforcement
  U.S. Securities and Exchange Commission

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a C5 Group Company
Business Information in a Global Context
Welcome from the Co-Chairs

Dear Colleague:

As the Co-Chairs of American Conference Institute’s 36th International Conference on the Foreign Corrupt Practices Act, we invite you to join us for worthwhile professional development, networking, and important compliance and enforcement updates. Each year, hundreds of delegates from around the world specifically attend this program to hear first-hand insights from government decision-makers, industry executives and outside counsel involved in some of the most significant cases to date. This year is no exception.

In response to audience feedback and critical developments around the globe, the 2019 program includes a host of new opportunities to get up-to-speed, ask your questions, benchmark and expand your network. New and popular features include the acclaimed FCPA Tech, Compliance Brainstorming Sessions and Legal Think Tanks.

The opening and closing sessions of the 2019 conference will provide in-person takeaways from DoJ, SEC, FBI, OFAC and CFTC officials, as well as open Q & A for audience members. Ensure that you attend the Year In Review and Town Hall sessions, along with special remarks from the Assistant Attorney General, Deputy Assistant Attorney General, the World Bank, MPF (Brazil) and PNF (France).

We also encourage you to take note of the Special Industry Groups and Risk & Compliance Exchanges. Delegates will now benefit from extended, smaller-group discussion on industry and country-specific issues. New Faculty-Attendee Roundtables will also provide enhanced Q & A with select speakers.

We hope that you and your colleagues will join us for yet another productive meeting!

Sincerely,

Rachel Brand
Rachel Brand
Executive Vice President of Global Governance, Chief Legal Officer, and Corporate Secretary
Walmart

Chinwe Esimai
Chinwe Esimai
Managing Director – Chief Anti-Bribery & Corruption Officer
Citi

Kimberly A. Parker
Kimberly A. Parker
Partner
WilmerHale
# Agenda-at-a-Glance

## December 3, 2019
### PRE-CONFERENCE WORKSHOPS

**CONCURRENT (Choose A OR B)**

<table>
<thead>
<tr>
<th>9:30 a.m. – 1:00 p.m.</th>
<th>9:30 a.m. – 1:00 p.m.</th>
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<tbody>
<tr>
<td><strong>A</strong> FCPA Boot Camp: Key Requirements and Elements of an Effective Compliance Program</td>
<td><strong>B</strong> Special Deliberation #1 – “Adequate” Internal Controls vs. “Creating a Risk of Bribery”: A Practical Guide to Books and Records Enforcement, Analytics and Audit Committees</td>
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**CONCURRENT (Choose C OR D)**

<table>
<thead>
<tr>
<th>2:30 p.m. – 6:00 p.m.</th>
<th>2:30 p.m. – 6:00 p.m.</th>
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<tbody>
<tr>
<td><strong>C</strong> Third Party Management Roadmap: The Most Critical, Unwritten Rules for Onboarding and Monitoring 1st, 2nd, 3rd and 4th Parties</td>
<td><strong>D</strong> Special Deliberation #2 – Whistleblower Complaints, Interviews and Internal Reporting: A Deep Dive Into the Most Important Updates, Lessons Learned and Best Practices</td>
</tr>
</tbody>
</table>

**6:00 p.m. – 7:30 p.m.**

**Welcoming Cocktail & Main Conference Pre-Registration**

**6:30 p.m. – 8:30 p.m.**

**Special Pre-Conference Primer: Anti-Corruption Case Review of the Last 12 Months**

This session will bring you up-to-speed on key cases over the last year and impart critical, need-to-know takeaways that will lay the groundwork for the main conference over the next two days.

## December 4, 2019
### MAIN CONFERENCE DAY 1

**8:30**

Opening Remarks from the Co-Chairs

**8:45**

**FCPA Year in Review: First-Hand Insights from the DoJ and SEC**

**9:45**

**Positioning an Ethical Culture as a Legal, Compliance, Business and Investor Priority:**

The Finer Points of Effective Messaging, Training and Success on Paper vs. Practice

**10:45**

**Networking Break**

**11:15**

**Special Remarks** by the Assistant Attorney General of the United States

**11:45**

**Defending Your Program to the Agencies:** Practitioners Discuss Their Experiences Amid the Latest DoJ Guidance and Increased Global Enforcement

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**Agenda-at-a-Glance**

12:45  
**Networking Luncheon**

Women in FCPA and Anti-Corruption Luncheon (*By Invitation Only*)
Hosted by:

WILMERHALE

2:00  
**Special Interview** with Walmart's Chief Legal Officer

2:30  
**BREAKOUT SESSIONS A**

**TRACK 1**  
Legal Think Tank – Disclosure Calculus
The Grey Areas of Self-Disclosure: If, When and How Much to Disclose in the U.S. and Across Jurisdictions

**TRACK 2**  
Compliance Brainstorming Session #1
Behind the Scenes of ABC Program Testing and Metrics: Achieving Innovation Through the “Roller-Coaster” of Trial and Error

**TRACK 3**  
Latin America
When Someone Else’s Scandal Becomes Yours: What to Do If You Are Directly or Indirectly Caught in the Notebooks and Lava Jato Aftermath

3:30  
**Networking Break**

4:00  
**BREAKOUT SESSIONS B**

**TRACK 1**  
FCPA Tech
The ROI of Automation, Data Analytics and AI: Is Industry Making Quicker, Better Decisions?

**TRACK 2**  
Legal Think Tank
*U.S. v. Connolly*: New Considerations for Internal Investigations, Prosecutions, De-Confliction and Other Government Requests

**TRACK 3**  
CHINA
The Newest Takeaways for Mitigating Hidden Legal, Compliance, Geopolitical and Reputational Risks on the Ground

5:00  
**BREAKOUT SESSIONS C**

**TRACK 1**  
"War Stories"
When Your Bad News is Big News: Experts Discuss how they Put Out Legal, PR and Financing Fires

**TRACK 2**  
Compliance Brainstorming Session #2
Risk Assessments: Concrete Examples of "Value-Add" Takeaways for Your Program, Operations and Business

**TRACK 3**  
Special Industry Groups (*SIGs*)
*BY INVITATION ONLY*
Telecommunications
Energy & Mining
Aerospace & Defense
Life Sciences

6:00  
**Networking Cocktail Reception**
Hosted by:

Weil
December 5, 2019
MAIN CONFERENCE DAY 2

8:30 Opening Remarks from the Co-Chairs

8:35 Special Interview with the Deputy Assistant Attorney General: Evaluation of Corporate Compliance Programs

9:05 Legal, Compliance and Financial Gatekeepers as Defendants: Strategic Guidance for Confronting New Multi-Jurisdictional Prosecution Risks Facing Individuals

10:00 Networking Break

10:30 World Bank Interview

11:00 International Prosecutors Roundtable: PNF, MPF and More Officials Discuss Information Sharing, Self-Reporting, Cooperation and Global Settlements

12:00 BREAKOUT SESSIONS D

TRACK 1 Compliance Drill
Re-Thinking Contingency Planning and Compliance Amid More Overlapping, Unpredictable Exposure: ABC, Fraud, AML, Trade, Sanctions and Geopolitics

TRACK 2 Legal Think Tank: The Lesser Known Rules for Privilege and Waivers
How to Reconcile Varying Cross-Border Privilege Protections and Prevent Inadvertent Waivers

TRACK 3 Compliance Brainstorming Session #3
How Industry is Handling Ephemeral Communications Post-DoJ Revised Guidance: Updating Policies, Procedures and Monitoring

1:00 Networking Luncheon

2:15 Special Interview

2:45 BREAKOUT SESSIONS E

TRACK 1 Inside a Recent Monitorship: What Every Organization Should Know – Whether Under the Enforcement Microscope (or Not)

TRACK 2 Risk & Compliance Exchange #1 – China

TRACK 3 Risk & Compliance Exchange #2 – Brazil

3:45 Networking Break

4:15 Town Hall: More Important Takeaways and Open Q & A with Enforcement Officials
DoJ, SEC, FBI, OFAC and CFTC Officials Take Questions on Cross-Agency Coordination, Information Sharing and Priorities

5:30 Conference Concludes

Important Post-Conference Event Details (See Next Page)
December 6, 2019
POST-CONFERENCE EVENTS

4th International
Chief Compliance Officer
Executive Roundtable

8:30 a.m. – 5:15 p.m.
Executive Luncheon at 12:15 p.m.

This unique “boardroom-style” forum will provide exclusive, smaller-group networking and benchmarking on a broad range of global compliance challenges, including enterprise risk management, anti-corruption, behavioral compliance, corporate governance, cyber security, insider threats and risk assessments.

* Open to Chief Compliance Officers (and to senior-level professionals with the same level and scope of job responsibilities). All interested parties will be pre-qualified before their registration is confirmed.

APAC & LATAM

REGULATORY AND ENFORCEMENT UPDATE SEMINAR

8:30 a.m. – 4:45 p.m.

This acclaimed seminar will delve into the most significant regulatory and enforcement developments across the Asia Pacific and Latin America. Practitioners from both regions will provide critical updates and take your questions. Don’t miss this one-of-a-kind opportunity!

“Being able to ask questions directly to representatives of enforcement agencies is always the highlight of the conference; this is the perfect occasion to meet and ask questions to enforcement authorities and have the opportunity to hear directly from regulators about what they are doing, what is it they are looking for and what they are targeting.

I find this to be a very important and crucial session for those practitioners who want to advise their clients to understand where the trend is going.

Stéphane Bonifassi
Partner
Bonifassi Avocats (Paris, France)
Network and Benchmark with Industry Professionals from Across the Globe:

Energy
Technology
Financial Services
Mining
Telecom
Retail & Consumer Goods
Agriculture
Legal & Investigations
Life Sciences
Chemical
Automotive
Aerospace & Defense
Infrastructure
Logistics
Hospitality
Food & Beverage

I have been attending ACI conferences for several years in my former capacity as a Department of Justice official. I found that ACI provides the best and most substantive content in relation to other conferences, and really are at the forefront of getting cutting edge speakers and dealing with emerging topics in the anti-corruption space.

Sandra Moser
Partner
Quinn Emanuel
(former Acting Chief, Fraud Section, Criminal Division, U.S. Department of Justice)

A conference like this helps my organization because of the multiple perspectives that we get by attending. There are the government, the in-house counsel and the prosecution or defense attorney perspectives. This unique event provides these multiple perspectives in one place at one time.

Si-Yeon Kim
Chief Compliance & Risk Officer
American Express Global Business Travel
Interactive Opportunities for 2019

FACULTY-ATTENDEE ROUNDTABLES
New for this year, meet with select faculty members in a smaller-group setting to discuss your questions and gain more best practices.

COMPLIANCE BRAINSTORMING SESSIONS
Break out into smaller groups and discuss new, innovative compliance successes and lessons learned. Nothing is off the table! Bring your ideas, get feedback and expand your brain trust.

LEGAL THINK TANKS
Legal practitioners will delve into complex issues posed by recent case law, enforcement, policy and regulatory developments. Work through the most pressing real-world challenges affecting investigations.

EXTENDED 1-HOUR SIGs
SPECIAL INDUSTRY GROUPS
New for this year, participants from industries that have been under the enforcement microscope will convene during a main conference breakout session for smaller-group networking and compliance benchmarking. Make new industry contacts, and exchange best practices for managing heightened risks affecting your industry.
- Telecommunications
- Aerospace & Defense
- Oil and Gas & Mining
- Life Sciences

EXTENDED 1-HOUR COUNTRY RISK & COMPLIANCE EXCHANGES
Based on popular demand, the acclaimed meetings on specific, high risk jurisdictions have been extended to allow for more discussion and Q & A. Participants will discuss emerging issues affecting compliance and third-party management on the ground during dedicated breakout sessions over the main conference.
- China
- Brazil

POST-CONFERENCE EVENTS
DECEMBER 6, 2019

4th International Chief Compliance Officer Executive Roundtable
8:30 a.m. – 5:15 p.m.
Executive Luncheon at 12:15 p.m.

APAC & LATAM REGULATORY AND ENFORCEMENT UPDATE SEMINAR
8:30 a.m. – 4:45 p.m.
Be The First to Know

FCPA YEAR IN REVIEW
Each year, the opening panel has been the highly anticipated “Year In Review”. Senior officials from the U.S. Department of Justice and U.S. Securities and Exchange Commission will provide key updates and take audience questions.

TOWN HALL
As the closing session of the main conference, benefit from more important takeaways and open Q & A with officials from the DoJ, SEC, FBI, OFAC and the CFTC.

New Technology & Compliance
Best Practices

FCPA TECH
A unique chance to delve into the current landscape of technology solutions, and how to leverage innovations for effective compliance and third party monitoring. The 2019 program will include a focus on how to evaluate the ROI of automation, data analytics and AI.

COMPLIANCE DRILLS
A series of rapid fire, hot button anonymous polling questions on contingency planning and compliance amid overlapping ABC, fraud, AML, trade, sanctions and geopolitical risks. Join a practical discussion of the polling results and key takeaways for your work.

ANONYMOUS AUDIENCE POLLING
Polling is designed to give audience members a unique look into how industry is dealing with high stakes challenges. With individual keypads, participants will respond to panel questions confidentially, allowing for candid insights.

“
The benefits of attending an ACI anti-corruption conference are that you get real-life scenarios about how multinational corporations are dealing with corruption in their organizations.

Hollie Foust
Senior Vice President, Ethics & Compliance
Cardinal Health

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Distinguished 2019 Faculty Includes

CONFEREE CO-CHAIRS:

Rachel Brand
Executive Vice President of Global Governance, Chief Legal Officer, and Corporate Secretary
Walmart
Former Associate Attorney General, U.S. Department of Justice

Chinwe Esimai
Managing Director – Chief Anti-Bribery & Corruption Officer
Citi

Kimberly A. Parker
Partner
WillmerHale

CONFERENCE CHAIR EMERITUS:

Homer E. Moyer, Jr.
Member
Miller & Chevalier
Chartered

GOVERNMENT FACULTY:

SPECIAL REMARKS BY:

Brian Benckowski
Assistant Attorney General
U.S. Department of Justice

Matt Miner
Deputy Assistant Attorney General
U.S. Department of Justice

Steven Peikin
Co-Director, Division of Enforcement
U.S. Securities and Exchange Commission

Daniel Kahn
Deputy Assistant Chief
Fraud Section, Criminal Division
U.S. Department of Justice

Charles E. Cain
Chief, FCPA Unit
Division of Enforcement
U.S. Securities and Exchange Commission

Deborah Connor
Chief, Money Laundering and Asset Recovery Section
U.S. Department of Justice

Christopher J. Cestaro
Acting Chief, FCPA Unit
Fraud Section, Criminal Division
U.S. Department of Justice

Tracy Price
Deputy Chief, FCPA Unit
Division of Enforcement
U.S. Securities and Exchange Commission

David Last
Principal Assistant Chief, FCPA Unit, Fraud Section, Criminal Division
U.S. Department of Justice

Lorinda Laryea
Assistant Chief, FCPA Unit
Fraud Section, Criminal Division
U.S. Department of Justice

Lawrence Scheinert
Associate Director, Office of Compliance and Enforcement, Office of Foreign Assets Control
U.S. Department of the Treasury

James M. McDonald
Director of Enforcement
Commodity Futures Trading Commission (CFTC)

Leslie Backsichies
Chief, International Corruption Unit
Criminal Investigative Division
Federal Bureau of Investigation (FBI)

Hannah Von Deldens
Head of Fraud
UK Serious Fraud Office

Jean-François Bohnert
Chief Public Prosecutor, Head
Parquet National Financier (France)

Marcelo Ribeiro de Oliveira
First Deputy Prosecutor
Procurador Ministro Público Federal (MPF) (Brazil)
Member, Cunibita Task Force (Responsible for the Car Wash Investigation)

Interview with:

Pascale Hélène Dubois
Vice President, Integrity
The World Bank

EXPERT SPEAKERS INCLUDE:

Anton Alferov
Senior Counsel Regional Compliance Counsel
Europe, Eurasia and Sub-Saharan Africa Region
Global Ethics and Compliance
Halliburton (UK)

Greg D. Andres
Partner
Davis Polk & Wardwell LLP

Jodi L. Avergun
Partner
Cadwalader, Wickersham & Taft LLP

Brian Baldrate
VP & General Counsel, International & Washington Operations
Raytheon Company

Beatrice Hamza Bassey
Chief Legal Officer
(Group General Counsel, Chief Compliance Officer and Corporate Secretary)
Atlas Mara Ltd.

Iris E. Bennett
Member
Smith Pachter McPherson PLC

Roberto Berry
Assistant General Counsel International Affairs and Compliance
FCA US LLC

Andrew S. Boutros
Partner
Dechert LLP

John Buretta
Partner
Crawath, Swaine & Moore LLP

Angela T. Burgess
Partner
Davis Polk & Wardwell LLP

Brian G. Burke
Partner
Shearman & Sterling (China)

Peter Burrell
Partner
Willkie Farr & Gallagher LLP (UK)

Nathan Bush
Partner, Head of Investigations, Antitrust and Competition
Asia
DLA Piper (Singapore)

Patricia Byrne
Vice President & Associate General Counsel
International Compliance
BAE Systems Inc.

Mark Calilano
Chief Legal Officer and Managing Director, Head of the Americas
Nardello & Co.

Shana Cappell
Senior Legal Director, Chief Anticorruption Investigations Counsel
PepsiCo

Eric Carlson
Partner
Covington & Burling LLP

Kimberly Chatney
General Counsel
Panasonic Avionics Corporation

Tony Charles
Chief Client Officer
Steele Compliance Solutions, Inc

Virginia Chavez Romano
Partner
White & Case LLP

Sarah Coyne
Partner
Weil, Gotshal & Manges LLP

Pam Davis
Partner
Winston & Strawn LLP

Timothy Dickinson
Partner
Paul Hastings LLP

Kurt Drake
Chief Ethics & Compliance Officer, VP
Kimberly-Clark

Josh Drew
Group Chief Compliance Officer
VEON (The Netherlands)

Jeffrey Eglash
VP, Deputy Chief Legal Officer,
Chief Compliance Officer
Nokia

Matteson Ellis
Member
Miller & Chevalier
Chartered

Greg Esslinger
Senior Partner
Control Risks

Steven E. Fagell
Partner
Covington & Burling LLP

Adam J. Falkowitz
Deputy General Counsel
Olympus Corporation of the Americas

Jianwei (Jerry) Fang
Partner
Zhong Lun Law Firm (China)

Chad Fentress
Chief Compliance and Group Compliance Officer
SoftBank Group Corp.

Alice S. Fisher
Partner
Latham & Watkins LLP

John Frangos
Partner, Co-Lead, Compliance & Investigations Practice
Tilleke & Gibbins (Thailand)

Maria González Calvet
Partner
Ropes & Gray LLP

Reynaldo Goto
Chief Compliance Officer
BRF SA (Brazil)

Nancy Grygieł
Vice President, Worldwide Compliance and Business Ethics
Agen
**Special Deliberation #1—“Adequate” Internal Controls for Compliance Sensitive Transactions: Need-to-Know Takeaways on Books and Records Enforcement, Analytics and Audit Committees**

**Beatrice Hamza Bassey**  
Chief Legal Officer  
(Group General Counsel, Chief Compliance Officer and Corporate Secretary)  
*Atlas Mara Ltd.*  
Member of Audit Committee and Board  

**Aditya S. Yerramilli**  
CPA, CFE, CGMA  
Forensic Program Manager  
*Google*  

**Jodi L. Avergun**  
Partner  
*Cadwalader, Wickersham & Taft LLP*

**Final hour will consist of discussion and Q & A with:**

**Tracy Price**  
Deputy Chief, FCPA Unit  
*Division of Enforcement, U.S. Securities and Exchange Commission*

**David Last**  
Principal Assistant Chief, FCPA Unit, Fraud Section, Criminal Division  
*U.S. Department of Justice*

This important session will bring together government, legal, compliance and forensic experts to discuss the finer points of books and records compliance and enforcement risk mitigation. As part of the discussion, speakers will focus on the roles and priorities of boards of directors and audit committees — and how the legal, compliance, accounting and financial functions have evolved accordingly. Additionally, the discussion will also work through important lessons for navigating the toughest legal, compliance and financial decisions affecting your business.

The last hour of the session will be dedicated to discussion and Q & A with senior SEC accounting and enforcement officials. Whether you are a legal, compliance, financial or audit professional, don’t miss an unprecedented opportunity to fine tune your knowledge on internal controls, and how to leverage cross-departmental resources to support corporate governance and business priorities.

- What every legal, compliance and financial professional should know about the SEC’s focus on the “risk of bribery” (not just actual bribery)
- Accounting violations in the absence of bribery charges: What does it mean to “create a risk” of bribery?
- Using analytics and automation for legal and compliance decision-making
- The role of the board of directors and Audit Committee in the anti-corruption space: Fiduciary and other duties, expectations and how to interface with them effectively
- What do regulators and board of directors say about analytics?
- Best practices for advising your organization on internal controls: Legal, compliance and financial perspectives
- What is now required for adequate financial, revenue and compliance controls: Important takeaways from recent cases, including *Elbit Systems*, *Kinross*, *Polycom* and more
- Revisiting charitable donations and other compliance sensitive transactions
- The SEC’s perspective:
  - How industry can strengthen controls for monitoring compliance sensitive accounts
  - Examples of outstanding and unique controls
  - Where industry has gone wrong
- Cross-departmental synergy for audits and investigations: Identifying systematic patterns of bribery in your books and records
- What recent enforcement cases reveal about SEC expectations for internal controls
- How to determine whether or not your internal controls adequately address risk, types of products, geographical considerations and other key risk factors
- When a violation of your own policy could constitute a regulatory violation
- KYC controls for blockchain and cryptocurrency
- How legal, compliance and audit can work together to mitigate FCPA, AML and other financial crime risks
Dissecting the top 10 most significant, surprising and impactful cases in Seating is limited! Due to popular demand, we encourage you to reserve your groundwork for discussions during the main conference. Leading defense and Monitoring 1st, 2nd, 3rd and 4th Parties

Critical, Unwritten Rules for Vetting, Onboarding and Business Ethics - Worldwide Compliance and Business Ethics - Amgen Pam Davis Partner, Winston & Strawn LLP

Alexandra Wrage Founder and President, TRACE

At this practical, industry-driven working group, expert speakers will discuss how companies are using a tiered due diligence approach based on the appropriate risk level and type of third party in question. The session will discuss how to re-evaluate your risk ranking approach and manage the costs of a robust program.

With evolving risk factors and compliance obligations, don’t miss this worthwhile opportunity to upgrade your best practices. Discover how your approach to managing high stakes risks compares to your peers, and benefit from important takeaways for your work.

Ample time will be left for Q & A, so please bring your questions!

- How far you need to go in vetting 1st, 2nd, 3rd, 4th and lower third parties
- How to incorporate effective front-end vetting and screening protocols based on the type of relationship and interests represented by the third party
- Developing a model that stratifies your risk based on third parties — and how to perform due diligence accordingly
- What you need in a questionnaire for third parties
- Addressing resistance to follow-up questions after an initial questionnaire
- Impact of GDPR on third party due diligence
- How much due diligence is enough? How to know if your approach is truly “risk-based”
- Unique challenges associated with critical types of third parties for your global business
- When and how much due diligence to perform for an ongoing, existing third party relationship
- Understanding the local business environment, customs and practices
- What to do with information uncovered during the vetting process: How to evaluate red flags
- Making the decision regarding which parties to use/not use: “On the Ground” obstacles to monitoring third party conduct
- Special considerations for exercising audit rights
- When and how much to train third parties

PART I: Encouraging Internal Whistleblowing, and Fine Tuning Policies and Messaging

- Have more employees been reporting directly to the SEC post-Digital Realty v. Somers?
- Opening multiple channels for internal reporting
- Training management to recognize and deal with whistleblowers’ concerns
- When a simple complaint can be an instance of whistleblowing

PART II: Mock Whistleblower Complaint and Interview

The second part of this session will navigate the anatomy of a whistleblower interview, successful techniques, as well as common pitfalls that can undermine an effective strategy.

PART III: Best Practices for Handling Complaints & Interviews

- What to do first: Which steps to take immediately once a claim has been made
- How to question your employees
- How to investigate and respond to whistleblower claims vs. “anonymous” reports
- Mitigating the risk of whistleblower retaliation claims
- The impact of DOJ settlements on the SEC’s calculation of whistleblower awards
- How to handle whistleblowers that come internally vs. from the government

6:00 p.m. – 7:30 p.m.

Welcoming Cocktail & Main Conference Pre-Registration

6:30 p.m. – 8:30 p.m.

SPECIAL PRE-CONFERENCE PRIMER: Anti-Corruption Case Review of the Last 12 Months

William B.F. Steinman Partner, Steinman & Rodgers LLP

Shawn M. Wright Partner, Blank Rome LLP

This session will bring you up-to-speed on the most significant cases over the last 12 months—and important, practical takeaways that will lay the groundwork for discussions during the main conference. Leading defense counsel involved in some of the most significant, high profile cases will dissect critical updates and settlement trends affecting your risk calculus, compliance program and internal investigations.

Seating is limited! Due to popular demand, we encourage you to reserve your space early.

Key topics will include:

- Dissecting the top 10 most significant, surprising and impactful cases in the last 12 months
- Which industries have been under the microscope, and what recent cases reveal about the potential for new “industry sweeps”
- Recent cases impacting the future of FCPA settlements
- Which circumstances have led to declinations, DPAs and NPAs
- Which cases have led to an SEC settlement, but a DOJ declination — and why
- What has triggered suspicion and a government investigation
- What key settlements reveal about DOJ and SEC expectations
- Trends in settlements, including penalty structures and remediation requirements
- How the agencies have applied cooperation credit
- Insights on DOJ and SEC coordination with foreign enforcement agencies
- How to leverage the key lessons from settlements toward effecting compliance improvements in your organization
7:30
Breakfast Hosted by

8:30
Opening Remarks from the Co-Chairs

Rachel Brand
Executive Vice President of Global Governance, Chief Legal Officer, and Corporate Secretary
Walmart
Former Associate Attorney General, U.S. Department of Justice

Chinwe Esimai
Managing Director – Chief Anti-Bribery & Corruption Officer
Citi

Kimberly A. Parker
Partner
WilmerHale

8:45
FCPA YEAR IN REVIEW

Charles E. Cain
Chief, FCPA Unit, Division of Enforcement
U.S. Securities and Exchange Commission

Christopher J. Cestaro
Acting Chief, FCPA Unit, Fraud Section, Criminal Division
U.S. Department of Justice

Angela T. Burgess – Moderator
Partner
Davis Polk & Wardwell LLP

PART I: Key Enforcement Takeaways from the Last 12 Months
USDOJ and SEC Unit Chiefs will discuss the most impactful developments over the last twelve months, and the changing enforcement landscape.

• Is there a move toward being more “corporate friendly”?  
• Prosecutions of individuals under the new DoJ policy  
• DoJ and SEC perspectives on trends over the last 12 months: What has triggered a declination vs. 50% off  
• How the agencies evaluate “cooperation”: Trends in what meets the threshold and what doesn’t  
• When a company’s actions would be deemed sufficient to trigger favorable treatment under the policy vs “aggravating circumstances”: Is there a difference between SEC and DoJ analyses?  
• Evaluation of Corporate Compliance Programs: DoJ insights on how to interpret and apply the new guidance  
• Monitorships: Expectations of the agencies and application of DoJ’s policy  
• Voluntary Disclosures: Is DoJ continuing to see an increase self-disclosures post-Pilot Program?  
• Timeframe for resolving cases: Are the agencies moving more quickly?  
• Data Analytics and AI: DoJ and SEC perspectives on leveraging and investing in automation/technologies

9:45
An Ethical Corporate Culture as a Legal, Compliance, Business and Investor Priority: What It Now Takes for Effective Messaging, Training and Program Implementation on Paper vs. Practice

Dianne Ralston
Executive Vice President & Chief Legal Officer
TechnipFMC

Glenn Leon
Senior Vice President and Deputy General Counsel, Chief Ethics & Compliance Officer
Hewlett Packard Enterprise

David N. Kelley – Moderator
Partner
Dechert LLP

During this highly anticipated session, executives will share their experiences and lessons learned for fostering an ethical corporate culture in the midst of challenging circumstances, including an enforcement action, merger, uncertainty in emerging markets and more.

• Influencing behavior to develop a strong culture of compliance: Important takeaways on what has worked and what has proven ineffective  
• Measuring the success and shortcomings of your program, including:
  » What to make of who is using the hotline  
  » Effectiveness of using surveys  
  » Assessing the tone at the top and in the middle  
• The new take on “investor value” and what that means for your efforts to sustain a strong ethical culture: Value built on IP and other assets vs. talent  
• What does it mean be “ethical” in real life: Evaluating what is on paper vs. practice  
• Interplay of culture and corporate governance:
  » Trends in board of directors’ expectations for culture, and where it sits on their lists of priorities  
  » The roles of the board of directors and audit committees  
  » Reporting to the board and audit committee on ethical culture
10:45
Networking Break

11:15
SPECIAL REMARKS
The Assistant Attorney General Speaks on Enforcement Policies & Priorities: FCPA and Beyond

Brian Benczkowski
Assistant Attorney General
U.S. Department of Justice

11:45
Defending Your Program to the Agencies: Practitioners Discuss Their Experiences Amid the Latest DoJ Guidance and Increased Global Enforcement

Ronald C. Machen
Partner
WilmerHale

Laura N. Perkins
Partner
Hughes Hubbard & Reed LLP

Ephraim (Fry) Wernick
Partner
Vinson & Elkins LLP

George Prokop
Principal
PwC

Martin Weinstein – Moderator
Partner
Willkie Farr

This important discussion will navigate critical aspects of how to prepare for meetings with prosecutors and walk them through your program. Expert speakers will impart their experiences with respect to key program elements and improvements, objective data, and best practices for cultivating a positive working relationship.

Take the worthwhile opportunity to hear from seasoned practitioners and ask them your questions. Amid new, evolving compliance and enforcement priorities, along with new agency decision-makers, take away important lessons learned and helpful guidance for your organization.

2:00
Special Interview
Post-Settlement Insights from Walmart’s Chief Legal Officer

Rachel Brand
Executive Vice President of Global Governance, Chief Legal Officer, and Corporate Secretary
Walmart
Former Associate Attorney General, U.S. Department of Justice

Alice S. Fisher – Moderator
Partner
Latham & Watkins LLP

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**TRACK 1**

**Legal Think Tank – Disclosure Calculus**

The Grey Areas of Self-Disclosure: Unwritten Lessons on If, When and How Much to Disclose in the U.S. and Across Multiple Jurisdictions

Alex Young K. Oh  
Partner  
Paul, Weiss, Rifkind, Wharton & Garrison LLP

Niketh Velamoor  
Senior AML, Anti-Corruption and Privacy Officer  
Neuberger Berman

Tarek Helou  
Partner  
Wilson Sonsini Goodrich & Rosati  
Former Assistant Chief, FCPA Unit, U.S. Department of Justice (2014-2019)

During this practical, interactive session, experts will work through a series of hot button, sensitive hypothetical scenarios, and whether or not they would disclose under the circumstances. Participants will be able to compare their approaches and benchmark through discussion and Q & A. Topics will include:

- The DOJ Corporate Enforcement Policy and your disclosure calculus: Are companies benefiting?
- The new calculus of if, when and how much to disclose
- The most important factors that should drive disclosure in light of recent global enforcement developments
- Practical impact of U.S. disclosures on foreign corruption investigations: When a U.S. disclosure can now be used against you by a foreign government
- Balancing disclosure obligations while preserving privilege
- Drafting the disclosure: Best practices

**TRACK 2**

**Compliance Brainstorming Session #1**

Behind the Scenes of ABC Program Testing and Metrics: Testimonials on Achieving Success Through the "Roller-Coaster" of Trial and Error

Kurt Drake  
Chief Ethics & Compliance Officer, VP  
Kimberly-Clark

Travis W. Hunter  
Senior Vice President – US Head of Anti-Bribery & Corruption  
HSBC Bank NA

Tiffany R. Moseley  
Partner  
Loeb & Loeb LLP

Anne Murray  
Partner  
Orrick, Herrington & Sutcliffe LLP

Matt Shelhorse  
Partner  
PwC

- Metrics to score your global program: How companies are selecting and utilizing key risk indicators to measure success and weak spots
- Measuring the ROI and real-life effectiveness of new initiatives: Navigating the trial and error process as the compliance standard increases
- How to score the success of your compliance program from an implementation standpoint
- Key performance and risk indicators
- Which qualitative and quantitative metrics are being used and how
- How government compliance expectations and big ticket FCPA enforcement actions have affected the use of metrics
- Metrics that have proven useful in the context of measuring compliance upgrades and culture changes
- The effectiveness and shortfalls of certain metrics, such as communications, leadership, HR, innovation, job performance, accountability, mission, values, turnover, compliance spend and representation of compliance staff in the C-Suite

**TRACK 3**

**Latin America**

When Someone Else’s Scandal Becomes Yours: What to Do If Your Organization is Directly or Indirectly Caught in the Notebooks and Lava Jato Aftermath

Erica Sarubbi  
Partner  
Maeda, Ayres & Sarubbi Advogados (Brazil)

Mark Califano  
Chief Legal Officer and Managing Director, Head of the Americas  
Nardello & Co.

Brian F. Saulnier  
Partner  
K & L Gates LLP

- What to do if your company is directly implicated by “Operation Car Wash” or other scandal (or entangled in another government bribery investigation)
- When your third parties are under suspicion: How multinationals are tackling more regional enforcement, scandals and legislation
- What to do if a third party is under investigation or has been named by a cooperating witness
- When you should terminate the third party relationship and/or turn to law enforcement
- Inside the decision-making process: Key factors affecting your decision to continue/terminate the relationship
- When/how to communicate your concerns to the third party in question
- Strengthening your due diligence and monitoring processes
- Lessons on how to better detect “red flags” before and during a third party relationship
- Contractual risks posed by terminating the relationship
**TRACK 1**

**FCPA Tech**

The ROI of Automation, Data Analytics and AI: Is Industry Making Quicker, Better Decisions on Compliance, Data Privacy and Third-Party Management?

**Roberto Berry**  
Assistant General Counsel  
International Affairs and Compliance  
FCA US LLC

**Ali Hadjarian**  
Principal  
PwC

- Perspectives on the lengths, limits and cost-benefits of technological innovations
- Concrete examples of extracting and using data for effective decision-making and risk management vs. when a manual review and approval process are still preferable
- The latest automated controls that companies are using to identify suspicious payments and other risk factors
- How to select vendors: Understanding your organization size, risk profile, budget and more
- Evaluating capabilities of solutions and your company’s needs
- How much to spend—and how much is too much?
- Conducting a cost-benefit analysis of available solutions
- Due diligence reports: How to select the right provider for your company
- Crafting your business case to senior management and the Audit Committee: Justifying the cost and value-add
- How to measure ROI
- What data analytics can and cannot do to identify risks
- Mining and interpreting data during compliance monitoring, audits and investigations

**TRACK 2**

**Legal Think Tank**


**John Buretta**  
Partner  
Cravath, Swaine & Moore LLP

**Cheryl J. Scarboro**  
Partner  
Simpson Thacher & Bartlett LLP

**Steven E. Fagell**  
Partner  
Covington & Burling LLP

**Virginia Chavez Romano**  
Moderator  
White & Case LLP

Introduced by popular demand, leading practitioners will discuss the finer points and aftermath of U.S. v. Connolly, and the implications for internal investigations and enforcement moving forward. The session will specifically focus on the most pressing, high stakes issues confronting industry and outside counsel.

Benefit from a unique opportunity to ask your questions and gain worthwhile strategic insights for confronting new challenges coming across your desk.

The discussion will include a special focus on the practical challenges affecting legal practitioners and how they are addressing them.

**TRACK 3**

**CHINA: New Takeaways for Detecting and Mitigating Hidden Legal, Compliance, Geopolitical and Reputational Risks on the Ground**

**Steven S. List**  
Americas, China & Australia General Counsel, Secretary and Chief Compliance Officer  
LJUNGSTRÖM | ARVOS Group

**Kate Yin**  
Partner  
Fangda Partners

**Vincent Li**  
Member  
Smith Pachter McWhorter PLC

- Interplay of geopolitical tension, the trade war and national security with anti-corruption risk and compliance
- Contrasting enforcement risks for local vs. multinational companies
- Interacting with government officials: How the key local agencies communicate with companies, and approach regulatory approvals and investigations
- New, special considerations for onboarding and monitoring third parties in China
- Gifts & Entertainment: How to support your business development, sales and marketing in the wake of China’s Anti-Unfair Competition Law
- China’s Belt and Road Initiative: What it reveals about emerging, growing risk factors for infrastructure projects and across industries in the region

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"One of the biggest benefits of attending an ACI Conference is the high level of discussions you can have with other professionals from other locations and industries. By attending a conference like this, you can learn about risks that are already detected, as well as new risks that other companies are facing around the world.

Tania Decanini  
Partner  
Cohen Decanini Abogados (Mexico)  
Former General Counsel and Compliance Officer, Tresalia Capital"
TRACK 1

“War Stories” – When Your Bad News is Big News: Experts Discuss How They Put Out Simultaneous Legal and PR Fires

Kimberly Chainey
General Counsel
Panasonic Avionics Corporation

Adam J. Falkowitz
Deputy General Counsel
Olympus Corporation of the Americas

Eric W. Sitarchuk
Partner
Morgan Lewis & Bockius LLP

Steven A. Tyrrell – Moderator
Partner
Weil, Gotshal & Manges LLP

Introduced by popular demand, audience members will have an unparalleled opportunity to learn from in-house executives and leading defense counsel, who have been involved in some of the most recent, high profile settlements. Benefit from a worthwhile opportunity to gain helpful takeaways from decision-makers, who have been “in the trenches” and have successfully worked through high stakes issues.

Topics of discussion will include:
- Key PR and legal missteps that can derail your efforts: The lesser known rules of the road
- Untangling “a mess”: What to do in the first 24-48 hours vs. the longer-term
- Developing an effective cross-border strategy in cases of multi-jurisdictional enforcement actions
- Settlement Calculus:
  » Determining if it is preferable to aim for a global settlement or settle with only some authorities/not with others
  » Weighing debarment and other regulatory, industry-specific risks (for ex., financial services and life sciences)
- Concrete examples of the unexpected impact of reputational issues on your business and legal exposure
- How legal can work with their compliance colleagues to develop an effective strategy and response
- The implications of bad news on financing/lending, M & A and other important transactions
- How things have evolved internationally: Measuring the risk of double-dipping across settlements
- Unpredictability of a country’s cooperation with the U.S., and the impact on your approach

TRACK 2

Compliance Brainstorming Session #2
Risk Assessments in Reality: Concrete Examples of “Value-Add” Takeaways for Your Analysis, Global Program, Operations and Business

Anton Alferov
Senior Counsel Regional Compliance Counsel Europe, Eurasia and Sub-Saharan Africa Region, Global Ethics and Compliance
Halliburton (UK)

Audrey L. Harris
Partner
Mayer Brown

Greg Esslinger
Senior Partner
Control Risks

This practical and popular session will delve into real-world examples of how to strengthen risk assessment practices to better support your organization’s compliance and business objectives.

- Global risk assessments on paper and in reality: How to know if you are identifying the right compliance priorities for tomorrow
- Identifying new, emerging corruption and other key risk factors
- Assessing and weighting risk factors
- Updating risk management practices as the global economic, legal and compliance landscapes evolve
- When your “gut” leads you to doubt what’s on paper
- How risk assessment methodologies have evolved in recent memory-and the verdict on best practices and key pitfalls to avoid moving forward
- New approaches to identifying and measuring new, emerging risk factors
- Updating risk management practices in response to the evolving global economic, legal and compliance landscapes
- Tailoring your approach to industry-specific contexts
- Assessing indirect and residual risk factors
- Trends in anti-corruption and enterprise-wide risk assessments

TRACK 3

Special Industry Groups (SIGs)
(by invitation only)

New for this year, participants from industries that have been under the enforcement microscope will convene in smaller groups to discuss the newest, emerging industry-specific challenges.

Each SIG will be led by in-house decision-makers, along with outside advisors with industry-specific expertise. We invite all in-house participants from the below industries to save their seats before the session fills to capacity.

- Technology & Telecom
  - Jeannine Lemker
  - Assistant General Counsel Office of Legal Compliance Programs
  - Microsoft

- Oil & Gas and Mining
  - Michael Pass
  - Deputy Chief Compliance Officer
  - Freeport-McMoRan

- Defense & Aerospace
  - Justin Olson
  - Chief Compliance Officer
  - McDermott International, Inc.

- Life Sciences
  - Patricia Byrne
  - Vice President & Associate General Counsel, International Compliance
  - BAE Systems Inc.

- Oil & Gas and Mining
  - Brian Baldrate
  - VP & General Counsel, International & Washington Operations
  - Raytheon Company

- Defense & Aerospace
  - Brian Baldrate
  - VP & General Counsel, International & Washington Operations
  - Raytheon Company

- Life Sciences
  - Patricia Byrne
  - Vice President & Associate General Counsel, International Compliance
  - BAE Systems Inc.

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  - BAE Systems Inc.

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  - Brian Baldrate
  - VP & General Counsel, International & Washington Operations
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  - Brian Baldrate
  - VP & General Counsel, International & Washington Operations
  - Raytheon Company

- Life Sciences
  - Patricia Byrne
  - Vice President & Associate General Counsel, International Compliance
  - BAE Systems Inc.
8:30
Opening Remarks from the Co-Chairs

8:35
Special Remarks and Q & A on The Evaluation of Corporate Compliance Programs

Matt Miner  
Deputy Assistant Attorney General Criminal Division  
U.S. Department of Justice

Mythili Raman – Moderator  
Partner  
Covington & Burling LLP

9:05
Legal, Compliance and Financial Gatekeepers as Defendants: The Realities of New, Rising Prosecution Risks Confronting Individuals

Greg D. Andres  
Partner  
Davis Polk & Wardwell LLP

Sarah Coyne  
Partner  
Weil, Gotshal & Manges LLP

Mark Mendelsohn  
Partner  
Paul, Weiss, Rifkind, Wharton & Garrison LLP

Tai Park  
Partner  
White & Case LLP

Lucinda A. Low – Moderator  
Partner  
Steptoe & Johnson LLP

Now more than ever, legal, compliance, financial and other corporate gatekeepers face unprecedented liability risks as enforcement agencies intensify their focus on pursuing individuals. At this important panel, highly respected practitioners and former prosecutors will address important, new trends and pressing issues to flag now.

Topics of discussion will include:

- In-house and outside counsel, compliance officers and financial executives under the microscope: Defense counsel perspectives on emerging new liability trends
- The move toward prosecutions of corporate gatekeepers in particular, including general counsel, chief compliance officers and accountants
- Scope of the in-house legal and compliance officers’ obligations to investigate potential red flags and monitor suspicious activity
- Recent enforcement actions against individual executives and key takeaways
- Approaches to the legal, compliance and financial roles amid developments in the U.S. and globally, and in response to internal corporate and industry pressures
- Contrasting U.S. and UK approaches to individual liability: DoJ, SEC vs. SFO
  - Takeaways from recent Serious Fraud Office cases
  - The UK’s new Senior Managers and Certification Regime
  - U.S. emphasis on the naming of wrongdoers
- Examples of successful defense strategies and settlements
- Penalty trends for individuals vs. corporations

10:00
Networking Break

10:30
World Bank Interview: Insights on What Triggers Debarment and Other Key Enforcement Decisions

Pascale Hélène Dubois  
Vice President, Integrity  
The World Bank

Laurence Urgenson – Moderator  
Partner  
Mayer Brown

11:00
International Prosecutors Roundtable: Enforcement Officials Discuss Information Sharing, Self-Reporting, Cooperation and Global Settlements

Hannah Von Dadelszen  
Head of Fraud  
UK Serious Fraud Office

Jean-François Bohnert  
Chief Public Prosecutor, Head  
Parquet National Financier (France)

Marcelo Ribeiro de Oliveira  
Procurador  
Ministério Público Federal (MPF) (Brazil)  
Member of the Curitiba Task Force

Robert Luskin – Moderator  
Partner  
Paul Hastings LLP

With heightened multi-jurisdictional enforcement activity (and more anticipated for the next year), audience members will benefit from a truly unique chance for in-person updates and Q & A on enforcement outside of the United States, and priorities moving forward. Learn how the agencies work together, coordinate with U.S. authorities, approach the effort to avoid double-dipping across settlements, as well as their expectations for cooperation.
20

JOIN THE CONVERSATION

@ACL_Anticorrupt #FCPAconference | ACI: Anti-Corruption / FCPA – Legal, Regulatory and Compliance Professionals
• The Compliance Monitor’s Perspective: Where companies have gone right and wrong on compliance and remediation
• Taking stock of successes and missteps across the life cycle of the monitorship
• How to conduct an effective compliance review and leverage the findings to revise your policies and procedures
• Implementing compliance upgrades and improved training programs
• Working with the monitor to address “on the ground” hurdles to remediation

INTERNATIONAL RISK & COMPLIANCE EXCHANGES

Led by experts with “on the ground” experience, participants will benefit from an interactive, smaller-group exchange on emerging issues affecting compliance and third-party management in Brazil and China.

Unlike other sessions, this segment will be structured as a discussion among speakers and participants. Few events offer audience members the chance to meet and ask questions to experts based in China and Brazil — in a more informal setting. Bring your questions or submit them in advance at FCPADCquestions@americanconference.com.

TRACK 2
Risk & Compliance Exchange
China

Eric Carlson
Partner
Covington & Burling LLP

María González Calvet
Partner
Ropes & Gray LLP

Palmina M. Fava
Partner
Vinson & Elkins LLP

TRACK 3
Risk & Compliance Exchange
Brazil

Kimberly A. Parker – Moderator
Partner
WilmerHale

3:45
Networking Break

4:15
Town Hall
Cross-Agency Coordination, Information Sharing and Priorities for 2020

Newly expanded to focus on the interplay of DoJ, SEC, FBI, CFTC and OFAC enforcement priorities, participants will gain further insights on cross-agency coordination and compliance expectations, along with an unparalleled opportunity ask questions to a panel of enforcement officials.

We invite you to join us once again for what will be another productive exchange with key U.S. Government Officials!

Part I: Panel Discussion
Part II: Open Audience Q & A (Submit your questions anonymously to: townhall@americanconference.com)

5:30
Main Conference Concludes

Stay on for Important Post-Conference Programming | DECEMBER 6, 2019

4th International Chief Compliance Officer Executive Roundtable
8:30 a.m. – 5:15 p.m.

APAC & LATAM REGULATORY AND ENFORCEMENT UPDATE SEMINAR
8:30 a.m. – 4:45 p.m.
POST-CONFERENCE EVENT
FRIDAY, DECEMBER 6, 2019 | 8:30 a.m. – 5:15 p.m.

4th International
Chief Compliance Officer
Executive Roundtable

DISTINGUISHED FACULTY INCLUDES:
Carl Hahn
Chief Compliance Officer
Northrop Grumman

Reynaldo Goto
Chief Compliance Officer
BRF SA (Brazil)

Elaina Loizou
Chief Compliance Officer
Pall Corporation, Danaher

Eric T. Young
Chief Compliance Officer
BNP Paribas

Jeffrey Eglash
VP, Deputy Chief Legal Officer,
Chief Compliance Officer
Nokia

SPECIAL GUEST SPEAKERS:
Mary Rose McCaffrey
Vice President of Security
Northrop Grumman
Former Director of Security, CIA

Eugene F. Soltes
Associate Professor of Business Administration
Harvard Business School
Author of Why They Do It: Inside the Mind of the White-Collar Criminal

8:30
Opening Remarks & Ice Breaker

8:45
Geopolitics, Destabilized Markets and Your Risk Calculus:
CCOs Share Lessons for Making the Newest, Toughest
Compliance Calls

At this opening session, faculty members and participants will discuss the
real-world impact of geopolitical changes on enterprise risk management
and decision-making. Discover how CCOS are working through high stakes
challenges affecting the conduct of business in volatile markets-and the
lesser known rules for making the right calls under pressure. Discussion
points will include how to evaluate future, uncertain risks posed by regime
changes, and the challenges of interacting with local government officials.

9:30
Behavioral Compliance and the Verdict
on Incentives: What Works and What Doesn’t?
What It Really Takes to Drive Ethical Conduct

The U.S. Department of Justice has indicated that an effective compliance
program should include incentives. During this session, speakers and
participants will discuss the latest research findings and approaches to
implementing this key component of a global program.

The session will also address how to overcome the real-life obstacles to
sustaining a strong compliance culture for the short-and long terms.

• What has proven effective vs. not: Updates on the research findings
• Defining compliance responsibilities within your organization
• Developing a sustainable strategy to prevent a repeat scenario
• How to know if your message is being heard and followed
• Addressing specific cultural nuances when localizing your training
• Overcoming training “fatigue”
• How to strengthen your culture of compliance in the field

10:30
Networking Break

10:45
Compliance as Your Corporate Brand
“Operationalizing” Your Global Compliance Program:
Dovetailing Your Program with the Company’s Overall
Business Strategy

Learn about successes and lessons learned for embedding global
regulatory requirements into your processes and procedures. Benefit
from first-hand insights and concrete examples of pitfalls to avoid at the
implementation stage.

* Open to Chief Compliance Officers (and to senior-level professionals with the same level and scope of job responsibilities).
All interested parties will be pre-qualified before registering for the program.
11:30
5 Things You Don’t Know About Me: CCOs Tell Their Stories on Becoming Effective Leaders and Influential Voices in Their Organizations

Hear first-hand stories from CCOs about their successful climb up the ladder — and helpful guidance for effective leadership. Themes to be discussed include:

• Proving your worth: How to showcase your accomplishments and promote yourself
• How to advocate for yourself and your team: Securing buy-in, confidence and resources from senior management and the Board
• Getting a seat at the table: How to drive home a message that resonates
• The biggest mistakes to avoid when building and managing a compliance team: How to know if you are an effective leader or falling short?
• Fostering successful relationships with the General Counsel, CFO and other corporate leaders

12:15
Executive Networking Luncheon

1:15
Insider Threats – Detecting a “Bad Apple” in Your Workplace: Key Predictive Indicators and Best Ways to Leverage the Compliance Function

Faculty members will take you through real-life examples of rooting out unethical and criminal conduct in an organization. In addition to providing practical guidance, the discussion will also address how law enforcement and compliance officials have successfully partnered to address these worst case scenarios.

2:00
Economic Sanctions Compliance “Nail-Biters”
Keeping Sanctions Compliance Current: Leveraging Departmental Resources to Manage Rapid Geopolitical and Regulatory Changes

• Perspectives on the most vexing challenges in the last 12 months, and how to prepare for more anticipated changes
• Thinking on your feet: The most important considerations for responding to new, evolving sanctions and the impact on screening and compliance protocols
• Quick decision-making on Russia, Iran and more: How CCOs are updating their programs, and making time sensitive calls affecting legal, contractual and business commitments

2:30
High Stakes Compliance Decision-Making
The Pressure of “Pressure Testing” Your Program: How to Truly Evaluate If You’ve Made the Right Call on Compliance Spend, Resource Allocation, Structure and More

Compliance is an art—not a science. Your job does not end after making tough decisions, but continues with the need to continuously re-evaluate and measure the effectiveness of your decisions and ROI.

During this interactive session, CCOs will take you through their approaches to evaluating the aftermath of decisions, charting solutions to address compliance weak spots, and making unpopular decisions that are critical to strengthening your program and mitigating heightened risk factors.

3:30
Networking Break

3:45
The Realities of Reporting to the Board and Audit Committee: Examples of How to Navigate New Corporate Governance Priorities and Compliance Expectations

This session will address how to interface with an Audit Committee and Board of Directors amid a changing corporate governance landscape. Topics will include:

• Trends in Board and Audit Committee priorities, including cybersecurity
• What boards and audit committees have been expecting from Chief Compliance Officers
• Positioning yourself as a strategic thinker that can influence the upper echelons of a company

4:30
Behind the Scenes of “Nightmare” Situations: CCOs Share The Good, The Bad and The Ugly of Cyber, Third Party, Trade Secret Theft and Other Worst-Case Scenarios

This last, “closed-door” discussion will provide speakers and participants with an enhanced opportunity to exchange “war stories”, and the “behind the curtain” challenges affecting decisions and outcomes.

Situations to be addressed include:

• Responding to ransomware, data breaches and cyber intrusions
• Dealing with uncooperative or non-compliant third parties, and those under investigation
• When the government comes knocking
• Dealing with the aftermath of trade secret theft
• When the CCO relationship with General Counsel goes sour

5:15
Roundtable Concludes

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APAC & LATAM
REGULATORY AND ENFORCEMENT UPDATE SEMINAR

8:30
Opening Remarks from the Co-Chairs
Matteson Ellis
Member
Miller & Chevalier Chartered

8:45
Part I: A Complete Roadmap to the Local Agencies, Laws & Regulations: Who Does What for Anti-Bribery, Antitrust, Cyber and Data Security Enforcement
- Who does what: Clarifying the jurisdictions and roles of key agencies
- Which industries have been under the microscope: Key priorities of each agency
- When the police become involved in corruption enforcement, including detention of individuals
- Government agency consolidation, including the State Administration for Market Regulation

9:15
Part II: A Deep Dive Into Key Requirements, New and Anticipated Changes

Anti-Bribery & Antitrust
- Anti-bribery compliance expectations and the local government crackdown: New, evolving standards and trends
- The latest on commercial bribery risks, rising penalties and amendments to the Anti-Unfair Competition Law: How to know what crosses the line
- Expanded scope of bribery-related violations and governmental powers
- Clarified basis for vicarious liability; emphasis on actions of employees
- Procedural emphasis and change
- Jurisdiction of NSC and potential impact on foreign companies
- NSC's broad investigation powers

Data Privacy, Security and Transfers
- Status report on what has triggered penalties for data privacy and security violations
- Best practices for cross-border data transfers
- Defining "Critical Information Infrastructure": When local government approval will be necessary for a data transfer
- Key elements of the pending data security law and guidelines

Whistleblowers
- The biggest misunderstandings about key requirements
- Requirements affecting reporting and complaint management

10:45
Networking Break

11:00
SOUTHEAST ASIA
Nathan Bush
Partner, Head of Investigations, Antitrust and Competition, Asia
DLA Piper (Singapore)

John Frangos
Partner, Co-Lead, Compliance & Investigations Practice
Tilleke & Gibbins (Thailand)

Singapore
- Corrupt Practices Investigations Bureau (CPIB) anti-bribery enforcement crackdown on individuals and corporations
- CPIB enforcement trends and conviction rates
- New initiatives to strengthen anti-corruption measures, including:
  - CPIB Corruption Reporting & Heritage Centre
  - Singapore Standard of ISO 37001 on Anti-Bribery Management Systems

Malaysia Post-1MDB
- Jurisdiction of the Malaysian Anti-Corruption Commission (MACC)
- Status report on the "war on corruption" and three-year plan to increase Malaysia’s corruption index ranking
- Securities Commission Malaysia’s new action plan to strengthen standards of corporate governance to prevent corruption, misconduct and fraud in Malaysia
- New requirements to implement anti-corruption measures
- Recent enforcement actions and penalties
- The biggest, newest areas of risk exposure in Malaysia
- New Corporate and Executive Liability registrations

Indonesia
- Update on the Corruption Eradication Commission (KPK) investigations and cooperation with foreign authorities, including the SFO and CPIB
- Aftermath of key reforms to strengthen anti-corruption enforcement
- When solicitation amounts to extortion, and if the defense of duress can work
**Vietnam**
- Common misunderstandings regarding the definition of "bribery" and "public official"
- Limitations on gifts under The Anti-Corruption Law
- Key provisions under the Penal Code

12:00

**What's Keeping You Up at Night?**

Speakers and participants will have an opportunity to discuss highly complicated, stressful issues affecting compliance across the APAC region. From getting (and staying) up-to-speed on key developments, training and managing employees to operating during a government investigation, no question is off the table.

12:30

**Networking Luncheon**

**LATIN AMERICA**

1:30

**Brazil**
- Antenor Madruga
  - Partner
  - Feldens Madruga Advogados (Brazil)
  - The Clean Company Act: Status report on how it has been interpreted, applied and enforced
  - What is the likely the “next phase” of anti-corruption enforcement in Brazil post-Lava Jato
  - Dissecting the roles and responsibilities of agencies at the federal, state and municipal levels
  - Status update on guidelines by the MPF's Anti-Corruption Unit
  - The extent of coordination across the Brazilian agencies, the impact on settlements and penalties, and the risk of “double-dipping” (multiple fines for the same anti-corruption violation)

2:15

**Argentina**
- Guillermo Jorge
  - Head, Compliance, Investigations and Corporate Criminal Law Department
  - Bruchou, Fernández Madero & Lombardi (Argentina)
  - Jurisdiction of Argentina’s provincial vs. federal authorities: Who does what
  - Nuts and bolts of the law on criminal responsibility: No retroactive application
  - Comparing and contrasting Argentine’s approach to prosecutions with Brazilian agencies
  - Extent of cooperation between Argentinian and Brazilian authorities amid the Notebooks scandal
  - Argentina’s asset recovery bill, and how it aides prosecutors investigating bribery
  - Antitrust: The most common price-fixing/bid-rigging schemes and how to mitigate the biggest risks
  - Re-Review of public works contracts awarded to foreign companies for potential bribery: New risks to your business and bottom line

2:45

**Mexico**
- Luis Dantón Martinez Corres
  - Leader of the Compliance, Anti-Corruption and Investigations practice
  - Ritch, Mueller, Heather y Nicolau, S.C. (Mexico)
  - Status report on the political landscape post-election and the outlook for industry
  - What next steps can be expected from the Mexican regulatory and enforcement authorities
  - How the National Anti-Corruption System (SNA) is being implemented
  - Key elements of the General Law of Administrative Responsibilities (GLAR)
  - How corporate criminal liability (prosecuted by the attorney general’s office) now intersects with administrative liability (overseen by the Función Pública)
  - How and why criminal attorneys are focusing more on anti-corruption compliance

3:30

**The Andean Region: Focus on Peru, Ecuador & Colombia**
- Sandra Orihuela
  - Orihuela Abogados (Peru)
  - Matteson Ellis
  - Miller & Chevalier Chartered
  - What anti-corruption legislation exists across the Andean countries, how are they similar and/or different from one another, what are key elements, and what to watch out for
  - The extent of individual vs. corporate liability: Revisiting your risk profile
  - Legislation vs. enforcement in the region: The record to date, what to expect going forward, enforcement “competition” between countries and agencies
  - Special industry-specific rules and anti-bribery requirements when bidding for public contracts
  - How increased cross-border collaboration on bribery cases between regional prosecutors is changing companies’ risk exposure
  - Key aspects of Peruvian Law 30424 on corporate liability for offenses on corruption, money-laundering and terrorist financing
  - Aftermath of Peru’s joining two OECD Conventions:
    - Anti-Bribery Convention
    - Convention on Mutual Administrative Assistance in Tax Matters
  - Jurisdiction of Argentina’s provincial vs. federal authorities: Who does what
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4:15

**Your Most Burning Questions Answered: Q & A with LatAm Experts**

During this closing session, participants will benefit from in-person Q & A and discussion with faculty members across Latin America. Ensure that you attend this session to ask any remaining questions, and hear what is keeping your peers up at night.

4:45

**Seminar Concludes**
three of our partners authored a comprehensive treatise, *The transactional and other due diligence, internal and government enforcement experience in the U.S. and abroad.*

Dechert is a global specialist law firm. Focused on sectors with the greatest complexities, legal intricacies and highest regulatory demands, we excel in delivering practical commercial judgment and deep legal expertise for our clients’ most crucial matters. Our work is widely recognized, with 32 standout practices noted by Chambers Global, including global-wide rankings for corporate investigations, as well as those seeking anti-corruption risk assessments, M&A advice and ad hoc counseling, rely on Dechert.

Davis Polk & Wardwell

Davis Polk is known for having one of the world’s premier Foreign Corrupt Practices Act practices. Acknowledged by lawyers in New York, Hong Kong, London, Northern California, Paris and Washington, D.C., our practice offers clients a unique platform that combines robust experience in anti-corruption investigations and reviews with an integrated team to support clients around the globe. We have been involved in many of the largest and most complex anti-corruption investigations in history, and clients regularly turn to us for advice on all facets of FCPA compliance, acquisition due diligence, internal investigations and defense against governmental enforcement.

Vinson & Elkins LLP

Vinson & Elkins’ global anti-corruption lawyers have represented clients in all aspects of the compliance process since the FCPA was enacted. In addition to negotiating with the DOJ, SEC and other regulatory agencies, we routinely advise and represent companies, as well as national and international clients, government officials and individuals, on FCPA issues and other anti-corruption laws.

WilmerHale

Companies facing high-stakes government and internal investigations, as well as those seeking anti-corruption risk assessments, M&A advice and ad hoc counseling, rely on WilmerHale. Clients benefit from the advice of more than 40 experienced practitioners and the knowledge in all aspects of the field. We represent companies and individuals in DOJ, SEC, UK Serious Fraud Office, and Chinese Administration for Industry and Commerce (AIC) investigations; perform internal investigations on the ground in Asia, Africa, the Middle East, Eastern Europe, Latin America and elsewhere; conduct risk assessments and benchmarking advice on strategic transactions; develop and enhance compliance programs; and draft and conduct anti-corruption training. In addition, our strong US and international practices leverage our lawyers with extensive anti-corruption experience in the UK, Germany and China.
Longstanding practitioners who have spent their entire careers at the defense bar.

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Mayer Brown Mayer Brown is a global legal services provider advising clients across the Americas, Asia, Europe, the Middle East. We are noted for our commitment to client service and our ability to assist clients with their most complex and demanding legal and business challenges worldwide. We regularly represent and counsel corporations, government agencies, financial institutions, and individuals across a broad range of transactions and matters involving the FCPA and other global anti-corruption efforts, including investigations, DOJ/SEC or foreign investigations and enforcement proceedings, compliance reviews and due diligence regarding mergers and acquisitions. Our FCPA and cross-border investigation capabilities are strengthened by our global reach in the Americas, Europe and Asia. For more information visit mayerbrown.com

TozziniFreire TozziniFreire is a premier law firm with more than 900 lawyers. Headquartered in New York with offices in Beijing, Hong Kong, Houston, London, Los Angeles, Palo Alto, São Paulo, Tokyo and Washington, D.C., the Firm provides coordinated legal advice and transactional capability to clients around the globe. Simpson Thacher's Global Litigation Department represents a wide range of sophisticated clients, including financial institutions, corporations, boards, audit and special committees, and senior executives, in their most significant matters. The Firm offers a substantial bench of talent to effectively handle litigations, government and internal investigations, arbitrations and cross-border disputes in North and South America, Asia and Europe.

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K&L Gates Anti-Bribery & Anti-Corruption practice is a powerful combination of extensive experience in a broad range of industries with a global reach, allowing us to meet client needs promptly and efficiently, wherever they arise. Our global team has represented clients in numerous cross-border investigations and government enforcement matters, as well as providing merger/acquisition due diligence, anti-corruption training, and compliance reviews. Our practices include:

More than 40 of our lawyers around the world with experience handling matters arising under the U.S. Foreign Corrupt Practices Act ("FCPA"), the U.K. Bribery Act; related anti-money laundering, fraud, and sanctions laws; and the anti-corruption laws of numerous countries.

Members of our team have decades of experience, both as former prosecutors and white collar defenders. Our group includes:

Former senior officials at the U.S. Department of Justice, including a former U.S. Attorney and numerous Assistant U.S. Attorneys who focus on financial and white collar crime;

Former senior officials at the Securities and Exchange Commission ("SEC"), including a former senior member of the SEC's FCPA specialized unit who led some of the largest FCPA enforcement actions ever brought; and

Lextegrity Lextegrity provides in-house counsel, audit and compliance teams at multinational companies with next generation compliance software to help prevent and detect corruption, fraud and conflicts of interest in their global operations. From pre-approval of high risk expenditures through continuous monitoring of spend data, our platform consolidates disparate compliance processes and uses data to provide informed risk insights.

Exhibit:
<table>
<thead>
<tr>
<th>Conference Name</th>
<th>Date</th>
<th>Location</th>
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<tbody>
<tr>
<td>36th International Conference on the Foreign Corrupt Practices Act</td>
<td>December 2019</td>
<td>Washington, DC</td>
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<tr>
<td>Financial Crime Executive Roundtable</td>
<td>October 2019</td>
<td>New York City</td>
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<td>8th Asia Pacific Summit on Anti-Corruption Compliance and Risk Management</td>
<td>October 2019</td>
<td>Singapore</td>
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<tr>
<td>6th Annual Conference on Anti-Corruption Nordics</td>
<td>January 2020</td>
<td>Oslo</td>
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<td>7th Mexico Summit on Anti-Corruption</td>
<td>March 2020</td>
<td>Mexico City</td>
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<td>14th Houston Forum on the Foreign Corrupt Practices Act</td>
<td>January 2020</td>
<td>Houston</td>
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<tr>
<td>4th Advanced Conference on Anti-Corruption Switzerland</td>
<td>April 2020</td>
<td>Zurich</td>
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<tr>
<td>22nd New York Congress on the Foreign Corrupt Practices Act</td>
<td>May 2020</td>
<td>New York City</td>
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<tr>
<td>China Forum for Legal &amp; Compliance Officers</td>
<td>June 2020</td>
<td>Shanghai</td>
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<tr>
<td>14th International Conference on Anti-Corruption London</td>
<td>June 2020</td>
<td>London</td>
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<tr>
<td>11th Global Forum on Anti-Corruption Compliance in High Risk Markets</td>
<td>July 2020</td>
<td>Washington, DC</td>
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<tr>
<td>12th West Coast Forum on FCPA Enforcement &amp; Compliance</td>
<td>September 2020</td>
<td>San Francisco</td>
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Accreditation will be sought in those jurisdictions requested by the registrants which have continuing education requirements. This course is identified as nontransitional for the purposes of CLE accreditation.

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<th>Pricing and Registration Information:</th>
<th>Register &amp; Pay by September 20, 2019</th>
<th>Register &amp; Pay by October 25, 2019</th>
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<tr>
<td>Main Conference Only</td>
<td>$2,495</td>
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<td>Workshops: A or B / C or D</td>
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<td>Special Pre-Conference Primer</td>
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<td>APAC &amp; LATAM Regulatory and Enforcement Update Seminar</td>
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