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
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)

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REGISTER NOW | FCPAconference.com | 888-224-2480
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

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# Agenda-at-a-Glance

## December 3, 2019

### PRE-CONFERENCE WORKSHOPS

**CONCURRENT (Choose A OR B)**

| A | 9:30 a.m. – 1:00 p.m. | FCPA Boot Camp: Key Requirements and Elements of an Effective Compliance Program |
| B | 9:30 a.m. – 1:00 p.m. | Special Deliberation #1 – “Adequate” Internal Controls vs. "Creating a Risk of Bribery": A Practical Guide to Books and Records Enforcement, Analytics and Audit Committees |

**CONCURRENT (Choose C OR D)**

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

**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
**Agenda-at-a-Glance**

12:45  **Networking Luncheon**

Women in FCPA and Anti-Corruption Luncheon *(By Invitation Only)*  
Hosted by: [WilmerHale](https://www.wilmerhale.com).

2:00  **Special Interview**

2:30  **BREAKOUT SESSIONS A**

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<tr>
<td><strong>Legal Think Tank – Disclosure Calculus</strong></td>
<td><strong>Compliance Brainstorming Session #1</strong></td>
<td><strong>Latin America</strong></td>
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<td>The Grey Areas of Self-Disclosure: If, When and How Much to Disclose in the U.S. and Across Jurisdictions</td>
<td>Behind the Scenes of ABC Program Testing and Metrics: Achieving Innovation Through the “Roller-Coaster” of Trial and Error</td>
<td>When Someone Else’s Scandal Becomes Yours: What to Do If You Are Directly or Indirectly Caught in the Notebooks and Lava Jato Aftermath</td>
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3:30  **Networking Break**

4:00  **BREAKOUT SESSIONS B**

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<td><strong>FCPA Tech</strong></td>
<td><strong>Legal Think Tank</strong></td>
<td><strong>CHINA</strong></td>
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5:00  **BREAKOUT SESSIONS C**

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<td><strong>“War Stories”</strong></td>
<td><strong>Compliance Brainstorming Session #2</strong></td>
<td><strong>Special Industry Groups (“SIGs”)</strong></td>
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<td>When Your Bad News is Big News: Experts Discuss how they Put Out Legal, PR and Financing Fires</td>
<td>Risk Assessments: Concrete Examples of “Value-Add” Takeaways for Your Program, Operations and Business</td>
<td><em>BY INVITATION ONLY</em></td>
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6:00  **Networking Cocktail Reception**

Hosted by: [Weil](https://www.weil.com).
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  |
| TRACK 3  | Compliance Brainstorming Session #3  |
|          | How to Reconcile Varying Cross-Border Privilege Protections and Prevent Inadvertent Waivers  |
|          | 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)
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
- Life Sciences
- Oil and Gas & Mining
- Aerospace & Defense

**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
Distinguished 2019 Faculty Includes

CONFEREENCE 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

CONFERENCE CHAIR EMERITUS:
Homer E. Moyer, Jr.
Member
Miller & Chevalier
Chartered

GOVERNMENT FACULTY:

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

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

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
First Deputy Prosecutor
Procurador Ministerio Público Federal (MPF) (Brazil)
Member, Curitiba Task Force (Responsible for the Car Wash Investigation)

INTERVIEWS WITH:

Jamieson A. Smith
Chief Suspension and Debarment Officer
Office of Suspension and Debarment
The World Bank

Preston D. Wigner
Vice President, General Counsel & Secretary
Universal Corporation

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 McWhorter PLC

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

Andrew S. Boutros
Partner
Dechert LLP

John Buretta
Partner
Cravath, Swaine & Moore LLP

Angela T. Burgess
Partner
Davis Polk & Wardwell LLP

Brian G. Burke
Partner
Shearn & 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.

Shana Cappell
Senior Legal Director,
Chief Anticorruption/Investigations Counsel
PepsiCo

Eric Carlson
Partner
Covington & Burling LLP (Shanghai)

Kimberly Chainey
General Counsel
Panasonic Avionics Corporation

Tony Charles
Chief Client Officer
STEELE Compliance Solutions, Inc

Virginia Chavez Romano
Partner
White & Case LLP

Sarah Coyne
Partner
Well, Gotshal & Manges LLP

ALEKSANDRA CUPRYS
Global General Counsel
Phoenix Tower International

Pam Davis
Partner
Winston & Strawn LLP

Reagan R. Demas
Partner
Baker & McKenzie LLP

Timothy Dickinson
Partner
Paul Hastings LLP

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

Josh Drew
Group Chief Ethics & Compliance Officer
VEON (The Netherlands)

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

Matthew Ellis
Member
Miller & Chevalier
Chartered

Greg Esslinger
Senior Partner
Control Risks

Steven E. Fagell
Partner, Co-Chair,
White Collar Defense & Investigations Practice
Covington & Burling LLP

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

Adam Fee
Partner
Milbank LLP

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 Grygiel
Vice President, Worldwide Compliance and Business Ethics
Amsgen
PRE-CONFERENCE WORKSHOPS
TUESDAY, DECEMBER 3, 2019

CONCURRENT (CHOOSE A OR B)

A 9:30 a.m. – 1:00 p.m.
FCPA Boot Camp: A Deep Dive into Key Requirements and Core Elements of an Effective Compliance Program

Sandra F. Palmer  
Partner  
Foley & Lardner

Rohan A. Virginkar  
Partner  
Foley & Lardner

Expert faculty members will take a deep dive into the nuts and bolts of FCPA compliance toward laying the groundwork for the rest of the conference. Participants will benefit from a solid foundation, smaller-group learning, enhanced Q & A and helpful reference materials for their daily work after the event. Topics will include:

- Who is covered by the FCPA
  - Foreign Private Issuers (FPI) – who qualifies?
  - Foreign subsidiaries, joint venture partners?
- Key enforcement agencies, their roles and jurisdictions
- A close look at new, heightened risks affecting organizations and their employees:
  - Criminal liability
  - Civil liability
  - Regulatory actions and shareholder suits
- What it means to “pay, offer or promise to pay, or authorize the payment of anything of value to a foreign official in order to influence any act or decision of the official in order to obtain or retain business”
- Who is a “foreign official” under the FCPA and how to deal with employees of state-owned enterprises
  - What does “anything of value” mean?
  - Gifts and entertainment
- What are the exceptions under the FCPA?
  - Facilitating payments: limits on “grease”
- Third party due diligence and monitoring requirements
  - Distributors and sub-distributors
  - Agents
- Books and records requirements: What it means to maintain records that “accurately and fairly” reflect transactions

B 9:30 a.m. – 1:00 p.m.
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  
(Chair, 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

JOIN THE CONVERSATION  
@ACL_Anticorrup  #FCPAConference  |  ACI: Anti-Corruption / FCPA – Legal, Regulatory and Compliance Professionals
Dissecting the top 10 most significant, surprising and impactful cases in early compliance program and internal investigations. This session will bring you up-to-speed on the most significant cases over the last 10 years. 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—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

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

- 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
MAIN CONFERENCE DAY 1
WEDNESDAY, DECEMBER 4, 2019

7:30
Breakfast Hosted by [Steele]

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

PART II: Looking Ahead: SEC and DOJ Priorities, and Multi-Jurisdictional Coordination

During the second segment of this panel, the distinguished speakers will discuss agency priorities moving forward, and additional perspectives on the FCPA compliance and enforcement landscapes.

Topics will include:

- Anticipated direction of FCPA enforcement for the upcoming year
- Focus on individual vs. corporate enforcement
- How recent court decisions affect the future of FCPA enforcement, including privilege and disgorgement
- How the SEC and DoJ will coordinate with foreign governments moving forward
- The interplay of GDPR during an investigation

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

Reagan R. Demas
Partner
Baker & McKenzie LLP

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.

12:45
Women in FCPA and Anti-Corruption Luncheon
(by invitation only)
Hosted by: WilmerHale

2:00
Special Interview
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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a C5 Group Company
Business Information in a Global Context
2:30 BREAKOUT SESSIONS A

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

Pamela Marple
Shareholder
Greenberg Traurig 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)

Adam Fee
Partner
Milbank LLP

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

Aleksandra Cuprys
Global General Counsel
Phoenix Tower International

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

Andrew M. Levine
Partner
K & L Gates LLP

Salim Jorge Saud Neto
Partner
Debevoise & Plimpton LLP

Aleksandra Cuprys
Global General Counsel
Phoenix Tower International

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

Brian F. Saulnier
Partner
K & L Gates LLP

Andrew M. Levine
Partner
K & L Gates LLP

Salim Jorge Saud Neto
Partner
Debevoise & Plimpton 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

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 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, Co-Chair, White Collar Defense & Investigations Practice
Covington & Burling LLP

Virginia Chavez Romano – Moderator
Partner
White & Case LLP

Introduce 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 on-boarding 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

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Simultaneous Legal and PR Fires

Settlement Calculus:
Developing an effective cross-border strategy in cases of multi-jurisdictional enforcement actions

Key PR and legal missteps that can derail your high stakes issues.

Trenches” and have successfully worked through recent, high profile settlements. Benefit from a handful of experts who have been involved in some of the most complex, high profile settlements. Benefit from a worthwhile opportunity to gain helpful takeaways.

Unpredictability of a country’s cooperation with the U.S., and the impact on your approach.

Key PR and legal missteps that can derail your high stakes issues.

Concrete Examples of the Unexpected Impact of Reputational Issues on Your Business and Legal Exposure

Weighing debarment and other regulatory, business and legal exposure factors and key risk factors

Tailoring your approach to industry-specific contexts

Measuring the risk of double-dipping across settlements

Updating risk management practices in response to the evolving global economic, legal and compliance landscapes

Trends in anti-corruption and enterprise-wide risk assessments

Global risk assessments on paper and in reality: How to know if you are identifying the right compliance priorities for tomorrow

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

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Unpredictability of a country’s cooperation with the U.S., and the impact on your approach.
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, Co-Chair, White Collar Defense & Investigations Practice  
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

10:00
Networking Break

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

Jamieson A. Smith  
Chief Suspension and Debarment Officer  
Office of Suspension and Debarment  
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 Curtiba 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.

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Where enforcement officials in the U.S. and abroad have been the most active outside of other types of government investigations and regulatory enforcement initiatives. They have affected contingency planning and compliance efforts.

- Enhancing your program to identify and manage the convergence of various legal and compliance risks
- How geopolitical shifts and evolving trade policies have affected contingency planning initiatives
- Navigating the evolving economic sanctions environment and other regulatory enforcement initiatives
- How recent, big ticket bribery settlements in the U.S. and abroad have affected overall sanctions environment and other policies have affected contingency planning and compliance risks
- Managing employee usage of WhatsApp and WeChat
- Concrete examples of how industry is interpreting and applying the revised policy
- Mitigating newfound cyber risks posed by the new messaging policy
- Archiving in the cloud: How long data needs to be stored and other considerations
- Building your own app: Concrete examples of successful initiatives
- How the increasing use of social media and messaging apps has affected the course of internal investigations
- What happens if you are unable to produce records requested by the DOJ

Kim Urbanchuk
Vice President, Deputy General Counsel, Chief Ethics and Compliance Counsel
Parsons

Robert Johnston
Managing Director & Deputy Chief Compliance Officer
Sculptor Capital Management

Peter Burrell
Partner
Willkie Farr (UK)

Andrew S. Boutros – Moderator
Partner
Dechert LLP

Cari Robinson
General Counsel
Revlon

Lisa LeCointe-Cephas
Executive Director, Head of Global Investigations
Merck & Co., Inc.

Neil T. Smith
Partner
K&L Gates LLP

Matthew J. Jacobs
Partner
Vinson & Elkins LLP

Through the use of hypothetical scenarios, experts will take participants through the nuances of determining the scope of privilege and accidental waivers. With varying approaches to privilege across jurisdictions, learn how to navigate complex decision-making and the potential impact on the course of an investigation.

- How a company's disclosures while seeking cooperation credit can "accidently" trigger a waiver of the attorney-client and work product privilege
- When to waive privilege, and steps to take toward avoiding inadvertent waivers
- What happens to privilege under U.S. rules when a matter involves foreign jurisdictions without privilege protection (or a more limited form of privilege)
- The scope of privilege relating to interviews during an internal investigation, notes and memoranda
- When the SFO expects companies to hand over written notes of internal investigation interviews
- Maintaining privilege for compliance
- Special considerations for audits:
  - How much to document in audits
  - Distributing the audit report/findings

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

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

Nancy McCready Higgins
Vice President & Chief Ethics and Compliance Officer
Bechtel Group

Alison Tanchyk
Partner
Morgan Lewis & Bockius LLP

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2:45 BREAKOUT SESSIONS

TRACK 1

Inside a Monitorship from Start to Finish: Important Lessons on Compliance and Remediation

- 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 (Shanghai)

Brian L. Whisler
Partner
Baker & McKenzie LLP

3:45 Networking Break

TRACK 3

Risk & Compliance Exchange

Brazil

María González Calvet
Partner
Ropes & Gray LLP

Palmina M. Fava
Partner
Vinson & Elkins LLP

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!

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

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

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

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

Guy Singer – Moderator
Partner
Orrick, Herrington & Sutcliffe LLP

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.

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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 Chair
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

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)
  
  - Argentine political landscape post-elections and the outlook for multinational companies
  - The future of the Notebook scandal and other prominent enforcement actions of the Macri’s administration
  - Comparing anticorruption enforcement in Argentina and Brazil
  - Corporate criminal liability, asset recovery and whistleblowing
  - 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
  
  - Status report on the political landscape under the new administration and the outlook for business
  - Key elements of Mexico’s revamped anticorruption legal framework
  - Impact of the new Federal Asset Forfeiture Law and further changes to the National Anti-Corruption System (SNA)
  - Enforcement trends in the country, and cooperation with international authorities
  - What next steps can be expected from the Mexican regulatory and enforcement authorities
  - The new implications of corporate criminal liability and administrative liability for Boards and management

### 3:15
#### Networking Break

### 3:30
#### The Andean Region: Focus on Peru, Ecuador & Colombia

- **Sandra Orihuela**
  - *Orihuela Abogados* (Peru)
  - **Matteson Ellis**
  - Member
  - *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

#### 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**
Baker McKenzie provides highly sophisticated anti-corruption advice in today’s heightened enforcement environment. Our team includes dozens of senior lawyers around the world who advise companies on the toughest questions, conduct internal investigations, and help design and implement effective compliance programs. Across both counseling and investigations, we provide 34-hour support and seamless international coordination. Clients appreciate our ability to translate nuanced legal analysis into practical advice that makes sense.

Our practice and track record of success have garnered the attention of some of the world's leading legal ranking publications, including Global Investigations Review and Chambers USA, which highlight our exceptional individuals and collective anti-corruption counseling, investigations, and enforcement experience in the U.S. and abroad.

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 the UK's Serious Fraud Office (SFO), we routinely advise senior management, accounting professionals, and board members on anti-corruption and global-local issues, helping to identify red flags and resolve potential problems before they arise. V&E's team of lawyers, which includes former prosecutors and international investigative counsel, has deep relationships with the enforcement attorneys at the DOJ, SEC, and the SFO.

Dechert

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 stand-out practices noted by Chambers Global, including global-wide rankings for corporate investigations and white-collar crime. In an increasingly challenging environment, clients look to us to serve them in ways that are faster, sharper and leaner without compromising excellence. Dechert's dedicated investment banking, white-collar crime and compliance team includes former federal prosecutors as well as former government regulators and compliance officers with deep experience in both preventing and resolving anti-corruption compliance issues. Dechert’s partners and associates offer unparalleled scrutiny of their business conduct, Dechert has the global team and resources to help clients find answers to difficult questions and create solutions to high-stakes problems. For more information, visit www.dechert.com.

Paul Hastings

Recognized by Global Investigations Review (GIR) as a Most Impressive Investigations Practice and among the Elite practices in the South Region of GIR's ranking of the world’s leading investigations practices, Paul Hastings has earned an international reputation for representing clients before governmental agencies, handling post-resolution compliance plans; and draft and conduct anti-corruption training. In addition to our strong US-based team, clients benefit from our lawyers with extensive anti-corruption experience in the UK, Germany and China. Global Investigations Review named No. 1 on its 2017 GIR list of the world’s leading investigations and compliance practices, and in 2016, it was named GIR’s ‘Most Impressive Investigations Practice of the Year’ and were identified as having been involved in more public FCPA resolutions than any other law firm.

Willkie Farr & Gallagher LLP

Willkie Farr & Gallagher LLP is a leading international law firm with approximately 700 lawyers. With leading compliance, investigations and enforcement practitioners on both sides of the Atlantic, Willkie Farr & Gallagher represents a cohesive approach to complex regulatory matters, including designing and implementing compliance programs, compliance counseling, transactional and other due diligence, internal investigations, and government investigations, and defending against criminal and civil charges. We have particular experience in matters relating to international business practices, including the FCPA and UK bribery Act. In 2013, Willkie was named one of the Practical Law’s top 10 ‘Foreign Corrupt Practices Act (FCPA) Powerhouses’, and in 2014, named by The American Lawyer as one of the ‘Most Admired’ firms.

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Debevoise & Plimpton LLP is a recognized leader in financial and anti-bribery matters, with deep experience in representing clients in all aspects of compliance with the U.S. Foreign Corrupt Practices Act and analogous laws in other jurisdictions, as well as in defending clients in related enforcement proceedings. Our FCPA and cross-border experience has been involved in the defense of many of the most significant white collar and regulatory enforcement matters in recent decades, providing clients with advice on the most difficult and challenging problems they face. Our experienced attorneys represent a broad range of clients in investigations relating to allegations of FCPA violations; securities and accounting fraud and insider trading, among many others. With today’s aggressive enforcement and whistleblower incentives, it is more valuable than ever to help companies conduct transactional due diligence, as well as to develop and implement compliance programs designed to detect and deter to the extent possible, prevent wrongdoing. For more information about our White Collar Criminal Defense and Investigations capabilities, please visit our website at http://www.klgates.com/litigation-whitecollarcriminaldefenseandinvestigations

Paul Weiss

Paul Weiss has unparalleled experience in counseling and defending U.S. and foreign companies and individuals in matters relating to the U.S. Foreign Corrupt Practices Act and similar anti-corruption laws. We are frequently contacted when a potential corruption issue arises, and are go-to counselors for investigations and enforcement proceedings before the DOJ, the SEC and the Multilateral Development Banks, including the World Bank. In addition, we advise on remedial actions, using our understanding of and experience with enforcement proceedings to help companies develop the advantages and disadvantages of self-disclosure based on the particular client’s circumstances, and where the government is already involved we leverage our experience with the DOJ and the SEC to defend companies and individuals in criminal or civil proceedings.

Saud Advogados

Saud Advogados is a first-tier boutique law firm with a presence in both Rio de Janeiro and São Paulo. You will find local attorneys fully dedicated to compliance and investigations, including pioneers of the practice in Brazil, the firm assists clients in all phases of the defense bar.

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