



Agenda

# Chief Ethics & Compliance Officer Forum

December 10–12, 2023 / The Biltmore Miami, Coral Gables, FL





# Chief Ethics & Compliance Officer Forum

The global marketplace has never been more complex, and the compliance and ethics function has never been more demanding.

Heads of corporate compliance and ethics face as challenging a task as any corporate executives across the globe. Charged with keeping their companies out of trouble amidst a dynamic and sophisticated landscape of regulation, these leaders shoulder an immense burden in building a path to long-term corporate success.

## Thank You To Our Partners



# Agenda

Sunday / December 10, 2023

1:00 PM–  
1:30 PM

GRANADA

## Opening Remarks

1:30 PM–  
2:20 PM

PANEL / GRANADA

## Recent Trends in Ethics and Compliance Training

Explore the latest developments and best practices in promoting ethical behavior and regulatory compliance within organizations. Gain valuable insights from industry experts and discover innovative approaches to enhance training effectiveness.

- ♦ Emerging technologies in ethics and compliance training
- ♦ Leveraging gamification for increased learner engagement
- ♦ Addressing diversity, equity, and inclusion in training programs
- ♦ Measuring and evaluating the impact of ethics and compliance training initiatives



### Joshua Marks

*Global Head of Ethics & Compliance  
Program & Governance  
Takeda Pharmaceuticals*



### Kershwin Singh

*Global Head of Privacy & Compliance  
ZOLL Medical Corporation*



### Elizabeth Soto

*Director, Global Compliance  
Tupperware*



### Rayne Towns

*Global Head of Risk & Monitoring and  
Americas Compliance Leader  
Nokia*



### MODERATOR: Brittany Smith

*Account Director  
NAVEX*

2:30 PM–  
3:20 PM

PANEL / GRANADA

## Best Practices in Corporate Investigations

In this session, panelists will discuss proven methodologies for conducting thorough and fair investigations. They will address topics such as evidence collection, interviewing techniques, documentation, and maintaining objectivity throughout the process. Attendees will gain actionable tips for conducting effective investigations that uphold the principles of transparency, fairness, and integrity.



### David Kass

*Chief Compliance Officer  
Verizon*



### Michael Sayne

*Head of Compliance & Employment  
Pilot Company*



### Karen Stringer

*Vice President, Assistant General Counsel,  
and Deputy Chief Compliance Officer  
Syneos Health*



### Peter Zanolin

*Head of Global Compliance and Senior  
Associate General Counsel  
Jabil*



### MODERATOR: Robert Maddox

*Partner  
Bradley*

3:30 PM–  
5:30 PM

BUSINESS MEETINGS / ALHAMBRA

## Business Meetings

3:30 PM–  
4:20 PM

KNOWLEDGEBRIDGE™ / MAJORCA

### DOJ's M&A Safe Harbor Policy and Best Practices for Transactional Diligence and Integration

We will discuss DOJ's new Mergers and Acquisitions Safe Harbor Policy and best practices that companies should consider to best position themselves for success during pre- and post-acquisition diligence, compliance integration, and in the event of the need to consider voluntary disclosure.



**CO-MODERATOR:**  
**Ashley Nyquist**  
*Of Counsel*  
Covington & Burling LLP



**CO-MODERATOR:**  
**Adam Studner**  
*Of Counsel*  
Covington & Burling LLP

4:30 PM–  
5:20 PM

KNOWLEDGEBRIDGE™ / MAJORCA

### How Best To Incentivize Ethical Behavior

Join Dan and Caitlin for an informal discussion about incentivizing ethical behavior, including:

- ♦ Best practices in setting and communicating expectations
- ♦ Common pitfalls that inadvertently disincentivize ethical behavior
- ♦ How to communicate and advocate for your company's ethics and compliance program with regulators



**CO-MODERATOR:**  
**Dan Chaudoin**  
*Partner*  
Winston & Strawn LLP



**CO-MODERATOR:**  
**Caitlin Mandel**  
*Partner*  
Winston & Strawn LLP

5:30 PM–  
6:20 PM

PANEL / GRANADA

### Implementing the New DOJ ECCP Guidelines

As you're well aware, the DOJ recently updated its "Evaluation of Corporate Compliance Programs (ECCP)" for use by their prosecutors in determining what constitutes an effective compliance program. But what should we as compliance officers do with the information about the updates? This discussion around the new DOJ ECCP implementation may cover the following:

- ♦ HHS OIG changes to their corporate integrity agreement and how to include all of those changes in a compliance program
- ♦ Compensation clawback
- ♦ BYOD/Messaging apps
- ♦ Ephemeral messaging



**Greg Brower**  
*Chief Global Compliance Officer*  
Wynn Resorts



**Scott Golde**  
*Senior Vice President and Enterprise Chief Ethics & Compliance Officer*  
Jackson Financial Inc.



**Justin Ross**  
*Chief Compliance Officer*  
FedEx Corporation



**Betty Ungerman**  
*Vice President, Deputy General Counsel, and Chief Ethics & Compliance Officer*  
Lennox International Inc.



**MODERATOR:**  
**Harper Wells**  
*Chief Compliance Officer*  
Learning Pool

6:20 PM–  
6:40 PM

PANEL / GRANADA

### Spotlight on Our Partners

6:40 PM

MEAL / OUTSIDE COURTYARD

### Welcome Cocktail Reception and Dinner

Monday / December 11, 2023

7:30 AM–  
8:20 AM

MEAL / OUTSIDE COURTYARD

**Breakfast**8:30 AM–  
9:20 AM

PANEL / ALHAMBRA

**Strategies for Successfully Embedding Compliance Into the Business**

Though resources in the Legal/Compliance/Risk field are limited, the regulatory and controls environment is increasing. This panel will feature practical examples on what compliance officers are doing despite these challenges.

**Andrew Dunbar**

Senior Vice President and  
Chief Compliance Officer  
Herbalife

**Martha Sarra**

Vice President and Chief Ethics  
& Compliance Officer  
The Kroger Co.

**Q VanBenschoten**

Chief Compliance Officer, Americas  
Intertek

**Jennifer McGee**

Senior Vice President and Chief  
Global Compliance Officer  
Otsuka Pharmaceutical Companies

**Michael Spencer**

Chief Counsel and Chief Ethics  
& Compliance Officer  
Rimini Street, Inc.

**MODERATOR:****Lauren Wallace**

Chief Privacy Officer & General Counsel  
RadarFirst

9:30 AM–  
11:30 AM

BUSINESS MEETINGS / GRANADA

**Business Meetings**9:30 AM–  
10:20 AM

KNOWLEDGEBRIDGE™ / MAJORCA

**Enhanced Due Diligence at Scale and at Speed: Is Effective Technology Finally Arriving?**

All compliance officers have been hoping and waiting for technology that would properly allow them to address the requirement for enhanced due diligence at scale and speed. Basic screening against compliance data isn't good enough. But in-depth due diligence is too much, too expensive, and takes too long. This session will ask whether new technologies—including generative AI—are going to be effective in the compliance space and solve the “due diligence problem.”

- How companies are adopting AI tools to automate due diligence
- The challenges of adverse media screening at scale
- The legal risks around these technologies

**MODERATOR:****Gavin Proudley**

Head of Third-Party Risk Proposition  
Dow Jones Risk & Compliance

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**10:30 AM–  
11:20 AM**

KNOWLEDGEBRIDGE™ / MAJORCA

### **DOJ Requirements of a Continuous Improvement Process for Your Compliance Policies and Procedures**

Join us for an informal peer-to-peer discussion focused on why compliance program continuous improvement is a key milestone in the DOJ Update (March 2023). Some example discussion topics below:

- ♦ What business factors are driving the need for a change in policy or procedure?
- ♦ How has the dynamics of Covid forced a change in policy or procedure and are corporations keeping up with the needed changes?
- ♦ How have the world political and war dynamics forced a rapid change in policy and procedure?
- ♦ Can the technology vendors empower you to keep up with the requirements for continuous and rapid improvement or are they blocking you from achieving your requirements?
- ♦ What are the top 5 areas of Improvement corporations are facing in the next 2 years?



**MODERATOR:**

**David Castrucci**

*Chief Executive Officer*  
319 InSight

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**11:30 AM–  
12:20 PM**

KNOWLEDGEBRIDGE™ / ALHAMBRA

### **Using AI for Compliance Programs**

There is a lot of hype around AI right now. Join this session to find out the real use cases for compliance and ethics professionals. This interactive workshop will show—not tell—you what is possible and what isn't. You'll consider topics like:

- ♦ An MS Outlook plug-in to reply to routine compliance questions
- ♦ A compliance chatbot that actually works
- ♦ Intelligent policy management and insights into your policies



**MODERATOR:**

**Michael Grupp**

*Chief Executive Officer*  
BRYTER

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**12:30 PM–  
1:20 PM**

MEAL / OUTSIDE COURTYARD

**Lunch**

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1:30 PM–  
2:20 PM

PANEL / ALHAMBRA

### Addressing Nuances in Third-Party Risk Management

- ♦ How are you embedding or merging the different types of third-party due diligence (human rights, sustainability, anti-corruption, sanctions, financial, etc.)?
- ♦ Does your company address these due diligence requirements through a consolidated third-party risk management program or in silos?
- ♦ Does the company use a specific platform to manage these risks?
- ♦ What are some best practices around the involvement of the business units, Procurement, and other departments in conduct of the due diligence, evaluation of risks, design of risk mitigation plans, implementation of those plans, and management of the resulting residual risk?
- ♦ What best practices can you share around franchisee or JV compliance programs, et al.?
- ♦ What do you do when there's a negative third-party review?
- ♦ What does third-party due diligence monitoring of sponsorships and donations look like for you?
- ♦ What are some past practices for managing high-risk and ultra-high-risk third parties in high-risk countries?



**Cindy Durkin**

*Vice President, Compliance & Ethics  
Kohler Co.*



**Tim Moore**

*Associate General Counsel  
Corium*



**Robert Shoemaker**

*Chief Compliance Officer  
Veolia Water and Technology Solutions*



**Christopher Tierney**

*Principal Counsel, Compliance  
Bechtel*



**MODERATOR:**

**David Fisher**

*President and Chief Operating Officer  
TDI*

2:30 PM–  
4:30 PM

BUSINESS MEETINGS / GRANADA

### Business Meetings

2:30 PM–  
3:20 PM

KNOWLEDGEBRIDGE™ / ALHAMBRA

### From Fines to Failures: Third-Party Risk, Sanctions, and Corporate Accountability

- ♦ What would your organizations do to avoid a similar fate?
- ♦ What controls do you think would have helped prevent these fines?
- ♦ And if a fine like these occurred in your organization, how would your organization respond?



**MODERATOR:**

**Bill Hauserman**

*Senior Director, Financial Crime  
Compliance & Third-Party Risk Practice  
Moody's Analytics*

3:30 PM–  
4:20 PM

KNOWLEDGEBRIDGE™ / MAJORCA

### Ephemeral Expeditions: Navigating the Dangerous Terrain of Compliance in Messaging

- Understanding internal and external partnerships to address data retention, archiving, and regulatory compliance
- Mitigating related risks and challenges faced in investigations and litigation matters (i.e., timely prevention and detection of potential non-compliance)
- Balancing privacy and compliance regarding “off-/side-channel” communications, including training, monitoring and auditing, and data governance



**CO-MODERATOR:**

**David Cowen**

*Vice President*  
Charles River Associates



**CO-MODERATOR:**

**Jeff Garfield**

*Vice President, Forensic Services*  
Charles River Associates

4:30 PM–  
5:00 PM

PANEL / ALHAMBRA

### Spotlight on Our Partners

5:00 PM–  
5:50 PM

PANEL / ALHAMBRA

### Digitizing Compliance: How To Enable Success and Shape the Future of Business

Compliance transformation is a never-ending journey. Against a challenging backdrop, compliance leaders must prepare to flex and pivot to four distinct models: strategic business advisor, culture and ethics steward, tech and analytics champion, and an aligned assurance partner. In this panel discussion, we will examine how compliance officers are implementing the necessary changes to proactively reshape the way their organizations manage risk.



**Darryl Cyphers Jr.**

*Senior Director, Legal Compliance*  
Klaviyo



**Sepideh Moghadam**

*Head, Integrity & Compliance  
& Global Strategy*  
Indivior



**Joseph Sherno**

*Chief Compliance Officer*  
QBE North America



**Chris Zitzer**

*Vice President and Chief Compliance Officer*  
AmeriHealth Caritas



**MODERATOR:**

**Chad Hill**

*Chief Revenue Officer*  
Trust Your Supplier

6:30 PM

MEAL / OUTSIDE COURTYARD

### Networking Dinner and Entertainment

Tuesday / December 12, 2023

7:45 AM–  
8:20 AM

MEAL / OUTSIDE COURTYARD

### Breakfast



8:30 AM–  
9:20 AM

PANEL / ALHAMBRA

**How Technology and AI Are Revolutionizing the Compliance and Ethics Space**

AI can be a valuable tool for compliance officers; it can help them identify potential risks, monitor employee behavior, generate reports, provide recommendations, and educate employees about compliance. What benefits have Chief Ethics and Compliance Officers derived from their use of AI and what pitfalls should we be aware of moving forward?

**Christopher Graham**

Senior Vice President, Compliance & Ethics  
Georgia-Pacific LLC

**Frank La Fontaine**

Senior Vice President, Global Compliance  
TelevisaUnivision

**Neta Meidav**

Chief Executive Officer  
Vault Platform

**Thomas Pfennig**

Senior Vice President and Global Head of  
Compliance, Data Privacy & Legal Express  
Bayer

**Vaughn Swartz**

Chief Compliance Officer and  
Managing Director  
Rabobank

**MODERATOR:  
Tori Reichman**

Chief Customer Officer  
Vault Platform

9:30 AM–  
10:30 AM

BUSINESS MEETINGS / GRANADA

**Business Meetings**9:30 AM–  
10:20 AM

KNOWLEDGEBRIDGE™ / MAJORCA

**Nudging Out Retaliation: Utilizing Behavioral Science To Activate a Speak-Up Culture of Integrity**

In this session, we will examine why retaliation persists despite policies, through behavioral economics concepts like in-group bias, conformity, and social reinforcement of unethical norms. We will draw on insights from game theory, prospect theory, and reinforcement learning that show rewards and recognition can outweigh retaliation risks and explore formal and informal incentives to activate employee voice.

- Recognize innate human social behaviors that fuel retaliation
- Understand the limitations of rules/policies without culture change
- Learn strategies to transform culture by addressing social drivers

**CO-MODERATOR:  
Giovanni Gallo**

Co-Chief Executive Officer and  
Chief Technology Officer  
Ethico

**CO-MODERATOR:  
Nick Gallo**

Chief Servant  
Ethico

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**10:30 AM–  
11:20 AM**

**PANEL** / ALHAMBRA

### **Compliance Officers Beware!: Emerging Risks**

- How do you go through the process of identifying, measuring, and monitoring the mitigation of emerging risks?
- Navigating compliance requires turning on a dime and changing your business plans and assumptions almost overnight.



**Bobby Butler**

*Corporate Compliance Counsel*  
Indorama Ventures Ltd.



**Jeffrey Lewis**

*Chief Compliance Officer*  
Sinclair Broadcast Group



**Jim Portnoy**

*Vice President, Global Compliance*  
SharkNinja



**MODERATOR:**  
**Christie Kim**

*Chief Operating Officer*  
Persona

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**11:30 AM**

GRANADA

### **Closing Remarks**

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# Consero On-Site Team



**Christopher Boucher**  
*Senior Vice President*  
Consero



**Katie Brooks**  
*Manager, Program Development*  
Consero



**Natalie Cohen Smith**  
*Senior Vice President*  
Consero



**Lauren Fookes**  
*Director, Event Operations*  
Consero



**Lilly McCormick**  
*Senior Director, Client Services*  
Consero



**Louisa McKenney**  
*Director, Strategic Partnerships*  
Consero

## Venue Floorplan

