CONTENTS:

PROGRAM SCHEDULE ........................................................................... 11

FACULTY BIOS ...................................................................................... 17

   Rebecca Walker
   Kaplan & Walker LLP

2. Selected Articles on Compliance Programs and the Law from the Conflict of Interest Blog............................................. 115
   Jeffrey M. Kaplan
   Kaplan & Walker LLP

3. The Apple Monitor’s First Report: Serious Lessons on Compliance Programs ................................................................. 127
   Joseph E. Murphy
   Senior Advisor
   Compliance Strategists, LLC

4. Compliance & Ethics As A Profession—In the Public Interest ..... 135
   Joseph E. Murphy
   Senior Advisor
   Compliance Strategists, LLC

5. Discipline for “Failure to Take Reasonable Steps”: Could You Find Even One Example in Your Company? (May/June 2013) .................................................................................................................. 149
   Joseph E. Murphy
   Senior Advisor
   Compliance Strategists, LLC
6. Why You Should Insist On A Board Resolution For Your C&E Program and CECO (July/August 2013) ...................... 153
   Joseph E. Murphy
   Senior Advisor
   Compliance Strategists, LLC

7. “Industry Practice”—What Does This Mean For Your Program? (June 2014) ......................................................... 157
   Joseph E. Murphy
   Senior Advisor
   Compliance Strategists, LLC

   Joseph E. Murphy
   Senior Advisor
   Compliance Strategists, LLC

9. An Overview of Corporate Compliance and Ethics Programs...... 165
   Paul E. McGreal
   Dean and Professor of Law
   University of Dayton School of Law

10. Reporting to the Board on the Compliance and Ethics Program (June 2014) ......................................................... 187
    Rebecca Walker
    Jeffrey M. Kaplan
    Kaplan & Walker LLP

11. Selected Articles on Program Oversight and Management from the Conflict of Interest Blog ......................... 197
    Jeffrey M. Kaplan
    Kaplan & Walker LLP

12. “Parental Controls”: Anti-Corruption Compliance Programs for Joint Ventures, Subsidiaries and Franchisees ......................... 207
    Jeffrey M. Kaplan
    Rebecca Walker
    Kaplan & Walker LLP
13. Management and Oversight of Compliance Programs
   (PowerPoint slides) ................................................................. 219
   Kimberly Strong
   Vice President, Chief Ethics & Compliance Officer
   Consolidated Edison Company of New York, Inc.

14. Ethics & Compliance Program Training and Communication...... 229
   Anne Tkacs
   Managing Director of Ethics and Compliance
   AGL Resources Inc.

   Attachment 1: Case Study on Sexual Harassment ................. 237
   Attachment 2: Trust Track Monthly Self-Assessment............. 243

15. Ethics and Compliance Program Communication and
    Training (PowerPoint slides) .................................................. 247
   Anne Tkacs
   Managing Director of Ethics and Compliance
   AGL Resources Inc.

16. Compliance and Ethics Programs; Perspectives:
   4 Speeches from Chair Mary Jo White ............................... 267
   Alice L. Schulman
   Assistant Regional Director
   IA/IC Exam Program
   U.S. Securities and Exchange Commission

   Attachment 1: Remarks at National Society of Compliance
                 Professionals National Membership Meeting ....... 269
   Attachment 2: 41st Annual Securities Regulation Institute
                 Coronado, Calif. ......................................................... 285
   Attachment 3: Chairman’s Address at SEC Speaks 2014 ........ 301
   Attachment 4: A Few Things Directors Should Know
                 About the SEC ............................................................... 313

17. Just What Is “Reasonable Assurance”? (January 22, 2014) .... 327
   Jose Tabuena
   Vice President, Compliance Counsel
   Business Partner in Healthcare
18. Leveraging the Power of Audit Sampling (March 11, 2014) ........335
    Jose Tabuena
    Vice President, Compliance Counsel
    Business Partner in Healthcare

19. Surveys as Internal Auditing Tool (September 7, 2011) ..........343
    Jose Tabuena
    Vice President, Compliance Counsel
    Business Partner in Healthcare

20. Can You Audit Corporate Culture? (May 29, 2013) ..............351
    Jose Tabuena
    Vice President, Compliance Counsel
    Business Partner in Healthcare

21. Auditing the Compliance Hotline (September 11, 2012) .......359
    Jose Tabuena
    Vice President, Compliance Counsel
    Business Partner in Healthcare

22. Isn’t That a Conflict? The Internal Auditor’s Role in
    Scrutinizing Related Parties (July 15, 2014) .........................367
    Jose Tabuena
    Vice President, Compliance Counsel
    Business Partner in Healthcare

    Fight Workplace Discrimination and Harassment and
    Promote Workplace Diversity On A Global Scale
    (September 2013) ................................................................375
    Donald C. Dowling, Jr.
    White & Case LLP

24. Launching a Whistleblower Hotline Across Europe
    (December 2011) ................................................................397
    Donald C. Dowling, Jr.
    White & Case LLP

25. Launching a Global Whistleblower Hotline—Beyond Europe
    (January 2012) ..................................................................407
    Donald C. Dowling, Jr.
    White & Case LLP
26. How to Implement a Cross-Border Human Resources Policy (February 2012) ................................................................. 415
   Donald C. Dowling, Jr.
   White & Case LLP

27. Global Codes of Conduct (March 2012) ........................................ 423
   Donald C. Dowling, Jr.
   White & Case LLP

   Donald C. Dowling, Jr.
   White & Case LLP

29. Global Compensation, Bonus and Benefits Plan Checklist (March 2014) ............................................................................ 459
   Donald C. Dowling, Jr.
   White & Case LLP

30. Global Employee Handbooks (April 2014) ...................................... 467
   Donald C. Dowling, Jr.
   White & Case LLP

31. Globally Auditing Human Resources Compliance (May 2014) .................................................................................... 475
   Donald C. Dowling, Jr.
   White & Case LLP

32. Internal Investigations in Overseas Workplaces (April 2013) ....... 483
   Donald C. Dowling, Jr.
   White & Case LLP

33. Social Media and Compliance: Risks and Rewards (July 31, 2014) .............................................................................. 499
   Kathleen K. Edmond
   Robins, Kaplan, Miller & Ciresi L.L.P.
   David Stuart
   Cravath Swaine & Moore LLP

34. Selected Articles on Risk Assessment from the Conflict of Interest Blog ................................................................. 507
   Jeffrey M. Kaplan
   Kaplan & Walker LLP
35. **Beginning With The End In Mind:**
Planning For A Purpose-Built, Cost-Effective Risk Assessment .................................................. 523
Scott Killingsworth
*Bryan Cave*

36. **Risk Assessment for Small and Mid-sized Companies** .......... 541
Jeffrey M. Kaplan
*Kaplan & Walker LLP*

37. **Structuring Helpline Investigations: One Practitioner’s View of the Impact of Culture and Triage** ......................... 547
Laurel L. Burke
*Associate General Counsel—Compliance Regal Beloit Corporation*

38. **Sample Training Materials** ....................................................... 557
Laurel L. Burke
*Associate General Counsel—Compliance Regal Beloit Corporation*

39. **SEC Adopts Dodd-Frank Whistleblower Rules**
(May 26, 2011) .............................................................................. 565
David Stuart
*Cravath Swaine & Moore LLP*

40. **Selected Articles on Ethics and Culture from the Conflict of Interest Blog** ........................................................ 571
Jeffrey M. Kaplan
*Kaplan & Walker LLP*

41. **Ethical Culture: A Conversation Between Jeff Kaplan and Steve Priest** ................................................. 599
Steven Priest
*President Integrity Insight International, LLC*

INDEX ................................................................................................... 609

Program Attorney: Meghan K. Carney