

Event	Time	Duration	Description	Speakers
Wednesday Morning February 21, 2018				
Registratration Opens	8:00am - 8:50am			
Welcoming Remarks	8:50am - 9:00am			Rita Kirk , Director of the SMU Maguire Center for Ethics and Public Responsibility
Why Effective Compliance Programs Matter	9:00am - 10:00am	60 mins	A look at why companies are establishing corporate compliance programs; designing and implementing effective programs; best practices in refining and pressure testing compliance programs; and recent OECD, SEC and DOJ compliance guidance.	Jason Varnado , Jones Day Cindy Moehring , Senior Vice President, US Chief Ethics and Compliance Officer for Walmart
Break	10:00am - 10:15am			
Creating a Culture of Integrity: Ethics for the 21st Century	10:15am - 11:15am	60 mins	Compliance and ethics professionals focus on regulatory matters and legalities. But for many, an additional challenge is creating an environment where employees make sound decisions geared toward doing the right thing. The panel will explore the key actions compliance officers can take to foster this cultural shift within their organizations, including inspiring best-practice case studies from companies who've implemented culture change, with insights on how they deal with ethical dilemmas when these arise and; powerful arguments to help you make the business case for building a strong ethical culture around your compliance system.	Rita Kirk , SMU Maguire Center for Ethics & PR, Moderator Randall M. Ebner , GC, Exxon Mobil Corporation Jack Lowe, Jr. , former Chairman of the Board, TDIndustries
Enterprise Level Risk Management	11:15am - 12:00pm	45 mins	This session provides compliance professionals with a practical discussion of strategic enterprise risks that may be of most interest to them with a focus on fraud, ethics, corruption and culture.	Holly Tucker , Deloitte Risk and Financial Advisory Rosario E. Heppe , Executive Director, Corporate Compliance, Fluor Betty Ungerman , Vice President and Chief Ethics & Compliance Officer, Lennox, International Wendy Wang , Vice President & Associate General Counsel, Mary Kay Inc.
Wednesday Afternoon February 21, 2018				
Remarks	12:00pm - 12:15pm			Mathew Myers , Dean of the Edwin L. Cox School of Business
Keynote Luncheon Address	12:15pm - 1:15pm	30 mis	The Value of Building an Ethical Culture	David Huntley , Senior Executive Vice President- Chief Compliance Officer, AT&T
An Inside Look at Insider Trading	1:15pm - 2:00pm	45 mins	An examination of the practical and legal aspects of insider trading regulation, with focus on law-compliant conduct as well as key judicial and SEC developments.	Marc I. Steinberg , Rupert and Lillian Radford Professor of Law at SMU Dedman School of Law
Break	2:00pm - 2:15pm			
Managing an Internal Investigation (Part 1)	2:15pm - 3:15pm	60 mins	An exploration of the dynamics of an internal investigation; best practices in conducting and documenting internal investigations; practical tips and strategies to successfully handle internal investigations; key considerations of conducting investigations in today's environment, including those that include cross-border considerations; the consideration of privilege and other practical knowledge	Joshua S. Roseman , Jones Day Holly Tucker , Deloitte Risk and Financial Advisory Scott E. Sullivan , Chief Ethics & Compliance Officer, Flowserve Corporation
Break	3:15pm - 3:30pm			

Managing an Internal Investigation (Part 2)	3:30pm - 4:15pm	45 mins	An exploration of the dynamics of an internal investigation; best practices in conducting and documenting internal investigations; practical tips and strategies to successfully handle internal investigations; key considerations of conducting investigations in today's environment, including those that include cross-border considerations; the consideration of privilege and other practical knowledge	Joshua S. Roseman , Jones Day Holly Tucker , Deloitte Risk and Financial Advisory Scott E. Sullivan , Chief Ethics & Compliance Officer, Flowserve Corporation
Sustainability and Compliance	4:15am - 5:15pm	60 mins	The tie of sustainability to compliance and the need to avoid short term thinking.	Marc Kesselman , General Counsel, Corporate Secretary & Government Affairs at Yum! Brands David Woodcock , Jones Day
An Executive Dialogue on Board and Executive Management Oversight	5:15pm - 6:00pm	45 mins	Learn about the increasing role the board plays in overseeing investigations; best practices in board and committee oversight; the role of chief compliance and ethics officers in the process; the interaction with internal audit, human resources, and other departments; as well as board fiduciary obligations and oversight.	Miguel Quinones , O. Paul Corley Distinguished Chair in Organizational Behavior Billie Williamson , Independent Director at Pentair, CSRA, Energy Future Holdings, ITT Exelis, and Annie's Inc.
Adjourn to Networking Reception	6:00pm			
Event	Time	Duration	Description	Speakers
Thursday Morning February 22, 2018				
Networking Breakfast	7:30am - 7:50am			
Welcoming Remarks	7:50am -8:00am			Jennifer Collins , Dean of SMU Dedman School of Law
Effectively Dealing with Whistleblowers	8:00am - 8:45am	45 mins	A look at whistleblower motivations and protections under Sarbanes Oxley and Dodd-Frank Act; best practices for responding to hotline reports and misconduct; preventing and managing claims of whistleblower retaliation; OWB's focus on restrictive employment, confidentiality and severance agreements; and which whistleblower tips are more likely to be assigned for investigation.	Eric F. Hinton , Chief Ethics & Compliance Officer and adjunct professor, SMU Dedman School of Law, Moderator Eric Werner , Enforcement Supervisor, U.S. Securities and Exchange Commission
Leveraging Tools and Technologies to Modernize Compliance	8:45am - 10:00am	75 mins	Hear about the use of data analysis tools and techniques to identify and evaluate patterns and anomalies in financial, operational and transactional data relating to business assurance, business effectiveness and regulatory non-compliance.	Larry Kanter , SMU Cox School of Business Yvette Ostolaza , Managing Partner, Sidley Austin LLP
Break	10:00am- 10:15am			
Case Discussion- A Letter from Prison	10:15am- 12:00pm	105 mins	Stephen Richards, the former global head of sales at Computer Associates, Inc. (CA), is serving a seven-year prison sentence for financial fraud. In the case, Richards responds to a number of questions about managerial responsibility and the manipulation of financial performance in a letter written to a graduate student. The interactive case study is a complex account of the perpetrator, the shifting backdrop of cultural and legal norms governing ethical business conduct, and the competitive corporate contexts that can lead to ethical lapses ultimately deemed illegal.	Hemang Desai , Robert B. Cullum Professor of Accounting, SMU Cox School of Business
Adjourn	12:00pm			
	Total Hours	11.25 hours		