

UNIVERSITY of **HOUSTON** | LAW CENTER

YOU ARE INVITED TO THE

THIRD ANNUAL  
**ETHICS & COMPLIANCE SYMPOSIUM**

JUNE 13, 2014



NYSE GOVERNANCE SERVICES

BRACEWELL  
& GIULIANI

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# About the Event

## PLANNING COMMITTEE

**Tom Costa** - Vice-President—Compliance and Ethics (Bristol Myers)

**Andy Hinton** - Vice-President and Chief Compliance Officer (Google)

**Jay Martin** - Vice-President, Chief Compliance Officer, and Senior Deputy General Counsel (Baker Hughes)

**Mary Moreland** - Assistant General Counsel—International & Compliance (Quanta Services)

**Dianne Ralston** - Deputy General Counsel—Government Affairs, Litigation, and IP Enforcement (Schlumberger Limited)

**David Searle** - Director of Compliance (Nexeo Solutions)

**Daniel Trujillo** - Senior Vice President and Chief Compliance Officer (Walmart International)

Ethics and compliance challenges affect an organization's performance, its reputation and, ultimately, its survival. This Symposium is meant to provide practical advice about real-world legal and ethical challenges that face compliance officers. This year's conference focuses on the fundamentals of a compliance program from the perspective of the Board of Directors. Attendees will learn how Fortune 500 companies are conducting risk assessments, training, communication plans, program tracking, and monitoring program implementation and execution to navigate the legal requirements of the United States Sentencing Guidelines and other regulatory frameworks.

The Symposium has gathered an impressive faculty of ethics and compliance professionals from a diverse range of industries who will share not only their legal expertise but their hands-on experiences in dealing with compliance and ethics challenges. In addition, the University of Houston will share data from its empirical Code of Conduct database throughout the day that will show how Fortune 500 companies are addressing topics such as facilitation payments, data privacy, social media, and political contributions.

This timely event will be valuable to both those who are new in the role of ethics and compliance and those who have spent years on the front lines.

# Agenda

7:30 a.m. - 9:00 a.m.  
**Registration and Breakfast**

8:00 a.m. - 9:00 a.m.  
**Optional Compliance Bootcamp**

Broad overview of compliance program key elements to meet legal requirements and best practices.  
**Ryan McConnell** and **Daniel Trujillo** (Sr. VP and CCO Walmart International)

9:00 a.m. - 9:10 a.m.  
**Welcome Remarks**

**Richard Alderman** (Interim Dean of UH),  
**Ryan McConnell** and **Eric Morehead** (VP and Sr. Compliance Counsel of NYSE Governance Services)

9:10 a.m. - 9:45 a.m.  
**Morning Keynote Address: Leadership**

How to recruit 2.2 million compliance and ethics professionals? This key note will focus on building a program using the legal framework set forth by the U.S. Sentencing Commission and other regulatory authorities that aligns the compliance organization to the business to achieve a world class compliance and ethics program.  
**Daniel Trujillo** (Sr. VP and CCO Walmart International)

9:45 a.m. - 10:45 a.m.  
**Tone from the Top Panel Discussion**

What does “Tone from the Top” mean? What are the Board’s expectations for corporate ethics and compliance? How does the company execute the Board’s expectations and meet legal requirements? How can compliance programs show leadership and ethics?

Moderator: **Troy Paredes** (Former SEC Commissioner)  
Panelists: **Mary Ricciardello** (Board of Directors of Noble Corp.) and **Phil Wedemeyer** (Board of Directors of Atwood Oceanics, Inc.)

10:45 a.m. - 10:55 a.m.  
**Polling Questions**

University of Houston Business and Tax Journal  
Polling Questions from Database.

10:55 a.m. - 11:55 a.m.  
**Technology and Compliance**

How are compliance programs using technology to manage legal risk and address areas like program tracking, data security, and third party screening? Is it working? What are ethical challenges that lawyers may face implementing technology solutions within an organization? Does it make the program better? Why?

Moderator: **Andy Hinton** (VP and CCO of Google)  
Panelists: **Tim McInturf** (Exec. VP and GC of Quantlab Financial), **Ben Morof** (CCO and AGC of Teza Technologies) and **John Price** (Global Litig. and Compliance Counsel of CEVA Logistics)

11:55 a.m. - 12:15 p.m.  
**Polling Questions and Pickup Lunch**

University of Houston Business and Tax Journal  
Polling Questions from Database.

12:15 p.m. - 1:10 p.m.  
**Lunch Keynote**

**Jim Doty** (Chairman of PCAOB)

# Agenda

## 1:10 p.m. - 2:05 p.m. Third Parties

Whether it's trade or anticorruption, third parties pose significant legal and ethical risks. How should companies manage these risks ethically? What are the Boards' expectations for managing third party risk in the ethics and compliance program? How should the Board be informed of efforts by the legal and compliance functions?

Moderator: **David Searle** (Director of Compliance of Nexeo Solutions)

Panelists: **Luis Kolster** (VP & CO of Walmart International) and **Shane Kimzey** (Deputy CLO of CEVA Logistics)

## 2:05 p.m. - 2:15 p.m. Polling Questions

University of Houston Business and Tax Journal  
Polling Questions from Database.

## 2:15 p.m. - 3:15 p.m. Auditing & Monitoring

How should internal audit work with compliance? What should auditing do? What is the legal framework? How should results be communicated to the board? What are the ethics considerations?

Moderator: **Ryan Pratt** (Principal—Fraud Investigation & Dispute Services of EY)

Panelists: **Dan Chapman** (CCO of Parker Drilling) and **Douglas Walter** (CCO of Phillips 66)

## 3:15 p.m. - 3:25 p.m. Polling Questions

University of Houston Business and Tax Journal  
Polling Questions from Database.

## 3:25 p.m. - 4:25 p.m. Managing Risk

How are companies using risk assessments to manage legal risk? What are the latest trends in risk assessments? How are companies using objective data in their risk assessment process? What are some of the ethical challenges faced when conducting risk assessments?

Moderator: **Michael Hershman** (Co-founder of Transparency International, President and CEO of The Fairfax Group)

Panelists: **Jay Martin** (VP, CCO, and Sr. Deputy GC of Baker Hughes) and **Kimberly S. Walker** (Transocean Associate General Counsel & Deputy Chief Compliance Officer)

## 4:25 p.m. - 5:25 p.m. Internal Investigations for Compliance Failures (Presentation, Panel or Interview)

How should compliance professionals communicate compliance failures to the Board? What does the Board want to know? When should the Board get its own lawyers? Why? Are there any ethical pitfalls for lawyers conducting internal investigations?

Moderator: **Dianne Ralston** (Deputy GC of Schlumberger)

Panelists: **Jeff Vaden** (Partner of Bracewell & Giuliani) and **Brady Long** (VP—GC of Ensco)

## 5:25 p.m. - 5:30 p.m. Closing

**Jay Martin** (VP, CCO, and Sr. Deputy GC of Baker Hughes)

## 5:30 p.m. - 5:50 p.m. Networking reception



# Registration

To complete the electronic registration process please visit <https://www.regonline.com/2014compliancesymposium>

## Continuing Legal Education:

Symposium accredited for 6 Texas CLE hours, including 3 hours of ethics. If you attend the Optional Compliance Bootcamp you will receive an additional 1 hour of CLE and 1 hour ethics for a total of 7 hours CLE with 4 hours of ethics included.

## Fee to Attend:

US\$395 before May 15<sup>th</sup> (US\$495 after). We ask that all registrations be submitted no later than Friday, May 30<sup>th</sup>, if possible.

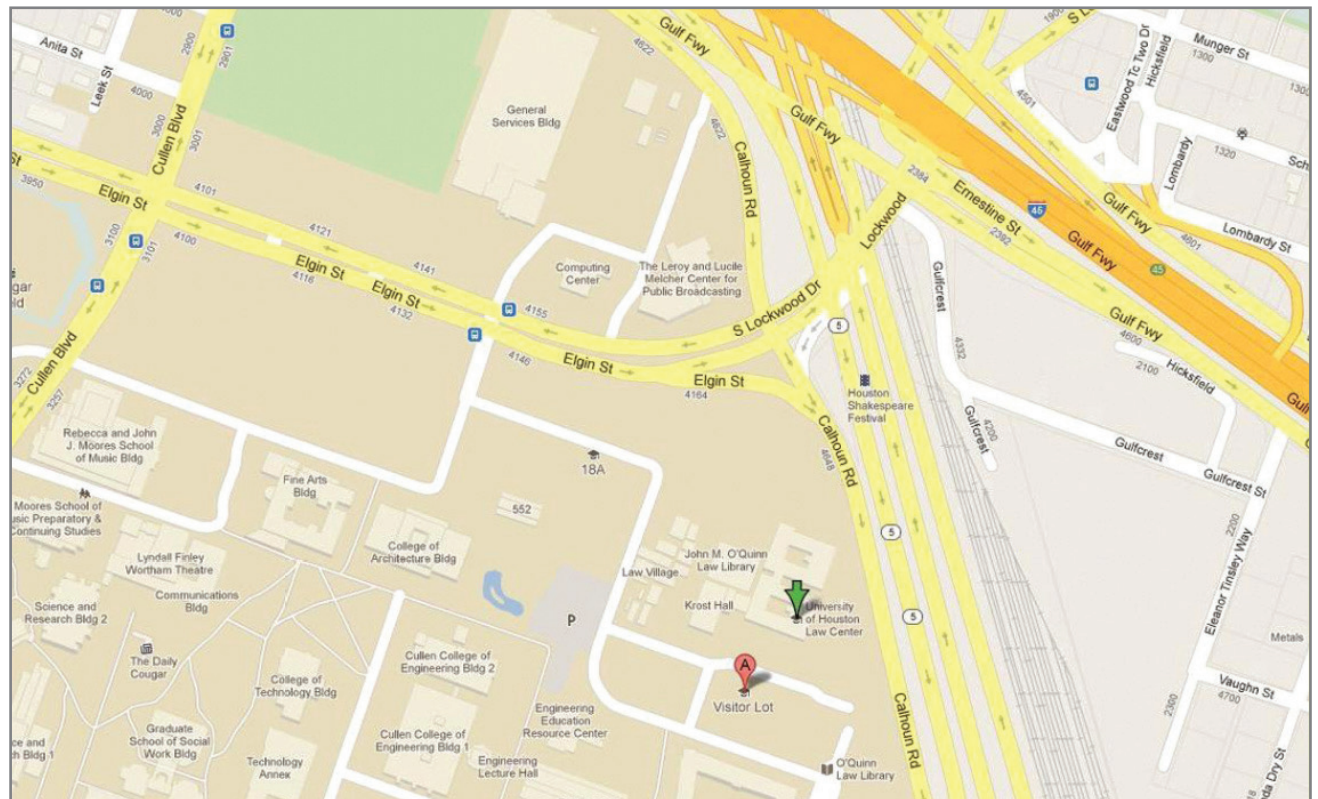
## Additional Information:

Additional information regarding the Symposium can be obtained by contacting the registration hotline at 713-743-4570.

The University of Houston is an EO/AA institution.

# Parking Information

This symposium will be held at the University of Houston Law Center located at 100 Law Center, Houston, TX, 77204. Registration and a continental breakfast begin at 7:30 a.m. and the symposium will take place from 9:00 a.m. - 5:30 p.m. Complimentary parking will be available for the entirety of the event in the UH Law Center lot 19B, located directly next to the UH Law Center Bates Law Building (BLB). No parking permit will be needed for this lot only. After parking in the lot, walk inside of the UH Law Center Bates Law Building and follow the signs to room 144BLB.



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