

FACULTY

Outstanding faculty includes diverse perspectives and combined expertise of in-house counsel, compliance officers, and private practitioners.

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Course Chair

Director of Compliance, North America
Carlson Wagonlit Travel
Minnetonka

Mike Brennan

Vice President
Corporate Compliance & Ethics
Target
Minneapolis

Richard G. Erstad

Vice President & General Counsel
Hawkins, Inc.
Minneapolis

Beth Forsythe

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Chief Compliance Officer
United International Pictures
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Samia Christine Haddad

Compliance Officer & General Counsel
Oregon Anesthesiology Group, PC
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CORPORATE COMPLIANCE PROGRAMS

A NEW Seminar for
Corporate Counsel
& Compliance Professionals

Tuesday, January 26, 2016
Video replay details inside.



Minnesota Continuing Legal Education

CORPORATE COMPLIANCE PROGRAMS

A NEW Seminar for Corporate Counsel
& Compliance Professionals

7 Practical, Timely Sessions:

- Examining Recent Regulatory Developments and Charting Enforcement Trends
- Triage – How to Determine and Implement Compliance Priorities
- Effective Training and Communications: Using Top Sales Techniques to Sell Compliance to Your Internal Audience
- Foreign Corrupt Practices Act – Risk Reduction and Incident Management
- Effective Compliance Investigations
- Significant Developments and Implications – Whistleblower and Retaliation Claims
- Compliance Officer and General Counsel Roundtable

Tuesday, January 26, 2016 • Minnesota CLE Conference Center
600 Nicollet Mall, Suite 370 • Third Floor City Center • Minneapolis

Video replay details inside.

SCHEDULE

8:30 – 8:50 a.m. CHECK-IN & CONTINENTAL BREAKFAST

8:50 – 9:00 a.m.

Welcome and Introduction

– *Kari J. Wangensteen, Course Chair*

9:00 – 9:45 a.m.

Examining Recent Regulatory Developments and Charting Enforcement Trends

Learn more about the most notable regulatory developments of the past year, as well as imminent enforcement developments, and their likely ramifications for your clients. Topics will include:

- Regulatory and enforcement “hot spots” for small and big companies alike.
- The new U.S. Department of Justice rules focusing on the prosecution of individual employees as well as corporations.
- The newly created position of compliance counsel at the U.S. Department of Justice.
- The recent Second Circuit decision in *U.S. v. Apple* with respect to a court-imposed independent integrity monitor.
- And more

– *Beth Forsythe*

9:45 – 10:45 a.m.

Triage – How to Determine and Implement Compliance Priorities

Given the wide range of regulatory action discussed in today’s first session, how should you think about and implement compliance priorities for a particular client? Certainly the industry your client is in, the size it is, and the resources it has all influence decisions about the corporate compliance program your client has or is building. This diverse panel will share their unique experiences – and also distill common themes – regarding critical program scope decisions. They also will give you concrete examples and practical tips on how to effectively implement program design around those priorities.

– *Richard G. Erstad, Lisa Beth Lentini & Tobi Tanzer*
– *Kari J. Wangensteen, moderator*

10:45 – 11:00 a.m. BREAK

11:00 a.m. – 12:00 p.m.

Effective Training and Communications:

Using Top Sales Techniques to Sell Compliance to Your Internal Audience

Kristy Grant-Hart, Chief Compliance Officer for United International Pictures, will teach you how to use the motivational techniques and ideas of Zig Ziglar and other sales pioneers to create a buzz and get your internal prospects (board members, employees, mid-level managers) to genuinely commit and buy into the compliance program.

– *Kristy Grant-Hart*

12:00 – 1:00 p.m. LUNCH (on your own)

1:00 – 1:45 p.m.

Foreign Corrupt Practices Act – Risk Reduction and Incident Management

Chief among anti-corruption laws is the U.S. Foreign Corrupt Practices Act, which prohibits bribery of foreign (non-U.S.) government officials. Companies with business interests or operations that extend abroad – whether through foreign affiliates, interactions with foreign administrative authorities, the use of third-party consultants, or employees who travel or live in other countries – should be mindful of the FCPA’s broad reach. This session will explain how the FCPA works, describe how the U.S. government investigates suspected violations, and provide recommendations for implementing a cost-effective compliance program designed to reduce FCPA-related risks.

– *Jeffrey B. Killeen & Ryan E. Strom*

1:45 – 2:30 p.m.

Effective Compliance Investigations

This session will address significant issues for corporate counsel and compliance professionals including: when to conduct an internal investigation; how to staff it; how to reach conclusions; and what to do with the findings of the investigation.

– *Samia Christine Haddad*

2:30 – 2:45 p.m. BREAK

2:45 – 3:30 p.m.

Whistleblower and Retaliation Claims:

Significant Developments and Implications for Corporate Compliance Programs

– *Peggy Kubicz Hall*

3:30 – 4:30 p.m.

Compliance Officer and General Counsel Roundtable

General counsel and senior compliance officers share their perspectives and insights on key issues such as: the roles of legal counsel, compliance officers, executive management and the board in compliance efforts; best practices in monitoring compliance by vendors and other third parties; using metrics and benchmarking to evaluate a compliance program; correcting structural flaws with a compliance program; and more.

– *Mike Brennan, Kristy Grant-Hart & Samia Christine Haddad*
– *Kari J. Wangensteen, moderator*

COURSE INFORMATION

LIVE PRESENTATION

Minneapolis – 1/26/16
Minnesota CLE Conference Center
600 Nicollet Mall, Suite 370
Third Floor City Center

VIDEO REPLAYS

Schedule times for replays may differ from the live presentation due to abbreviated lunch and break periods. Start times are as indicated below. Please register at least one week in advance to secure your copy of the materials on the day of the seminar.

Minneapolis – 2/11/16
Minneapolis – 2/25/16
(Registration 8:30; Replay 9:00)
Minnesota CLE Conference Center
600 Nicollet Mall, Suite 370
Third Floor City Center

CREDITS

Minnesota CLE is applying to the Minnesota State Board of CLE for **6.0 standard CLE credits**. The maximum number of total credits attendees may claim for this course is 6.0 credits.

NEW LAWYER SCHOLARSHIP PROGRAM

In recognition of the challenges facing lawyers entering the profession, Minnesota CLE has established a scholarship program for unemployed and underemployed lawyers admitted fewer than three years. Those wishing to apply for such assistance should contact Grant at gdavies@minncle.org or **651-254-2111** for details.

ACCOMMODATION

If you have a disability and need an accommodation in order to attend this seminar, please contact us as soon as possible. Contact Minnesota CLE at 2550 University Avenue West, Suite 160-S, Saint Paul, MN 55114 or call us at 651-227-8266 or 800-759-8840.

CANCELLATION/NO-SHOW POLICY

Paid registrants who cancel their registration at least 3 business days before the program will receive a full credit on their account; if fewer than 3 business days, a \$25 administrative fee will be deducted. Paid registrants who fail to attend will receive the course materials. Passholders may purchase the course materials at 50% of the full retail price.

QUESTIONS?

Call Minnesota CLE at **651-227-8266** or **800-759-8840**. Or, visit us on the web at www.minncle.org.

Can't Attend? Get the Materials!



Purchase the materials for \$95 (plus tax and handling) by calling Minnesota CLE at 800-759-8840 or 651-227-8266. Available in hard copy. Orders will be filled after the live seminar.

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CORPORATE COMPLIANCE PROGRAMS

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PLEASE “✓” APPROPRIATE BOX BELOW:

LIVE (1/26/16):

\$295 MSBA member \$295 paralegal \$355 standard

VIDEO REPLAY (2/11/16) – MPLS:

\$265 MSBA member \$265 paralegal \$325 standard

VIDEO REPLAY (2/25/16) – MPLS:

\$265 MSBA member \$265 paralegal \$325 standard

New Lawyer Discount!

I was first admitted to the bar after January 26, 2013, and have deducted \$60 from the registration fee marked above.

Scholarships Available!

Minnesota CLE maintains a scholarship program for those with a financial need. Most scholarships awarded are 50% off the seminar price. To obtain an application, contact Grant at gdavies@minncle.org or **651-254-2111**.

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