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**NEW
 CONFERENCE!**
 For In-House Counsel &
 Compliance Practitioners

The 2019 Midwest

LEGAL COMPLIANCE CONFERENCE

- Get **Important Updates** on the Latest Legal and Regulatory Developments
- Hear **Practical Strategies** for Implementing and Operationalizing Compliance
- Develop a **Deeper Understanding** of the Complex Legal and Regulatory Frameworks that Underlie Compliance
- Learn Skills to Help Support **Strong Communication and Collaboration** among Compliance Team Stakeholders
- And More!

BONUS!

**Free Pre-Conference
 Webcast on
 "Legal Compliance &
 Ethics 101"**

Details inside.

Thursday, September 19, 2019
 Minnesota CLE Conference Center
 600 Nicollet Mall, Suite 370, Minneapolis
In-person replay October 1. Details inside.

PRE-CONFERENCE WEBCAST

As a special bonus of registering for the Conference registrants may view the webcast listed below for free! A coupon code, along with instructions on how to register for free at www.minncle.org, will be distributed prior to the webcast.

Wednesday, September 18, 2019 | 2:00 – 3:00 p.m. (CENTRAL TIME)
 1.0 standard CLE credit applied for

Legal Compliance & Ethics 101 – The 7 Elements of Effective Compliance

A great overview for the attorney or compliance professional newer to this practice area!

This foundational webcast identifies the 7 critical components for establishing an effective compliance and ethics program, along with other practical considerations for operationalizing, influencing, and managing compliance on an ongoing basis.

– Colleen Dorsey & Jessica A. Tjornehoj

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**Thursday, September 19, 2019
 Minneapolis**

In-person replay October 1. Details inside.

SCHEDULE

8:00 – 8:25 a.m. CHECK-IN & CONTINENTAL BREAKFAST

8:25 – 8:30 a.m. WELCOME & INTRODUCTION

8:30 – 9:15 a.m.

Compliance Watch List – The 5 Biggest Compliance Takeaways from the Last Year

Sometimes learning what not to do is just as important as learning what to do. This fast-paced session will run through some of the most high-profile compliance failures in 2018 and 2019, highlighting important lessons and considerations for all compliance professionals.

– *Bryan R. Feldhaus & Lisa Beth Lentini Walker*

9:15 – 10:00 a.m.

Advancing Change through Strategic Communication

Change is part of every business and essential for growth – especially in a dynamic area like compliance. Change also creates internal disruption, making it difficult for changes to take root and thrive. Strategic communication provides the context needed to engage employees, overcome barriers and integrate change into the culture. In this session, learn best practices and approaches for advancing compliance objectives using communication to ensure organizational changes succeed for the long-term.

– *Ayme Zemke*

10:00 – 10:15 a.m. BREAK

10:15 – 11:00 a.m.

How to Build Effective Relationships with Regulators

Any business, no matter what the industry, will benefit from proactively deciding on a strategy to pursue in interacting with regulators. This session will review example case studies that demonstrate the pros of constructive engagement with the regulator in your industry – and the cons of avoidance or opposition. You'll take away helpful, practical tips for how to effectively communicate and interact with regulators.

– *Beth Forsythe, Jenny O'Brien & Ann Claire H. Phillips*

11:00 a.m. – 12:00 p.m.

Compliance Complexity Case Study: Employment Law

Compliance is a balancing act; for example, being compliant with employment law is tough, intricate, and at times frustratingly difficult. Yet, employment law and regulations pose some of the largest risks for organizations from both a legal and public relations standpoint. Yet, no C-suite wants to hear they have to do something "because the law says so." The business is the focus as it should be. So, it means employment lawyers and human resources professionals must raise compliance concerns as real business issues with a spotlight on business objectives. Every employment law issue – really every compliance issue – can be presented this way. As a case study in the complex nature of advancing compliance, this session will cover some of the toughest employment law issues organizations face and the business objectives that can be thwarted by noncompliance.

– *Kate Bischoff*

12:00 – 12:15 p.m. DISTRIBUTION OF LUNCHES

12:15 – 1:00 p.m. LUNCHEON PRESENTATION

How to Wear Many Hats Well

Taking on the roles of General Counsel and Chief Compliance Officer is a complex endeavor. There are both opportunities and challenges – for the organization and for the person in the role. Kate Norris will describe her personal experience and share practical lessons and insights applicable to all legal and compliance professionals.

– *Kate Norris*

1:00 – 1:15 p.m. BREAK

1:15 – 2:15 p.m. BREAKOUT SESSION A

101) Establishing Effective Third-Party Compliance Oversight

Most businesses rely on third-party business associates to assist them with their operations – including relying on vendors to provide essential goods and services, outsourcing administrative or ancillary services, and sourcing products in the supply chain. However, the use of third parties can create additional compliance risks for a business that can lead to disaster if not properly mitigated. This session will review key risks and challenges posed by third-party relationships, and outline elements of an effective third-party oversight program, with practical tips for operationalizing and refining the program on an ongoing basis.

– *Diana Trevley*

102) How to Avoid Your Worst Compliance Nightmare: Lessons from Theranos

From its inception, Theranos was a promising venture at the height of innovation – led by smart people, implementing disruptive ideas with the potential to radically change health care. What went so terribly wrong? In its downfall, Theranos became every compliance officer's worst nightmare – the tale of its undoing includes acts of misleading regulators, business partners and investors; retaliation and intimidation; reputational and governance failures; and more. Learning from the highs and lows of a timely and prominent case study, this session will highlight lessons for compliance officers of start-up businesses and other companies with entrepreneurial or rapid-change cultures. And in tandem with those lessons, panelists will share their thoughts on what an effective compliance program can and should look like for such an organization.

– *Brian Edstrom & Lisa Beth Lentini Walker*
– *Tobi Tanzer, moderator*

2:15 – 2:30 p.m. BREAK

2:30 – 3:30 p.m. BREAKOUT SESSION B

201) How to Unify a Piecemeal Compliance Program

Compliance functions often reside in different parts of a company; however, there needs to be a central and singular point of accountability for ensuring compliance is appropriately managed across an organization and for reporting on compliance to the board. This dynamic can lead to common issues with respect to influence, control, budget, personnel, decision-making authority, and more – and thus requires skilled and thoughtful communication and coordination of disparate teams. Two experienced compliance leaders will share tips and best practices for running a successful, comprehensive program within complex and sometimes incongruent organizational structures.

– *Keri Graffing & Tony Heredia*

202) Ethical Considerations for Compliance Officers and Lawyers

1.0 ethics credit applied for

The sometimes overlapping areas and roles between legal and compliance departments can create confusion and potential ethical conundrums. This session will address common ethics scenarios that compliance officers and in-house counsel may encounter, call out the relevant rules that apply to the attorney's role, and provide practical insights for avoiding potential ethics violations.

– *Gregory C. Brown & Susan Humiston*

3:30 – 3:45 p.m. BREAK

3:45 – 4:45 p.m. CLOSING PLENARY

Unconscious Bias in Compliance Practice

1.0 elimination of bias credit applied for

It's essential that lawyers and compliance professionals understand the brain science behind unconscious bias and how it can affect both their professional success and their program's effectiveness. Unconscious bias can impact decision-making, communication and leadership styles, training, strategic program design and the implementation of key program elements such as policy development, education, investigations and risk assessments. In this session, participants will identify areas of potential bias in their own compliance practice and programs, explore how bias can undermine important organizational objectives, and explore practical, evidence-based ways to minimize its adverse impact.

– *Shamayne D. Braman*

COURSE INFORMATION

LIVE PRESENTATION

Minneapolis – 9/19/19
Minnesota CLE Conference Center
600 Nicollet Mall, Suite 370
Third Floor City Center

IN-PERSON REPLAY

Replay will include all plenary sessions as well as one session from Breakout A and one session from Breakout B. Schedule times for the replay 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 – 10/1/19
(Registration 8:30; Replay 9:00)
Minnesota CLE Conference Center
600 Nicollet Mall, Suite 370
Third Floor City Center

CREDITS – LEGAL COMPLIANCE CONFERENCE

Minnesota CLE is applying to the Minnesota State Board of CLE for **7.0 CLE credits, including 1.0 elimination of bias credit, and 1.0 ethics credit for breakout session #202.** The maximum number of total credits attendees may claim is 7.0 credits.

Attendees may also earn Compliance Certification Board (CCB)® continuing education units for participating in this conference.

CREDITS – PRE-CONFERENCE WEBCAST

Minnesota CLE is applying to the Minnesota State Board of CLE for **1.0 standard CLE credit** for the pre-conference webcast.

SCHOLARSHIPS AVAILABLE

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

ACCOMMODATION

If you have a disability and need an accommodation in order to attend this seminar, please contact Minnesota CLE as soon as possible 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 before the seminar will receive a full credit on their account, or refund upon request. Paid registrants who do not cancel and are unable to attend will retain access to the seminar materials through their website account. Passholders may purchase the materials at 50% of the full retail price.

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Or, visit us online at www.minncle.org.

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Minnesota CLE Conference Center, Minneapolis

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