



# **2009 Sponsoring Partner Forum**

**Taking Stock: New Opportunities for Managing Ethics and Compliance during the Global Financial Crisis**



**April 29-May 1, 2009  
The Broadmoor Hotel  
Colorado Springs, Colorado**

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# ECO A

ETHICS & COMPLIANCE  
OFFICER ASSOCIATION  
*Building Trust and Integrity Worldwide*

April 29, 2009

Dear Sponsoring Partner Forum attendee,

Welcome to Colorado Springs and the 2009 ECOA Sponsoring Partner Forum! We are delighted to have you join us for what promises to be an exciting, interactive, and educational event. The Sponsoring Partner Forum is the preeminent annual event designed exclusively for Sponsoring Partners, our association's most-engaged members.

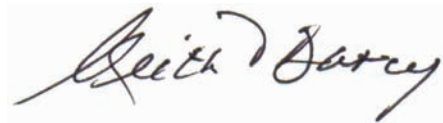
Since the ECOA was founded in 1992, this intimate meeting has been our field's flagship forum for senior ethics and compliance practitioners worldwide. Our Sponsoring Partner members continuously provide strong leadership and intellectual vision through their service on the Board of Directors, their involvement in committees, and by sharing their knowledge and experience during our many educational programs, conferences, and forums throughout the year.

This year's theme, *Taking Stock: New Opportunities for Managing Ethics & Compliance during the Global Financial Crisis*, focuses on the challenges that ethics and compliance officers are facing during these turbulent economic times. The conference sessions are designed to raise the most-current and challenging issues facing our field today, with particular focus on subjects best addressed in a trusting and confidential environment. We are proud to offer several distinguished keynote speakers that will provide extraordinary insight and thought-provoking recommendations for managing ethics through the current financial crisis.

We look forward to welcoming you on Wednesday, April 29, at 8:30 a.m. in the Rocky Mountain Ballroom as we open the meeting. Registration and the networking breakfast begin at 7:00 a.m. If you have any questions over the next few days, an ECOA staff member is always available at the registration desk to assist you.

Thank you for your continued support of the ECOA. We are looking forward to speaking with you this week.

Best regards,



Keith Darcy  
Executive Director

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# FORUM AGENDA

## **WEDNESDAY, APRIL 29**

**7:00 A.M. REGISTRATION OPENS | MOUNTAIN VIEW FOYER**

**7:00 A.M. - 8:30 A.M. CONTINENTAL BREAKFAST | ROCKY MOUNTAIN FOYER**

**8:30 A.M. - 8:55 A.M. WELCOME AND OPENING REMARKS | ROCKY MOUNTAIN BALLROOM**

*Keith Darcy, Executive Director, ECOA*

**9:00 A.M. - 10:15 A.M. ROUNDTABLE DISCUSSIONS - ROUND ONE!**

### **ROUNDTABLE 1A | WEST BALLROOM A**

#### **What Should Be Our Message to New Leaders in Washington and other National Capitals?**

At this time of change in Washington, D.C., and other national capitals, the ECOA is being approached by executive branch and other public policy decision-makers about what role ethics and compliance should play in current, extraordinary, strategic decisions. We seek our members' views on key issues, so that we may effectively represent you and work to ensure our field is properly positioned in the sweeping reforms now taking shape.

*Facilitators: Jim Berg, Director, Ethics and Business Practices, International Paper, and Chairperson, ECOA Board of Directors; and Keith Darcy, Executive Director, ECOA*

### **ROUNDTABLE 1B | WEST BALLROOM B**

#### **How Are Your Ethics and Compliance Risks Changing in the Current Economic Conditions?**

Everyone in our field knows that risks change in a recession. In this roundtable, we'll shut the door on everyone except ethics and compliance officers (an invaluable opportunity that can occur only at ECOA meetings) and invite them to share candid insights on the types of misconduct that are increasing or decreasing in their organizations right now. The session's goal: to empower members to return to their workplaces and re-assess and/or re-align their risk management efforts.

*Facilitator: Steve Priest, President, Ethical Leadership Group, a Global Compliance Company*

### **ROUNDTABLE 1C | WEST BALLROOM C**

#### **Taking Ethics and Compliance to the Next Level: E&C as a Part of Business Strategy**

Could more-effective ethics and compliance programs at financial service or other companies have minimized some of the harms that caused the current recession? Is there a role for ethics and compliance in the daily or weekly executive discussions that shape a company's business strategy? This roundtable will solicit the realities, the advantages, and the disadvantages of "having a seat at the table."

*Facilitator: Joan Dubinsky, Chief Ethics Officer, International Monetary Fund*

**10:15 A.M. - 10:30 A.M. BREAK**

**10:30 A.M. - 11:45 A.M. ROUNDTABLE DISCUSSIONS - ROUND TWO!**

## **ROUNDTABLE 2A | WEST BALLROOM A**

### **Taking Ethics and Compliance to the Next Level: E&C as a Part of Business Strategy**

*Facilitator: Joan Dubinsky, Chief Ethics Officer, International Monetary Fund*

## **ROUNDTABLE 2B | WEST BALLROOM B**

### **What Should Be Our Message to New Leaders in Washington and other National Capitals?**

*Facilitators: Jim Berg, Director, Ethics and Business Practices, International Paper, and Chairperson, ECOA Board of Directors; and Keith Darcy, Executive Director, ECOA*

## **ROUNDTABLE 2C | WEST BALLROOM C**

### **How Are Your Ethics and Compliance Risks Changing in the Current Economic Conditions?**

*Facilitator: Steve Priest, President, Ethical Leadership Group, a Global Compliance Company*

**11:45 A.M. - 12:00 P.M. BREAK**

**12:00 P.M. - 1:45 P.M. KEYNOTE PRESENTATION AND LUNCH | ROCKY MOUNTAIN BALLROOM**

### **Built-In vs. Bolt-On: Lessons on Global Ethics and Compliance**

Doug Scrivner, Accenture's General Counsel, Secretary & Compliance Officer, will share lessons Accenture has learned on its journey toward a global culture of ethics and compliance. Drawing from his experiences leading ethics and compliance for a global organization with more than 181,000 people serving clients in over 120 countries, Doug's discussion will cover topics including: the importance of core values, respect for cultural differences and combining the roles of general counsel and compliance officer.

*Douglas G. Scrivner, General Counsel, Secretary & Compliance Officer, Accenture*

**2:00 P.M. - 3:15 P.M. ROUNDTABLE DISCUSSIONS - ROUND THREE!**

## **ROUNDTABLE 3A | WEST BALLROOM A**

### **How Are Your Ethics and Compliance Risks Changing in the Current Economic Conditions?**

*Facilitator: Steve Priest, President, Ethical Leadership Group, a Global Compliance Company*

## **ROUNDTABLE 3B | WEST BALLROOM B**

### **Taking Ethics and Compliance to the Next Level: E&C as a Part of Business Strategy**

*Facilitator: Joan Dubinsky, Chief Ethics Officer, International Monetary Fund*

## **ROUNDTABLE 3C | WEST BALLROOM C**

### **What Should Be Our Message to New Leaders in Washington and other National Capitals?**

*Facilitators: Jim Berg, Director, Ethics and Business Practices, International Paper, and Chairperson, ECOA Board of Directors; and Keith Darcy, Executive Director, ECOA*

# FORUM AGENDA

**3:15 P.M. - 3:30 P.M. BREAK**

**3:30 P.M. - 5:00 P.M. PLENARY SESSION | ROCKY MOUNTAIN BALLROOM**

## **ROUNDTABLE RECAP**

*Moderator: Jack Radke, Chief Ethics Officer, UnitedHealth Group*

- What Should Be Our Message to New Leaders in Washington and other National Capitals?  
*Gary Brown, Baker Donelson, as rapporteur, along with Jim Berg, Director, Ethics and Business Practices, International Paper, and Chairperson, ECOA Board of Directors; and Keith Darcy, Executive Director, ECOA*
- Taking Ethics and Compliance to the Next Level: E&C as a Part of Business Strategy  
*Tim Mazur, ECOA, as rapporteur, along with Joan Dubinsky, Chief Ethics Officer, International Monetary Fund*
- How Are Your Ethics and Compliance Risks Changing in the Current Economic Conditions?  
*Bob Olson, ECOA, as rapporteur, along with Steve Priest, President, Ethical Leadership Group, a Global Compliance Company*

**5:00 P.M. - 6:00 P.M. FREE TIME**

**6:00 P.M. - 7:00 P.M. NETWORKING RECEPTION | CHEYENNE LODGE**

**\* Buses to lodge begin at 5:45 and leave outside the Broadmoor West Lobby**

**7:00 P.M. - 9:00 P.M. DINNER | CHEYENNE LODGE**

## **THURSDAY, APRIL 30**

**7:00 A.M. - 8:00 A.M. CONTINENTAL BREAKFAST | ROCKY MOUNTAIN FOYER**

**8:00 A.M. - 9:00 A.M. KEYNOTE ADDRESS | ROCKY MOUNTAIN BALLROOM**

### **Ethics at All Cost**

Adrian Zaccaria, vice chairman of Bechtel, discusses zero tolerance for unethical behavior and real-world examples of the zero-tolerance policy in effect.

**9:00 A.M. - 10:30 A.M. PLENARY | ROCKY MOUNTAIN BALLROOM**

### **Ethics and Compliance Programs in the Courtroom: Before the Ionia Case and Beyond**

In Ionia Management, a federal appeals court recently rejected an effort by advocates to require the prosecution to prove at trial that a corporate defendant lacked an effective ethics and compliance programs in order to establish its criminal liability. Nonetheless, programs have been used in cases - both for and against corporations. The panelists will address policy arguments for revising the prevailing standard of strict corporate criminal liability to better recognize the significance of ethics and compliance programs. They will also discuss steps that companies can take under the current law to maximize the likelihood of earning credit for their program on a criminal investigation. Finally, the session will include an interactive segment with audience members who can see how their own programs might fare in such criminal proceedings.

*Panelists: Paula J. Desio, Esq., Chair for Ethics Policy, Ethics Resource Center; Jeff Kaplan, Partner, Kaplan & Walker LLP; and Paul J. McNulty, Esq., Partner, Baker & McKenzie LLP*

**10:30 A.M. - 10:45 A.M. BREAK**

**10:45 A.M. - 12:00 P.M. CONCURRENT SESSIONS**

**THURSDAY CONCURRENT 1A | WEST BALLROOM A**

**Understanding and Addressing Your Ethics and Compliance Risk in Today's Economic Environment**

As current economic conditions worsen, the ethics and compliance risks that companies face continue to increase. Since the current state of affairs is the likes of which none of us have ever experienced, we must determine how ethics and compliance budgets and programming are best utilized. A key way that this can be achieved is by understanding your company's key compliance and ethics risks, in light of increased regulatory activity domestically and internationally, and refining your ethics and compliance program to address them. Discussion will address the current ethics and compliance landscape from a regulatory perspective and from a practical one as well. Best practices will be shared on how to identify and respond to emerging risks in today's business environment through specific program elements such as risk assessments and compliance audits.

*Stephen Martin, General Counsel & Chief Ethics Officer, Corpedia, and Paul J. McNulty, Esq., Partner, Baker & McKenzie LLP*

**THURSDAY CONCURRENT 1B | WEST BALLROOM B**

**What's Beyond Ethics and Compliance? Starting a New Conversation Aimed at Individual Hearts and Minds in the "Era of Responsibility"**

The current global economic crisis and fresh rounds of private- and public-sector ethics scandals have brought into sharp focus the foundational role of culture and professional responsibility in our society. To be relevant, practitioners must start thinking beyond the basics of running a program and take a proactive role in laying out new frameworks for trust and accountability.

This interactive, thought-provoking discussion will challenge participants to think about new ways to change the nature of the global conversation and take culture, compliance and ethics to the next level. Topics include:

- Ripped from the Headlines: Case studies of current events, looking particularly at the role of trust, accountability, standards, and professional responsibility.
- What ethics and compliance officers must do to contribute value beyond the program basics, and to ensure that their approach to culture is broad-based, relevant, and of highest priority to employees, management, boards, and other stakeholders.
- How companies can move to a "culture of accountability."

*Donna Boehme, Principal, Compliance Strategists, LLC; and Gretchen Winter, Executive Director, Center for Professional Responsibility in Business and Society, College of Business at the University of Illinois at Urbana-Champaign*

# FORUM AGENDA

## **THURSDAY CONCURRENT 1C | WEST BALLROOM C**

### **Investigating Sensitive Issues**

There comes a time in the life of every ethics and compliance officer when theory and practice either collide or intersect. This is especially so when you are asked to investigate a “sensitive” issue. The issue could be a fundamentally risky issue facing your organization. The issue could also be the person or persons who are the focus of the investigation.

Joan Dubinsky and Matt Pachman will conduct an interactive session involving high-stakes/high-risk scenarios, and identify some of the important practical takeaways. Our focus will be less on the specific facts of any one scenario, and more on the key decision-points.

By attending this session, you will be more adept at:

- Identifying when private conduct conflicts with professional obligations.
- Handling allegations that implicate senior management.
- Dealing with confidentiality and press coverage.
- Putting together the investigative team.
- Involving the board.

*Joan Dubinsky, Chief Ethics Officer, International Monetary Fund; and Matt Pachman, Vice President, Compliance-Ethics and Business Practices, Freddie Mac*

## **THURSDAY CONCURRENT 1D | WEST BALL ROOM D**

### **Global Anti-Corruption, Practical Rollout, and Data Protection Issues**

This session will address practical compliance issues which arise in overseas compliance and anti-corruption programs in more “difficult” or high-risk jurisdictions. We will look at practical, cultural, and often “grey” issues where U.S. compliance standards can clash with local laws and customs. Best practices for SOX and FCPA hotline rollout in Europe, including former Eastern European countries and Russia, will be covered. Discussion will also include an in-depth look at data protection issues, including e-mail searches and data transfers, which may arise while doing business abroad.

Additional topics include:

- Operating in difficult jurisdictions - due diligence, training, and facilitation payments.
- Development and implementation of anonymous hotlines, internal investigation protocols, and internal reporting programs abroad.
- Notification requirements to data protection authorities, negotiations with works councils, limitations on anonymity, and scope of subjects covered.

*Mark Schreiber, Esq., Partner, Edwards Angell Palmer & Dodge LLP*

## **12:00 P.M. - 1:30 P.M. LUNCH AND ECOA UPDATE | ROCKY MOUNTAIN BALLROOM**

With an introduction by Keith Darcy, ECOA COO Tim Mazur will update Sponsoring Partner members on current and future developments at the association.

## **1:30 P.M. - 1:45 P.M. FREE TIME**

## **1:45 P.M. - 3:00 P.M. CONCURRENT SESSIONS**

## **THURSDAY CONCURRENT 2A | WEST BALL ROOM A**

### **Banking and the Financial Crisis: Why Compliance without Ethics Is Not Enough**

A common misperception of the current financial crisis is that it was caused by financial deregulation, and that increased regulation is therefore the solution. In truth, a legalistic and narrow-minded approach to following regulations, along with some well-meaning but ineffective regulations, produced the current financial breakdown. In short, a focus on compliance without consideration of the broader ethical implications has produced a crisis of trust in the world economy and nearly led to a global financial collapse. Solving this economic crisis will come partly from crafting better regulations, but more importantly, will require a renewed focus on ethics and restoring trust. This session will demonstrate the ultimate inadequacy of compliance and regulation alone in maintaining stable economic systems by providing concrete examples where banking regulations, well-intentioned and strictly followed, were grossly insufficient. Participants will leave equipped with the tools to better articulate the need for ethics, not just compliance, in their respective organizations.

*Leigh-Anne Walker, Senior Consultant, Ethical Leadership Group, a Global Compliance Company, and Keith Darcy, Executive Director, ECOA*

## **THURSDAY CONCURRENT 2B | WEST BALLROOM B**

### **Building a Compliance Program in Crisis Mode**

This session will focus on the possibilities, perils, and pitfalls of building a compliance program borne out of crisis. In particular, the presentation will address: critical first response to the crisis (including compliance-focused communications); building the infrastructure of a compliance program amidst turmoil; developing and implementing a new compliance training and communication strategy; using the "hammer" (e.g., the Compliance Sword of Damocles); institutionalization of project goals and objectives; and moving beyond the crisis—the importance of messaging and monitoring. Participants will come away with lessons learned from real examples and case studies that demonstrate the positives and negatives of program building under pressure and tight deadlines. These lessons are particularly relevant to today's economic crisis, given the possibility of enhanced regulatory enforcement and oversight as a result of increased government financial intervention.

*Seth Cohen, Head of Policy & Processes, Office of Compliance North America, Zurich Financial Services; and Scott Avelino, Principal, Forensic Services, KPMG LLP*

## **THURSDAY CONCURRENT 2C | WEST BALLROOM C**

### **Enhancing Compliance Risk Detection: Unlocking Information Traps**

Did you know that compliance and ethics officers obtain less than 10% of available information about the most disruptive risks to their business, including fraud, corruption, and conflicts of interest? New data analysis from the Compliance and Ethics Leadership Council on how risk information travels through an organization shows that more than 90% of relevant risk information is lost, stuck inside the business, or siloed in other oversight functions, casting doubt on the effectiveness of current risk detection and assessment processes. In today's recessionary environment and rapidly changing risk conditions, the key to enhancing risk detection is improving the quality and flow of critical risk information through the organization. Learn how leading companies, including Kraft, GE, and TIAA CREF are doing just that. This practical discussion of survey findings and leading company practices helps companies improve their compliance risk detection capabilities by:

- Understanding exactly where critical risk information resides in your company and why you're not getting it.
- Increasing the speed and accuracy by which you identify compliance risks.
- Partnering more effectively with Audit, HR, and other functions to break down information silos and detect new risks.

*Ronnie Kann, Managing Director, Compliance and Ethics Leadership Council*

# FORUM AGENDA

## **THURSDAY CONCURRENT 2D | WEST BALLROOM D**

### **Ethical IT Governance—Not Just for the IT Department Anymore**

A new IT governance paradigm is emerging, one driven by new federal laws and regulations and an invigorated compliance regime under the new administration. This paradigm has as its genesis the increased concerns that Internet “hackers and crackers,” disgruntled employees and cyber terrorists are winning the battle over control of the Internet and public and private IT systems, thereby undermining consumer and employee confidence in the safety of the Internet for electronic health records, on-line transactions and the like. Attendees will learn about new laws and regulations that mandate board and senior management oversight over (1) IT systems and the sensitive data contained in those systems and (2) service providers and others to whom IT processes are outsourced. Practical ways to gauge and manage risk in a manner consistent with these requirements also will be discussed.

*Betty Steele, Esq.; Of Counsel; Baker, Donelson, Bearman, Caldwell, & Berkowitz*

### **3:00 P.M. - 3:15 P.M. BREAK**

## **3:15 P.M. - 4:45 P.M. PLENARY SESSION | ROCKY MOUNTAIN BALLROOM**

### **Ethics and Compliance Programs under the Obama Administration**

This session will examine ways in which the initiatives, policies, and views of the new administration could impact the ethics and compliance field in the years ahead. Among other things, the session will address:

- A renewed emphasis on strong business regulation generally.
- Likely particular areas of enforcement focus.
- Various E&C issues arising from the Recovery Act.
- The advent of a “behavioral economics” approach to regulation and its implications for E&C programs.

*Jeff Kaplan, Partner, Kaplan & Walker LLP; Steven A. Tyrrell, Chief of the Fraud Section, Criminal Division, U.S. Department of Justice; and Paula J. Desio, Esq., Chair for Ethics Policy, Ethics Resource Center*

### **4:45 P.M. - 5:30 P.M. FREE TIME**

## **5:30 P.M. - 6:15 P.M. KEYNOTE ADDRESS | ROCKY MOUNTAIN BALLROOM**

### **Maintaining High Standards in Difficult Times**

A discussion of the critical importance of developing a well-rounded approach in focusing an organization on ethics and compliance particularly when times are difficult financial or otherwise.

*James S. Turley, Chairman & CEO, Ernst & Young LLP*

## **6:15 P.M. - 7:00 P.M. NETWORKING RECEPTION | MOUNTAIN TERRACE**

## **7:00 P.M. - 9:00 P.M. DINNER | MOUNTAIN VIEW TERRACE**

# **FRIDAY, MAY 1**

**7:00 A.M. - 8:00 A.M. CONTINENTAL BREAKFAST | ROCKY MOUNTAIN FOYER**

**8:00 A.M. - 9:00 A.M. KEYNOTE SPEAKER | ROCKY MOUNTAIN BALLROOM**

## **Character, Leadership and Historic Challenge**

In this world of historic challenges, your profession and mine share core values essential to successful combinations of character and leadership.

*Lt. Gen. John F. Regni, Superintendent, U.S. Air Force Academy*

**9:15 A.M. - 10:30 A.M. CONCURRENT SESSIONS**

## **FRIDAY CONCURRENT 1A | WEST BALLROOM A**

### **How to Build Trust**

While the talk from “Wall St. to Main St.” is on the need to build trust, little time is spent on the actual nuts and bolts of how to do it. Trust is not a value that can be willed into reality by labeling it a “core value.” Trust is the result of taking definitive steps to integrate foundational values into the culture. In this session, presenters David Gebler and Suzanne Jones will lead participants through the building blocks of building trust. Using an interactive case-study approach, participants will learn how to:

- Analyze aspects of the current culture’s values and decision-making style that contributed to the breakdown of trust.
- Build a values-based model to quantify and measure these subjective factors.
- Create an action and communications plan, which acknowledges and builds on the unique characteristics of their individual organization, to increase trust.

*David Gebler, President, Skout Group; and Suzanne Jones, Director, Ethics, General Dynamics Armament and Technical Products*

## **FRIDAY CONCURRENT 1B | WEST BALLROOM B**

### **Board of Directors Training: The Cutting Edge**

You know your board of directors needs training in ethics and compliance, however, you often face resistance from them: “We can’t make time on the agenda” or “Nice idea, but not our highest priority in this economic environment.” Perhaps you have even been told: “Our board members are respected business leaders—they don’t need training.” This session will provide you with the tools necessary to overcome this resistance and get your program on their agenda. In the current business climate, when business leaders may feel pressured and even unfairly persecuted, getting on their agenda is the first step to rebuilding trust.

In this interactive session, attendees will learn how to construct a training experience that ends with board members having gained practical information and insight. Demonstrations and tips for working with both a board that has never experienced ethics/compliance training and a more “advanced” board will be presented. These demonstrations will also provide insights into how to transform the current frustration with business leadership into more support for your ethics and compliance efforts.

*Steve Priest, President, Ethical Leadership Group, a Global Compliance Company*

# FORUM AGENDA

## **FRIDAY CONCURRENT 1C | WEST BALLROOM C**

### **Foster a Culture of Ethics in Your Organization through Communications**

An ethical culture is a work in progress. Most institutions have a compliance program consisting of anonymous reporting mechanism and training, which helps to fulfill Sarbanes-Oxley requirements, but doesn't make an ethical culture. A thoughtful plan and well-executed communications campaign, however, does. Besides being creative with the messaging, organizations can move beyond the traditional methods of communication and use several vehicles to disperse and reinforce the message. This session will empower attendees to:

- Gain buy-in from top management
- Create a communications plan with measurable goals and objectives
- Utilize communications to create a workplace where fraud is deterred and ethics thrives
- Engage other departments and participants to help extend the message

*Clark Bosley, Vice President, The Network, Inc.*

## **FRIDAY CONCURRENT 1D | WEST BALLROOM D**

### **Benchmarking Effectiveness: Results of KPMG's 2008-2009 Integrity Survey**

KPMG's Integrity Survey for 2008-2009 comes at a time when public trust and confidence in the capital markets have once again been shaken. In this turbulent business environment, our survey is particularly relevant as companies, regulators, and investors seek greater understanding of factors that may have contributed to the current economic challenges. To this end, we invite you to join us as we take an inside look at corporate fraud and misconduct, drawn from the first-hand experiences and perceptions of more than 5,000 employees nationally. This survey report is the third in a periodic series that we began in 2000 as U.S. business entered the new millennium. Today, we highlight what has changed over years – and what has not. Find out what respondents told us about the nature and prevalence of corporate misconduct, and the impact of ethics and compliance programs on employee perceptions and behaviors.

*Scott Avelino, Principal, Forensic Services, KPMG LLP*

**10:30 A.M. - 10:45 A.M. BREAK**

**10:45 A.M. - 12:00 P.M. CONCURRENT SESSIONS**

## **FRIDAY CONCURRENT 2A | WEST BALLROOM A**

### **Anatomy of a Crisis**

The current global economic crisis emphasizes the importance of a building a strong compliance and ethics program to help weather the storm. This session will discuss the key successes and challenges experienced during internal and external crises; the critical role compliance and ethics plays when company priorities shift; and the importance of transparency in the digital age. Participants will come away with lessons learned from two real examples that demonstrate how to turn a chaotic, pressure-filled situation into a valuable program built to sustain future instabilities and tighter regulatory controls.

*Bill Senhauser, Senior Vice President & Chief Compliance and Ethics Officer, Fannie Mae*

## **FRIDAY CONCURRENT 2B | WEST BALLROOM B**

### **Ethics in Hard Times: Leveraging Scarce Resources to Focus on Priorities**

In this uncertain economic climate, ethics and compliance officers are faced with the challenge of leveraging increasingly scarce resources as creatively as possible while being confronted with new and complex issues on a daily basis. In this interactive session, a panel of experienced ethics officers will explore the most critical priorities for ethics and compliance programs that have emerged as a result of the challenging economic climate. The session will discuss low-cost or no-cost communication strategies and platforms that can be used in almost every organization. It will also emphasize the research and other materials available through the ECOA, including the on-line library. Attendees will be encouraged to share with the group their ideas and best practices for leveraging existing program resources.

*Jack Radke, Chief Ethics Officer, UnitedHealth Group; Kathleen Edmond, Chief Ethics Officer, Best Buy; and Lauren Ferrari, Director, Office of Business Conduct, Alcatel-Lucent*

## **FRIDAY CONCURRENT 2C | WEST BALL ROOM C**

### **Getting Smart about Managing a Decentralized Compliance and Ethics Program**

While your compliance and ethics program may not get extra headcount or budget this year, you can make the most of what you've got by identifying and leveraging resources outside of your group. By aligning your objectives with those of key stakeholders, you can integrate your compliance and ethics messages throughout the business in a streamlined, yet impactful, way. In this session, participants will share and learn best practices for effectively managing a decentralized ethics and compliance program. Topics will include how to:

- Maintain accountability in a matrixed environment.
- Utilize and enhance existing communication and training tools.
- Focus on the top priorities, and let the others go.

*Alessandra Hawthorne, Director and Deputy Compliance & Ethics Officer, Boehringer Ingelheim USA Corporation*

## **12:00 P.M. CONFERENCE ENDS WITH A TAKE-AWAY LUNCH | WEST BALLROOM FOYER**

Note: Attendees of the ECOA 2009 Sponsoring Partner Forum may be photographed as we take casual pictures of the event. By registering for and attending the forum, you give permission to the ECOA to use a photograph that may include your image on our website and in marketing materials for future events. If you object to the ECOA's possible use of a photo in which you appear, please contact Tim Mazur during the forum.

# FORUM SPEAKERS



**Douglas G. Scrivner**  
**General Counsel**  
**Secretary and Compliance Officer**  
**Accenture**

As General Counsel, Doug Scrivner has ultimate responsibility for all legal support to Accenture, serving as principal counsel to senior leadership and the board of directors while leading the company's Legal organization. He serves as Corporate Secretary and Compliance Officer and is a member of Accenture's Executive Leadership Team. Mr. Scrivner also oversees the company's government relations function.

Mr. Scrivner was appointed general counsel in 1996 and was also appointed compliance officer in 2001, following the creation of the Accenture Global Ethics & Compliance Office by the board of directors. From 1990 to 1996, he served as associate general counsel, with primary responsibility for Accenture matters. He joined Accenture in 1980 in the role of counsel and became a partner in 1986. Prior to joining Accenture, he was associated with Oppenheimer, Wolff & Donnelly in Minneapolis, Minnesota.

Mr. Scrivner has held leadership positions in several educational and professional organizations, including the Board of Directors, California ALL (a nonprofit focused on educational pipeline issues for diverse individuals in California and beyond); the Board of Trustees, University of Denver; the Visiting Committee, University of Denver Sturm College of Law, where he serves as chairman; Second Century Campaign, University of Denver Sturm College of Law, where he served as national co-chairman; the Board of Visitors, Sanford Institute of Public Policy, Duke University; the Arts & Sciences Campaign Committee, Duke University; and the Board of Trustees, Institute for Clinical Social Work, Chicago.

Mr. Scrivner received a Bachelor of Arts degree in political science and history from Duke University, a Master of Science degree in international relations from the London School of Economics, and a Juris Doctorate from the University of Denver Sturm College Of Law.



**Adrian Zaccaria**  
**Vice Chairman and Director**  
**Bechtel Group, Inc.**

Adrian Zaccaria is Vice Chairman and a Director of Bechtel Group, Inc. He joined Bechtel's Power & Industrial Division in 1971. For the following 16 years, he took on assignments with progressively more responsibility and served as project manager for two major nuclear construction projects. In 1987, Adrian was named manager of Bechtel Western Power's Houston office and was elected a senior vice president. The following year he was made deputy manager of operations and then executive vice president of Bechtel Power Corporation, with responsibility for the nuclear services business line.

Adrian was elected a director of BGI in February 1989 and was named president of Bechtel Power in August 1989. In September 1994, he was named president of Bechtel's Global Energy Industries, and the following year became Bechtel's president and COO—positions he held until stepping down in April 2008.

In his current position as vice chairman, Adrian focuses on key strategies for the future, including delivering on customer expectations and pursuing business opportunities in alternative energy. Prior to joining Bechtel, he was employed by General Dynamics Corporation.

Adrian holds a Bachelor of Science degree in nautical science from the U.S. Merchant Marine Academy, and is a member of the National Academy of Engineering.



**James S. Turley**  
**Chairman and Chief Executive**  
**Officer**  
**Ernst & Young LLP**

James S. Turley is Chairman and Chief Executive Officer of Ernst & Young, a leading global professional services organization providing audit, risk advisory, tax, and transaction services. With approximately 135,000 people in 140 countries, Ernst & Young is one of the largest professional services organizations in the world.

Jim began his career with Ernst & Young in 1977 in the US firm's Houston office. Over the last 31 years, he has held a series of leadership positions throughout Ernst & Young. Jim was named Metropolitan New York Area Managing Partner of Ernst & Young LLP in 1998 and was appointed Deputy Chairman in 2000. In July 2001, he became Chairman & CEO. Based in New York and London, Jim serves as senior advisory partner for many of Ernst & Young's largest global clients.

As Chairman, Jim sets a clear and strong tone from the top, focused on quality, integrity, and professionalism. He has worked to create a high-performance work environment with a highly visible leadership commitment to "Quality in Everything We Do." Ernst & Young has been consistently recognized by *Fortune* magazine as one of the 100 Best Companies to Work For.

Throughout his career, Jim has actively supported numerous civic, cultural and business organizations. He co-chairs the Russia Foreign Investment Advisory Council. He is on the Board of Directors for Boy Scouts of America, Catalyst, the National Corporate Theater Fund and on the Board of Trustees for Rice University. He is also a member of the Business Roundtable, Transatlantic Business Dialog and IBLAC (International Business Leaders' Advisory Council for the Mayor of Shanghai). In October, 2007, was appointed Chair for the Governing Board of the U.S. Center for Audit Quality.

Jim holds a Master's and a BA in Accounting from Rice University in Houston, Texas.



**Lt. Gen. John F. Regni**  
**Superintendent**  
**U.S. Air Force Academy**

Lt. Gen. John F. Regni is Superintendent, U.S. Air Force Academy, Colorado Springs, CO. The Academy provides a highly structured four-year regimen of military training, academics, athletic and character development programs leading to a Bachelor of Science degree and a commission as a second lieutenant.

General Regni is a 1973 graduate of the U.S. Air Force Academy. His career has encompassed a wide range of personnel, training and command assignments. His command tours include Base Commander and 8th Combat Support Group Commander, Kunsan Air Base, South Korea; Commander, Second Air Force; and Commander, Air University. Among his staff assignments are Director of Manpower, Personnel and Support, U.S. Pacific Command; Director of Personnel at Air Mobility Command; and Director of Military Personnel Policy, Headquarters U.S. Air Force. He also served on the Reserve Forces Policy Board from 1996 to 1998.

General Regni earned his Bachelor of Science degree in biology from the U.S. Air Force Academy and Master of Science degree in systems management from St. Mary's University in San Antonio, Texas. In addition, General Regni attended the Air Command and Staff College and Air War College at Maxwell AFB, AL, as well as completing an Advanced Management Program at the University of Illinois and Capstone program at the National Defense University at Fort Lesley J. McNair, Washington, D.C.

General Regni's major awards and decorations include a Distinguished Service Medal with oak leaf cluster, Defense Superior Service Medal, Legion of Merit, Meritorious Service Medal with silver oak leaf cluster, and Air Force Commendation Medal.

# FORUM SPEAKERS



**Scott Avelino**  
**Principal, Forensic Services**  
**KPMG LLP**

Scott Avelino is a Principal with KPMG's Forensic practice in Washington, D.C., where he serves as national coordinator of the practice's Fraud Risk Management service line. In this role, he is responsible for leading the innovation of firmwide services related to the design, implementation, and evaluation of corporate ethics and compliance programs and related antifraud controls.

Scott is nationally recognized for his work with many well-known companies in their efforts to achieve the highest levels of business integrity through effective prevention, detection, and response to fraud and misconduct. He was among a select group of practitioners invited to testify before the U.S. Sentencing Commission on what indicators the government should look for in determining whether to prosecute and how to sanction organizations found to be in violation of U.S. law. This initiative culminated in amendments to the Federal Sentencing Guidelines for Organizational Defendants, which went into effect on November 1, 2004.

More recently, he was the lead author of the *KPMG 2008-2009 Integrity Survey*, which examines the nature, prevalence and root causes of corporate fraud and misconduct in the U.S., along with the impact of ethics and compliance programs on employee perceptions and behaviors.

Prior to joining KPMG, Scott served with the advisory services group of the Ethics Resource Center. He is an associate member of the Ethics and Compliance Officer Association, the Association of Certified Fraud Examiners and a member of the Society of Corporate Compliance and Ethics. He also coordinates KPMG's sponsorship activities with Transparency International, and is a regular guest speaker on corporate social responsibility for the University of Maryland's MBA program.



**James D. Berg**  
**Director, Ethics and Business**  
**Practices**  
**International Paper**

James D. Berg is the Director of Ethics and Business Practice at International Paper.

Jim joined International Paper Company in 1993 as Executive Assistant to the Chairman and CEO. In 1994, Berg was appointed Director of Finance (CFO) for International Paper Europe. In 1998, he assumed the position of Director, Ethics and Business Practice. He has since assumed additional responsibilities in the areas of corporate crisis management and preparedness, corporate social responsibility, privacy and corporate security.

In 1989, Berg was appointed by President Bush and confirmed by the US Senate as Executive Vice President of the Overseas Private Investment Corporation (OPIC), a US Government owned corporation that provides political risk insurance and project financing to American companies investing in less developed countries. Berg later served as President and CEO of OPIC.

Prior to 1989, Berg held positions in the United States Department of the Interior, the National Security Council, and the Department of State. This service followed two years in the United States Peace Corps. Berg was elected to the Board of Directors of the Ethics & Compliance Officer Association in 2001, elected Vice Chair in 2006, and Chair in 2008. In 2003, he was elected Chairman of the Conference Board's Global Council on Business Conduct. He has published articles on business ethics in *Ethikos* and *Unity Magazine*. He has lectured in international relations, economics, and business ethics at Georgetown University, Johns Hopkins University's School of Advanced International Studies, the Kellogg Business School at Northwestern, Miami University of Ohio, Northern Illinois University (MBA programs) and Bentley College.

Jim received an undergraduate degree from Northwestern University, and a Masters in Public Administration with a concentration in international economics from Princeton University.



**Donna Boehme**  
**Principal**  
**Compliance Strategists, LLC**

Donna Boehme is an internationally recognized authority in the field of organizational governance, compliance and ethics with 17+ years experience designing and managing organizational compliance and ethics programs. As principal of Compliance Strategists LLC, and Special Advisor to Compliance Systems Legal Group, Ms. Boehme advises a wide spectrum of private and public entities on governance, compliance and ethics. She serves on the respective boards of the RAND Center of Corporate Ethics, Law and Governance, and South Texas College of Law-Corporate Compliance Center, and was recently appointed Program Director for the Conference Board Council on Corporate Compliance and Ethics. Ms. Boehme is an Emeritus Member and past ECOA Board member and past member of the Board of Directors of the Association of Corporate Counsel – Europe. Ms. Boehme's extensive on-the-ground experience includes serving as the first global compliance and ethics officer for two leading multinationals, BP plc and BOC Group.

Ms. Boehme is a Contributing Editor of Ethikos, and has published many articles on compliance, ethics and governance issues. She is a frequent speaker to business and professional groups including Practising Law Institute, Conference Board, ECOA, Resource Center, Compliance Week, and Institute of Business Ethics, including as keynote speaker to Ethics Practitioners Association of Canada (Ottawa), International Financial Executives Leadership Forum (Montreal) and Network for Good Business Ethics and Non-financial Reporting (Copenhagen). She has spoken at the House of Lords on the design and implementation of global compliance programs, and served as a member of the US delegation to the 9th annual Rand-China Reform Forum (Beijing). She has been quoted as an expert in the field in numerous publications including *The Wall Street Journal*, *Boston Globe*, the *Economist*, *New York Law Journal* and *Compliance Week*. Ms. Boehme will be featured in the upcoming PBS special, "In Search of the Good Corporate Citizen" to be aired in September 2009.

Ms. Boehme holds a J.D. from New York University School of Law and is a member of the American Bar Association and the New York Bar.



**Clark Bosley**  
**Vice President**  
**The Network, Inc.**

As Vice President of The Network, Inc., Mr. Bosley is responsible for the strategic direction of his team and managing the sales-generating activities within the company. His responsibilities include establishing new relationships with strategic partners, as well as expanding partnerships with The Network's existing clients.

Mr. Bosley joined The Network in 1993, and has more than 15 years of ethics and compliance knowledge. During his time with The Network, he has worked with hundreds of clients including Cisco, McDonalds, and Kaiser Permanente to help them establish and build an ethical culture.

Mr. Bosley is a graduate of West Georgia College, where he earned a Bachelor of Arts degree in mass communications and marketing.

# FORUM SPEAKERS



**Seth Cohen**  
**Head of Policy and Processes**  
**Office of Compliance North America**  
**Zurich Financial Services**

Seth Cohen is the Head of Policy and Processes with Zurich Financial Services' Office of Compliance North America (OCNA), based in New York. He has been with

Zurich since January 2006. Seth's responsibilities have primarily focused on Zurich's response to its regulatory settlement agreements, ethics, antitrust and Foreign Corrupt Practices Act (FCPA) issues. In addition, Seth provides compliance support to two of Zurich's New York-based businesses, including its alternative asset management group. In these roles, Seth has assisted in the development of the North American regional compliance function at Zurich, designed and developed new compliance policies and procedures, and developed and delivered compliance training and communication.

In addition to authoring numerous compliance-related pieces on the Zurich intranet, Seth has also published several articles in external publications. Seth was previously a manager in the Forensic practice at KPMG from 2001 to 2006, where he conducted investigations and compliance and governance assessments for Fortune 500 companies.

He began his career as an Assistant District Attorney in Bronx County, NY, and followed that experience as an investigative attorney for the New York City Department of Investigation. Seth is a Certified Fraud Examiner (CFE) and a member of the Association of Certified Fraud Examiners. He is also a member of the Ethics and Compliance Officer Association, the Association of Insurance Compliance Professionals, the Association of Corporate Counsel and the American Bar Association.

Seth is a graduate of Massachusetts Institute of Technology and the George Washington University Law School.



**Keith T. Darcy**  
**Executive Director**  
**Ethics and Compliance Officer**  
**Association**

Keith T. Darcy is Executive Director of the Ethics & Compliance Officer Association (ECO). ECO is the largest association of ethics and compliance executives worldwide with over 1,200 members. Darcy also serves as President of the ECOA Foundation.

Darcy has combined a 30-year career in the financial services industry with his profession as an educator and his long-term involvement in business ethics, corporate governance and organizational leadership. Darcy serves as Chairman of the Board of the Better Business Bureau Foundation, which supports the Better Business Bureau of New York. From 2003-2008, Darcy served on the board of directors of E\*Trade Bank. In 2008, Darcy was appointed to the Global Agenda Council on Corruption of the World Economic Forum, headquartered in Davos, Switzerland. Also in 2008, Darcy was appointed as a member of the Scientific Board of the Chair of Excellency, University Cergy du Pontois in France.

Darcy teaches *Ethics and Leadership* in the Executive Programs at The Wharton School, University of Pennsylvania. Darcy is a Teaching Fellow at the R.H. Smith School of Business, University of Maryland and Executive-in-Residence at Manhattanville College, Purchase, NY, where he serves as Executive Director of the Center for Business Ethics. Darcy also is an Executive Fellow of the Ethics Resource Center in Washington, D.C., and an Executive Fellow of the Center for Business Ethics at Bentley College in Waltham, MA.

Darcy holds a B.S. degree from Fordham University's College of Business, an M.B.A from the Hagan Graduate School of Business at Iona College, and has done post-graduate study at New York Theological Seminary.

Mr. Darcy has contributed his expertise to numerous books and is frequently published, quoted, and referenced in magazines, newspapers, and periodicals worldwide. He is a frequent keynote speaker and panelist on issues related to business ethics, compliance, governance, and leadership throughout the world.



**Paula Desio, Esq.  
Chair for Ethics Policy  
Ethics Resource Center**

Paula is the first holder of the Ethics Resource Center Chair for Ethics Policy, which was created in June 2007.

She works with policy makers to promote the use of ERC's substantial empirical research into the development of laws and regulations that promote higher ethical standards and practices in the workplace. Her work involves frequent interaction with local, state, and federal officials to make them aware of ERC's work and analyses. Paula also cultivates ERC's partnerships with other organizations, both national and international, that share a commitment to improving standards and awareness of ethical practices.

Before assuming the ERC chair, Paula served for 10 years as Deputy General Counsel to the United States Sentencing Commission in Washington DC. She was responsible for policy analysis related to corporate and economic crimes and for the 2004 amendments to the organizational sentencing guidelines for business compliance and ethics programs.

Prior to her service on the Sentencing Commission, Paula was Of Counsel to the Washington law firm of Crowell & Moring. Earlier, Paula prosecuted civil fraud cases on behalf of the Commodity Futures Trading Commission, and from 1980 to 1982 was a public defender in Milwaukee, Wisconsin. She has served on the Adjunct Faculty at American University's Washington School of Law and School for Public Affairs. She has been an active member of the Edward Bennett Williams White Collar Crime Practitioners Inn of Court in Washington since the chapter's formation in 1988.

Paula holds a Bachelor's degree in history from Bucknell University and Master's degrees in Latin American literature and Latin American studies from the University Wisconsin-Madison, as well as a J.D. degree from Marquette University Law School.



**Joan Dubinsky  
Chief Ethics Officer  
International Monetary Fund**

Ms. Dubinsky is the Chief Ethics Officer for the International Monetary Fund, based in Washington, D.C. She has institution-wide accountability for advising, guiding, communicating, and enforcing the Fund's values

and standards. Ms. Dubinsky also leads the Rosentreter Group, a management consulting practice providing expertise in business ethics, organizational development, and corporate compliance.

With twenty-five years of experience, Ms. Dubinsky has served as the Ethics Officer, Associate General Counsel and Corporate Secretary for the American Red Cross (1985 – 1993); Senior Legal Counsel and Compliance Officer for The MITRE Corporation (1993 – 1996); founding member of the Arthur Andersen consulting practice in business ethics (1996 – 1997); and Associate Director, Employee Development for the Howard Hughes Medical Institute (1997 – 2004). Ms. Dubinsky leads the Conference Board's Research Working Group on Working at the Intersection of Human Resources, Ethics & Compliance. She is an Executive Fellow with the Center for Business Ethics.

She is a contributing author for the ECOA's *The Ethics and Compliance Handbook*. She has published articles in such journals as *Law Governance Review*, *Ethikos*, *Federal Ethics Reporter*, *IOMA's Report on Preventing Business Fraud*, and *The Center for Business Ethics News*. Her work in ethics training was prominently featured in *Ethics Matters: How to Implement Values-Driven Management*, by Dawn-Marie Driscoll and W. Michael Hoffman (2000). Her work on investigations is highlighted in *Blackwell's Companion to Business Ethics*, ed. by Robert Fredericks (1999).

Ms. Dubinsky received her Juris Doctorate from the University of Texas at Austin and her undergraduate degree in religious philosophy from the Residential College, University of Michigan.

# FORUM SPEAKERS



**Kathleen Edmond**  
**Chief Ethics Officer**  
**Best Buy**

As Chief Ethics Officer for Best Buy, Kathleen Edmond develops and directs global vision for the company's ethics and business conduct and is a key partner in corporate social responsibility work. She helped build the company's ethics office after joining Best Buy in 2002.

With a background in employment law, a passion for teaching, and a solid retail background, Edmond's foray into ethics was a result of her own enthusiasm for the topic. Best Buy's ethics function originally came together to assure compliance with the requirements of Sarbanes Oxley, but Edmond grew the focus to be one of creating and sustaining an ethical business culture.

Prior to her role as ethics officer, Edmond held employment law positions with Best Buy and Musicland, retail entertainment software giant of the '80s and '90s. She served as adjunct professor for the University of St. Thomas (business ethics) and William Mitchell College of Law (law). She also has extensive experience in social work and human resources/business management. Edmond earned her Juris Doctor from the University of Minnesota (cum laude), master's degree in business ethics from the University of St. Thomas in St. Paul, Minn., and her bachelor's degree from Augsburg College in Minneapolis, Minn. (cum laude). She serves on the boards of directors for Ethics and Compliance Officer Association (ECO) and Penumbra Theater.



**Lauren A. Ferrari**  
**Director, Office of Business Conduct**  
**Alcatel-Lucent**

Lauren A. Ferrari joined Alcatel-Lucent (formerly Lucent Technologies) in 2002 as director and founder of the company's Office of Business Conduct. Currently, as Director of the Office of Business Conduct for Alcatel-Lucent, Ms. Ferrari is responsible for managing the development, deployment and ongoing maintenance of an integrated ethics and compliance program for the company and for assuring that the company is operating with integrity and in compliance with applicable legal and company requirements.

Ms. Ferrari previously served as a member of the corporate law department of Mobil Oil Corporation (now ExxonMobil) in New York, specializing in general corporate and environmental, health, and safety matters. Prior to that, Ms. Ferrari joined Warner-Lambert Company as the company's Chief Environmental, Health and Safety Counsel. In addition, Ms. Ferrari supported the development and implementation of the global corporate compliance program at Westvaco Corporation (now MeadWestvaco).

Ms. Ferrari is an attorney and a graduate of the Marshall-Wythe School of Law, College of William and Mary, in Williamsburg Virginia. She completed her undergraduate work at Colgate University in Hamilton, New York and at Oxford University in England. Ms. Ferrari is a member of the Board of Directors of the Ethics & Compliance Officer Association (ECO) and served as the former chair of the ECOA Nominating & Governance Committee. In addition, she served as a long-term member of the New Jersey Special Olympics Board of Directors.

Ms. Ferrari has written several published articles on compliance and is a frequent invited speaker at many distinguished conferences, including the Practising Law Institute, Government Institutes, the Ethics & Compliance Officer Association and the International Center for Corporate Accountability.



**David Gebler**  
**President**  
**Skout Group**

A thought leader in the field of business ethics and integrity risk management, David Gebler has been helping businesses improve their corporate culture for nearly two decades. Working with organizations

such as General Dynamics, ITT, Cephalon, The World Bank, Boeing, Molson Coors, Raytheon, and Reebok, Gebler knows not only what it means to position global organizations to work smarter and more productively, but also what it takes to keep a team afloat in choppy waters.

A business lawyer by training, Gebler has served as corporate counsel for CBS Records and El Al Airlines. In 1992, he founded Working Values, a cutting-edge firm that played a key role in helping organizations link compliance, ethics, and values.

Based on his belief that an ethical culture is derived from a healthy corporate culture, Gebler launched Skout Group in 2008 to expand his work in “harnessing intangibles.”

David is a noted speaker on ethics and values and their role in the workplace. Since 2001, David has led leadership workshops for clients world-wide, and has led numerous conference sessions for the AICP, IABC, SCCE, Conference Board of Canada, as well as workshops at the ECOA Annual Business Ethics and Compliance Conference (ABECC). In 2003 and 2004, David led seminars on Business Ethics in Tel Aviv, Israel sponsored by the Business Ethics Center of Jerusalem, for which David serves on its International Advisory Committee.

In 2003, David became a Research Fellow at the Center for Business Ethics at Bentley College in Waltham, Massachusetts. His research has been published in *Business and Society Review*.



**Alessandra N. Hawthorne**  
**Director and Deputy Compliance and**  
**Ethics Officer**  
**Boehringer Ingelheim USA Corporation**

As Director and Deputy Compliance and Ethics Officer at Boehringer Ingelheim USA Corp., Alessandra “Ali” Hawthorne is responsible for the implementation and management of the company’s

compliance and ethics program. She directs the development of the Code of Conduct and Business Integrity, corporate policies, the anonymous compliance helpline and investigations process, communication, training, and monitoring. She also oversees records retention, information protection, and privacy.

Before joining compliance, Ms. Hawthorne was an employment attorney at the company, providing legal counseling to business and HR leaders on employee relations issues. Prior to joining Boehringer, she was Senior Counsel at Fuji Photo Film USA, Inc. and an attorney at Jackson Lewis LLP.

Ms. Hawthorne received her law degree from Tulane Law School and her undergraduate degree from Smith College.

# FORUM SPEAKERS



**Suzanne Jones**  
**Director, Ethics**  
**General Dynamics Armament and**  
**Technical Products**

As Director of Ethics for General Dynamics Armament and Technical Products, Suzanne Jones manages the business unit's Ethics Program, which includes

continued emphasis on assessing and developing the company culture, evaluation and promotion of company values, and ethics program and compliance training. Suzanne also serves on the General Dynamics Corporate Ethics Council.

Suzanne joined General Dynamics Armament and Technical Products as the Manager of Environmental, Health and Safety at the Charlotte, North Carolina Operations facility in June of 2004. With a passion for influencing culture and "doing the right thing", she became the Director Ethics in December 2007. Prior to joining General Dynamics, Suzanne worked at Harris Corporation's Semiconductor Sector which later became Intersil Corporation. In her twelve years at Harris / Intersil, she held a variety of positions with increasing responsibility, including worldwide responsibility for Occupational Health and Safety, and participated as a company representative on the Semiconductor Industry Association Project Management Committee to develop and execute industry Worker Health Projects and address regulatory initiatives.

Suzanne earned a Bachelor of Science Degree from the University of Minnesota in 1990 and a Masters Degree in Industrial Safety from the University of Minnesota in 1991.

Suzanne is located at General Dynamics Armament and Technical Product's headquarters in Charlotte, NC. She is a member of the UNC Charlotte Ethics Advisory Council, and serves on the Board of Directors for the Charlotte Children's Choir.



**Ronnie Kann**  
**Managing Director**  
**Compliance and Ethics Leadership**  
**Council**

Ronnie Kann is the Managing Director of the Compliance and Ethics Leadership Council (CELC) and leads the CELC's day-to-day operations and all of its research initiatives. Mr. Kann is a frequent lecturer and leads discussions of the CELC's research insights for companies around the world.

The CELC serves nearly 500 of the world's preeminent companies with leading-edge research, quantitative analysis, benchmarking support, and implementation tools on their most important challenges, including managing compliance and ethics risks, measuring program effectiveness and ethical culture, developing line managers as ethical leaders, and adapting to a new regulatory (and economic) landscape.

The CELC is a division of The Corporate Executive Board, headquartered in Arlington, VA. Mr. Kann has been with The Corporate Executive Board since 2000. During his tenure, he has also held senior management positions in the General Counsel Roundtable, which serves general counsel, and the Corporate Leadership Council, which serves chief human resources officers.

Prior to joining The Corporate Executive Board, Mr. Kann clerked for U.S. District Judge Benson Legg, and practiced law at Simpson Thacher & Bartlett in New York and at Ropes & Gray in Boston. He was also a Trial Attorney in the U.S. Department of Justice and a lecturer at the Catholic University School of Law.

Mr. Kann received his A.B. degree in Politics from Princeton University, and his law degree from Duke University School of Law.



**Jeffrey M. Kaplan**  
**Partner**  
**Kaplan & Walker LLP**

Mr. Kaplan is a partner in Kaplan & Walker LLP, a law firm with offices in Princeton, New Jersey and Santa Monica, California. He specializes in all aspects of assisting companies in developing, implementing, and reviewing corporate compliance programs, including; conducting risk analyses, writing/editing codes of conduct and other policy documents, counseling companies in matters regarding training, developing compliance audit protocols and reporting systems, establishing compliance/ethics offices, and assisting boards of directors in meeting their fiduciary duties under the Caremark case.

Mr. Kaplan's compliance program practice has included work for clients in the health care, pharmaceuticals, government contracting, insurance, manufacturing, energy, retail, paper, publishing, professional services, telecommunications, technology, securities, private investments, food, and chemical fields. He also conducts internal investigations on behalf of boards and companies into allegations of wrongdoing brought by whistleblowers and practices in the white collar defense area as well.

Mr. Kaplan is chair of the Legal Advisory Board of SAI Global Compliance. For many years he was counsel to the Ethics Officer Association (now the ECOA). Mr. Kaplan is, together with Joe Murphy and Win Swenson, co-editor of *Compliance Programs and the Corporate Sentencing Guidelines: Preventing Criminal and Civil Liability* (West 1993), a leading legal treatise on designing and implementing ethics and compliance programs. He is co-publisher/executive editor of *Ethikos*, and has published many articles and book chapters on compliance and ethics programs.

Mr. Kaplan received his B.A. (magna cum laude, Phi Beta Kappa) from Carleton College in 1976 and his J.D. (cum laude) from Harvard University in 1980. He is adjunct professor – markets, ethics and law, at the Stern School of Business, New York University, and is a member of the New York and New Jersey bars.



**Stephen Martin**  
**General Counsel and Chief Ethics Officer**  
**Corpedia**

Stephen Martin is General Counsel and Chief Ethics Officer, Corpedia, a leading ethics, compliance and risk assessment consulting company located in Phoenix, Arizona. Mr. Martin oversees Corpedia's legal and compliance matters and is also responsible for business strategy.

Before joining Ethisphere and Corpedia, Mr. Martin served as Vice President – Law (Litigation and Compliance) for Adelpia Communications Corporation in Greenwood Village, Colorado. Mr. Martin was part of the new senior leadership team brought in to help clean up Adelpia on the heels of the company's corporate scandal.

Prior to joining Adelpia, Mr. Martin worked at Owest Communications Corporation in Denver, Colorado as the company's Investigative Counsel and Chief Privacy Officer. Before Owest, Mr. Martin was a Senior Litigation Associate at Steptoe & Johnson LLP in Phoenix, Arizona and was employed by MCI WorldCom as an Associate Litigation Counsel responsible for handling governmental enforcement actions, investigations, and corporate compliance. Mr. Martin also served as a federal prosecutor with the United States Attorney's Office in Washington, D.C. and as an Assistant Attorney General with the Missouri Attorney General's Office in Jefferson City, Missouri.

Mr. Martin is currently a Clinical Professor in the Department of Business Ethics and Legal Studies in the Daniels College of Business at the University of Denver. Mr. Martin received a Bachelor of Arts degree from the University of Denver, a Juris Doctorate degree from Creighton University, a Master of Laws degree from Georgetown University and a Master of Business Administration degree from the University of Denver.

# FORUM SPEAKERS



**Paul J. McNulty, Esq.**  
**Partner**  
**Baker & McKenzie LLP**

Paul J. McNulty joined the Washington, DC office of Baker & McKenzie LLP in 2007. He plays a key leadership role in the Firm's Business Crimes and Investigations and Corporate Compliance practices.

He works with a team of highly experienced former prosecutors in conducting internal investigations, offering strategic counsel for dealing with the Government, and advising on best practices for compliance with U.S. and international legal requirements and regulations.

For more than two decades, Mr. McNulty played a leading role in shaping US law enforcement policy. From 2005 to 2007, he served as U.S. Deputy Attorney General, the second highest-ranking official in the Department of Justice, and chief operating officer. In that role, he chaired the President's Corporate Fraud Task Force. Mr. McNulty also served as the Justice Department's representative on the Committee on Foreign Investment in the United States.

Mr. McNulty has held other high-level positions in the United States Government including U.S. Attorney for the Eastern District of Virginia, Chief Counsel for the Majority Leader of the U.S. House of Representatives, Chief Counsel for the House Judiciary Committee's Subcommittee on Crime, Principal Associate Deputy Attorney General, and Director of Policy and Communications at the U.S. Department of Justice.

Confirmed as U.S. Attorney three days after the terrorist attacks on September 11, Mr. McNulty was entrusted with many of the United States highest profile terrorist prosecutions. Mr. McNulty is the author of a milestone statement on federal prosecution of business organizations – the "McNulty Memorandum" – a valuable element in determining how a corporation should respond to allegations of criminal wrongdoing.

Mr. McNulty received his Juris Doctorate and LLD, Honorary (2003), from Capital University School of Law and his Bachelor of Arts and Ph.D., Honorary (2007), from Grove City College.



**Matthew B. Pachman**  
**Vice President, Compliance – Ethics**  
**and Business Practices**  
**Freddie Mac**

Matthew B. Pachman serves as the Vice President, Compliance – Ethics and Business Practices at Freddie Mac.

He is responsible for the Company's Ethics Program as well as its Anti-Fraud Program, Non-Lines of Business Compliance Program and Oversight Effectiveness coordination team. He has worked in Freddie Mac's Corporate Compliance Division since 2004.

Prior to coming to Freddie Mac, he served as Chief Ethics Officer at MCI. He was appointed to that position by the General Counsel in August 2002 following revelations of fraud by former WorldCom executives. He had previously served in several positions within MCI WorldCom's Law and Public Policy Group, including Director of Legislative and Regulatory Business Initiatives for MCI WorldCom's consumer and small business groups, Director of Appellate Litigation, and lead counsel for MCI's company-wide Year 2000 compliance program.

Before joining MCI, Pachman was a lawyer in the Washington office of the law firm O'Melveny & Myers, and served as a law clerk to the Honorable Karen LeCraft Henderson of the United States Court of Appeals for the D.C. Circuit.

Pachman earned a Juris Doctorate degree from the University of Virginia, and an undergraduate degree from Wesleyan University.



**Steve Priest**  
**President**  
**Ethical Leadership Group, a Global**  
**Compliance Company**

Steve Priest, President of Ethical Leadership Group, a Global Compliance Company, has done ethics consulting in over forty countries for great organizations in most major industries. He is frequently asked to speak before organizations such as The Conference Board, the Institute of Internal Auditors, the Young Presidents Organization, and the Ethics & Compliance Officer Association. He has raised awareness of the importance of ethical behavior through appearances and contributions to television, newspapers, and magazines.

Prior to founding the Ethical Leadership Group in 1993, Steve Priest was executive director of the Center for Ethics and Corporate Policy, a Chicago-based ethics think tank. Steve received his ethics training both in the real world of business and at Harvard University, where he received a Master of Theological Studies degree.

Steve earned his MBA and BA from the University of Chicago, and studied international organizational development in the Graduate Business School at the Katholieke University of Leuven in Belgium. In addition to consulting and speaking, Steve is a member of the Board of Directors of DePaul's Institute for Business and Professional Ethics.



**Jack W. Radke**  
**Chief Ethics Officer**  
**UnitedHealth Group**

Mr. Radke was appointed, in September of 2007, Chief Ethics Officer for UnitedHealth Group, a Fortune 21 diversified health and well-being company headquartered in Minneapolis, Minnesota. Prior to joining UnitedHealth Group, he practiced both as a lawyer in private practice in addition to serving as in-house counsel with H. J. Heinz Company for two decades. As Heinz's first Director of Ethics, he built Heinz's global ethics program from the ground up.

Mr. Radke has served as an adjunct faculty member teaching business ethics at the University of Pittsburgh and Duquesne University. He was elected to the Board of Directors of the Ethics & Compliance Officer Association in 2005 and is currently the Vice Chair of the Board.

Mr. Radke received his B.A. in economics with honors from Princeton University, and his J.D. and M.B.A. from Northwestern University's School of Law and its J.L. Kellogg Graduate School of Management.

# FORUM SPEAKERS



**Mark E. Schreiber**  
**Partner**  
**Edwards Angell Palmer & Dodge LLP**

Mark E. Schreiber is a Partner at Edwards Angell Palmer & Dodge LLP in the Boston office. Mr. Schreiber's practice is in management defense of employment, compliance, and privacy law matters,

including internal company investigations involving alleged fraud, financial improprieties, health care, anti-kickback, and other misconduct. For more than 30 years, he has defended innumerable sexual harassment, discrimination, privacy, wrongful termination, employment contract, non-competition, defamation, and disability matters at all levels, including in the trial and appellate courts.

Mr. Schreiber is Chair of the firm's Privacy Group, Co-Chair of the Boston Bar Association's Privacy Committee, and also Co-Chair for Privacy Matters of the World Law Group, an international affiliation of large law firms. Among his practice areas are E.U. and global data protection and cross-border data transfer, including adapting Sarbanes-Oxley and FCPA hotlines abroad, and he co-authored the ABA SOX text chapter on this subject. He has handled a number of HIPAA, medical, Gramm Leach, U.S. Safe Harbor and E.U. privacy, security and data breach matters for financial services, medical device, biotech and high tech companies in the U.S., Europe and parts of Asia. He has practiced extensively in privacy, data breach and compliance policy and design, workplace e-mail and internet matters, employee on-line misconduct and responses to government electronic searches.

From 1975-79, Mr. Schreiber was the chief trial lawyer for the Massachusetts Commission Against Discrimination. He has contributed to several employment law texts, and has written numerous articles in the employment and privacy field.

Mr. Schreiber received his J. D. from Harvard Law School and his B.A. from University of Michigan.



**Bill Senhauser**  
**Senior Vice President and Chief Compliance and Ethics Officer**  
**Fannie Mae**

Bill Senhauser is Fannie Mae's chief compliance and ethics officer. He is a member of the Executive Committee, and reports to the chief operating officer.

Senhauser is responsible for overseeing the development and implementation of the company's compliance plans; developing and promoting the Code of Conduct; evaluating and investigating allegations of misconduct; providing oversight for corporate Anti-Fraud and Privacy program; and managing Fannie Mae's regulatory relationships with the company's safety and soundness, mission and fair lending regulators.

Prior to his present appointment, Senhauser was vice president for Regulatory Agreements and Restatement, responsible for carrying out the company's obligations under Fannie Mae's regulatory agreements. Before that, he was vice president for Operating Initiatives. Senhauser joined Fannie Mae in 2000 as vice president for Fair Lending.

Before joining Fannie Mae, Senhauser was the executive director of the Equal Justice Foundation in Ohio. Previously, he was a senior trial attorney in the Civil Rights Division of the U.S. Department of Justice.

Senhauser has a Juris Doctorate from Vanderbilt University School of Law and a Bachelor of Arts from Dartmouth College.



**Betty K. Steele, Esq.  
Of Counsel  
Baker, Donelson, Bearman,  
Caldwell & Berkowitz, PC**

Betty K. Steele, Esq., CISSP, heads up Baker, Donelson, Bearman, Caldwell & Berkowitz, PC's information privacy and security practice. She is one of the few attorneys in the U.S.

who is a Certified Information Systems Security Professional (CISSP), considered the "gold standard" certification for information security. She has extensive experience working with companies large and small, public and private, including Fortune 100 companies, on integrating their legal, technology, and business requirements into cohesive and effective compliance plans.

Ms. Steele's numerous lectureships and publications include: author, "Corporate Governance, Information Security Management and Identity Theft," *Baseline Magazine*, March 2009; speaker, "Not Just for Hackers Anymore? Use of the Computer Fraud and Abuse Act to Respond to Theft of Information," American Bar Association Roundtable in Nashville, Tennessee, February 2009; speaker, "Essentials of a Contingency Plan," Tennessee Bankers' Association Contingency Planning/Disaster Response Workshop in Nashville, Tennessee, December 2008; speaker, "Information Security Management, Identity Theft Prevention and Computer Ethics," Tennessee Bar Association Legal Ethics Conference in Franklin, Tennessee, November 2008; speaker, "Identity Theft Prevention and Information Security Management: Legal Update," Tennessee Bar Association Webcast, October 2008; author, "Deadline Looms for Identity Theft Red Flags Rule Compliance," *Bloomberg Law Report's Privacy & Information*, October 2008; speaker, Ethics & Compliance Officer Association Annual Conference, Pre-Conference Training Session, "Privacy, Security and Computer Ethics: It's Everyone's Responsibility," Los Angeles, CA, September 2007; speaker, National Teleconference of the Healthcare Industry Group of the Ethics & Compliance Officer Association, "Electronic Medical Records: Creating Efficiencies or Opening a Pandora's Box?" July 2007.

Ms. Steele received her J.D. from the Vanderbilt University School of Law and her B.A. from Brown University.



**Steven A. Tyrrell  
Chief of the Fraud Section,  
Criminal Division  
U.S. Department of Justice**

Steven A. Tyrrell has served as the Chief of the Fraud Section of the Criminal Division of the U.S. Department of Justice since September 2006. In that capacity, he

oversees the work of 60 attorneys and 25 support personnel in a variety of subject areas, including corporate and securities fraud, Foreign Corrupt Practices Act, health care fraud and procurement fraud. From 1989 to 1999, Steve worked as an Assistant United States Attorney in the Southern District of Florida. During much of that time, he worked in the Economic Crimes Section.

In 1999, Steve joined the U.S. Attorney's Office in the Northern District of New York where he handled a wide variety of white collar prosecutions, including significant bank, internet, telemarketing, credit card/identity theft, consumer and tax fraud and public corruption matters. During his thirteen years as an AUSA, Steve served as the lead trial attorney on approximately forty criminal jury trials. From 2003 to 2006, Steve served as a Deputy Chief in the Counterterrorism Section at the Justice Department, supervising a group of attorneys working on al-Qaeda-related investigations and prosecutions.

Prior to his federal service, Steve spent nearly five years as a litigation associate in the New York offices of Skadden, Arps, Slate, Meagher & Flom and Kelley, Drye & Warren. Steve also spent a year as a law clerk to United States District Court Judge Thomas J. McAvoy in the Northern District of New York.

# FORUM SPEAKERS



**Leigh-Anne Walker**  
**Senior Consultant**  
**Ethical Leadership Group, a Global**  
**Compliance Company**

Leigh-Anne Walker joined the Ethical Leadership Group in 2008 after serving in senior roles in the financial services sector for nearly 20 years, including as SVP and CFO for business units of JPMorganChase. While at JPMorganChase, she was the business executive for the student loan business, and has extensive industry knowledge and insight into the recent student lending scandals.

Leigh-Anne is currently a candidate for a Masters degree with a concentration in Ethics at Yale Divinity School. At the Ethical Leadership Group, Leigh-Anne applies her advanced ethics studies to the complex regulatory and cultural environment of banking and financial services.

Leigh-Anne received her MBA (Finance) and BA from Dartmouth College.



**Gretchen Winter**  
**Executive Director**  
**Center for Professional**  
**Responsibility in Business and Society,**  
**College of Business at the University of**  
**Illinois at Urbana-Champaign**

Ms. Winter is the Executive Director of the Center for Professional Responsibility in Business and Society at the College of Business at the University of Illinois at Urbana-Champaign (the "Center"). She is a frequent speaker for a variety of ethics, corporate social responsibility, and legal programs within and outside of the United States.

Ms. Winter chaired the Ethics and Compliance Officer Association Board of Directors and the Conference Board's Council on Global Business Conduct, and she has been on ethics committees for the American Bar Association and DePaul University. She co-authored an article— "International Business Standards: The Competitive Imperative"— that appeared in the *Thunderbird International Business Review* as well as an article— "Breathing Life into Your Company's Code of Conduct"— that appeared in the *ACCA Docket*. Prior to joining the Center, she worked for 18 years at Baxter International Inc. in Deerfield, Illinois. She served for more than a decade as Vice President and Counsel, Business Practices/Ethics and Compliance. Earlier in her career at Baxter, Ms. Winter also held legal and management roles in labor and employment, employee relations, training and development, and reengineering.

Ms. Winter received her J.D. from the University of Chicago and her bachelor's degree from the University of Illinois at Chicago.

# Forum Attendees listed by organization

**Accenture**

Jay C. Mumford  
*Ethics and Compliance Program Director*

**Accenture**

Douglas G. Scrivner  
*General Counsel, Secretary & Compliance Officer*

**AES Corporation**

Peter Jaffe  
*Chief Compliance Officer*

**Aetna Inc.**

Betsy Donnelly  
*Chief Ethics Officer & Head of Compliance Operations*

**Alcatel-Lucent**

Lauren Ferrari  
*Director, Office of Business Conduct*

**Alliant Techsystems**

Dawn Young  
*Sr. Manager Ethics & Compliance*

**Apple Inc.**

Eric Pressler  
*Compliance Officer*

**Archer Daniels Midland Company**

John Kelly  
*Vice President, Employment*

**Arizona Public Service Corporation**

Linda A. Thompson  
*Ethics & Compliance Director*

**Baker & McKenzie LLP**

Paul J. McNulty, Esq.  
*Partner*

**Baker, Donelson, Bearman, Caldwell & Berkowitz, PC**

Gary M. Brown  
*Chair, Business Department*

**Baker, Donelson, Bearman, Caldwell & Berkowitz, PC**

Betty K. Steele  
*Of Counsel*

**Bausch & Lomb Incorporated**

James Nortz  
*Compliance Director*

**Bechtel Group, Inc.**

Nancy Higgins  
*VP and Chief Ethics and Compliance Officer*

**Bechtel Group, Inc.**

Adrian Zaccaria  
*Vice Chairman & Director*

**Bechtel National, Inc.**

Nona Baird  
*BNI Compliance Manager*

**Bechtel National, Inc.**

Chrissy Ebner  
*Compliance Specialist*

**Bechtel Systems Infrastructure, Inc.**

Nina Martin  
*Ethics & Compliance & Employee Concerns Program Manager*

**Becton Dickinson and Company**

Jordan Perlin  
*Manager-Business Ethics & Conduct*

**Best Buy**

Kathleen Edmond  
*Chief Ethics Officer*

**Boehringer Ingelheim USA Corp.**

Alessandra Hawthorne  
*Director and Deputy Compliance & Ethics Officer*

**BP America Inc.**

Joseph Wehr  
*Manager of Compliance Planning and Performance*

**BP plc**

Barbara Kuryk  
*Vice President, HSSE Compliance*

**Center for Corporate Ethics**

Scott W. Ventrella  
*Managing Director*

**Central Hudson Gas & Electric Corporation**

Thomas C. Brocks  
*Vice President - Human Resources and Chief Ethics Officer*

**College of Business at the University of Illinois at Urbana - Champaign**

Gretchen A. Winter  
*Exec. Dir., Ctr. for Prof. Responsibility in Business and Society*

**Compliance and Ethics Leadership Council**

Ronnie Kann  
*Managing Director*

**Compliance Strategists, LLC**

Donna Boehme  
*Principal*

**Comverse Technology, Inc.**

David Loy Frishkorn  
*VP Chief Compliance Officer*

**Consolidated Edison of New York, Inc.**

Robert E. Kearney III  
*Manager Business Ethics & Corporate Policy*

**Corpedia**

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*General Counsel & Chief Ethics Officer*

**Daylight Forensic & Advisory LLC**

Andrea Bonime-Blanc  
*General Counsel, Chief Compliance Officer & Corporate Secretary*

**Deloitte LLP**

Maureen Mohlenkamp  
*Deputy Ethics Officer, Principal*

**Deloitte LLP**

Harold Tinkler  
*Partner*

**Deloitte LLP**

Michael E. Zychinski  
*Chief Ethics and Compliance Officer*

**Dominion Resources Services, Inc.**

Flo E. Gray  
*Ethics & Compliance Specialist*

**Dominion Resources Services, Inc.**

Pamela Johnson Walker  
*Deputy General Counsel, Law Dept.*

**Dresser, Inc.**

Jacki Trevino  
*Assistant Director, Global Ethics & Compliance*

**Dynegy, Inc.**

Dawn Coffin  
*Manager, Ethics and Compliance Office*

**Dynegy, Inc.**

Connie F. Estrems  
*Managing Director, Ethics and Compliance*

**Eastman Chemical Company**

Sandra Angeles  
*Manager, Ethics & Corporate Compliance*

**EOCA Emeritus Member**

George Sammet Jr.  
*EOCA Emeritus Member*

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**Edison International**

Kenneth Stewart  
*VP & Chief Ethics & Compliance Officer*

**Edwards Angell Palmer & Dodge LLP**

Mark E. Schreiber  
*Partner*

**El Paso Corporation**

Harry Britt  
*Manager, Ethics and Compliance*

**El Paso Corporation**

Katie H. Smith  
*Ethics & Compliance Consultant*

**El Paso Corporation**

Terry H. Stringer  
*Director, Ethics & Compliance*

**Ernst & Young LLP**

Roberta M. Boykin  
*Director*

**Ernst & Young LLP**

Jeffrey Hoops  
*Partner-Chief Compliance Officer*

**Ernst & Young LLP**

James S. Turley  
*Chairman & CEO*

**Ethical Leadership Group, a Global Compliance Company**

Steve Priest  
*President*

**Ethical Leadership Group, a Global Compliance Company**

Leigh-Anne Walker  
*Senior Consultant*

**Ethics & Compliance Officer Association**

Paula Anderson  
*Assistant Director, Communications*

**Ethics & Compliance Officer Association**

Keith Darcy  
*Executive Director*

**Ethics & Compliance Officer Association**

Janel A. Heilbrunn  
*Assistant Director, Events*

**Ethics & Compliance Officer Association**

Robin Lord  
*Assistant Director, Member Development*

**Ethics & Compliance Officer Association**

Tim C. Mazur  
*Chief Operating Officer*

**Ethics & Compliance Officer Association**

Robert Olson, Ph.D.  
*Director, Member Services and Education*

**Ethics & Compliance Officer Association**

Maria Sonin  
*Assistant Director, Member Services*

**Ethics & Compliance Officer Association**

Nancy Wine  
*Director, Communications, Research & Government Affairs*

**Ethics Resource Center**

Paula J. Desio, Esq.  
*Chair for Ethics Policy*

**EthicsPoint, Inc.**

Jennifer Allison  
*Assistant General Counsel & Director of Corporate Compliance*

**EthicsPoint, Inc.**

David Childers  
*CEO-Chief Compliance Officer*

**Fannie Mae**

Bill Senhauser  
*Senior Vice President & Chief Compliance and Ethics Officer*

**Federal Bureau of Investigation**

Patrick W. Kelley  
*Assistant Director, Office of Integrity and Compliance*

**Fireman's Fund Insurance Company**

Amii L. Barnard-Bahn  
*Senior Counsel & Director, Ethics & Policy Governance*

**Flowerserve Corporation**

Mark D. Dailey  
*Chief Compliance Officer*

**Fluor**

Rosario Elena Heppe  
*Senior Director*

**Freddie Mac**

Matthew B. Pachman  
*Vice President, Compliance-Ethics and Business Practices*

**General Dynamics Armament and Technical Products**

Suzanne Jones  
*Director, Ethics*

**General Electric Co.**

Eugene Mensching, Jr.  
*Deputy Ombudsman*

**Global Compliance**

Nick Ciancio  
*Chief Ethics Officer*

**Halliburton Company**

Richard M. Chapman  
*Counsel*

**Hewlett-Packard**

Chris Carlson  
*Ethics Officer*

**Honda of America Manufacturing, Inc.**

Michael Marrero  
*Senior Staff Administrator, Corporate Compliance & Ethics Office*

**Institute for Global Ethics**

Martin Lewis Taylor  
*Senior Consultant and Master Trainer*

**International Monetary Fund**

Joan E. Dubinsky  
*Chief Ethics Officer*

**International Paper**

James D. Berg  
*Director, Ethics & Business Practices*

**ITT Corporation**

Cherie Raven  
*Manager, Corporate Compliance*

**ITT Corporation**

Jean Wallace  
*Director, Ethics and Compliance, Fluid & Motion Controls Group*

**Jet Propulsion Laboratory**

Karen E. Bermeo-Beas  
*Senior Ethics Advisor*

**Jet Propulsion Laboratory**

Lani DeBenedictis  
*Ethics Officer*

**Kaplan & Walker LLP**

Jeff Kaplan  
*Partner*

**KBR, Inc.**

Kimberly Mullins  
*Director of Business Conduct*

**Kellogg Company**

Mary Fair-Matthews  
Corporate Counsel

**Kellogg Company**

Neil Nyberg  
Chief Ethics and Compliance Officer

**KPMG LLP**

Scott Avelino  
Principal, Forensic Services

**KPMG LLP**

Angeli Weller  
Director, Ethics

**L'Oreal**

Emmanuel Lulin  
Director of Ethics

**McDonald's Corporation**

Sarah DiLorenzo  
Senior Counsel

**Merck & Co., Inc.**

Jacqueline E. Brevard, Esq.  
Vice President, Chief Ethics & Compliance Officer

**Nexen Inc.**

Martin Mueller  
VP & Chief Compliance Counsel

**Novartis Corporation**

Jeff Benjamin  
Vice President and General Counsel

**Orange & Rockland Utilities**

Robert T. Kosior  
Ethics Officer

**PepsiCo, Inc.**

Joanne Temmel  
Compliance Manager

**Pratt & Whitney**

Debra Lee Kelsey  
Business & Compliance Officer

**Primedia**

Carissa Bennett  
Assistant General Counsel

**Prudential Financial**

Lee D. Augsburg  
Chief Ethics and Compliance Officer

**SAI Global Inc.**

Alice Peterson  
Chief Ethics Officer

**Scotts Miracle-Gro Company**

Christiane W. Schmenk  
Vice President, Ethics and Compliance

**Skout Group LLC**

David Gebler  
President

**Sprint Nextel Corporation**

Matthew Curtis  
Director, Ethics & Compliance

**Sun Microsystems, Inc.**

Cheryl R. Fackler Hug  
VP Legal, Chief Integrity and Compliance Officer

**Sun Microsystems, Inc.**

Donyelle Werner  
Sr. Corporate Counsel

**Textron, Inc.**

William J. Clegg  
Executive Director, Ethics and Compliance

**The Coca-Cola Company**

Sharon J. Zealey  
Chief Ethics and Compliance Officer

**The Network, Inc.**

Clark Bosley  
Vice President

**The Penn Mutual Life Insurance Company**

Edward Clemons  
Senior Vice President & Chief Human Resources Officer

**The Procter & Gamble Company**

Patricia S. Towers  
Senior Manager, Global Ethics and Compliance

**Tyco International (US) Inc.**

Laura Lonsdale  
Ombudsman

**U.S. Air Force Academy**

Lt. Gen. John F. Regni  
Superintendent

**U.S. Department of Justice**

Steven A. Tyrrell  
Chief of the Fraud Section, Criminal Division

**U.S. Office of Government Ethics**

Joseph E. Gangloff  
Deputy Director, Office of Agency Programs

**United Nations**

Robert Benson  
Director, Ethics Office

**UnitedHealth Group**

Jeanne M. Hickey  
VP, Ethics & Integrity

**UnitedHealth Group**

Jack W. Radke  
Chief Ethics Officer

**USAA**

Earnest Broughton  
Executive Director, Ethics Program Coordinator

**Verizon Communications**

Gregory K. Miles  
Director, Ethics and Business Conduct

**Wal-Mart Stores, Inc.**

Gary W. Hill  
Vice President and Chief Ethics Officer

**Wal-Mart Stores, Inc.**

Cindy P. Moehring  
US Ethics Director

**Waste Management, Inc.**

Y. Stella Raymaker  
Director, Ethics & EEO Compliance

**WellPoint, Inc.**

James Bixler  
VP, Ethics & Compliance

**World Bank Group**

Anne Marie Taylor  
Chief Ethics Officer

**Zurich Financial Services**

Seth Cohen  
Head of Policy & Processes, Office of Compliance  
North America

# Forum Attendees listed by name

**Jennifer Allison**

Assistant General Counsel & Director of Corporate Compliance  
EthicsPoint, Inc.

**Paula Anderson**

Assistant Director, Communications  
Ethics & Compliance Officer Association

**Sandra Angeles**

Manager, Ethics & Corporate Compliance  
Eastman Chemical Company

**Lee D. Augsburger**

Chief Ethics and Compliance Officer  
Prudential Financial

**Scott Avelino**

Principal, Forensic Services  
KPMG LLP

**Nona Baird**

BNI Compliance Manager  
Bechtel National, Inc.

**Amii L. Barnard-Bahn**

Senior Counsel & Director, Ethics & Policy Governance  
Fireman's Fund Insurance Company

**Jeff Benjamin**

Vice President and General Counsel  
Novartis Corporation

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Primedia

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Principal  
Compliance Strategists, LLC

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Daylight Forensic & Advisory LLC

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Vice President  
The Network, Inc.

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Director  
Ernst & Young LLP

**Jacqueline E. Brevard, Esq.**

Vice President, Chief Ethics & Compliance Officer  
Merck & Co., Inc.

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El Paso Corporation

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Central Hudson Gas & Electric Corporation

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Chair, Business Department  
Baker, Donelson, Bearman, Caldwell & Berkowitz, PC

**Chris Carlson**

Ethics Officer  
Hewlett-Packard

**Richard M. Chapman**

Counsel  
Halliburton Company

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Executive Director, Ethics and Compliance  
Textron, Inc.

**Edward Clemons**

Senior Vice President & Chief Human Resources Officer  
The Penn Mutual Life Insurance Company

**Dawn Coffin**

Manager, Ethics and Compliance Office  
Dynege, Inc.

**Seth Cohen**

Head of Policy & Processes, Office of Compliance North America  
Zurich Financial Services

**Matthew Curtis**

Director, Ethics & Compliance  
Sprint Nextel Corporation

**Mark D. Dailey**

Chief Compliance Officer  
Flowserve Corporation

**Keith Darcy**

Executive Director  
Ethics & Compliance Officer Association

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Jet Propulsion Laboratory

**Paula J. Desio, Esq.**

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Ethics Resource Center

**Sarah DiLorenzo**

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McDonald's Corporation

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Aetna Inc.

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International Monetary Fund

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Compliance Specialist  
Bechtel National, Inc.

**Kathleen Edmond**

Chief Ethics Officer  
Best Buy

**Connie F. Estrems**

Managing Director, Ethics and Compliance  
Dynege, Inc.

**Cheryl R. Fackler Hug**

VP Legal, Chief Integrity and Compliance Officer  
Sun Microsystems, Inc.

**Mary Fair-Matthews**

Corporate Counsel  
Kellogg Company

**Lauren Ferrari**

Director, Office of Business Conduct  
Alcatel-Lucent

**David Loy Frishkorn**

VP Chief Compliance Officer  
Comverse Technology, Inc.

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Deputy Director, Office of Agency Programs  
U.S. Office of Government Ethics

**David Gebler**

President  
Skout Group LLC

**Flo E. Gray**

Ethics & Compliance Specialist  
Dominion Resources Services, Inc.

**Alessandra Hawthorne**

Director and Deputy Compliance & Ethics Officer  
Boehringer Ingelheim USA Corp.

**Janel A. Heilbrunn**

Assistant Director, Events  
Ethics & Compliance Officer Association

**Rosario Elena Heppe**

Senior Director  
Fluor

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VP, Ethics & Integrity  
UnitedHealth Group

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VP and Chief Ethics and Compliance Officer  
Bechtel Group, Inc.

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Wal-Mart Stores, Inc.

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Ernst & Young LLP

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General Dynamics Armament and Technical  
Products

**Ronnie Kann**

Managing Director  
Compliance and Ethics Leadership Council

**Jeff Kaplan**

Partner  
Kaplan & Walker LLP

**Robert E. Kearney III**

Manager Business Ethics & Corporate Policy  
Consolidated Edison of New York, Inc.

**Patrick W. Kelley**

Assistant Director, Office of Integrity and  
Compliance  
Federal Bureau of Investigation

**John Kelly**

Vice President, Employment  
Archer Daniels Midland Company

**Debra Lee Kelsey**

Business & Compliance Officer  
Pratt & Whitney

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Ethics Officer  
Orange & Rockland Utilities

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Vice President, HSSE Compliance  
BP plc

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Ombudsman  
Tyco International (US) Inc.

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Ethics & Compliance Officer Association

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L'Oreal

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Ethics Office  
Honda of America Manufacturing, Inc.

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Ethics & Compliance & Employee Concerns  
Program Manager  
Bechtel Systems Infrastructure, Inc.

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General Counsel & Chief Ethics Officer  
Corpedia

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Ethics & Compliance Officer Association

**Paul J. McNulty, Esq.**

Partner  
Baker & McKenzie LLP

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Deputy Ombudsman  
General Electric Co.

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Deloitte LLP

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Director, Member Services and Education  
Ethics & Compliance Officer Association

**Matthew B. Pachman**

Vice President, Compliance-Ethics and Business  
Practices  
Freddie Mac

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**Jordan Perlin**

Manager-Business Ethics & Conduct  
Becton Dickinson and Company

**Alice Peterson**

Chief Ethics Officer  
SAI Global Inc.

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Apple Inc.

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President  
Ethical Leadership Group, a Global Compliance Company

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ITT Corporation

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Waste Management, Inc.

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Superintendent  
U.S. Air Force Academy

**George Sammet Jr.**

ECOIA Emeritus Member  
ECOIA Emeritus Member

**Christiane W. Schmenk**

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Scotts Miracle-Gro Company

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Edwards Angell Palmer & Dodge LLP

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Ethics & Compliance Officer Association

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PepsiCo, Inc.

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Arizona Public Service Corporation

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Partner  
Deloitte LLP

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The Procter & Gamble Company

**Jacki Trevino**

Assistant Director, Global Ethics & Compliance  
Dresser, Inc.

**James S. Turley**

Chairman & CEO  
Ernst & Young LLP

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Chief of the Fraud Section, Criminal Division  
U.S. Department of Justice

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Deputy General Counsel, Law Dept.  
Dominion Resources Services, Inc.

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Ethical Leadership Group, a Global Compliance Company

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BP America Inc.

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University of Illinois at Urbana - Champaign

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Alliant Techsystems

**Adrian Zaccaria**

Vice Chairman & Director  
Bechtel Group, Inc.

**Sharon J. Zealey**

Chief Ethics and Compliance Officer  
The Coca-Cola Company

**Michael E. Zychinski**

Chief Ethics and Compliance Officer  
Deloitte LLP

# EOCA 2009/2010 UPCOMING EVENTS

We hope you enjoy the ECOA 2009 Sponsoring Partner Forum and benefit greatly from the experience. Please consider joining us for one or more of the upcoming events!

May 6-8, 2009	Retail and Consumer Products Industry Group Spring Forum, Bentonville, Arkansas
May 13, 2009	Ethics and Compliance Regional Forum, Durham, North Carolina
June 8-12, 2009	Managing Ethics in Organizations (MEO), Waltham, Massachusetts
September 23-25, 2009	EOCA 2009 Annual Business Ethics & Compliance Conference Chicago, Illinois
October 28-30, 2009	Introduction to Ethics and Compliance: The Ten Tools that Are Part of Every Successful Ethics and Compliance Program
October - December 2009	Law School for Ethics and Compliance Officers (Seven-Week Online Course)
January 13-15, 2010	European Business Ethics Forum Berlin, Germany
May 5-7, 2010	EOCA 2010 Sponsoring Partner Forum Orlando, Florida
September 22-24, 2010	EOCA 2010 Annual Business Ethics and Compliance Conference Nashville, Tennessee



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2020 N. Central Ave., Ste. 1050  
Phoenix, AZ 85004-4576

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