

LOOK  
INSIDE  
FOR

Educational opportunities  
Books and other resources  
Solution providers  
Web-based networking opportunities  
SCCE membership application

## 2013 WALL CALENDAR

Dates from major corporate scandals for you to use to remind people about the importance of compliant, ethical behavior

# 2013

# Compliance & Ethics

# RESOURCE GUIDE



SCCE exists to champion ethical practice and compliance standards in all organizations and to provide the necessary resources for compliance professionals and others who share these principles

[www.corporatecompliance.org](http://www.corporatecompliance.org)



# Why join SCCE?

**Join today and you'll enjoy the support of thousands of compliance and ethics professionals worldwide.**

The Society of Corporate Compliance and Ethics provides compliance and ethics professionals with a host of benefits all year round, and all around the world.

Our magazine and electronic newsletter will keep you informed of the latest issues, and give you insight into how to effectively manage both current and long-term challenges. Our conferences will enable you to build out your network and hear directly from other professionals, at a discounted, members-only rate.

Our online social network provides interaction with thousands of compliance and ethics professionals globally. Or try a web conference, and enjoy a live presentation direct to your desktop.

In sum, SCCE can help you tap into a vast network of information and resources to help move your ethics and compliance program forward.

To learn more about SCCE and how we can help, visit us online at [www.corporatecompliance.org](http://www.corporatecompliance.org), and join the thousands of other professionals who already call themselves members of the Society of Corporate Compliance and Ethics.



**SOCIETY OF CORPORATE  
COMPLIANCE AND ETHICS**

# It is my pleasure to share with you SCCE's 2013 Compliance & Ethics Resource Guide.

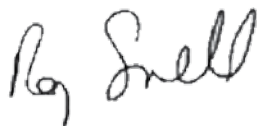
As we all seek to maximize the effectiveness of compliance and ethics programs in a time of constrained resources, this guide is designed to provide you with a convenient tool for finding the products, solutions and educational opportunities you need to keep your career and compliance and ethics program moving forward.

## Inside the Guide you'll find:

- ▶ **Solution Provider Listings.** Use them to find the right solutions for your organization.
- ▶ **Online Resource Guide.** From Twitter to LinkedIn, we have you covered, and inside you'll learn how to take advantage of all of these opportunities.
- ▶ **Educational Opportunities.** We've mapped out for you our educational opportunities—where they'll take place and when—so you can determine which one has the most information for your unique needs.
- ▶ **Books and Other Program Resources.** The SCCE has developed a wide range of books and other tools for helping you to efficiently and effectively improve your program.
- ▶ **A Corporate Scandal Calendar.** Want to know when Bernie Madoff was arrested? Martha Stewart sold her stock? Our corporate scandal calendar provides humor and the groundwork for a year's worth of reminders to your workforce about the consequences of unethical, non-compliant behavior.

We hope you find the 2013 Compliance & Ethics Resource Guide to be a valuable resource to your career and program, and we look forward to serving you in 2013 and beyond.

*Sincerely,*



*Roy Snell*  
*Chief Executive Officer*  
*Society of Corporate Compliance and Ethics*

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Fax your application to +1 952 988 0146 today, and SCCE will invoice you later

## SCCE Membership Application

**Contact Information** *(please type or print)*

Mr.  Mrs.  Ms.  Dr.

First Name MI Last Name

Credential(S) Title(S)

Organization

Street Address

City State/Province Zip/Postal Code Country

Telephone Fax

Email

**Membership Options**

- Individual Membership** ..... \$295
- Group Employee Membership** ..... \$250  
*Four or more from the same company: please fill out one form for each applicant and submit together*
- Corporate Membership** ..... \$2,500  
*Includes four individual memberships plus corporate publicity benefits*
- Student Membership** ..... \$150  
*Full- or part-time students enrolled in a program related to compliance that leads to a baccalaureate degree, or a graduate student who is not employed in a full-time compliance position*

TOTAL ENCLOSED \$ \_\_\_\_\_

**Payment Options**

- Check enclosed *(payable to SCCE)*
- Invoice me Purchase Order # \_\_\_\_\_
- I authorize SCCE to charge my credit card *(choose card below)*  
CREDIT CARD:  American Express  Diners Club  MasterCard  Visa

Credit Card Number \_\_\_\_\_

Credit Card Expiration Date \_\_\_\_\_

Cardholder's Name \_\_\_\_\_

Cardholder's Signature \_\_\_\_\_

RG2013

**Apply online at:** [www.corporatecompliance.org/join](http://www.corporatecompliance.org/join)

**Mail application to:**

Society of Corporate Compliance and Ethics  
6500 Barrie Road, Suite 250,  
Minneapolis, MN 55435, United States



SOCIETY OF CORPORATE  
COMPLIANCE AND ETHICS

*Start planning now for*

# SCCE's 2013 Events

The Society of Corporate Compliance and Ethics is a premier provider of compliance and ethics education. Faculty includes industry experts from around the world and professionals from the corporate environment, academia, government, and the law. Attracting over 2,000 compliance and ethics professionals a year, SCCE events provide unparalleled networking opportunities, all with special discounts for members. Programs are offered in a variety of formats to meet the diverse needs of this evolving profession.

## **Utilities & Energy Compliance & Ethics Conference**

Houston, TX • February 24–27

## **European Compliance & Ethics Institute**

London, England • April 7–9

## **Higher Education Compliance Conference**

Austin, TX • June 2–5

## **Government Compliance Conference**

Washington, DC • June 10

## **Compliance & Ethics Institute**

Washington, DC • October 6–9

## **Web Conferences**

Explore hot topics for compliance professionals with instant and up-to-date education from the convenience of your own office. SCCE announces new conferences regularly, and prior sessions are available for purchase on CD-ROM. Visit [www.corporatecompliance.org](http://www.corporatecompliance.org) for the latest updates.

## **Basic Compliance & Ethics Academies**

San Francisco, CA • February 4–7

New Orleans, LA • March 11–14

Chicago, IL • April 8–11

Scottsdale, AZ • June 3–6

New York, NY • August 5–8

Las Vegas, NV • September 16–19

Denver, CO • October 21–24

Orlando, FL • November 11–14

San Diego, CA • December 2–5

## **International Basic Compliance & Ethics Academies**

Brussels, Belgium • May 13–16

Shanghai, China • July 8–11

São Paulo, Brazil • August 26–29

Dubai, United Arab Emirates • December 16–19

## **Regional Compliance & Ethics Conferences**

South Atlantic • Miami, FL • March 15

East Coast • Washington, DC • April 12

Upper Midwest • Chicago, IL • April 26

Upper Northeast • New York, NY • May 17

Upper West Coast • San Francisco, CA • June 21

Alaska • Anchorage, AK • June 27–28

Southeast • Atlanta, GA • November 1

Southwest • Dallas, TX • November 8

New England • Boston, MA • November 15

*Learn more about SCCE's educational opportunities and register online at*  
**[www.corporatecompliance.org](http://www.corporatecompliance.org)**

*Dates and locations are subject to change.*



**SOCIETY OF CORPORATE  
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**SEATS FILL FAST**

# 2013 Basic Compliance & Ethics Academies



**CCEP**<sup>SM</sup>  
Certified Compliance & Ethics Professional

*Take the exam  
and get certified  
after this intensive  
training session*

## ***In the US***

**San Francisco, CA**  
February 4–7

**New Orleans, LA**  
March 11–14

**Chicago, IL**  
April 8–11

**Scottsdale, AZ**  
June 3–6

**New York, NY**  
August 5–8

**Las Vegas, NV**  
September 16–19

**Denver, CO**  
October 21–24

**Orlando, FL**  
November 11–14

**San Diego, CA**  
December 2–5

## ***International***

**Brussels, Belgium**  
May 13–16

**Shanghai, China**  
July 8–11

**São Paulo, Brazil**  
August 26–29

**Dubai, UAE**  
December 16–19

*Learn more at [www.corporatecompliance.org/academies](http://www.corporatecompliance.org/academies)*

## MONDAY

7:30 – 8:00 AM

### Registration and Continental Breakfast

8:00 – 10:00 AM

### Introduction to Compliance Practice: Abbreviated Compliance 101



*Sheryl Vacca, CCEP, CCEP-I, CHC-F, CHRC, CHPC, Senior Vice President/Chief Compliance & Audit Officer, University of California*

Introduction to Compliance Practice provides a basic introduction to compliance and compliance programs. It covers the seven essential elements of a compliance program and reviews the organizational steps necessary to implement a successful compliance program. The laws, rules and regulations pertinent to compliance programs are introduced. Challenges confronting compliance officers are discussed.

10:15 AM – 11:45 AM

### Organizational Ethics



*Marjorie W. Doyle, JD, CCEP-F, CCEP-I, Managing Director, Aegis Compliance and Ethics Center; Of Counsel, Meade & Roach LLP*

This is a focus on what is an ethical culture and its importance as the underlying basis for a strong culture of compliance and ethics. It focuses on the legal requirement of an ethical culture and the business value of one. The course also covers the current ethical landscape and the practical steps to creating and maintaining a strong ethical corporate culture.

11:45 AM – 12:45 PM

### Lunch (provided)

12:45 – 2:30 PM

### Compliance Infrastructure



*Debbie Troklus, CCEP-F, CCEP-I, CHC-F, CHRC, CHPC, Managing Director, Aegis Compliance and Ethics Center*

This course is designed to help compliance professionals understand the components of an effective compliance infrastructure. Discussed is implementation of a compliance program, selection of qualified staff, budgeting for compliance and the overall structure of the office. Time is spent discussing the various positions needed and the qualifications for each. The auditing position along with qualifications (coding credentials) is discussed. A compliance professional should be able to use what is taught in this course to design an adequate structure to facilitate an effective compliance program.

2:45 – 4:30 PM

### Creating & Reviewing Compliance Policies and Procedures



*Marjorie W. Doyle, JD, CCEP-F, CCEP-I, Managing Director, Aegis Compliance and Ethics Center; Of Counsel, Meade & Roach LLP*

This course focuses on the importance of policies and procedures as the foundation for any strong ethics and compliance program. It covers the legal, cultural, and efficiency reasons for having policies and procedures. The main purpose of the course is to clearly define what policies, procedures and guidelines are, what their specific elements are, and how to create effective policies and procedures. It covers an updated view of best practices on codes of conducts. Finally, it covers the ways to review and update policies and procedures.

## TUESDAY

7:30 – 8:00 AM

### Continental Breakfast

8:00 – 9:45 AM

### Enterprise-Wide Risk Assessment



*Sheryl Vacca, CCEP, CCEP-I, CHC-F, CHRC, CHPC, Senior Vice President/Chief Compliance & Audit Officer, University of California*

If there were an eighth key element of compliance program guidance, risk assessment would be it. In this session, participants will learn what risk is and how it can be assessed, who should be involved in risk assessments, ways to identify risk areas, and what to do with the results of a risk assessment.

10:00 – 11:45 AM

### Privacy



*David J. Heller, CCEP, VP and Chief Ethics and Compliance Officer, Edison International*

The Privacy session is an overview of key privacy laws and regulations that could impact a US or global company. The Privacy session provides a basic high level introduction to law and regulations in all segments of industry. It covers laws and regulations from both the private and governmental industry segments. Laws and regulations for activities in the US, Europe, Asia and other areas of the world are touched on in this session.

11:45 AM – 12:45 PM

### Lunch (provided)

12:45 – 2:30 PM

### Regulatory Update



*Marjorie W. Doyle, JD, CCEP-F, CCEP-I, Managing Director, Aegis Compliance and Ethics Center; Of Counsel, Meade & Roach LLP*

This session is intended to provide an update on recent trends include new and proposed laws and regulations that could impact a corporate compliance program. The session will help compliance professionals stay informed on emerging issues and trends in compliance. There will be a discussion of select regulatory trends.

2:45 – 3:45 PM

### Legal Issues, Risk Factors, and Disclosure Issues



*Art Weiss, JD, CCEP, CCEP-I, Chief Compliance & Ethics Officer, TAMKO Building Products*

This course is designed to help compliance professionals identify and reduce legal risks, investigate and address issues when they arise, determine whether disclosure is required or advisable, and prevent future damage from these and other risks.

3:45 – 5:00 PM

### Ethics & Compliance Programs: Best Practices and Perspectives



*Greg Triguba, JD, CCEP, Principal, Compliance Integrity Solutions, LLC*

This interactive session provides a comprehensive overview of ethic, compliance and risk management best practices, including strategies and insights for taking your program to the next level. Highlights of this session include: considerations and first steps to best practices programs; highlights and metrics on industry trends and perspectives; exploration of program successes, challenges and opportunities; resources available for developing and enhancing your programs; and an interactive networking and information sharing opportunity.

6:00 PM

### Networking Dinner

*This agenda applies to US-based Academies. Agendas for international Academies may vary. Speakers and times are subject to change. Please visit [www.corporatecompliance.org/academies](http://www.corporatecompliance.org/academies) and select the Academy you plan to attend.*



## WEDNESDAY

8:00 – 8:30 AM

### Continental Breakfast

8:30 – 10:15 AM

### Education and Training



*Art Weiss, JD, CCEP, CCEP-I,  
Chief Compliance & Ethics Officer,  
TAMKO Building Products*

This course is designed to demonstrate why Compliance and Ethics training is necessary, who should be trained, what must be included in training, how to collect and use data from training programs to prove program effectiveness, and the dangers of incorrect or poor training.

10:30 AM – 12:15 PM

### Auditing & Monitoring



*Urton Anderson, CCEP,  
Department of Accounting,  
McCombs School of Business,  
University of Texas at Austin*

The goal for this session is to provide the compliance profession with a solid understanding of the role of auditing and monitoring in the compliance system. It begins with the determining the role of auditing and monitoring in the organizational governance process—specifically what assurances the Board and Management need to meet their responsibilities. Next the session explores the relationship between monitoring activities and internal control. A practical process for developing effective monitoring plans and strategies is then presented along with attributes needed for these plans to provide assurance on the effectiveness of the compliance program. Finally, the session ends with a discussion of internal reporting systems as a key part of an organization's monitoring activities.

12:15 – 1:15 PM

### Lunch (provided)

1:15 – 3:00 PM

### Investigations



*Meric Bloch, CCEP,  
Vice President—Compliance  
& Special Investigations, Adecco*

This session is focused on the aspects of a compliance investigation. The session overviews the considerations for who should conduct such investigations based on the nature of the investigation as well as considerations for determining if the investigation should be conducted under attorney client privilege. The session also addresses considerations for what information to provide to the workforce during an investigation and how to report the investigation findings. The duties and obligations of the board of directors and key leaders in the organization are also addressed in this session.

3:15 – 5:00 PM

### Conflicts of Interest



*Martin Biegelman, CFE, CCEP-F,  
Director, Global Investigations and  
Compliance, Navigant Consulting*

Conflicts of interest are some of the most common and challenging issues for compliance and ethics programs. Employees are expected to act in the best interests of their organizations and exercise sound judgment unclouded by personal interest or divided loyalties but that does not always occur. This session is designed to assist compliance professionals understand ethical and organizational risks resulting from conflicts of interest. It will review the many kinds of conflicts of interest and how they occur; gifts, gratuities, and kickbacks; policy development; disclosure programs; detection and auditing for compliance; training; case studies; and best practices.

## THURSDAY

7:30 – 8:00 AM

### Continental Breakfast

8:00 – 9:00 AM

### Using Incentives in the Compliance Program



*Joe Murphy, CCEP, CCEP-I, Author,  
501 Ideas for Your Compliance & Ethics  
Program; Co-editor, Ethikos*

The incentives session will explain why it is so important to include incentives in the scope of a compliance program. The session reviews the different ways to do this, including personnel evaluations, rewards and awards, and giving compliance a role in promotion decisions. The coverage also includes the importance of company incentive programs in general, and why the compliance officer needs a seat at the table when any corporate incentive system is being developed. We ask the difficult question whether those who report fellow employees should get rewards for doing so.

9:15 AM – 11:00 AM

### Effectiveness and Evaluation



*Joe Murphy, CCEP, CCEP-I, Author,  
501 Ideas for Your Compliance & Ethics  
Program; Co-editor, Ethikos*

This session looks at the evaluation of compliance program effectiveness. What are the things that can be measured, what are the tools for doing this measurement, and what else do you need to know to avoid pitfalls and get valid results? We consider why it is not enough simply to do surveys, and how different tools work best for measuring effectiveness in addressing different compliance risks. We also consider who should do the evaluations and who should get the results.

11:00 – 11:15 AM

### Break

11:15 AM – 12:45 PM

### FCPA Anti-Corruption & Bribery



*Odell Guyton, CCEP,  
SCCE Advisory Board Co-Chair,  
Assistant General Counsel & Compliance  
Director (Retired), Microsoft Corporation*

This course explores the domestic and global administrative and law enforcement efforts surrounding anti-corruption enforcement principles, and provides a practical (hands-on) approach for dealing with these and other organizational compliance and ethics risk.

12:45 PM

### Boxed Lunch (provided)

2:15 – 3:00 PM

### CCEP Exam Check-In

3:00 – 5:00 PM

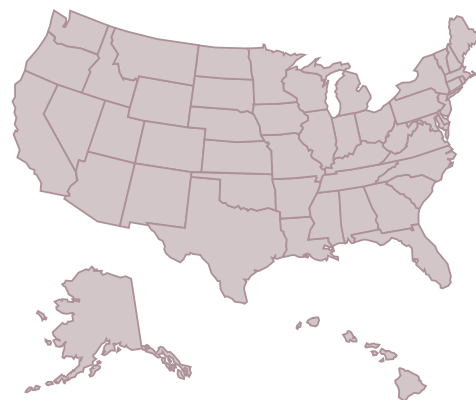
### CCEP Exam

*The exam is optional. You must pre-register for the CCEP exam separately from the Academy. To register for the exam, download the PDF application for your Academy from [www.corporatecompliance.org/academies](http://www.corporatecompliance.org/academies)*

*This agenda applies to US-based Academies. Agendas for international Academies may vary. Speakers and times are subject to change. Please visit [www.corporatecompliance.org/academies](http://www.corporatecompliance.org/academies) and select the Academy you plan to attend.*



SOCIETY OF CORPORATE  
COMPLIANCE AND ETHICS



# REGIONAL *Compliance & Ethics* CONFERENCES *in 2013*

**SOUTH ATLANTIC**  
Miami, FL • March 15

**EAST COAST**  
Washington, DC • April 12

**UPPER MIDWEST**  
Chicago, IL • April 26

**UPPER NORTHEAST**  
New York, NY • May 17

**UPPER WEST COAST**  
San Francisco, CA • June 21

**ALASKA**  
Anchorage, AK • June 27–28

**SOUTHEAST**  
Atlanta, GA • November 1

**SOUTHWEST**  
Dallas, TX • November 8

**NEW ENGLAND**  
Boston, MA • November 15

**Network locally**  
and get the latest on the  
key challenges facing the  
compliance community



SCCE Regional Compliance & Ethics Conferences provide a forum to interact with local compliance professionals, share information about our compliance successes and challenges, and create educational opportunities for compliance professionals to strengthen the industry.

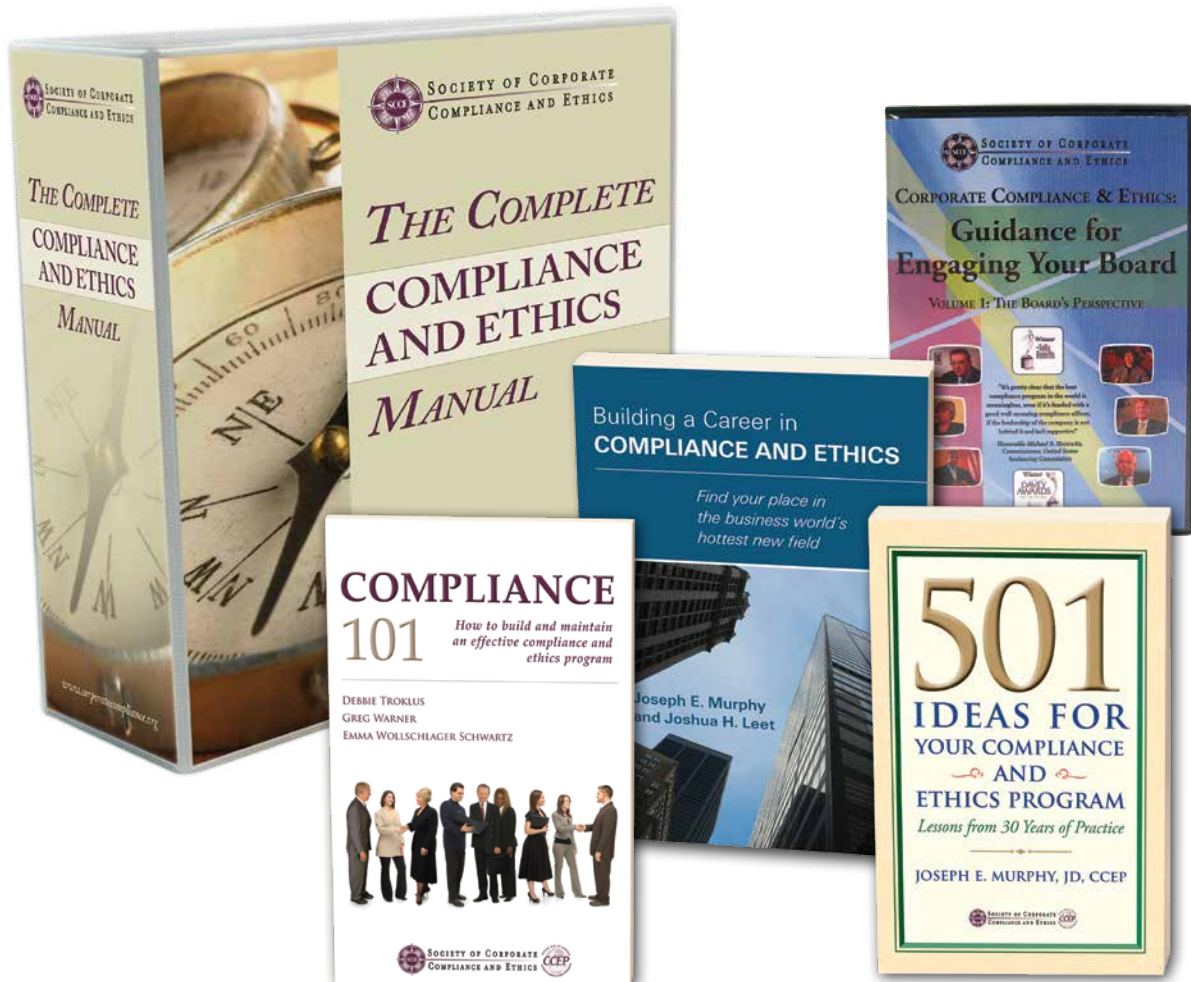
Attendees learn about current regulatory requirements, government enforcement initiatives, and the management of effective compliance programs; and meet and network with other compliance professionals locally.

**Who should attend?** Compliance officers, in-house and outside general counsels, privacy and security officers, regulatory affairs, VPs and directors, government agency staff.

Learn more at [www.corporatecompliance.org](http://www.corporatecompliance.org)



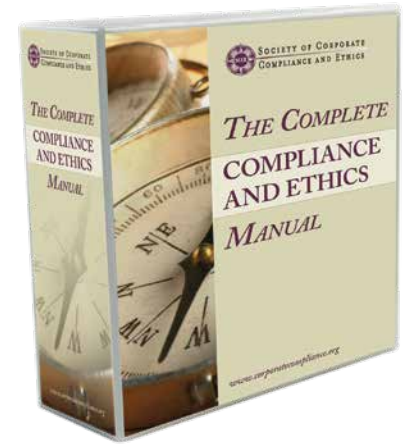
# Product Catalog



## The Complete Compliance and Ethics Manual

Written by experienced compliance and ethics professionals, this continually updated resource offers assistance for every area of the compliance and ethics world, including:

- Compliance and Ethics: What It Is, Why It's Needed
- Essential Elements of an Effective Program
- Strategies for Implementation
- Measuring Effectiveness
- Recent Regulatory Developments
- Guidance for Specific Risk Areas, including:
  - Anti-Corruption and Anti-Bribery
  - Anti-Money Laundering
  - Antitrust
  - Conflicts of Interest
  - False Claims Act
  - Fraud Prevention
  - Gifts and Entertainment
  - Government Contracting
  - Mergers and Acquisitions
  - Privacy Issues
  - Records Management
  - U.S. Export Controls
  - Voluntary Disclosure
  - Wage and Hour Compliance
  - Working with Independent Monitors



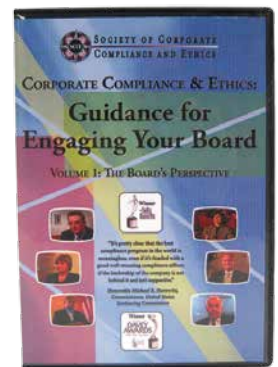
Members \$359  
Non-members \$399

## Corporate Compliance & Ethics: Guidance for Engaging Your Board

This video training kit serves as a call to action for board members. In this 12-minute video, your board of directors will learn their responsibilities in identifying compliance risks, engaging in compliance program oversight, ensuring needed resources for program monitoring, and assessing the effectiveness of the whistle-blowing detection system. With this valuable training kit, you receive the DVD as well as such key support materials.

**“The Board’s role in corporate compliance is a critical one. This video calls attention to the need for board action in this area.”**

—John F. Morrow, CPA, Vice President, American Institute of Certified Public Accountants



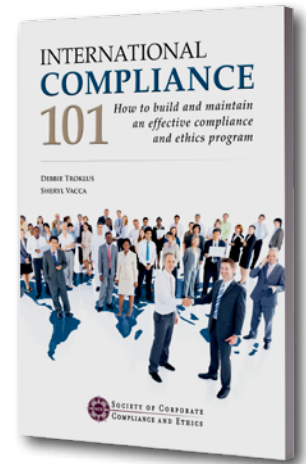
Members \$345  
Non-members \$395

## International Compliance 101

While laws and regulatory authorities may vary nation to nation, the basic job of compliance and ethics professionals remains the same—to prevent, detect and respond to misconduct. What’s more, no matter where your organization is based, the steps required to build and maintain an effective program are essentially the same.

*International Compliance 101* provides the basic information you need to build and maintain an effective compliance and ethics program. This book is ideal for compliance professionals new to the field, compliance liaisons, board members and others with compliance duties. Its coverage includes:

- The Importance of Compliance and Ethics
- The Seven Essential Elements of a Compliance Program
- Steps for Putting an Effective Program in Operation
- Tips for Tailoring a Program to Your Organization
- Sample Compliance Materials
- Glossary of Compliance Term



Members \$50  
Non-members \$60

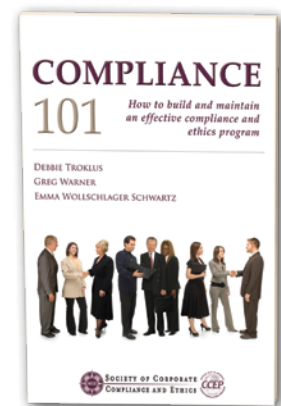
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## Compliance 101: How to Build and Maintain an Effective Compliance and Ethics Program

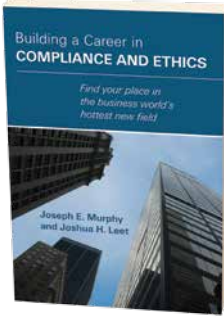
Compliance 101 provides the basic information you need to develop an effective compliance and ethics program in any organization. Whether you’re building a program from scratch or seeking to revitalize an existing program, this manual will get you on track. Its coverage includes:

- The Importance of Compliance and Ethics
- The Seven Essential Elements of a Compliance Program
- Organizational Steps for an Effective Program
- Tips for Tailoring Your Compliance Plan
- Sample Compliance Materials

This book is ideal for compliance professionals new to the field, compliance committee members, compliance liaisons, board members, and others tasked with compliance and ethics duties.



Members \$50  
Non-members \$60



## Building a Career in Compliance and Ethics: Find your place in the business world's hottest new field

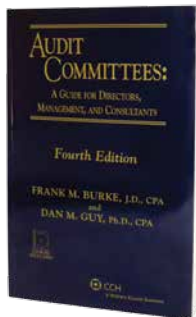
Authors Joseph E. Murphy and Joshua H. Leet have condensed their original book, *Working for Integrity*, to offer step-by-step instructions on how to establish a career in compliance and ethics. You'll discover:

- the wide range of compliance and ethics jobs
  - the skills and temperament needed for this field
  - practical ways to prepare for and get ahead in your career
  - steps for conducting an effective job search
- advice from seasoned compliance and ethics professionals
  - tips for selling your compliance and ethics program to upper management

**Softcover: Members & Non-members \$29.95 / Hardcover: Members & Non-members \$34.95**

“This book is an immensely valuable contribution to the field. It will not only help guide a new generation of compliance and ethics officers through the many professional challenges that await them, but will also provide considerable useful insight and know-how to their experienced counterparts.”

— Jeffrey M. Kaplan, Partner, Kaplan & Walker LLP, a compliance law firm; former Program Director of the Conference Board's Business Ethics Conference



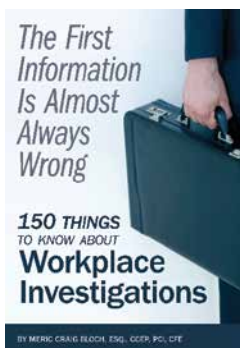
## Audit Committees: A Guide for Directors, Management, and Consultants, Sixth Edition *Published by CCH, a Wolters Kluwer business*

This manual presents an overview of the responsibilities and operation of audit committees. It offers guidance based on real-world experiences from serving on audit committees. The book focuses primarily on publicly held companies, but also includes a short chapter on audit committees for not-for-profit and public sector entities.

Written in a non-technical, active-voice, easy-to-read format, it is intended for directors serving on audit committees, other members of the board of directors, CEOs, CFOs, legal in-house counsels, internal and external auditors, outside legal counsels, and other consultants to audit committees.

This practical book comes with a companion CD containing work papers, checklists and document templates that can be put to immediate use.

**Members \$162 / Non-members \$180**

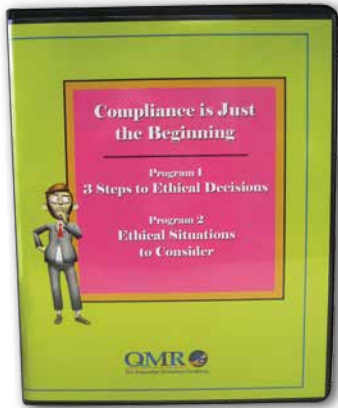


## The First Information Is Almost Always Wrong: 150 Things To Know About Workplace Investigations

Effective workplace investigations are equal parts art and science. Author Meric Bloch has mastered both aspects through years of hard-earned experience. In this book, he details the strategies and tactics he knows work best. His approach is mapped out in three sections:

- Protect Your Career—How to Think Like a Workplace Investigator
- Protect Your Company—How to Integrate Your Investigations into Your Company's Operations
- Protect Your Case—How to Conduct an Effective Workplace Investigation

**Members \$95 / Non-Members \$105**



## Compliance Is Just the Beginning

*Video training produced by QMR—The Respectful Workplace Company*

How do you make better ethical decisions at work? Just because a particular choice is *legal* does not make it right. This two-program video series introduces a three-step process for handling tough ethical decisions. The first program, “3 Steps to Ethical Decisions,” introduces the three steps we can take when faced with a tough ethical choice. The second program, “Ethical Situations to Consider,” presents eight dramatized scenarios to spark discussion about familiar ethical issues. Each program is available in DVD or VHS formats; licensing for Internet and Intranet delivery is also available. All formats come with a facilitator’s package including course outlines, training activities, reproducible handouts, and optional PowerPoint slides.

### **Program One: 3 Steps to Ethical Decisions** (24 minutes)

**MEMBERS \$625 | NON-MEMBERS \$720**

### **Program Two: Ethical Situations to Consider** (32 minutes)

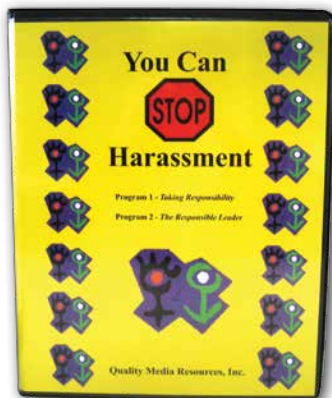
**MEMBERS \$625 | NON-MEMBERS \$720**

### **Compliance Is Just the Beginning** (two-program package)

**MEMBERS \$1,062 | NON-MEMBERS \$1,224**

**FULL ONLINE PREVIEW  
AVAILABLE!**

Visit SCCE’s Web site:  
[corporatecompliance.org](http://corporatecompliance.org)



## You Can STOP Harassment

*Video training produced by QMR—The Respectful Workplace Company*

Harassment goes beyond gender issues. Racial, religious, ethnic, and other forms of workplace harassment are equally dangerous to an organization and its employees. This two-program series (one for all employees, the other for managers) looks at all forms of illegal work-related harassment. With its positive message, it is intended to encourage employees, supervisors, team leaders, and managers in public and private sector organizations to take responsibility to help end all forms of harassment. Each program is comprised of short dramatizations that explore harassment issues that are common within organizations. Each scenario is then analyzed by a diverse group of legal, human resources, and communications experts.

Each program is available in DVD and VHS formats; licensing for Internet and Intranet delivery is also available. All formats come with a facilitator’s package including course outlines, training activities, and reproducible handouts.

### **Program One: Taking Responsibility** (26 minutes)

**MEMBERS \$625 | NON-MEMBERS \$720**

### **Program Two: The Responsible Leader** (25 minutes)

**MEMBERS \$625 | NON-MEMBERS \$720**

### **You Can STOP Harassment** (two-program package)

**MEMBERS \$1,062 | NON-MEMBERS \$1,224**

**FULL ONLINE PREVIEW  
AVAILABLE!**

Visit SCCE’s Web site:  
[corporatecompliance.org](http://corporatecompliance.org)

**PATTERNS Training Series** (Video training produced by QMR—The Respectful Workplace Company)

Sexual harassment at work is more than a legal issue. It is fundamentally a behavioral problem. **PATTERNS** takes on the behavioral challenge, arming employees and managers with the information they need to prevent sexual harassment and the tools that will help them to respond when incidents occur.

**Program One: Preventing Sexual Harassment** (26 minutes)

**Members \$625 | Non-members \$720**

- Program One, **Preventing Sexual Harassment** (for employees and managers), looks at four common patterns of inappropriate behavior—the *habitual harasser*, the *smitten harasser*, the *bully*, and the *jilted harasser*. Responding effectively to harassment is helped when we recognize why the behavior is occurring.

**Program Two: Responding to Sexual Harassment** (26 minutes)

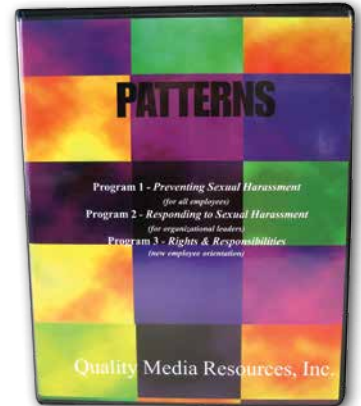
**Members \$625 | Non-members \$720**

- Program Two, **Responding to Sexual Harassment** (for managers), is an extension of the first program in both style and content. This program examines the legal liability issues and questions of personal responsibility that managers and supervisors must face.

**Program Three: Rights & Responsibilities** (10 minutes)

**Members \$395 | Non-members \$455**

- Program Three, **Rights & Responsibilities** (for new employees), is a brief introduction to the issue of sexual harassment prevention intended for new employees. It describes what sexual harassment is and what an employee’s rights and responsibilities are in this area.



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Each program is available in DVD or VHS formats; licensing for internet and intranet delivery is also available (see below). All formats come with a facilitator’s package including course outlines, training activities, reproducible handouts, and optional PowerPoint slides.

**PATTERNS, 3-program package: Members \$1,285 | Non-members \$1,478**

**Streamed Learning Licensing Fee Schedule for QMR Training Videos: Internet or Intranet—Same Fee**

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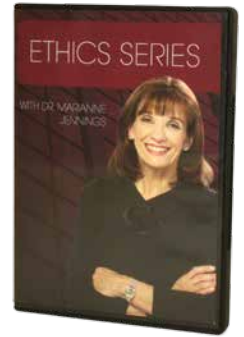
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1,001-3,000.....	\$5 (members) \$5.50 (non-members)
3,001+.....	call for pricing

\*The minimum order amount for any one program is \$395.

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  - a digitized copy of the program(s) in the streaming format of your choice
  - digital copies of the support materials
- Streamed video content is best viewed over a broadband connection



## The Ethics Series with Dr. Marianne Jennings Produced by DuPont Sustainable Solutions



“Ethics Is a Competitive Advantage” lists five key reasons why ethics matter. This program explores why working in the gray areas is risky and a recipe for non-sustainable business. (20 min.)

“Speaking Up Without Fear” discusses work environments where employees keep silent and fear retaliation if ethical concerns are reported. This program explores how organizations can draw out wrongdoing and help create a culture where employees feel empowered. (15 min.)

“Ethical Leadership: Tone at All Levels” explores how employees can handle the tension between increasing an organization’s bottom line and protecting its good reputation. This program discusses what every employee can do to help build and sustain an ethical culture. (20 min.)

Each segment is available individually, or all together on one DVD.

Members \$450 per segment, or \$1,175 for the series  
Non-members \$495 per segment, or \$1,295 for the series

## The SCCE–Amazon.com Compliance & Ethics Reference Library

SCCE has partnered with Amazon.com to help our members have easy access to a wide range of compliance and ethics reference works. We have scoured the Amazon.com catalog and put together a library of high quality compliance and ethics titles. If you purchase through our Amazon.com store, SCCE receives a small commission—so everyone wins!

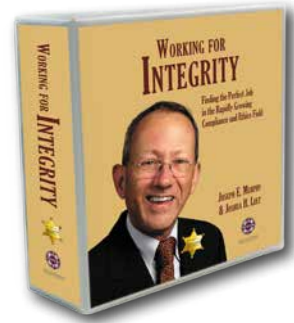
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## Working for Integrity: Finding the Perfect Job in the Rapidly Growing Compliance and Ethics Field

Joseph Murphy, one of the leading experts in compliance, has collaborated with Joshua Leet to offer an in-depth look at the fast-expanding field of compliance and ethics. This comprehensive guide explores the variety of jobs available, the training needed to enter and advance in the profession, strategies for establishing an effective program, tactics for finding the right employees for your program, and protections for compliance and ethics professionals. Interviews with 20 working professionals offer additional insights into this vital field. You'll value this book if you are seeking a job in compliance, aiming to advance your compliance and ethics career, or hiring compliance professionals.

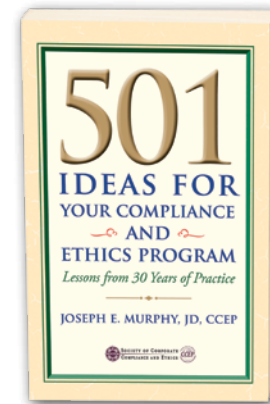


Members \$145.00  
Non-members \$195.00

## 501 Ideas for Your Compliance and Ethics Program: Lessons from 30 Years of Practice

Author Joe Murphy has spent his career collecting great ideas for building an effective compliance and ethics program. He shares 501 of them here—ideas big and small—to help others find new ways to improve their programs. All are practical and ready to use. For those who want more background on the ideas, Joe has included print and Web citations right next to each idea. Topics covered in this collection include:

- identifying compliance & ethics risks
- preparing for investigations
- establishing and enforcing a program
- evaluating effectiveness
- conducting audits
- benchmarking against industry practices
- and much more!



Members \$50  
Non-members \$60

Here are some sample ideas from the book:

**Idea #12:** Online comment period. Put the draft code of conduct online and invite all employees to provide input and comments.

**Idea #66:** Field participation. Invite field managers to participate in compliance committee meetings to bring fresh perspectives, and to spread understanding about the compliance and ethics program.

**Idea #283:** Employee surveys. Use employee surveys to gauge employee awareness of the compliance and ethics program and their views of its effectiveness.

**Idea #470:** Bribery red flag lists. Provide a list of corruption red flags to all those who are at risk for bribery opportunities. This list can include things like agents with no offices, and consultants requiring payment to third parties outside of the country.

## SCCE Web Conference CDs

Learn about timely compliance and ethics topics from the comfort of your computer. Each Web conference offers our expert speakers' original multimedia presentation—a complete audio recording and corresponding PowerPoint presentation, all on one CD. No special technology is needed—just a computer with a CD drive, audio speakers (or headphones) and a standard Web browser. As an added benefit, you can earn 1.2 CEUs for each 90-minute conference. *Note: Each part of a multi-part conference may be purchased separately or as a cost-saving bundle.*

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**Five Conferences or All Five Parts of a Five-Part Conference (as a bundle): Members \$650 | Non-members \$850**

### *A Selection of Recent Web Conferences*

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#### **New Compliance & Ethics Officer? Where to Begin**

*(Code: ACS061611)*

Whether the role is new, or you are new to the role, this conference can help put you on the right path. Topics include: A Vision for Getting Started; Engaging Champions; Building, Leading and Managing Your Team; Building and Improving the Compliance & Ethics Program; Setting Priorities; A Vision for Long-Term Sustainability.

**Facilitator:** *Debra Sabatini Hennelly, Compliance & Ethics Solutions*

#### **Developing and Facilitating Effective Compliance Risk Assessments**

*(Code: ACS052011)*

This conference covers how to conduct a risk assessment focused on compliance requirements and goals at your organization, including analysis of the compliance risk universe, assessment and prioritization of compliance risks, and applying lessons learned from recent compliance issues at peer organizations.

**Facilitators:** *Vin Lacovara, Compliance Officer at The George Washington University; Monica Modi Dalwadi, Senior Manager, Baker Tilly; John Van Meter, Partner, Baker Tilly*

#### **Data Privacy in a Global Era**

*(Code: ACS051512)*

This webinar covers how to protect your company from data security breaches, including industry wide hot topics such as cloud computing and online behavioral advertising, and the latest privacy and data security issues.

**Facilitators:** *Lisa Sotto, Managing Partner, Hunton & Williams; Jimmy Lin, VP of Product Management & Corporate Development, The Network*

#### **Encouraging Reporting and Protecting Whistleblowers**

*(Code: ACS022812)*

This webinar reviews the results of the recent National Business Ethics Survey and the surprising results related to whistle blowing. It explores why whistleblower laws and policies are inadequate for many employees and what else might be needed. Details how to structure a C&E program to provide for safe and effective reporting for employees and others.

**Facilitators:** *Charles Howard, Partner, Shipman & Goodwin; Paul L. Robert, Associate General Counsel and Director, contracts and Compliance, United Technologies; Patricia Harned, President, Ethics Resource Center*

#### **How To Use Incentives In Your Compliance and Ethics Program**

*(Code: ACS032012)*

This webinar helps you to find out how to respond to the most common objections to using incentives; learn how to do personnel evaluations that meet this standard; and review other types of incentives you can include in your program.

**Facilitator:** *Joseph Murphy, JD, CCEP, Editor-in-Chief, Compliance and Ethics Professional; Daniel R. Roach, JD, VP, Compliance and Audit, Dignity Health*

#### **Responsible Partnering: Approaches to Identifying and Managing Third Party Risk**

*(Code: ACS022112)*

Review how third party compliance risk may present itself and identify potential consequences for when the risk comes to fruition. Learn an end to end approach for identifying, vetting and managing third party relationships and their compliance risks, and explore current practices and challenges.

**Facilitators:** *Diana Lutz, Managing Director, Steele; Marjorie Doyle, Managing Director, Aegis Compliance & Ethics Center*

**For information about additional  
Web conferences on CD, visit  
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Qty	Description	Members	Non-members	Total
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—	Audit Committees: A Guide for Directors, Management, and Consultants.....	\$162.00	\$180.00	_____
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—	The Complete Compliance and Ethics Manual.....	\$359.00	\$399.00	_____
—	Corporate Compliance & Ethics: Guidance for Engaging Your Board.....	\$345.00	\$395.00	_____
—	The First Information Is Almost Always Wrong: 150 Things To Know About Workplace Investigations.....	\$95.00	\$105.00	_____
—	Working for Integrity.....	\$145.00	\$195.00	_____

The Ethics Series with Dr. Marianne Jennings

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# Solution Providers



## Aegis

Kara A. Murray, Project Coordinator  
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www.aegis-compliance.com

Aegis provides expert compliance and ethics consulting services across a broad range of industries including Health Care, Finance, Energy, Manufacturing, Retail, Government, and others. Our professionals hold leadership positions in national compliance organizations and have worked as Chief Ethics and Compliance Officers and government attorneys. We draw on decades of leadership experience to create and implement hands-on solutions tailored to our clients' unique needs. The programs we develop have been heralded by both industry experts and government officials as models for the field. We arm our clients with the knowledge and organizational framework to efficiently and effectively maintain compliance, manage risk and succeed in today's environment of increasing regulatory scrutiny.



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The ACFE is the world's largest anti-fraud organization and premier provider of anti-fraud training and education. Together with more than 60,000 members, the ACFE is reducing business fraud world-wide and inspiring public confidence in the integrity and objectivity within the profession.

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Stephen Martin, Managing Director  
stephen.martin@bakermckenzie.com  
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Broad and Cassel offers full-service legal representation for individuals, public entities and private enterprises. Founded in 1946, the firm has eight locations throughout the state. Broad and Cassel attorneys know Florida's economy and its business and political leaders. The Firm's attorneys specializing in white collar criminal and civil fraud defense, securities, corporate law and corporate investigations are known nationwide and work closely with colleagues in more than two dozen different practice areas. For more information, visit www.broadandcassel.com.



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Joe Gerard, Vice President—Corporate Investigations  
800 465 6089 (US) | [jgerard@i-sight.com](mailto:jgerard@i-sight.com)  
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Since 1994, LRN has helped 15 million people at 700 companies worldwide simultaneously navigate complex legal and regulatory environments and foster ethical cultures. LRN's combination of practical tools, education and strategic advice helps companies translate their values into concrete corporate practices and leadership behaviors that create sustainable competitive advantage.



## MetricStream

Mamta Bhatt, Manager Marketing  
[mamatha.bhat@metricstream.com](mailto:mamatha.bhat@metricstream.com)  
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MetricStream is a market leader in Enterprise-wide Governance, Risk, Compliance (GRC) and Quality Management Solutions for global corporations and has consistently been rated as best-in-class by independent analysts. The MetricStream GRC suite includes solutions for managing policy and procedures, enterprise risk, regulatory compliance, corporate compliance, incident and case management, regulatory reporting and submissions, ethics, supplier governance and IT GRC.



## Navex Global, Inc.

Simmi Singh Corcoran, Senior Marketing Communications Manager  
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NAVEX Global is the trusted global ethics and compliance expert for more than 7,500 clients in over 200 countries. A merger of industry leaders ELT, EthicsPoint, Global Compliance Services and PolicyTech, NAVEX Global now provides the world's most comprehensive suite of solutions to manage governance, risk and compliance.



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The Network, Inc. is a leading provider of integrated governance, risk and compliance (GRC) solutions that enable organizations to mitigate risk, achieve compliance and ultimately, create better, more ethical workplaces. Combining dynamic SaaS-based technology with expert-level services, The Network helps global enterprises protect themselves from the risks posed by fraud and unethical conduct, detect issues early, and correct unethical or illegal behavior. Established in 1982, The Network serves thousands of organizations in every industry, including nearly half of the Fortune 500. More than 26 million employees worldwide rely on The Network.



## New England College of Business

Amy Amaru, Director of Corporate Partnerships  
+1 203 512 8989 | [Amy.Amaru@necb.edu](mailto:Amy.Amaru@necb.edu)  
[www.necb.edu](http://www.necb.edu)

Founded in 1909 in Boston, Massachusetts, New England College of Business and Finance (NECB) quickly began educating people in the business communities. NECB offers business related Associate's, Bachelor's and Master's degrees including the nation's first Master of Science in Business Ethics & Compliance. Courses 100% online allows students to pursue their degree without interrupting their busy schedules. Courses can be taken anytime, anywhere. All degree programs are accredited by New England Association of Schools and Colleges (NEASC). To learn more about NECB and our Corporate Partnership program, contact Amy Amaru, 203-512-8989 or [Amy.Amaru@necb.edu](mailto:Amy.Amaru@necb.edu).



## NogginLabs

Amy Lavery, Senior Account Representative  
+1 773 878 9011 x203 | amy.lavery@nogginlabs.com  
www.nogginlabs.com

NogginLabs specializes in creating industry-leading custom e-Learning for the world's most innovative organizations. With 15 years of successful learning development under our belts, our custom solutions ensure effective, consistent, and compliant training within a highly-engaging user experience. We believe changing behavior is more important than memorizing facts – and our unique, performance-based courses transform compliance and ethics content into active and memorable learning experiences. For more information, visit [www.nogginlabs.com](http://www.nogginlabs.com).



## The Red Flag Group Limited

Collin Wilson, VP Sales  
3278 Wilshire Blvd, Suite 11W, Los Angeles, CA 90010  
office: +1 213 365 0155 | mobile: 310 880 9676  
collin.wilson@redflaggroup.com  
www.redflaggroup.com

The Red Flag Group is a leading corporate governance and compliance firm providing thought leadership to Fortune 500 companies. We aim to help companies develop and successfully integrate effective governance and compliance programmes through our advisory, due diligence and technology solutions.



## Resonate Pictures

Marc Havener  
+1 323 273 0333 | marc@resonatepictures.com  
www.resonatepictures.com

Saving the world one training video at a time. Our award-winning educational films connect imagination to information by uncovering what makes us human. If you need to communicate something in a way that makes it stick, our method is humor, drama and storytelling - a tradition that spans time and transcends culture. Accolades include Gold for training in the American Business Awards. The press has described our films as “tender” (although we’re still deciding if we like that word) and “Comedy Gold” (Fast Company). We can help transform your training through custom content or our new off-the-shelf sitcom-style eLearning modules.



## SAI Global

Bill Schedler  
+1 609 955 5123 | bill.schedler@saiglobal.com  
www.saiglobal.com/compliance

SAI Global provides organizations with a wide range of products, solutions and services that enable effective management of compliance risk and enhanced corporate culture. We build this effectiveness by integrating core governance, risk and compliance (GRC) elements like policy and procedure management, incident management, hotline, third party risk management, surveys, disclosures, certifications, and learning and communication and—framed by excellence in consulting and implementation services, and monitoring and reporting—enable organizations to have a clear line of sight into emerging risks and trends and proactively take action to protect and build organizational integrity.



## SkillSoft

Melynda Hilliard, Manager of Events, Marketing  
mhillard@skillsoft.com  
www.skillsoft.com

Skillsoft is a pioneer in the field of learning with a long history of innovation. Skillsoft provides cloud-based learning solutions for customers worldwide, ranging from global enterprises, government, and education to mid-sized and small businesses. Skillsoft's customer support teams draw on a wealth of in-house experience and a comprehensive learning e-library to develop off-the-shelf and custom learning programs tailored to cost-effectively meet customer needs. Skillsoft's courses, books and videos have been developed by industry-leading learning experts to maximize business skills, performance, and talent development. Skillsoft currently serves over 5,000 customers and more than 13,000,000 learners around the world.



## Solutions House

Julie Murray, Principal  
866 525 2130 x924 (US) | juliem@solutionshouse.com  
www.solutionshouse.com

Invite the ethics and compliance thought leaders at Solutions House to help you implement a world-class ethics and compliance program! Our approach is “real world,” having been forged and tested in practice for some of the most influential organizations in the world. With global success stories at The Boeing Company, EDS, and Walmart, the ethics professionals at Solutions House have built some of the most mature programs in the business world. We can do the same for you. We offer a complete line of advisory services for organizations in every stage of designing and implementing an ethics and compliance program.



## Steele CIS

Keith LaHonta, Senior Director, Client Relations  
+1 415 354 0383 | klahonta@steelecis.com  
www.steeleduediligence.com | www.securimate.com

STEELE CIS offers a unique third party due diligence solution for companies needing control of their third parties at corporate and regional levels. STEELE's partner Securimate provides a web-based third-party management platform that automates on-boarding, due diligence questionnaires with integrated risk-weighting, distribution of corporate documents, and training. With 20 years of experience and over half of the Fortune 100 as clients, our top experts in the disciplines of compliance, forensic accounting, and Anti-Bribery and Corruption due diligence have set the industry standard. STEELE's solutions respond to the complexity of doing business in today's fluid, outsourced marketplace.



## Thomson Reuters Accelus (World-Check)

Douglas E. Jones, National Sales Director  
douglas.jones@thomsonreuters.com  
accelus.thomsonreuters.com | www.world-check.com

World-Check is now part of the Thomson Reuters Governance, Risk and Compliance (GRC) division and the Accelus suite of products. Thomson Reuters Accelus helps organizations of all sizes, across all sectors, to manage their risk exposure and accelerate their business at every step. World-Check services are effective at THOMSON REUTERS ACCELUS™ revealing risk that can be difficult to find. Solutions include AML, KYC, PEP screening, transaction monitoring and Enhanced Due Diligence. Our services include: World-Check Risk Screening (relationship screening); Country-Check (geopolitical risk ranking); IntegraScreen (enhanced due diligence); Transwatch (customer, transaction and trading activity monitoring). Accelus offers a cost-effective, comprehensive and flexible anti money laundering and financial crime risk suite that helps to manage regulatory obligations, improve business efficiency and safeguard reputation. For more information, visit [www.world-check.com](http://www.world-check.com) or [accelus.thomsonreuters.com](http://accelus.thomsonreuters.com).

## Via Legal

[www.viadelivers.com/legal\\_specialization.php](http://www.viadelivers.com/legal_specialization.php)  
1-800-737-8481 | [info@viadelivers.com](mailto:info@viadelivers.com)

VIA Legal provides compliance translation and award-winning web, game-based and mobile training solutions for global organizations. By working as an extension of your team, we are committed to helping organizations cut costs and improve engagement to mitigate organizational risk. Through a blend of technology and a global network of over 5,000 legal translators, bilingual attorneys, instructional designers and engineers, VIA serves leading brands throughout the US including Cisco, HP, Intel, Expedia, Nike, St. Jude Medical and more.



## WeComply

Nicole Rafanello, Marketing Manager  
201-880-7675 Ext. 210 | [nrafanello@WeComply.com](mailto:nrafanello@WeComply.com)  
[www.wecomply.com](http://www.wecomply.com)

WeComply is a leading provider of ethics and compliance training for employees in all industries. We offer more than 75 courses that are easily customized and available in multiple languages both online and offline. Companies can host our courses in their own LMS or use WeComply's patented system, which provides centralized administration, custom reporting and other advanced features. WeComply is the exclusive ACC Alliance partner for compliance training.



## WorldCompliance

Lee Moran, Global Marketing Executive  
877 258 1877 (US) | [lee.moran@worldcompliance.com](mailto:lee.moran@worldcompliance.com)  
[www.worldcompliance.com](http://www.worldcompliance.com)

WorldCompliance has the most comprehensive database of individuals and organizations, which may pose a risk to the financial system. We offer the most comprehensive screening tools for due diligence by offering in-depth profiles with portrait photographs along with other unique identifying details including dates and place of birth plus multiple address information. WorldCompliance solutions help identify individuals and companies linked to over twenty risk categories. Our services conform to over 100 local anti-terrorism and money-laundering legislations including The USA PATRIOT Act, Foreign Corrupt Practices Act (FCPA), Financial Action Task Force (FATF), the 3rd EU Money Laundering Directive and the Bank Secrecy Act (BSA). Call 877 258 1877 in the U.S., or visit [www.worldcompliance.com](http://www.worldcompliance.com) for the representative in your region.



## Xcelus, LLC

Kaly Ruck, Director  
+1 801 224 0071 | [kaly@xcelus.com](mailto:kaly@xcelus.com)  
[www.xcelus.com](http://www.xcelus.com)

Xcelus, an award-winning training development company, develops innovative and unique online training. Xcelus' training development capabilities include video production, e-learning, rapid development and mobile courses for iPad and Android devices. Xcelus online compliance courses are designed to bring awareness to your company's compliance policies in a brief and entertaining way. Each course is tailored specifically to engage employees with your company's unique guidelines. Our staff includes proven leaders in instructional design, script writing, mobile learning, design, animation, and video production. If you're ready for a whole new approach to training, or want to evolve your compliance courses to the next level, we're eager to show you how partnering with Xcelus will enhance your online compliance learning solutions.





Society of Corporate Compliance and Ethics

# 2013 CALENDAR

Educational Opportunities and Corporate Scandal Dates

Society of Corporate Compliance and Ethics, 6500 Barrie Road, Suite 250, Minneapolis, MN 55435, United States  
+1 952 933 4977 or 888 277 4977 | [www.corporatecompliance.org](http://www.corporatecompliance.org) | [helpteam@corporatecompliance.org](mailto:helpteam@corporatecompliance.org)

# 2013

## JANUARY

<b>S</b>	<b>M</b>	<b>T</b>	<b>W</b>	<b>T</b>	<b>F</b>	<b>S</b>
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20	21	22	23	24	25	26
27	28	29	30	31		

## FEBRUARY

<b>S</b>	<b>M</b>	<b>T</b>	<b>W</b>	<b>T</b>	<b>F</b>	<b>S</b>
					1	2
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10	11	12	13	14	15	16
17	18	19	20	21	22	23
24	25	26	27	28		
						31

## MARCH

<b>S</b>	<b>M</b>	<b>T</b>	<b>W</b>	<b>T</b>	<b>F</b>	<b>S</b>
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						31

## APRIL

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## MAY

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26	27	28	29	30	31	

## JUNE

<b>S</b>	<b>M</b>	<b>T</b>	<b>W</b>	<b>T</b>	<b>F</b>	<b>S</b>
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## JULY

<b>S</b>	<b>M</b>	<b>T</b>	<b>W</b>	<b>T</b>	<b>F</b>	<b>S</b>
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## AUGUST

<b>S</b>	<b>M</b>	<b>T</b>	<b>W</b>	<b>T</b>	<b>F</b>	<b>S</b>
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						31

## SEPTEMBER

<b>S</b>	<b>M</b>	<b>T</b>	<b>W</b>	<b>T</b>	<b>F</b>	<b>S</b>
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13	14	15	16	17	18	19
20	21	22	23	24	25	26
27	28	29	30	31		

## OCTOBER

<b>S</b>	<b>M</b>	<b>T</b>	<b>W</b>	<b>T</b>	<b>F</b>	<b>S</b>
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## NOVEMBER

<b>S</b>	<b>M</b>	<b>T</b>	<b>W</b>	<b>T</b>	<b>F</b>	<b>S</b>
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24	25	26	27	28	29	30
						31

## DECEMBER

<b>S</b>	<b>M</b>	<b>T</b>	<b>W</b>	<b>T</b>	<b>F</b>	<b>S</b>
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20	21	22	23	24	25	26
27	28	29	30	31		

# SCCE's 2013 Events

The Society of Corporate Compliance and Ethics is a premier provider of compliance and ethics education. Faculty includes industry experts from around the world and professionals from the corporate environment, academia, government, and the law. Attracting over 2,000 compliance and ethics professionals a year, SCCE events provide unparalleled networking opportunities, all with special discounts for members. Programs are offered in a variety of formats to meet the diverse needs of this evolving profession.

## **Utilities & Energy**

### **Compliance & Ethics Conference**

Houston, TX • February 24–27

### **European Compliance & Ethics Institute**

London, England • April 7–9

### **Higher Education Compliance Conference**

Austin, TX • June 2–5

### **Government Compliance Conference**

Washington, DC • June 10

### **Compliance & Ethics Institute**

Washington, DC • October 6–9

## **Basic Compliance & Ethics Academies**

San Francisco, CA • February 4–7

New Orleans, LA • March 11–14

Chicago, IL • April 8–11

Scottsdale, AZ • June 3–6

New York, NY • August 5–8

Las Vegas, NV • September 16–19

Denver, CO • October 21–24

Orlando, FL • November 11–14

San Diego, CA • December 2–5

## **International Basic Compliance**

### **& Ethics Academies**

Brussels, Belgium • May 13–16

Shanghai, China • July 8–11

São Paulo, Brazil • August 26–29

Dubai, United Arab Emirates • December 16–19

## **Regional Compliance & Ethics Conferences**

South Atlantic • Miami, FL • March 15

East Coast • Washington, DC • April 12

Midwest • Chicago, IL • April 26

Upper Northeast • New York, NY • May 17

West Coast • San Francisco, CA • June 21

Alaska • Anchorage, AK • June 27–28

Southeast • Atlanta, GA • November 1

Southwest • Dallas, TX • November 8

New England • Boston, MA • November 15

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*Learn more about SCCE's educational opportunities and register online at [www.corporatecompliance.org](http://www.corporatecompliance.org)*

*Dates and locations are subject to change.*



ational integrity

Third party  
management



EXIT



Compliance  
Code of Conduct



# JANUARY 2013

SUNDAY	MONDAY	TUESDAY	WEDNESDAY	THURSDAY	FRIDAY	SATURDAY
30	31	1	2	3	4	5
		SCCE OFFICE CLOSED <i>New Year's Day</i>				● Last Quarter
6	7	8	9	10	11	12
	2009 / Satyam CEO resigns and admits inflated financial results	2010 / Former University of Louisville dean pleads guilty to fraud			● New Moon	
13	14	15	16	17	18	19
					● First Quarter	
20	21	22	23	24	25	26
2007 / New York Times reports that Tyco's Kozlowski and Swartz both sold more than \$100 million in Tyco stock	SCCE OFFICE CLOSED <i>Martin Luther King Day</i>			2007 / Broadcom announces \$2.4 billion restatement of results <i>Mawlid an-Nabi</i>		
27	28	29	30	31		
○ Full Moon					<b>DECEMBER 2012</b> S M T W T F S 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29 30 31	<b>FEBRUARY</b> S M T W T F S 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28

Expectation

- CERTIFICATION
- DEVELOPING PROTOCOLS



# FEBRUARY 2013

SUNDAY	MONDAY	TUESDAY	WEDNESDAY	THURSDAY	FRIDAY	SATURDAY
27	28	29	30	31	1	2
<p>○ Last Quarter</p>	<p>4</p> <p><b>Basic Compliance &amp; Ethics Academy</b> San Francisco, CA</p>	<p>5</p>	<p>6</p>	<p>7</p>	<p>8</p>	<p>9</p> <p>2004 / Janet Jackson experiences "wardrobe malfunction"</p> <p>Groundhog Day</p>
<p>● New Moon</p>	<p>11</p> <p>2009 / KBR pleads guilty to bribery charges, agrees to \$402 million fine</p> <p>2004 / Jeff Skilling arrested by FBI</p>	<p>12</p> <p>Lincoln's Birthday</p>	<p>13</p>	<p>14</p> <p><b>CCEP Exam</b></p>	<p>15</p>	<p>16</p> <p>2012 / Banks and US government announce \$25 billion fraudulent foreclosures settlement</p> <p>2009 / BAE agrees to \$450 million settlement in bribery probe</p>
<p>○ First Quarter</p>	<p>18</p> <p>Presidents Day</p>	<p>19</p>	<p>20</p> <p>Ash Wednesday</p>	<p>21</p> <p>Valentine's Day</p>	<p>22</p>	<p>23</p> <p>2012 / Japanese police arrest seven in Olympus scandal</p>
<p>2011 / Former Indian telecom minister arrested amidst allegations of involvement in 2G spectrum scandal</p>	<p>25</p> <p>○ Full Moon</p>	<p>26</p>	<p>27</p> <p><b>CCEP Exam</b></p>	<p>28</p> <p>2012 / Former Fiesta Bowl chief pleads guilty in scheme to funnel political contributions</p>	<p>Washington's Birthday</p>	
<p>24</p> <p><b>Utilities &amp; Energy Compliance &amp; Ethics Conference</b> Houston, TX</p>	<p>25</p>	<p>26</p>	<p>27</p>	<p>28</p>	<p>JANUARY</p> <p>S M T W T F S</p> <p>1 2 3 4 5</p> <p>6 7 8 9 10 11 12</p> <p>13 14 15 16 17 18 19</p> <p>20 21 22 23 24 25 26</p> <p>27 28 29 30 31</p>	<p>MARCH</p> <p>S M T W T F S</p> <p>1 2</p> <p>3 4 5 6 7 8 9</p> <p>10 11 12 13 14 15 16</p> <p>17 18 19 20 21 22 23</p> <p>24 25 26 27 28 29 30</p> <p>31</p>



# MARCH 2013

SUNDAY	MONDAY	TUESDAY	WEDNESDAY	THURSDAY	FRIDAY	SATURDAY
24	25	26	27	28	1	2
3	4	5	6	7	8	9
10	11	12	13	14	15	16
U.S. Daylight Saving Time begins at 2:00 AM	Basic Compliance & Ethics Academy New Orleans, LA	Former chairman of McKesson sentenced for securities fraud Martha Stewart convicted in ImClone scandal		CCEP Exam	South Atlantic Regional Conference Miami, FL	
17	18	19	20	21	22	23
St. Patrick's Day		First Quarter	Equinox			
24	25	26	27	28	29	30
		Full Moon				
Palm Sunday	1	2	3	4	Good Friday	
31					FEBRUARY	APRIL
Easter		Passover			S M T W T F S	S M T W T F S
					1 2	1 2 3 4 5 6
					3 4 5 6 7 8 9	7 8 9 10 11 12 13
					10 11 12 13 14 15 16	14 15 16 17 18 19 20
					17 18 19 20 21 22 23	21 22 23 24 25 26 27
					24 25 26 27 28	28 29 30



# APRIL 2013

SUNDAY	MONDAY	TUESDAY	WEDNESDAY	THURSDAY	FRIDAY	SATURDAY																																																																																				
31	1	2	3 <small>Last Quarter</small>	4	5	6																																																																																				
7 <b>European Compliance &amp; Ethics Institute</b> London, England <i>Holocaust Remembrance Day</i>	8 <b>Basic Compliance &amp; Ethics Academy</b> Chicago, IL <i>2011 / Johnson &amp; Johnson agrees to \$77 million global FCPA settlement</i>	9 <b>CCEP-I Exam</b>	10 <small>New Moon</small>	11 <b>CCEP Exam</b>	12 <b>East Coast Regional Conference</b> Washington, DC	13																																																																																				
14	15 <i>2008 / WSJ reports that banks may be low-balling Libor scores</i>	16	17 <small>First Quarter</small>	18	19	20 <i>2010 / Deepwater Horizon oil rig explodes</i>																																																																																				
21	22 <i>Earth Day</i>	23	24	25 <small>Full Moon</small> <i>2012 / DOJ publicly declines to prosecute Morgan Stanley in FCPA case, citing effectiveness of company compliance program</i>	26 <b>Midwest Regional Conference</b> Chicago, IL <i>2007 / Siemens confirms SEC investigation</i> <i>Arbor Day</i>	27 <i>2009 / Madoff Investment Securities LLC is auctioned off to the highest bidder</i>																																																																																				
28	29	30	1	2	<table border="0"> <tr> <td colspan="3"><b>MARCH</b></td> <td colspan="3"><b>MAY</b></td> </tr> <tr> <td>S</td><td>M</td><td>T</td> <td>W</td><td>T</td><td>F</td> <td>S</td><td>M</td><td>T</td> <td>W</td><td>T</td><td>F</td><td>S</td> </tr> <tr> <td></td><td></td><td></td> <td>1</td><td>2</td><td>3</td> <td>1</td><td>2</td><td>3</td><td>4</td><td>5</td><td>6</td><td>7</td> </tr> <tr> <td></td><td></td><td></td> <td>4</td><td>5</td><td>6</td> <td>8</td><td>9</td><td>10</td><td>11</td><td>12</td><td>13</td><td>14</td> </tr> <tr> <td></td><td></td><td></td> <td>10</td><td>11</td><td>12</td> <td>13</td><td>14</td><td>15</td><td>16</td><td>17</td><td>18</td><td>19</td> </tr> <tr> <td></td><td></td><td></td> <td>17</td><td>18</td><td>19</td> <td>20</td><td>21</td><td>22</td><td>23</td><td>24</td><td>25</td><td>26</td> </tr> <tr> <td></td><td></td><td></td> <td>24</td><td>25</td><td>26</td> <td>27</td><td>28</td><td>29</td><td>30</td><td>31</td><td></td><td></td> </tr> </table>		<b>MARCH</b>			<b>MAY</b>			S	M	T	W	T	F	S	M	T	W	T	F	S				1	2	3	1	2	3	4	5	6	7				4	5	6	8	9	10	11	12	13	14				10	11	12	13	14	15	16	17	18	19				17	18	19	20	21	22	23	24	25	26				24	25	26	27	28	29	30	31		
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# MAY 2013

SUNDAY	MONDAY	TUESDAY	WEDNESDAY	THURSDAY	FRIDAY	SATURDAY
<p>APRIL</p> <p>S M T W T F S</p> <p>1 2 3 4 5 6</p> <p>7 8 9 10 11 12 13</p> <p>14 15 16 17 18 19 20</p> <p>21 22 23 24 25 26 27</p> <p>28 29 30</p>	<p>JUNE</p> <p>S M T W T F S</p> <p>1</p> <p>2 3 4 5 6 7 8</p> <p>9 10 11 12 13 14 15</p> <p>16 17 18 19 20 21 22</p> <p>23 24 25 26 27 28 29</p> <p>30</p>	30	1	<p>Last Quarter</p> <p>2</p>	3	4
5	6	7	8	9	<p>New Moon</p> <p>10</p> <p>2011 / Lindsey Manufacturing becomes first corporation convicted under the FCPA</p>	<p>2011 / Raj Rajaratnam of Galeon Group found guilty on 14 counts</p> <p>2006 / UnitedHealth announces it may need to restate as much as \$286 million in earnings</p> <p>11</p>
12	13	14	15	16	17	18
<p>Mother's Day</p> <p>19</p>	<p>International Basic Compliance &amp; Ethics Academy Brussels, Belgium</p> <p>20</p>	<p>CCEP-I Exam</p> <p>21</p>	<p>Upper Northeast Regional Conference New York, NY</p> <p>22</p>	<p>Armed Forces Day</p> <p>23</p>	<p>24</p>	<p>25</p>
26	27	28	29	30	31	<p>2006 / Kenneth Lay and Jeff Skilling found guilty on a combined 25 counts</p>
	<p>SCCE OFFICE CLOSED</p> <p>Memorial Day</p>					



# JUNE 2013

SUNDAY	MONDAY	TUESDAY	WEDNESDAY	THURSDAY	FRIDAY	SATURDAY
26	27	28	29	30	31	1
<p><b>Higher Education Compliance Conference</b> Austin, TX</p>	<p><b>Basic Compliance &amp; Ethics Academy</b> Scottsdale, AZ</p> <p><small>2002 / Dennis Kozlowski resigns from Tyco</small></p>	<p>4</p> <p><b>CCEP Exam</b></p> <p><small>2003 / Martha Stewart indicted 2002 / Dennis Kozlowski charged with avoiding \$1 million in sales taxes</small></p>	<p>5</p> <p><b>CCEP Exam</b></p>	<p>6</p> <p><b>CCEP Exam</b></p>	<p>7</p>	<p>8</p> <p>● <small>New Moon</small></p>
<p>9</p>	<p>10</p> <p><b>Government Compliance Conference</b> Washington, DC</p>	<p>11</p> <p><small>2002 / ImClone's Sam Waksal arrested and charged with insider trading</small></p>	<p>12</p>	<p>13</p>	<p>14</p> <p><small>2012 / Allen Stanford sentenced to 110 years in jail in \$7 billion fraud case</small></p> <p><small>Flag Day</small></p>	<p>15</p>
<p>16</p> <p>● <small>First Quarter</small></p> <p><small>2010 / BP agrees to set up \$20 billion oil spill fund</small></p> <p><small>Father's Day</small></p>	<p>17</p> <p><small>2005 / Dennis Kozlowski and Mark Swartz convicted</small></p>	<p>18</p>	<p>19</p>	<p>20</p>	<p>21</p> <p><b>West Coast Regional Conference</b> San Francisco, CA</p> <p><small>Solstice</small></p>	<p>22</p>
<p>23</p> <p>○ <small>Full Moon</small></p>	<p>24</p>	<p>25</p> <p><small>2002 / Worldcom announces need to restate financial results</small></p> <p><small>2002 / Adelpia files Chapter 11</small></p>	<p>26</p> <p><small>2002 / Worldcom shares trade at \$44.21. Previous high was over \$64</small></p>	<p>27</p> <p><b>Alaska Regional Conference</b> Anchorage, AK</p> <p><small>2012 / Barclays settle with DOJ for \$453 million in Libor scandal</small></p>	<p>28</p> <p><small>2009 / Techip SA agrees to pay \$338 million after allegations of bribery in Nigeria</small></p>	<p>29</p> <p><small>2009 / Bernard Madoff is sentenced to 150 years in prison, the maximum punishment for his crimes</small></p>
<p>30</p> <p>○ <small>Last Quarter</small></p>	<p>1</p>	<p>2</p>	<p>3</p>	<p>4</p>	<p><b>MAY</b></p> <p>S M T W T F S</p> <p>1 2 3 4</p> <p>5 6 7 8 9 10 11</p> <p>12 13 14 15 16 17 18</p> <p>19 20 21 22 23 24 25</p> <p>26 27 28 29 30 31</p>	<p><b>JULY</b></p> <p>S M T W T F S</p> <p>1 2 3 4 5 6</p> <p>7 8 9 10 11 12 13</p> <p>14 15 16 17 18 19 20</p> <p>21 22 23 24 25 26 27</p> <p>28 29 30 31</p>



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# JULY 2013

SUNDAY	MONDAY	TUESDAY	WEDNESDAY	THURSDAY	FRIDAY	SATURDAY																																																												
30	1	2 <i>2012 / Glaxo Smith Kline pleads guilty and pays \$3 billion to resolve fraud and safety data allegations</i> <i>2010 / DOJ extradites Italian to U.S. for alleged involvement in FCPA violation</i>	3	4 <b>SCCE OFFICE CLOSED</b> <i>Independence Day</i>	5	6																																																												
7	8 ● New Moon <b>International Basic Compliance &amp; Ethics Academy Shanghai, China</b> <i>2004 / Adelphia's John Rigas convicted</i>	9	10 <i>2011 / News of the World publishes last issue and closes down in wake of phone hacking scandal</i> <i>Ramadan</i>	11	12	13																																																												
<i>2004 / Kenneth Lay indicted</i>	14	15 ● First Quarter	17	18	19	20 <i>2005 / Worldcom's Bernard Ebbers sentenced to 25 years in prison</i>																																																												
21 ○ Full Moon	22	23	24	25	26	27																																																												
<i>2002 / Worldcom files for Chapter 11 bankruptcy protection</i>	28 ● Last Quarter	30	31	1	<table border="1"> <thead> <tr> <th colspan="3">JUNE</th> <th colspan="3">AUGUST</th> </tr> <tr> <th>S</th><th>M</th><th>T</th> <th>S</th><th>M</th><th>T</th> </tr> </thead> <tbody> <tr> <td></td><td></td><td></td> <td></td><td></td><td></td> </tr> <tr> <td></td><td></td><td>1</td> <td></td><td></td><td></td> </tr> <tr> <td>2</td><td>3</td><td>4</td> <td>5</td><td>6</td><td>7</td> </tr> <tr> <td>8</td><td>9</td><td>10</td> <td>11</td><td>12</td><td>13</td> </tr> <tr> <td>14</td><td>15</td><td>16</td> <td>17</td><td>18</td><td>19</td> </tr> <tr> <td>20</td><td>21</td><td>22</td> <td>23</td><td>24</td><td>25</td> </tr> <tr> <td>26</td><td>27</td><td>28</td> <td>29</td><td>30</td><td>31</td> </tr> <tr> <td>30</td><td></td><td></td> <td></td><td></td><td></td> </tr> </tbody> </table>		JUNE			AUGUST			S	M	T	S	M	T									1				2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	30					
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GLOBAL FINANCE

# AUGUST 2013

SUNDAY	MONDAY	TUESDAY	WEDNESDAY	THURSDAY	FRIDAY	SATURDAY
<p>JULY</p> <p>S M T W T F S</p> <p>1 2 3 4 5 6</p> <p>7 8 9 10 11 12 13</p> <p>14 15 16 17 18 19 20</p> <p>21 22 23 24 25 26 27</p> <p>28 29 30 31</p>	<p>SEPTEMBER</p> <p>S M T W T F S</p> <p>1 2 3 4 5 6 7</p> <p>8 9 10 11 12 13 14</p> <p>15 16 17 18 19 20 21</p> <p>22 23 24 25 26 27 28</p> <p>29 30</p>	30	31	1	2	3
4	<p>5</p> <p>● New Moon</p> <p><b>Basic Compliance &amp; Ethics Academy</b> New York, NY</p>	6	7	<p>8</p> <p><b>CCEP Exam</b></p>	9	10
11	12	13	<p>14</p> <p>● First Quarter</p> <p>2001 / Jeff Skilling announces his resignation from Enron</p>	15	16	17
18	19	20	<p>21</p> <p>○ Full Moon</p>	22	23	24
25	26	27	<p>28</p> <p>● Last Quarter</p> <p><b>International Basic Compliance &amp; Ethics Academy</b> São Paulo, Brazil</p>	29	30	31





# SEPTEMBER 2013

SUNDAY	MONDAY	TUESDAY	WEDNESDAY	THURSDAY	FRIDAY	SATURDAY																																																																																				
1	2 <i>2009 / Pfizer announces settlement; terms specify Compliance Officer should not report to General Counsel</i> <b>SCOE OFFICE CLOSED</b> <i>Labor Day</i>	3	4 ● <i>New Moon</i>	5 <i>2006 / HP discloses to SEC it reviewed private phone records of board members</i> <i>Rosh Hashanah</i>	6	7 <i>2006 / Broadcom announces \$1.5 billion subtraction in earnings due to stock options irregularities</i>																																																																																				
8 <i>Grandparents Day</i>	9 <i>2003 / Enron treasurer pleads guilty</i>	10 <i>2009 / Two Hollywood executives convicted for FOIA violations</i>	11 <i>2002 / Tyco's Kozlowski and Swartz charged</i>	12 ● <i>First Quarter</i>	13	14																																																																																				
15 <i>Grandparents Day</i>	16 <b>Basic Compliance &amp; Ethics Academy</b> Las Vegas, NV	17 <i>2009 / Two Hollywood executives convicted for FOIA violations</i>	18 <i>2005 / Tyco's Kozlowski and Swartz sentenced</i>	19 ○ <i>Full Moon</i> <b>CCEP Exam</b>	20	21 <i>Yom Kippur</i>																																																																																				
22	23	24	25	26 ● <i>Last Quarter</i>	27	28 <i>2002 / Five execs at Adelphia indicted</i>																																																																																				
29 <i>Equinox</i>	30	1	2 <i>2001 / Ken Lay tells employees Enron shares are an "incredible bargain"</i>	3 <i>2002 / Former Worldcom controller pleads guilty</i>	<table border="1"> <thead> <tr> <th colspan="3">AUGUST</th> <th colspan="3">OCTOBER</th> </tr> <tr> <th>S</th><th>M</th><th>T</th> <th>S</th><th>M</th><th>T</th> </tr> </thead> <tbody> <tr> <td></td><td></td><td></td> <td></td><td></td><td></td> </tr> <tr> <td>4</td><td>5</td><td>6</td> <td>1</td><td>2</td><td>3</td> </tr> <tr> <td>7</td><td>8</td><td>9</td> <td>4</td><td>5</td><td>6</td> </tr> <tr> <td>10</td><td>11</td><td>12</td> <td>7</td><td>8</td><td>9</td> </tr> <tr> <td>13</td><td>14</td><td>15</td> <td>10</td><td>11</td><td>12</td> </tr> <tr> <td>16</td><td>17</td><td>18</td> <td>13</td><td>14</td><td>15</td> </tr> <tr> <td>19</td><td>20</td><td>21</td> <td>16</td><td>17</td><td>18</td> </tr> <tr> <td>22</td><td>23</td><td>24</td> <td>19</td><td>20</td><td>21</td> </tr> <tr> <td>25</td><td>26</td><td>27</td> <td>22</td><td>23</td><td>24</td> </tr> <tr> <td>28</td><td>29</td><td>30</td> <td>25</td><td>26</td><td>27</td> </tr> <tr> <td>31</td><td></td><td></td> <td>28</td><td>29</td><td>30</td> </tr> <tr> <td></td><td></td><td></td> <td>31</td><td></td><td></td> </tr> </tbody> </table>		AUGUST			OCTOBER			S	M	T	S	M	T							4	5	6	1	2	3	7	8	9	4	5	6	10	11	12	7	8	9	13	14	15	10	11	12	16	17	18	13	14	15	19	20	21	16	17	18	22	23	24	19	20	21	25	26	27	22	23	24	28	29	30	25	26	27	31			28	29	30				31		
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# OCTOBER 2013

SUNDAY	MONDAY	TUESDAY	WEDNESDAY	THURSDAY	FRIDAY	SATURDAY
29	30	1	2	3	4	5 ● New Moon
6 Compliance & Ethics Institute Washington, DC	7	8 CCEP Exam	9	10	11 ● First Quarter	12
13	14 Columbus Day	15 2009 / Galleon Group Founder Raj Rajaratham and five others arrested for alleged insider trading	16 Eid al-Adha	17	18 ○ Full Moon	19
20	21 Basic Compliance & Ethics Academy Denver, CO	22	23 CCEP Exam	24	25	26 ● Last Quarter
27	28	29	30	31 2001 / Andrew Fastow leaves Enron  Halloween	2011 / Olympus admits to \$1.7 billion accounting fraud 2010 / Glaxo Smith Kline pleads guilty and agrees to \$750 million settlement	NOVEMBER S M T W T F S 1 2 3 4 5 6 7 1 2 8 9 10 11 12 13 14 3 4 5 6 7 8 9 15 16 17 18 19 20 21 10 11 12 13 14 15 16 22 23 24 25 26 27 28 17 18 19 20 21 22 23 29 30 24 25 26 27 28 29 30



# NOVEMBER 2013

SUNDAY	MONDAY	TUESDAY	WEDNESDAY	THURSDAY	FRIDAY	SATURDAY
<p>OCTOBER</p> <p>S M T W T F S</p> <p>1 2 3 4 5</p> <p>6 7 8 9 10 11 12</p> <p>13 14 15 16 17 18 19</p> <p>20 21 22 23 24 25 26</p> <p>27 28 29 30 31</p>	<p>DECEMBER</p> <p>S M T W T F S</p> <p>1 2 3 4 5 6 7</p> <p>8 9 10 11 12 13 14</p> <p>15 16 17 18 19 20 21</p> <p>22 23 24 25 26 27 28</p> <p>29 30 31</p>	29	30	31	1	2
<p>● New Moon</p> <p>3</p>	<p>4</p> <p>2010 – Panalpina announces \$81.9 million FCPA settlement</p> <p>Election Day</p> <p>Islamic New Year</p>	5	6	7	8	9
<p>● First Quarter</p> <p>10</p>	<p>11</p> <p>Basic Compliance &amp; Ethics Academy Orlando, FL</p> <p>Veterans Day</p>	12	13	14	15	16
<p>○ Full Moon</p> <p>17</p> <p>2006 / Police raid Siemens headquarters over bribery allegations</p>	18	19	20	21	22	23
<p>24</p> <p>○ Last Quarter</p>	25	26	27	28	29	30
				<p>SCCE OFFICE CLOSED</p> <p>Thanksgiving</p> <p>Hamukkah</p>	<p>SCCE OFFICE CLOSED</p> <p>2001 / SEC investigation of Enron begins</p>	



# DECEMBER 2013

SUNDAY	MONDAY	TUESDAY	WEDNESDAY	THURSDAY	FRIDAY	SATURDAY
1	2 ● New Moon	3	4	5 CCEP Exam	6	7
8	9 ● First Quarter	10	11 2008 / Bernard Madoff is arrested on counts of securities fraud, but is released on \$10 million bail	12	13	14
15	16 ○ Full Moon	17	18	19 CCEP-I Exam	20	21
22	23	24 ● Last Quarter	25	26	27	28 Solstice
29	30	31 Christmas Eve New Year's Eve	1 Christmas Day	2 Kwanzaa	3 2001 / Martha Stewart sells 3,928 shares of ImClone stock	
					<b>NOVEMBER</b> S M T W T F S 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29 30	<b>JANUARY 2014</b> S M T W T F S 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29 30 31

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Increase your value to your employer

Gain expertise in the fast-evolving compliance field

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