



Utilities & Energy Compliance & Ethics Conference

February 22–25, 2015 | Houston, Texas | Westin Oaks

Questions: lizza.catalano@corporatecompliance.org

The utilities and energy industries are highly regulated. Compliance topics can be specific and focused on areas that are not necessarily addressed at the all-industry level.

Take advantage of the opportunity to discuss specific content areas in more detail, and enjoy a forum for sharing and exchanging ideas with others facing the same regulations.

Learn more and register at www.corporatecompliance.org/utilities

Program at a Glance

SUNDAY, FEBRUARY 22: PRE-CONFERENCE

12:00 - 5:30 PM	Registration Open	
1:00 - 2:30 PM	P1 How to Start a Compliance Program/ Its Your First Day on the Job, Now What? – Carolyn S. Egbert, Owner and Founder, Creative Solutions for Executives	P2 Enhancing Ethical Culture: Practical Views from the Employee Perspective – Yolanda Lopez Smaistrta, Ethics and Compliance Consultant
2:30 - 3:00 PM	Networking Break (Coffee/Tea service only)	
3:00 - 5:00 PM	P3 Risk Management - Corporate Compliance and Ethics – Claire Gomez-Miller, Retired, (former Chief Audit Executive, The National Gas Company of Trinidad and Tobago Limited),	P4 Building an Effective Compliance Program Which Works Around the Globe – Jacqui Beckett, Beckett Ethics and Compliance International PC
5:00 - 6:00 PM	Welcome Reception	

MONDAY, FEBRUARY 23: CONFERENCE

7:15 AM - 6:00 PM	Registration Open	
7:15 - 8:15 AM	Continental Breakfast (provided)	
8:15 - 8:30 AM	Opening Remarks	
8:30 - 9:30 AM	General Session 1: Ethical Decision - Making: Managing the Grey Area Between "Legal" and "Right" – Karen M. Aavik, Assistant General Counsel, First Niagara Financial Group	
9:30 - 10:30 AM	General Session 2: What Compliance Professionals Can Learn from Behavioral Psychology: How to Get People to Do What You Want! – Virginia MacSuihbne, Chief Compliance Officer, Roche Molecular Systems, Inc.	
10:30 - 11:00 AM	Networking Break	
11:00 AM - 12:00 PM	101 National Grid's Ethics Liaison Network – Margaret Ireland, Principal Ethics Analyst, National Grid	102 Manage You Budget and Resources More Efficiently in 2015: A Data-Driven Approach – Jennifer Kugler, Senior Director, CEB
12:00 - 1:00 PM	Networking Lunch	
1:00 - 2:00 PM	201 Lessons Learned: Compliance Failures and Successes in the Utilities and Gas Industry – Christopher Sindik, Consultant of Advisory Services, The Red Flag Group	202 Breaches By Insiders and Access Compliance Issues – Alan Norquist, CEO & Founder, Vreiphyr, Inc.; John Vastano, CSO, Veriphyr, Inc.
2:00 - 2:30 PM	Networking Break	
2:30 - 3:30 PM	301 The Principled Regulator – Miggie E. Cramblit, General Counsel & Director, External Affairs, Midwest Reliability Organization	302 Recent Lessons Learned from FCPA Enforcement Actions – Thomas R. Fox, Principal, TOMFOXLAWS.COM
3:30 - 4:00 PM	Networking Break	
4:00 - 5:00 PM	401 Compliance and Human Resources: Building a Culture of Open Reporting – Andrew Baird, Compliance Leader, GE Oil & Gas; Laura Cofino, HR Compliance Leader, GE Oil & Gas	402 How Two different utilities Approach Compliance – Joy J. Dorsey, Chief Compliance Officer, Pepco Holdings, Inc.; Helen Goodwin, Retired (former Ethics Program Manager - Bonneville Power Administration)
5:00 - 6:30 PM	Networking Reception	

TUESDAY, FEBRUARY 24: CONFERENCE

7:30 AM - 5:00 PM	Registration Open	
7:30 - 8:30 AM	Continental Breakfast	
8:30 - 9:30 AM	General Session 3: Maturing Your Regulatory Compliance Program – John Munn, Chief Counsel, 4Change Energy; Senior Counsel & Director of Compliance, TXU Energy	
9:30 - 10:30 AM	General Session 4: Right Time, Right Audience, Right Message: Building a Successful E&C Awareness Program – Kathryn L. Skelton, Compliance Manager, Noble Energy; Ashley Coselli, Compliance Attorney, Noble Energy; (Moderator) Steve Helm, Senior Account Executive, NAVEX Global	
10:30 - 11:00 AM	Networking Break	
11:00 AM - 12:00 PM	501 Operating a Utility in Today's Enforcement Climate: FERC and Beyond – Thomas F. Kokalas, Partner, Bracewell & Giuliani; Michael Brooks, Partner, Bracewell & Giuliani	502 Cyberforensics: Critical Incident Response – Warren Breaux, Senior Manager, Ernst & Young, LLP; Peter Trahon, Executive Director, Ernst & Young, LLP
12:00 - 1:00 PM	Networking Lunch	
1:00 - 2:00 PM	601 Building a Resilient Compliance System – Rob Warmack, CEO, Compli; Joe Polen, Director of Regulatory Compliance, Iberdrola	602 What Every Compliance Attorney Needs to Know About Due Process – Mary-James Young, Sr. Compliance & Regulatory Counsel, Vectren Corporation
2:00 - 2:15 PM	Networking Break	
2:15 - 3:15 PM	701 Bringing Big Shots Back in Line – Stephen M. Paskoff, President and CEO, Employment Learning Innovations, Inc.	702 Case Study: OGE Energy's Compliance Management Tool - Tracking and Reporting Methods – Dana Gillett, Lead Compliance Specialist, OGE Energy Corp.
3:15 - 3:30 PM	Networking Break	
3:30 - 4:30 PM	801 Building the Buzz About Ethics: How to Increase Employee Awareness and Support – Ann E. Adams, Director, Ethics, Arizona Public Service	802 Transitioning from Version 3 to Version 5 of the NERC Critical Infrastructure Protection Reliability Standards – Andrew Gallo, Director, Reliability Compliance, Austin Energy

WEDNESDAY, FEBRUARY 25: POST-CONFERENCE

8:00 - 11:30AM	Registration Open	
8:30 - 9:45 AM	W1 Effectively Remediating Your Program After An Incident, Investigation or Government Enforcement Action – Jamal Ahmad, StoneTurn Group; Thomas McCormick, Retired (former Group Ethics & Compliance Officer BP)	
9:45 - 10:00 AM	Networking Break (Coffee/Tea service only)	
10:00 - 11:15 AM	W2 Communicating with Senior Management and the Board – Marjorie W. Doyle, Marjorie Doyle & Associates, LLC	
1:00 - 1:30 PM	Exam Check-In: Certified Compliance & Ethics Professional (CCEP)® Exam Check-In	
1:30 - 4:30 PM	Certified Compliance and Ethics Professional (CCEP)® Exam (Optional)	

SUNDAY, FEBRUARY 22

PRE CONFERENCE

12:00 – 5:30 PM

Registration Open

1:00 – 2:30 PM

CONCURRENT SESSIONS

P1 How to Start a Compliance Program/ Its Your First Day on the Job, Now What?



Carolyn S. Egbert, Owner and Founder, Creative Solutions for Executives

- You have just been offered the job of a compliance officer and are starting your company's program, what do you do?
- How to perform an assessment of the components including policies and procedures that are in place and those that are missing.
- How to perform a risk assessment to determine the priority of tackling those components and documents that need to be created.

P2 Enhancing Ethical Culture: Practical Views from the Employee Perspective



Yolanda Lopez Smaistrle, Ethics and Compliance Consultant

- Hear unique experiences from a former employee at Enron and other local energy companies as she describes culture, its risks and rewards.
- Review how a mature program at BP was taken to the next level in resetting the companies values.
- Practical takeaways that need to be considered in your programs as viewed from an employee's journey.

2:30 – 3:00 PM

Networking Break
(Coffee/Tea service only)

3:00 – 5:00 PM

CONCURRENT SESSIONS

P3 Risk Management – Corporate Compliance and Ethics



Claire Gomez-Miller, Retired, (former Chief Audit Executive, The National Gas Company of Trinidad and Tobago Limited)

- Risk Management is critical to the sustainability, profitability and stakeholders/public trust; to this end all organizations must demonstrate strong risk management practices.
- In the Utilities and Energy sector, risks are always very high and most likely to materialise, with heavy financial losses, lost lives and loss of operating licenses.
- Given the high expectations of all stakeholders for strong compliance and ethics, this presentation will provide participants with the latest risk management controls and emerging risks to ensure they are best prepared for when these risks materialise.

P4 Building an Effective Compliance Program Which Works Around the Globe

Jacqui Beckett, Beckett Ethics and Compliance International PC

- Natural resources are discovered all over the world. Companies find themselves operating in countries they would not have necessarily chosen to do business in-- countries where corruption runs ramped and poverty prevails. Discover how, from the eyes of a compliance and ethics professional, an international company can roll out a global ethics and compliance program which meets all needs but still takes into account cultural issues.
- Focus on how you can make sure people on the ground all over the world not only get the compliance and ethics messages you are promoting, but live those messages and not just pay lip service to the concepts.
- Learn tips and tricks of the trade from a seasonal veteran who has built programs from the ground up in the same environments your company operates.

5:00 – 6:00 PM

Welcome Reception in Exhibit Area

MONDAY, FEBRUARY 23

7:15 AM – 6:00 PM

Registration Open

7:15 – 8:15 AM

Continental Breakfast (provided) in Exhibit Area

8:15 – 8:30 AM

Opening Remarks

8:30 – 9:30 AM

GENERAL SESSION 1: Ethical Decision - Making: Managing the Grey Area Between “Legal” and “Right”



Karen M. Aavik, First Vice President, Wealth Management Compliance Officer, FNFG Ethics Officer, First Niagara Financial Group, Inc.

- Explore the meaning and implications of ethics both in society, as well as within the context of your organization, in order to better appreciate the complexities inherent in establishing and reinforcing ethical standards.
- Learn the components of - and challenges to - ethical decision-making, and how they influence your organization and its employees.
- Learn how to effectively identify, address, and manage potential ethical challenges within your organization, and how to establish - and reinforce - ethical norms and expectations.

9:30 – 10:30 AM

GENERAL SESSION 2: What Compliance Professionals Can Learn from Behavioral Psychology: How to Get People to Do What You Want!



Virginia MacSuibhne, Chief Compliance Officer, Roche Molecular Systems, Inc.

- Lessons from behavioral psychology.
- What these lessons mean for compliance professionals.
- How to get people to do what you want.

10:30 – 11:00 AM

Networking Break in Exhibit Area

11:00 AM – 12:00 PM

CONCURRENT SESSIONS

101 National Grid's Ethics Liaison Network



Margaret Ireland, Principal Ethics Analyst

- I will share the framework we utilized to set up National Grid's Ethics Liaison Network.
- Discuss the immeasurable value the ethics liaisons have provided to our Ethics and Compliance Program.
- Strategies we utilize to keep the program robust.

102 Manage Your Budget and Resources More Efficiently in 2015: A Data-Driven Approach

Jennifer Kugler, Senior Director, CEB

- Understand how your program's resources and staffing compare to industry peers.
- Assess your program's training priorities against those of your industry peers.
- Determine the most valuable metrics to track and report to the Board.

* For the most current and updated agenda, visit www.corporatecompliance.org/utilities

12:00 – 1:00 PM

Networking Lunch

1:00 – 2:00 PM

CONCURRENT SESSIONS

201 Lessons Learned: Compliance Failures and Successes in the Utilities and Gas Industry

Christopher Sindik, Consultant of Advisory Services, The Red Flag Group

- State of the industry highlighting recent enforcement cases and compliance challenges/how companies are addressing unprecedented shifts in the regulatory landscape of the industry.
- Where utilities and gas companies need to focus their compliance efforts in 2015 and 2016.
- Measuring effectiveness and benchmarking compliance as the model/program evolves.

202 Breaches By Insiders and Access Compliance Issues



Alan Norquist, CEO & Founder, Veriphyr, Inc.



John Vastano, CSO, Veriphyr, Inc.

- Highly regulated industries have unique challenges in protecting data from theft and breaches; proactively discover issues before they become disruptive.
- See how applying clustering, not static rules, to user activity logs allows user behavior itself to reveal normal activities and the few real data theft and privacy violations.
- Learn practical techniques you can use right away to enable proactive detection of breaches by insiders and access compliance issues.

2:00 – 2:30 PM

Networking Break

2:30 – 3:30 PM

CONCURRENT SESSIONS

301 The Principled Regulator



Miggie E. Cramblit, General Counsel & Director, External Affairs, Midwest Reliability Organization

- Why NERC and the Regional Entities are eliminating “zero tolerance” enforcement and creating discretion to address issues of non-compliance with mandatory electric reliability standards outside of enforcement.
- How will it work and what will it mean for Registered Entities and the public interest?
- Why (and which ones) principles and frameworks should be used with rule-based regulation, like mandatory electric reliability standards, to ensure the regulatory objective - reliability.

302 Recent Lessons Learned from FCPA Enforcement Actions



Thomas R. Fox, Principal, TOMFOX.LAW.COM

- What are the lessons to be learned from the most recent FCPA enforcement actions?
- What are the latest developments in best practices for anti-corruption compliance programs?
- How to protect your company in the growing era of international anti-corruption enforcement actions.

3:30 – 4:00 PM

Networking Break in Exhibit Area

4:00 – 5:00 PM

CONCURRENT SESSIONS

401 Compliance and Human Resources: Building a Culture of Open Reporting



Andrew Baird, Compliance Leader, GE Oil & Gas



Laura Cofino, HR Compliance Leader, GE Oil & Gas

- Key ways for HR and Compliance to partner in building a culture of open reporting.
- HR and compliance coordination: investigation best practices.
- Compliance training: who should take the lead?

402 How Two Different Utilities Approach Compliance



Joy J. Dorsey, Chief Compliance Officer, Pepco Holdings, Inc.



Helen Goodwin, Retired (former Ethics Program Manager - Bonneville Power Administration)

- What we do the same.
- What we do differently.
- What we learn from each other.

5:00 – 6:30 PM

Networking Reception in Exhibit Area

TUESDAY, FEBRUARY 24

7:30 AM – 5:00 PM

Registration Open

7:30 – 8:30 AM

Continental Breakfast in Exhibit Area

8:30 – 9:30 AM

GENERAL SESSION 3:

Maturing Your Regulatory Compliance Program



John Munn, Chief Counsel, 4Change Energy; Senior Counsel & Director of Compliance, TXU Energy

9:30 – 10:30 AM

GENERAL SESSION 4: Right Time, Right Audience, Right Message: Building a Successful E&C Awareness Program



Kathryn L. Skelton, Compliance Manager, Noble Energy



Ashley Coselli, Compliance Attorney, Noble Energy



(Moderator) Steve Helm, Senior Account Executive, NAVEX Global

- Learn to develop, target and prioritize your key messages to meet your organization's E&C pain points and risk profile.
- Gain insights into building cross-departmental relationships to optimize message delivery and amplify impact.
- Cut through the communications clutter by leveraging multiple communication channels and formats to deliver messages.

10:30 – 11:00 AM

Networking Break in Exhibit Area

11:00 AM – 12:00 PM

CONCURRENT SESSIONS

501 Operating a Utility in Today's Enforcement Climate: FERC and Beyond



Thomas F. Kokalas, Partner, Bracewell & Giuliani



Michael Brooks, Partner, Bracewell & Giuliani

- Enforcement proceedings and investigations against utilities have expanded beyond the traditional rules and regulations of the Federal Energy Regulatory Commission (FERC). Utilities (and their employees) today are increasingly under the microscope of federal and/or state prosecutors and face significant fines and potential criminal liability.
- The presentation discusses important trends in both the traditional regulatory regime of FERC compliance and enforcement and non-traditional enforcement proceedings, including federal and state criminal prosecutions.
- The presentation will offer tips for preparing for this heightened enforcement risk, including practical advice regarding developing compliance programs and policies in anticipation of the next potential crisis.

502 Cyberforensics: Critical Incident Response



Warren Breaux, Senior Manager, Ernst & Young, LLP



Peter Trahon, Executive Director, Ernst & Young, LLP

- Overview of the multitude of threats facing utilities from individual hackers, nation-states and terrorist groups
- What to do when you have identified a breach
- Procedures to improve systems and mitigate future incidents

12:00 – 1:00 PM

Networking Lunch

1:00 – 2:00 PM

CONCURRENT SESSIONS

601 Building a Resilient Compliance System



Rob Warmack, CEO, Compli



Joe Polen, Director of Regulatory Compliance, Iberdrola

- The stresses of ever-increasing regulations combined with generational shifts occurring within aging workforces will put current compliance programs to the test.
- Today's workforce consumes information differently. Boomers want it all at once. Millennials want just what's needed with links to more should they require it.
- Automated policy delivery system are the practical way for compliance teams to stay focused on policy changes and ensure the right information gets to the right person.

602 What Every Compliance Attorney Needs to Know About Due Process



Mary-James Young, Sr. Compliance & Regulatory Counsel, Vectren Corporation

- Understand the concept of due process in regulatory and compliance contexts; due process is not just for criminal defendants, anymore.
- Apply due process protections in compliance and regulatory contexts – learn how to protect your client's due process rights in various compliance and regulatory settings, including audits and enforcement proceedings.
- Build due process safeguards into your compliance practices, learn how to assert a due process legal challenge and educate your compliance professionals in due process requirements.

2:00 – 2:15 PM

Networking Break

2:15 – 3:15 PM

CONCURRENT SESSIONS

701 Bringing Big Shots Back in Line



Stephen M. Paskoff, President and CEO, Employment Learning Innovations, Inc.

- Identify organizational "big shots" whose patterns of bullying/abusive and noncompliant behaviors compromise ethics, compliance and business objectives and the overall value of their contributions.
- Explain to other leaders how big shot misbehavior conflicts with organizational values and creates risks which limit the benefits big shots typically provide.
- Structure a plan with organizational leaders and big shots to address their behavior, replace it with civil, professional conduct, measure results, and resolve the problem.

702 Case Study: OGE Energy's Compliance Management Tool – Tracking and Reporting Methods



Dana Gillett, Lead Compliance Specialist, OGE Energy Corp.

- Overview of a Compliance Management Tool designed to track significant deadlines and obligations to help ensure adherence to various legal and regulatory requirements.
- Explore methods to identify key data points, assign roles and responsibilities, and perform risk assessments for effective compliance tracking
- How to report compliance results – are the right people, doing the right thing, on time, and accurately?

3:15 – 3:30 PM

Networking Break

3:30 – 4:30 PM

CONCURRENT SESSIONS

801 Building the Buzz About Ethics: How to Increase Employee Awareness and Support



Ann E. Adams, Director, Ethics, Arizona Public Service

- Learn how APS launched a marketing communication program to build awareness of its values, Ethics Office and resources to report ethical concerns.
- Gain tips on techniques, from developing and launching a new Code of Ethics to promoting team "selfies" in support of ethics.
- See the results, such as increased consultations (minimizing risk by handling concerns early), fewer anonymous ethical concerns and higher demand for ethics presentations to business teams.

802 Transitioning from Version 3 to Version 5 of the NERC Critical Infrastructure Protection Reliability Standards



Andrew Gallo, Director, Reliability Compliance, Austin Energy

- Learn about the major changes from Version 3 to Version 5 of the NERC CIP Standards
- Tips on how to comply with Version 5 of the NERC CIP Standards
- Update on the status of revisions to Version 5 of the NERC CIP Standards

WEDNESDAY, FEBRUARY 25

POST CONFERENCE

8:00 – 11:30 AM

Registration Open

8:30 – 9:45 AM

W1 Effectively Remediating Your Program After An Incident, Investigation or Government Enforcement Action

Jamal Ahmad, StoneTurn Group



Thomas McCormick, Retired (former Group Ethics & Compliance Officer BP)

- Government expectations of key element of an effective remediation
- Remediating to avoid enforcement actions and compliance monitors
- Providing assurance to the Board and other stakeholders

9:45 – 10:00 AM

Networking Break

10:00 – 11:15 AM

W2 Communicating with Senior Management and the Board



Marjorie W. Doyle, Marjorie Doyle & Associates, LLC

- Describing what an ethics and compliance program is.
- Describing their role.
- Establishing reporting that mirrors the company system.

1:00 – 1:30 PM

CCEP® Exam Check-In

1:30 – 4:30 PM

Certified Compliance & Ethics Professional (CCEP)® Exam

The CCEP® exam is optional. You must register in advance to sit for the exam. The cost of the exam is not included in the conference registration fee. To register for the exam, complete the date-specific exam application and mail or fax as directed on the application. For a link to the exam application, visit www.corporatecompliance.org and look for the Utilities & Energy Compliance & Ethics Conference.

* For the most current and updated agenda, visit www.corporatecompliance.org/utilities

CONTACT INFORMATION

Please type or print your information below.

Mr. Mrs. Ms. Dr.

SCCE Member ID _____

First Name _____ MI _____ Last Name _____

Credentials (CCEP, CCEP-I, CHC, etc.) _____

Title _____

Place of Employment _____

Address _____

City _____ State _____ Zip _____

Phone _____

Fax _____

Email (required for registration confirmation & conference information) _____

SESSION SELECTION

Please indicate below which sessions you would like to attend. Your choices will be used to assist us in planning. You are not obligated to attend the sessions you select.

SUNDAY	MONDAY	TUESDAY	WEDNESDAY
PRE-CONFERENCE	11:00 AM–12:00 PM	11:00 AM–12:00 PM	POST-CONFERENCE
1:00–2:30 PM	<input type="radio"/> 101	<input type="radio"/> 501	8:30–9:45 AM
<input type="radio"/> P1	<input type="radio"/> 102	<input type="radio"/> 502	<input type="radio"/> W1
<input type="radio"/> P2	1:00–2:00 PM	1:00–2:00 PM	10:00–11:15 AM
3:00–5:00 PM	<input type="radio"/> 201	<input type="radio"/> 601	<input type="radio"/> W2
<input type="radio"/> P3	<input type="radio"/> 202	<input type="radio"/> 602	
<input type="radio"/> P4	2:30–3:30 PM	2:15–3:15 PM	
	<input type="radio"/> 301	<input type="radio"/> 701	
	<input type="radio"/> 302	<input type="radio"/> 702	
	4:00–5:00 PM	3:30–4:30 PM	
	<input type="radio"/> 401	<input type="radio"/> 801	
	<input type="radio"/> 402	<input type="radio"/> 802	

REGISTRATION OPTIONS (Registration fees are as listed and considered net of any local withholding taxes applicable in your country of residence.)

- SCCE Members \$799
- Non-Members \$899
- New Membership & Registration \$999
NEW MEMBERS ONLY / DUES REGULARLY \$295 ANNUALLY
- Pre-Conference Session Sunday \$125
- Post-Conference Session Wednesday \$125
- Group Discount: subtract _____ from my total
(SEE DETAILS FOR MORE INFORMATION)

TOTAL _____

SPECIAL REQUEST FOR DIETARY ACCOMMODATION

- Gluten Free Kosher
- Vegetarian Vegan Other _____

PAYMENT OPTIONS

Mail check to: SCCE, 6500 Barrie Road, Suite 250, Minneapolis, MN 55435, United States

Fax to: +1 952 988 0146

- Check enclosed Invoice me
- I authorize SCCE to charge my credit card (choose below)

Due to PCI Compliance, **please do not provide any credit card information via email.** You may email this form (without credit card information) and call SCCE at 952.933.4977 or 888.277.4977 with your credit card information.

Credit Card: American Express MasterCard Visa Discover

Credit Card Account Number _____

Credit Card Expiration Date _____

Cardholder's Name _____

Cardholder's Signature _____

UE0215

Please fax your completed registration form with payment information to +1 952 988 0146, or visit www.corporatecompliance.org to register online.



Conference & Hotel Accommodations:

The Westin Oaks Houston at the Galleria
5011 Westheimer
Houston, TX 77056 USA
PHONE +1 713 960 8100
FAX +1 713 960 6549
www.westin.com/houstongalleria

Reservations can be made online using the group site: <https://www.starwoodmeeting.com/Book/U7B21A> or by calling the hotel directly and asking for the SCCE Utilities & Energy Compliance & Ethics Conference. A reduced rate of \$195.00 per night for single/double occupancy plus applicable taxes (currently 17%) has been arranged for this program. The cutoff date to receive the group rate is Friday, January 31, 2015 at 5:00 pm hotel local time or once the group room block is full, whichever comes first. Hotel accommodations are not included in your conference registration fee. The group rate includes complimentary internet in guestrooms, complimentary overnight self-parking for hotel guests and complimentary 24-hour fitness center access. An early departure fee of \$75.00 will apply if guest checks out prior to the confirmed checkout date.

Registration Terms & Conditions: Please make your check payable to SCCE, enclose payment with your registration, and return it to the SCCE office, or fax your credit card payment to +1 952 988 0146. If your total is miscalculated, SCCE will charge your credit card the correct amount. All expenses incurred to maintain or improve skills in your profession may be tax deductible, including tuition, travel, lodging and meals. Please consult your tax advisor.

Cancellations/Substitutions: You may send a substitute in your place or request a conference credit. Conference credits are issued in the full amount of the registration fees paid and are good for 12 months from the date of the cancelled event. Conference credits may be used towards any SCCE service. If you need to cancel your participation, notify us prior to the start date of the event by email at helpsteam@corporatecompliance.org or by fax at +1 952 988 0146. Please note that if you are sending a substitute, an additional fee may apply.

Group Discounts: Discounts take effect the day a group reaches the discount number of registrants. Please send registration forms together to ensure that the discount is applied. A separate registration form is required for each registrant. Note that discounts will NOT be applied retroactively if more registrants are added at a later date, but new registrants will receive any group discount.

5 or more: \$50 discount for each registrant
10 or more: \$100 discount for each registrant

Special Needs/Concerns: Prior to your arrival, please call SCCE at +1 952 933 4977 if you have a special need and require accommodation to participate.

Dress Code: Business casual dress is appropriate

Recording: No unauthorized audio or video recording of SCCE Conferences is allowed

Agreements & Acknowledgements: I agree and acknowledge that I am undertaking participation in SCCE events and activities as my own free and intentional act, and I am fully aware that possible physical injury might occur to me as a result of my participation in these events. I give this acknowledgement freely and knowingly and assert that I am, as a result, able to participate in SCCE events, and I do hereby assume responsibility for my own well-being. I agree and acknowledge that SCCE plans to take photographs at the SCCE Utilities & Energy Compliance & Ethics Conference and reproduce them in SCCE educational news or promotional material, whether in print, electronic or other media, including the SCCE website. By participating in the SCCE Utilities & Energy Compliance & Ethics Conference, I grant SCCE the right to use my name, photography and biography for such purposes.

Certified Compliance and Ethics Professional (CCEP)[®] Exam:

Wednesday, February 25, 2015

2:00 – 4:00 pm

The Westin Oaks Houston at the Galleria

Deadline for receipt of applications is Monday, February 16, 2015. To download the exam application please visit www.corporatecompliance.org and look for the Utilities & Energy Compliance Conference. The CCEP exam requires advance registration and payment separate from the conference registration. To qualify to sit for the CCEP exam, 20 CCB CEUs and the necessary work experience are required.

To obtain CEUs from this conference, fill out the CEU Application available on-site at the conference, noting the sessions attended. Please contact us with questions at +1 952 933 4977 or 888 277 4977 or ccb@compliancecertification.org. Note that all credits will be awarded based on actual time on-site spent in session.

Visit www.compliancecertification.org for more information about the CCEP certification.

Continuing Education Units:

SCCE is in the process of applying for additional credits. If you do not see information on your specific accreditation and would like to make a request, please contact us at +1 952 933 4977 or 888 277 4977. Visit SCCE's website, www.corporatecompliance.org for up-to-date information.

ASIS: Participants completing this course may be eligible to receive Continuing Professional Education credit or CPEs toward ASIS re-certification. Individuals seeking re-certification credit should check with ASIS and review the filing process at <https://www.asisonline.org/Certification/Recertification/Pages/default.aspx>. As sponsors, we will provide all supporting documentation required for participants to submit to ASIS for credit approval.

Compliance Certification Board (CCB): Certified in Healthcare Compliance (CHC)[®], Certified in Healthcare Compliance–Fellow (CHC-F), Certified in Healthcare Privacy Compliance (CHPC)[®], Certified in Healthcare Research Compliance (CHRC)[®], Certified Compliance & Ethics Professional (CCEP)[®], Certified Compliance & Ethics Professional–Fellow (CCEP-F), Certified Compliance & Ethics Professional–International (CCEP-I): CCB has awarded a maximum of 21.6 CEUs for these accreditations.

CLE: The Society of Corporate Compliance and Ethics is a State Bar of California Approved MCLE provider, Pennsylvania Accredited Provider, and Texas Accredited Sponsor. An approximate maximum of 18 clock hours of CLE credit will be available to attendees of this conference. All CLE credits will be awarded based on individual attendance.

(ISC)2: The (ISC)2 does not endorse or “approve” any events or education in advance, however any curriculum that falls within at least one of the 10 domains of knowledge for the CISSP can be used by participants in continuing education activities to satisfy their CPE credit needs. Portions of this event may qualify for CPE credits. All (ISC)2 members are responsible for validating CPE credit worthiness no matter what the circumstances. SCCE will provide all supporting documentation required for members to submit to (ISC)2 for credit approval. To view the (ISC)2 10 domains of knowledge visit <https://www.isc2.org/sscp/default.aspx> and view the links within the Certifications tab drop-down menu.

NASBA/CPE: The Society of Corporate Compliance and Ethics is registered with the National Association of State Boards of Accountancy (NASBA) as a sponsor of continuing professional education on the National Registry of CPE sponsors, Sponsor Identification No: 105638. State boards of accountancy have final authority on the acceptance of individual courses for CPE credit and may not accept one-half credits. Complaints regarding registered sponsors may be addressed to the National Registry of CPE Sponsors through its website: www.learningmarket.org.

A recommended maximum of 21.6 credits based on a 50-minute hour will be granted for the entire learning activity. This program addresses topics that are of a current concern in the compliance environment. This is an update, group-live activity. Advanced Preparation: None. For more information regarding administrative policies such as complaints or refunds, call SCCE at (952) 988-0141.

SCCE would also like to thank the 2015 Utilities & Energy Compliance & Ethics Conference Sponsors



SCCE would like to thank the 2015 Utilities & Energy Compliance & Ethics Conference Planning Committee

Andrew Gallo, JD, CCEP, Director, Reliability Compliance, Austin Energy

John Ballentine, Director, Regulatory Compliance, Wood Group Power Plant Services

Adam Turteltaub, CCEP, CHC, Vice President of Membership Development, Society of Corporate Compliance & Ethics

Alan Woods, CCEP, Compliance & Investigative Paralegal, Baker Hughes Incorporated



6500 Barrie Road, Suite 250
Minneapolis, MN 55435, United States
www.corporatecompliance.org

Utilities & Energy Compliance & Ethics Conference

February 22–25, 2015 | Houston, Texas | Westin Oaks



Utilities & Energy Compliance & Ethics Conference

February 22–25, 2015 | Houston, Texas | Westin Oaks

The utilities and energy industries are highly regulated, and compliance topics can be specific, focused on areas not always addressed at the all-industry level.

Take advantage of the opportunity to discuss specific content areas in more detail, and enjoy a forum for sharing and exchanging ideas with others facing the same regulations.

Learn more and register at www.corporatecompliance.org/utilities