



12th Annual TRACE Forum

The Premier Anti-Bribery Compliance Benchmarking Event

March 2-3, 2016 • St. Regis, Washington, DC

Tuesday, March 1, 2016

A Deep Dive into Third Party Due Diligence Reports: Components, Challenges and Analyzing Results

2:00 – 5:30 p.m.

Pia Vining, *Senior Director, Due Diligence*, TRACE International

Alexandra Wrage, *President*, TRACE International

Amy Thiel, *Director, Global Ethics & Compliance*, Oshkosh Corporation

This practical and interactive working group will discuss the core elements of a comprehensive due diligence report, obtaining cooperation of third parties, ensuring accurate findings and analyzing red flags. Using sample reports, speakers will guide participants through the due diligence process and provide guidance on the level of detail that is expected from the US DOJ and SEC. Participants will have the opportunity to share best practices and measure their third party due diligence program against those of their peers. **Attendance is limited to 20 participants. Registration is on a first-come, first-served basis.**

Participants may submit sample reports, checklists or questions by writing to Virna Di Palma at dipalma@traceinternational.org.

Wednesday, March 2, 2016

St. Regis, Washington D.C.

12th Annual TRACE Forum

- 8:00 – 8:45 a.m. Continental Breakfast and Registration**
- 8:45 – 9:00 a.m. Welcoming Remarks & Conference Overview**
Alexandra Wrage, *President*, TRACE International
- 9:00 – 10:15 a.m. FCPA Enforcement Focus Areas and Trends: Q&A with the U.S. DOJ and SEC**
Patrick Stokes, *Deputy Chief, FCPA Unit, Fraud Section, Criminal Division*, U.S. Department of Justice
Kara Brockmeyer, *Chief, FCPA Unit, Division of Enforcement*, U.S. Securities and Exchange Commission
Moderator – Jeffrey Clark, *Partner*, Willkie Farr & Gallagher LLP
- 10:15 – 10:30 a.m. Networking Coffee Break**
- 10:30 – 11:45 a.m. Insights from Former Prosecutors: Recent Cases, the Yates Memo and How to Stay off the Government's Radar**
Charles E. Duross, *Partner*, Morrison & Foerster LLP
Mark Mendelsohn, *Partner*, Paul Weiss, Riffkind, Wharton & Garrison LLP
Cheryl J. Scarboro, *Partner*, Simpson Thacher & Bartlett LLP
Moderator – Adrian Mebane, *Vice President, Global Ethics & Compliance*, The Hershey Company
- 11:45 – 12:45 p.m. Metrics and Performance Indicators: Best Practices for Testing and Reviewing Your Global Compliance Program (Audience Polling)**
Karen Griffin, *Executive Vice President & Chief Compliance Officer*, MasterCard International
Randi J. Roberts, *Vice President, Compliance*, NBCUniversal, Inc.
Jonathan Drimmer, *Vice President, Deputy General Counsel*, Barrick Gold
Moderator – Severin Wirz, *Director, Member & Advisory Services*, TRACE International
- 12:45 – 2:00 p.m. Networking Luncheon**
- 2:00 – 2:30 p.m. CEO Keynote Address: Aligning Corporate Goals and Compliance**
- 2:30 – 3:30 p.m. Third Party Inventory and Risk Ranking Techniques: Managing a Risk-Based Due Diligence Program with Minimal Administrative Effort**
Colin McCarthy-Little, *Head of Compliance*, International Airline Group
Jon Martin, *Vice President, Ethics & Compliance*, UTC*
Gregory Bates, *Compliance Counsel*, Avon Products Inc.
Moderator – Pia Vining, *Senior Director, Due Diligence*, TRACE International
- 3:30 – 3:45 p.m. Coffee Break**
- 3:45 – 4:45 p.m. Measuring the Benefits of Self-Disclosure and Cooperation: How Recent Trends Should Affect Your Decision to Disclose and Cooperate**
Susan Ringler, *Vice President, Chief Ethics & Compliance Officer*, Alcoa*
William Jacobson, *Partner*, Orrick, Herrington & Sutcliffe LLP

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4:45 – 5:45 p.m. On the Ground in Iran & Cuba: Navigating Thorny Compliance Issues and Legal Frameworks

Gaye Montgomery, *Senior Assistant General Counsel*, Altria Client Services LLC

Karen Benson, *Director, Compliance and Ethics*, Royal Caribbean Cruises Ltd.

Moderator – Alexandra Wrage, *President*, TRACE International

5:45 – 7:30 p.m. Innovation in Anti-Bribery Compliance Award Ceremony & Reception

**denotes invited at time of distribution*



Thursday, March 3, 2016

St. Regis, Washington D.C.

12th Annual TRACE Forum

- 8:00 – 9:00 a.m. **Continental Breakfast**
- 9:00 – 9:45 a.m. **Hallmarks of a Thoughtfully Designed and Sufficiently Resourced Compliance Program: A Q&A Discussion with the DOJ**
Daniel Kahn, *Assitant Chief, FCPA Unit, Fraud Section, Criminal Division, U.S. Department of Justice*
Moderator – Alexandra Wrage, *President & Founder, TRACE International*
- 9:45 – 10:45 a.m. **Trends and Developments in Global Anti-Bribery Enforcement: Brazil, China and the EU**
Hwa Soo Chung, *Partner, Kim & Chang (South Korea)**
Michelle de Kluyver, *Counsel, Allen & Overy LLP (TRACE Partner Law Firm, U.K.)*
TRACE Partner Firm Spain*
Moderator – Anne-Marie Zell, *Manager, Member & Advisory Services, TRACE International*
- 10:45 – 11:00 a.m. **Coffee Break**
- 11:00 – 11:15 a.m. **Audience Polling**
- 11:15 – 11:45 a.m. **SEC Enforcement: Preventing Books & Records and Internal Accounting Controls Violations**
Tracy L. Price, *Assistant Director, FCPA Unit, Division of Enforcement, U.S. Securities & Exchange Commission*
Mauro Fantini, *Vice President, Internal Audit & Anti-Bribery Compliance, L-3 Communications*
- 11:45 – 12:15 p.m. **The Front Lines of International Business: Reconciling Sales Strategy and FCPA Compliance**
Richard Boehne, *Vice President, Merrick & Company*
- 12:15 – 12:30 p.m. **New TRACE Tools and Resources**
- 12:30 – 1:45 p.m. **Networking Luncheon**
- 1:45 – 2:30 p.m. **Meet the Members Services and Due Diligence Teams**

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