



11th Annual TRACE Forum

*The Premier Anti-Bribery Compliance Benchmarking
and Best Practices Sharing Event*

March 25-26, 2015 • St. Regis, Washington, DC

Tuesday, March 24, 2015

General Counsel/Chief Compliance Officer Roundtable: What's Keeping You Up at Night?

2:00 – 5:30 p.m.

Jim Zappa, Chief Compliance Officer, 3M

Susan Ringler, Vice President, Chief Ethics & Compliance Officer, Alcoa*

Jonathan Drimmer, Vice President, Deputy General Counsel, Barrick Gold

Take advantage of this opportunity to participate in an advanced discussion with your peers. Learn what's keeping other executives up at night and how they are responding to anti-bribery compliance challenges. Speakers will discuss and share best practices and engage participants in a thoughtful discussion on leadership and compliance. The discussion will be moderated by Alexandra Wrage, President of TRACE, and Michael Ward, Senior Director of Compliance Services, who recently held Chief Compliance Officer positions at Cisco and Adobe. **Attendance is limited to 20 participants. Registration is on a first-come, first-served basis.**

Participants are encouraged to submit discussion questions in advance by writing to Virna Di Palma at dipalma@traceinternational.org.

Wednesday, March 25, 2015

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| 8:00 – 8:45 a.m. | Continental Breakfast and Registration |
| 8:45 – 9:00 a.m. | Introductions and Forum Overview Alexandra Wrage, <i>President</i> , TRACE |
| 9:00 – 10:15 a.m. | How FCPA Enforcement and Compliance is Evolving: An Interactive Discussion with the DOJ and SEC Patrick Stokes, <i>Deputy Chief, FCPA Unit, Fraud Section, Criminal Division</i> , U.S. Department of Justice* Kara N. Brockmeyer, <i>Chief, FCPA Unit, Division of Enforcement</i> , U.S. Securities and Exchange Commission* Moderator – Charles E. Duross, <i>Partner</i> , Morrison & Foerster LLP* |
| 10:15 – 10:30 a.m. | Coffee Break |
| 10:30 – 11:30 a.m. | How to Keep Your Anti-Bribery Compliance Program from Growing Stale Lauren Higgins, <i>Group Compliance Officer</i> , Cambridge University Press Jim Zappa, <i>Chief Compliance Officer</i> , 3M John Skousen, <i>Vice President, Chief Compliance Officer</i> , Qualcomm Inc.* Tom Cunningham, <i>Compliance and Ethics Officer</i> , Sharp Electronics Corporation |
| 11:30 – 12:15 p.m. | Navigating the Anti-Bribery Enforcement Landscape in China: Risks and Compliance Best Practices for Multinationals Amy Sommers, <i>Partner</i> , K&L Gates LLP (China) |
| 12:15 – 12:30 p.m. | Understanding the TRACE Matrix: Corporate Use and Key Findings Virna Di Palma, <i>Senior Director, Global Strategy & Communications</i> , TRACE |
| 12:30 – 1:45 p.m. | Networking Luncheon |
| 1:45 – 2:00 p.m. | Compliance Program Benchmarking: Polling Questions <i>Compliance program structures, staffing, resource allocation, reporting, governance and metrics.</i> Moderator: Eileen Radford, <i>Director, Advisory Services</i> , TRACE |
| 2:00 – 3:15 p.m. | Anti-Bribery Risk Assessments: How Companies are Evaluating and Responding to Enterprise-Wide and Third Party Risks Stuart Brunet, <i>Chief Compliance Officer</i> , TIAA-CREF Gaye Montgomery, <i>Senior Assistant General Counsel</i> , Altria Client Services Inc. Michael Ward, <i>Senior Director, Compliance Services</i> , TRACE |

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| | Severin Wirz, <i>Director, Advisory Services</i> , TRACE |
| 3:15 – 3:30 p.m. | Coffee Break |
| 3:30 – 4:30 p.m. | Self-Disclosure, Cooperation and Remediation: Lessons from the Frontlines and Strategic Considerations Jeffrey Clark, <i>Partner</i> , Willkie Farr & Gallagher LLP Glenn Leon, <i>Vice President & Associate General Counsel, Investigations</i> , Hewlett-Packard |
| 4:30 – 5:15 p.m. | The Company You Keep: How to Minimize Minority and Majority Joint Venture Compliance Risks Michael A. Pass, <i>Senior Counsel, Compliance</i> , Freeport-McMoRan |
| 5:15 – 5:45 p.m. | Acting in Concert: How to Make Anti-Corruption Collective Action Work in Practice Jake Storey, <i>Chief Risk Officer</i> , Gearbulk, Vice Chairman of the Maritime Anti-Corruption Network (MACN) |
| 5:45 – 7:30 p.m. | Innovation in Anti-Bribery Compliance Award Ceremony |

Thursday, March 26, 2014

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| 8:00 – 9:00 a.m. | Continental Breakfast |
| 9:00 – 10:00 a.m. | Third Party Due Diligence: 5 Best Practices You Should be Doing Now Jonathan Drimmer, <i>Vice President, Deputy General Counsel</i> , Barrick Gold Jake Normand, <i>Compliance Manager</i> , Rowan Companies, Inc. Kathlyn Self, <i>Director, Corporate Compliance/Audit</i> , Universal Weather and Aviation* Moderator: Alexandra Wrage, <i>President</i> , TRACE |
| 10:00 – 10:30 a.m. | Preparing for Canadian Anti-Bribery Enforcement: Impact of Amendments to the <i>Corruption of Foreign Public Officials Act</i> Gordon McKechnie, <i>Vice-President Corporate Affairs</i> , Canadian Bank Note Company, Limited |
| 10:30 – 10:45 a.m. | Coffee Break |
| 10:45 – 11:15 a.m. | A Zero Tolerance Approach Towards Facilitating Payments and Handling Extortionate Demands Bapsy Dastur, <i>General Counsel, Head of Legal & Integrity</i> , India, Middle East and Africa, ABB, UAE |
| 11:15 – 12:15 p.m. | An Interactive Debate on Controversial Theories of Jurisdiction and Other FCPA Issues Mark F. Mendelsohn, <i>Partner</i> , Paul, Weiss, Rifkind, Wharton & Garrison LLP* Cheryl J. Scarboro, <i>Partner</i> , Simpson Thacher & Bartlett LLP* Lanny A. Breuer, <i>Partner</i> , Covington & Burling LLP Richard Grime, <i>Partner</i> , O'Melveny & Myers LLP Charles Duross, <i>Partner</i> , Morrison & Foerster LLP – “Referee” * |
| 12:15 – 12:30 p.m. | Making the Most of TRACE Membership Benefits, Conference Conclusion and Closing Remarks Alexandra Wrage, <i>President</i> , TRACE |
| 12:30 – 1:30 p.m. | Networking Luncheon |
| 1:30 – 2:30 p.m. | Meet the Advisory and Due Diligence Teams |

*denotes invited at time of distribution

