



# ANTI-CORRUPTION

29 – 30 January 2013 • Steigenberger Frankfurter Hof, Frankfurt, Germany

## Hear from Senior US, German, European Regulators and Prosecutors:

### The Anatomy of a Corruption Investigation in Germany



*Cornelia Gädigk*  
Senior Public Prosecutor, Public Prosecutor's Office of Hamburg



*Dr. Christopher Wenzl*  
Public Prosecutor, Public Prosecutor's Office of Frankfurt am Main

### Update on FCPA Guidance and Current FCPA Enforcement



*Charles E. Cain*  
Deputy Chief, FCPA Unit, Enforcement Division  
U.S. Securities & Exchange Commission (USA)



*Matthew S. Queler*  
Assistant Chief, FCPA Unit, Fraud Section, Criminal Division  
U.S. Department of Justice (USA)

### Inside the Most Costly Anti-Corruption Cases of the Year in Europe



*Manfred Nötzel*  
Chairman, State Prosecution Office Munich I (Germany)



*Jean-Bernard Schmid*  
State Prosecutor, Republic and Canton of Geneva (Switzerland)



*François Badie*  
Head of Central Service for Prevention of Corruption (SCPC)  
Ministry of Justice (France)

### CFTC Speaks on Dodd-Frank Whistle-Blower Provision



*Vincente L. Martinez*  
Director, Whistleblower Office  
Commodity Futures Trading Commission (USA)

### In-House Think Tank on Global Compliance and Risk Management Strategies:

Abbott (USA)  
Allianz Global Investors AG (Germany)  
Balfour Beatty plc (UK)  
BHP Billiton (UK)  
Biomet (Italy)  
Draeger (Germany)  
EADS (France)  
ENI (UK)  
GE (Germany)  
Hitachi Data Systems (Germany)  
Johnson & Johnson (Belgium)  
MAN Truck & Bus Group (Germany)  
Metro Group (Germany)  
Morgan Stanley (USA)  
Nestle S.A. (Switzerland)  
Oracle (Romania)  
Petrofac (UK)  
Philip Morris International (Switzerland)  
Philips International (The Netherlands)  
Rio Tinto (Australia)  
Santander Consumer Bank (Germany)  
SAP (France)  
Siemens AG (Germany)  
Siemens LLC (Russia)  
Texas Instruments (India)  
Vodafone Group (UK)  
GE (Russia)

### Senior Government and industry decision-makers will provide the latest insights into effective compliance strategies and current enforcement landscape, including how to:

- Apply the right level of due diligence to vet and monitor agents, brokers and intermediaries
- Build audits into your anti-corruption compliance programme
- Strengthen your internal accounting controls amid tightened books and records enforcement
- Conduct effective internal investigations into bribery allegations
- Implement effective anti-corruption controls for your Joint Ventures
- Adopt an anti-corruption governance model to ensure adequate reporting and accountability
- Audit your compliance management systems to support your compliance initiatives
- Overcome data protection challenges when documenting and recording compliance matters and conducting cross-border investigations

Up to  
27.25 CPD

### PLUS:

- Special Panels on how to prevent corruption pitfalls and localise your compliance initiatives in Russia, CIS and Asia
- Practical analysis of how the new FCPA and UK Bribery Act Guidances impact compliance programs

### NEW Hands-on and Interactive Working Groups:

- A** How to Implement the "Right-Sized" Global Anti-Corruption Compliance Programme
- B** Training the Anti-Corruption Trainer: How to Tailor your Training Programme to Your Company's Market and Local Audience
- C** Mock Internal Investigations: Managing the Internal Processes and Handling Communication with all Relevant Internal and External Stakeholders
- D** Designing, Implementing and Monitoring Gifts, Hospitality and Facilitation Payments Policies

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## “Great! Inspiring presentations and speakers and great networking opportunity”

Head of Compliance & Sustainability, Damco, European Anti-Corruption in Frankfurt

Every January, hundreds of in-house counsel, ethics and compliance executives, forensic accountants, internal auditors, white collar crime and anti-corruption lawyers from around the globe choose to attend the most advanced and comprehensive anti-corruption event on the market in Europe.

*Uncompromising, relevant and hard-hitting, dispensing the latest insights, best practice and “need to know” information, the 2013 agenda delivers unrivalled opportunities for practical learning, knowledge sharing and benchmarking*

Now in its sixth successful year, C5’s **Forum on Anti-Corruption**, back in Frankfurt by popular demand, delivers a programme designed, through in-depth industry research, to respond to your specific anti-corruption compliance challenges.

With both the U.S. and German governments’ emphasis on holding individuals executives accountable, and the effects of the whistleblower rewards created by the Dodd-Frank Act, it is certain that the number of executives prosecuted for bribery will rise over the next few years. Furthermore, if more executives take their chances in court instead of settling cases, as companies have historically done, the likelihood of future convictions and jail sentences is set to increase in 2013 and beyond.

Arguably, it is now more vital than ever to have robust anti-corruption programmes in place – and have evidence that the programmes are operating effectively. Anti-Corruption and FCPA enforcement continues to be a priority for prosecutors on both sides of the Atlantic. Designing policies and systems of controls on paper has not been difficult, the real challenges lie in checking and ensuring that expectations on what your programmes were designed for are actually being met on the ground and are working to effectively address and mitigate potential corruption risks.

### Benefit from new sessions and topics offered in 2013!

- *The DOJ’s FCPA Guidance*: How to upgrade your compliance programme
- *Morgan Stanley’s declination*: What does effective anti-corruption compliance look like?
- *Anti-Corruption Governance Model*: Creating and maintaining adequate reporting lines to ensure the accountability of the General Counsel and Chief Compliance Officer
- *Anti-Corruption Compliance Structures*: How to create a “right-sized” programme
- *Criminal exposure for the company and its executives when operating overseas*: What a system of internal controls, which provides “reasonable assurances that its employees were not bribing government officials” looks like
- *The Most Costly Anti-Corruption Cases of the Year in Europe*: Learn about the facts, understand the defence strategies and the mechanics of the defence used to challenge the provisions of the law
- *Building your defence and cooperating with prosecutors*: Contrasting defence strategies against bribery and corruption allegations

First Time on the Programme – Hear from and network with: Manfred Nötzel, Chairman, State Prosecution Office Munich I (Germany)

### *The U.S. DOJ and SEC Global Enforcement Priorities*

Don’t Miss the panel on the FCPA Guidance and other developments with **Mr. Matthew S. Queler**, Criminal Division, Department of Justice, and **Mr. Charles E. Cain**, FCPA Unit, Enforcement Division, U.S. Securities & Exchange Commission.

### *Reassessing your Core Business Areas for Risks and Reviewing Your Anti-Corruption Compliance Programmes to ensure that they are tuned to your Evolving Risks*

Learn how global organisations are revisiting their risks profiles and doing more focused reviews on areas of exposure. Industry leaders will share practical advice and insight on how to test compliance programmes, detect whether they have properly captured bribery and corruption risks and set up adequate procedures and controls to mitigate risks within specific industry sectors.

Complete and refine your conference experience with these acclaimed **Interactive Working Groups**:

Monday 28<sup>th</sup> January 2013

- A** How to Implement the “Right-Sized” Global Anti-Corruption Compliance Programme: A Practical Guide on Effective Structures, Internal Controls, Risk Management and How to Meet Regulators’ Expectations
- B** Training the Anti-Corruption Trainer: How to Tailor your Training Programme to Your Company’s Market and Local Audience

Thursday 31<sup>st</sup> January 2013

- C** Mock Internal Investigations: Practical Insights on How to Effectively Manage the Internal Processes and Handle Communication with all Relevant Internal and External Stakeholders
- D** Designing, Implementing and Monitoring Gifts, Hospitality and Facilitation Payments Policies: Taking the Compliance off the Paper and Ensuring its Adherence on the Ground

This conference has limited space and sells out every year. Be sure to reserve your space by calling +44 (0) 20 7878 6888, faxing your registration form to +44 (0) 20 7878 6885 or registering at [www.C5-Online.com/AntiCorruptionFra](http://www.C5-Online.com/AntiCorruptionFra)

*“Very useful and informative. Good insight into trends particularly the regulators perspective.”*

VP International Compliance, NBC Universal, European Anti-Corruption in Frankfurt

# AGENDA-AT-A-GLANCE

## Pre Conference Interactive Working Groups Monday, 28<sup>th</sup> January 2013

09:00 – 12:30

- A** How to Implement the “Right-Sized” **Global Anti-Corruption Compliance Programme**: A Practical Guide on Effective Structures, Internal Controls, Risk Management and How to Meet Regulators’ Expectations

13:30 – 17:00

- B** **Training the Anti-Corruption Trainer**: How to Tailor your Training Programme to Your Company’s High Risk Markets and Local Audience

## Main Conference Day One | Tuesday, 29<sup>th</sup> January 2013

- 8:30 Opening Remarks from the Co-Chairs
- 8:45 Minimising Third Party Risks: How to Apply the Right Level of Due Diligence based on the Type of Third Party
- 9:45 German Prosecutors Keynote - The Anatomy of a Bribery Investigation
- 10:30 Morning Refreshments
- 10:45 Inside the Most Costly Anti-Corruption Cases of the Year in Europe and Lessons Learned for Compliance
- 11:45 How to Test your Compliance Programme and Detect Weaknesses before the Authorities
- 12:45 Networking Lunch
- 14:00 Update on The FCPA Guidance and Other Notable US Foreign Corrupt Practices Act Developments
- 15:15 Ensuring UK Bribery Act Compliance Post-Guidance
- 16:15 Afternoon Refreshments
- 16:30 Strategic Discussion on the Role of the General Counsel and Chief Compliance Officer: How to Adopt and Maintain a Governance and Organisational Model to ensure Adequate and Efficient Reporting and Accountability
- 17:15 Auditing Your Compliance Management Systems to Support Your Compliance Initiatives
- 18:15 Conference Adjourns

18:15 Networking Drinks Reception hosted by

DEBEVOISE & PLIMPTON LLP



## Main Conference Day Two | Wednesday, 30<sup>th</sup> January 2013

- 8:30 Opening Remarks from the Co-Chairs
- 8:45 FOCUS ON ASIA - Uncovering Corruption Risks in Joint Ventures in Asia: How to Minimise your Exposure and Maintain an Effective Control
- 9:45 FOCUS ON RUSSIA & CIS – How to Localise Your Global Anti-Corruption Efforts for your Russia and CIS Operations
- 10:45 Morning Refreshments
- 11:00 Overcoming Data Protection Challenges when Documenting and Recording Compliance Matters and Conducting Cross-Border Investigations
- 11:45 Building the Defence: Contrasting Multi-Jurisdictional Defence Strategies Against Bribery and Corruption Allegations
- 13:00 Networking Lunch
- 14:15 Impact of Dodd-Frank Whistle-Blower Provision on FCPA Enforcement in Light of The First Reward
- 15:00 Minimising the Risk of Books and Records Violations: How to Maintain Adequate Anti-Corruption Internal Controls
- 16:00 Afternoon Refreshments
- 16:15 Tailoring Compliance Procedures for Mittelstand Companies to Minimise Rising Corruption Risk Exposure in International Business Operations
- 16:45 Chairs’ Closing Remarks and Conference Ends

## Post Conference Interactive Working Groups Thursday 31<sup>st</sup> January 2013

9:00 – 12:30

- C** **Mock Internal Investigations**: Practical Insights on How to Effectively Manage the Internal Processes and Handle Communication with all Relevant Internal and External Stakeholders

13:30 – 17:00

- D** **Designing, Implementing and Monitoring a Robust Gifts, Hospitality and Facilitation Payments Policy**: Taking Compliance off the Paper and Ensuring its Adherence on the Ground

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A

09:00 – 12:30

**How to Implement the “Right-Sized” Global Anti-Corruption Compliance Programme: A Practical Guide on Effective Structures, Internal Controls, Risk Management and How to Meet Regulators’ Expectations**

*David Walters*

Division Counsel, Global Anti-Corruption and Product Protection, Legal Regulatory and Compliance, Abbott (USA)

*Cornelius Görts, LL.M.*

Legal & Compliance, Santander Consumer Bank AG (Germany)

*Patrick Späth*

Counsel, WilmerHale (Germany)

*Dr. Martin Schulte, LL.M.*

Head of Capital Markets, Solicitor of England & Wales Association of Foreign Banks in Germany (Germany)

*In this practical and exclusive benchmarking session, the leaders will walk you through various options of compliance programme structures. You will be able to analyse the pros and cons of each structure so that you can choose what works best for your organisation. To make the most of your participation in the working group, bring your sample policies, internal controls and organisation charts to compare with your peers in the view to enhancing your existing compliance programme. Topics include:*

- The components of an effective compliance programme – industry specific considerations vs. general best practices
- New Government expectations as per guidance from
  - recent settlement agreements including *Johnson & Johnson, Pfizer*
  - the *Morgan Stanley* and *Tyco* declinations
- Identifying your company’s risk areas based on countries, industry sector, size of your organisation and exposure to third parties
- Making the case for devoting more resources to compliance overseas
- Reviewing and upgrading policies to ensure compliance with more rigorous local and global compliance standards
- Building an anti-corruption compliance programme that meets the requirements of the FCPA, the UK Bribery Act, the German Law and integrates local laws
- Assigning local “ownership” of the programme and setting the “tone at the top”
- Implementing effective whistle-blower and reporting procedures with local language capabilities
- Developing guidelines for dealing with local government officials, including employees of state-owned companies – how do you factor the recent ruling by Germany’s Supreme Court on self-employed Doctors in your entire policy?
- Overcoming cultural and legal challenges in rolling out a compliance and ethics culture in high risk markets
- How to efficiently utilise limited resources when training employees on a global scale
- Adapting the training to the role of the employee – balancing in-depth training sessions with basics
- Securing local management buy-in

B

13:30 – 17:00

**Training the Anti-Corruption Trainer: How to Tailor your Training Programme to Your Company’s High Risk Markets and Local Audience**

*Tamara Northcott*

Head of Anti-Bribery & Compliance, Vodafone Group (UK)

*Dr. Philippe Kiehl*

Compliance Manager – Sales Region Northern and Southern Europe, Part Southern Europe (TXS) MAN Truck & Bus AG (Germany)

*This new working group offers you a unique opportunity to benchmark your training practices against those of your peers. You will learn how to develop an effective training curriculum tailored to your audience and their needs. More importantly, through practical exercises you will gain the tools on how to train the “trainers” to ensure that they are qualified and capable of tailoring training curriculum to the relevant audience. The leaders of the working groups will share with you proven strategies they implement on how to conduct and lead trainings that resonate with employees on the ground and third parties so that they can detect and report red flags within their area of responsibility. Topics to be covered include:*

- Designing a training programme that will work for your organisation: How to choose a programme and format; face to face, e-learning etc?
  - tailoring your training programmes to location, business function and risks
  - the extent to which local managers are the best trainers
- How to get the training message right for sales and marketing vs. finance and accounting vs. legal, audit, and regulatory vs. procurement, logistics and operational management
- Weighing the need for cost effectiveness against the value of training
- Integrity training: Creating awareness among employees and third parties that their decisions have ethical consequences
- The importance of pre-testing before the training to assess the initial knowledge level of the trainees
- Tailoring training programmes for your suppliers, distributors, agents and other third parties to add value to the company
  - how you can use cultural influences to get the message across
- Measuring the effectiveness of your training: How soon to follow up and questionnaires designed to highlight training shortcomings
- Keeping training fresh and current through annual certifications and refreshers
- Using training sessions as part of your monitoring tools

**“Very valuable, covered a lot of interesting topics.”**

VP & General Counsel, Wallenius Wilhelmsen Logistics AB, European Anti-Corruption in Frankfurt

AN ADVANCED CONFERENCE DESIGNED FOR

- ✓ Ethics & Compliance Officers
- ✓ Vice Presidents and Directors of:
  - Corporate Responsibility
  - International Contracts
  - Corporate Compliance
  - Legal Affairs
  - Internal Audit
- Governance & Sustainable Investment
- Business Conduct
- ✓ Accounting & Consulting Firms
  - Investigations & Forensic
  - Transactions
- ✓ General Counsel
- ✓ Private practice lawyers specialising in:
  - Corporate Governance
  - International Regulation & Compliance
  - White Collar Crime
  - Investigations

8:30 **Opening Remarks from the Conference Co-Chairs**

*Caroline Visser*

Vice-President – Global Head, Fraud and Compliance Services, Philips Internal Audit, Philips International (The Netherlands)

*Dr. J.F. Hannes Meckel*

General Counsel, General Electric (Germany)

8:45 **Minimising Third Party Risks: How to Apply the Right Level of Due Diligence based on the Type of Third Party**

*Karl Boonen*

Senior Director Business Practices and Compliance EMEA & Canada, Johnson & Johnson (Belgium)

*Dr. Antonie Wauschkubn*

Head of Compliance Discipline & Integrity Siemens AG (Germany)

*Jeffrey Cottle*

Group Legal Compliance Anti-Corruption and Trade BHP Billiton (UK)

*David Walters*

Division Counsel, Global Anti-Corruption and Product Protection, Legal Regulatory and Compliance, Abbott (USA)

- Build a risk-based third party questioning, categorisation and monitoring model specific to state owned vs. private partners: How to assess risks based on region, industry and local business practices
- Best strategies to deal with high level local authorities which request the use of specified contractors
- Key considerations when using bid advisors, consultants and agents in bidding for public contracts
- Special considerations when the third party is an SOE or government department
- Determining whether there is a fair tendering process? How can you be sure?
- Detecting suspicious use of business consultants abroad
- Uncovering concealed ownership: Understanding laws allowing concealed ownership
- What information can be obtained through the public domain and what information can be relied on: Alternative information gathering tools when publicly accessible information is limited
- Earning a local credibility by investing in the development of the local economy: Success and horror stories

9:45 **German Prosecutors Keynote – The Anatomy of a Bribery Investigation**

*Cornelia Gädigk*

Senior Public Prosecutor  
Public Prosecutor's Office of Hamburg (Germany)

*Dr. Christopher Wenzl*

Public Prosecutor  
Public Prosecutor's Office of Frankfurt am Main (Germany)

- Common triggers for investigation and enforcement
- How prosecution of employees, agents, subsidiaries, third parties, distributors is carried out in Germany
- Standards used to evaluate liability of individual employees, corporations and subsidiaries
- The extent to which enforcement at state and federal levels influences the investigation
- What the prosecutors perceive as adequate for international anti-corruption compliance programmes

10:30 Morning Refreshments

10:45 **Inside the Most Costly Anti-Corruption Cases of the Year in Europe and Lessons Learned for Compliance**

*Manfred Nötzel*

Chairman  
State Prosecution Office Munich I (Germany)

*Jean-Bernard Schmid*

State Prosecutor  
Republic and Canton of Geneva (Switzerland)

*François Badie*

Head of Central Service for Prevention of Corruption (SCPC)  
Ministry of Justice (France)

*Dr. Roland Steinmeyer* – Panel Moderator

Partner & Co-Chair, German Corporate Practice Group  
Wilmer Cutler Pickering Hale and Dorr LLP (Germany)

*This exclusive panel brings together senior prosecutors to discuss the latest anti-corruption investigations against corporations and individuals in Europe and what they reveal about recent trends and patterns in enforcement.*

*The cases covered during this session will be updated to include all high profile cases resolved by January 2013.*

- What Safran sentencing reveals about prosecuting companies as well as individuals involved in foreign bribery
- Magyar Telekom and Deutsche Telekom – costly consequences of improper payments and falsely recording the payments in the company's books and records
- F1 supremo and improper payment to guarantee the sale of bank BayernLB's stake in F1 – detecting corruption and bribery schemes, hidden and questionable transactions
- MAN SE case – prosecution of former executives and subsequent negotiations regarding reimbursement for penalties paid because of corruption
- What precautions to take when using of agents or paying for lobbying services – EnBW investigation
- What does the recent German Supreme Court's decision on self-employed doctors mean to multinational companies
- What professionals are regarded as public officials under the different anti-corruption laws?
- Scope of commercial or "private to private" bribery: How is it being enforced across Europe?

11:45 **How to Test your Compliance Programme and Detect Weaknesses before the Authorities Do**

*Dr. J.F. Hannes Meckel*

General Counsel, General Electric (Germany)

*Pedro Montoya*

Chief Compliance Officer, EADS (France)

*Andrew Hayward*

Head of Ethics and Compliance, Balfour Beatty plc (UK)

*John Smart*

Partner, Head of Fraud Investigation and Dispute Services  
Ernst & Young LLP (UK)

*Raja Chatterjee* – Panel Moderator

Global Head – Anti-Corruption Group  
Morgan Stanley (USA)

# “The most interesting conference I have attended for a long time”

Business Development Director, SGS Anti-Corruption Services, SGS CTS, Anti-Corruption London Edition, June 2011

- Setting up compliance checks against your existing compliance programmes
- Building your review team and determining who is best to run the review
- Determining how often compliance audits should take place according to your company's specific risk profile
- Installing preventative as well as reactive measures: Encouraging compliant behaviour instead of focusing on investigations and sanctions
- How effective was your implementation of your policy: 5 key points to consider
- How to secure cooperation from your employees and third parties and how to test whether you are getting it
- How do you know what your employees and third parties learn from the programmes and whether the training has settled in to equip them with the tools needed to avoid corruption violations
  - how many follow up tests after days, weeks, months are enough?
- Who within the organisation does the training and sets up an effective measurement system?

12:45 Networking Lunch for Attendees and Speakers

## 14:00 **Update on The FCPA Guidance and Current US Foreign Corrupt Practices Act Enforcement**

*Charles E. Cain*

Deputy Chief, FCPA Unit, Enforcement Division  
U.S. Securities & Exchange Commission (USA)

*Matthew S. Queler*

Assistant Chief, FCPA Unit, Fraud Section, Criminal Division  
U.S. Department of Justice (USA)

*Jay Holtmeier* – Panel Moderator

Partner, **Wilmer Cutler Pickering Hale and Dorr LLP (USA)**

- Review of high profile FCPA cases of the past twelve months and what lessons learned to improve compliance
- Industry sectors and commercial practices under investigation by the U.S. Department of Justice and the U.S. Securities and Exchange Commission
- SEC “neither-admit-nor-deny” settlement policy
- Latest developments in the interpretation and scope of the FCPA on the meaning of “foreign government official” post guidance
- The focus on FCPA enforcement on individuals, mid-size and smaller public companies

*Attendees will be provided with the opportunity to ask questions directly to Mr. Queler and Ms. Brockmeyer at the conclusion of the panel.*

## 15:15 **Ensuring UK Bribery Act Compliance Post-Guidance**

*Michele De Rosa*

Antibribery, Sustainability and Internal Control System  
Legal Assistance (TLPAS), ENI (UK)

*Tamara Northcott*

Head of Anti-Bribery & Compliance, **Vodafone Group (UK)**

*Marcelo Cardoso*

Group Head of Compliance, **Petrofac (UK)**

*Robert Amaee*

Partner, **Covington & Burling LLP (UK)**

*Former Head of Anti-Corruption and Head of Proceeds of Crime, UK Serious Fraud Office*

*Karolos Seeger* – Panel Moderator

Partner, **Debevoise & Plimpton LLP (UK)**

- Risk assessment processes implemented to identify compliance programme's weak points
- Accounting for the private corruption provisions
- Measuring the adequacy of your procedures before they are tested in an investigation
- How to encourage a continuing commitment to compliance despite a lack of UK Bribery Act enforcement
- How specific policies such as third party, gift and hospitality have been taken into consideration
- Steps put in place to ensure a consistent internal communication that affect corporate behaviours toward controlling and reporting wrongdoings
- Circumstances in which sections 1, 3, 6 or 7 of the Act can be used to classify a self-employed doctor as a “foreign public official”
- How “adequate procedures” under the Guidance have been interpreted and used to upgrade internal control systems
- What business functions were required to be revised and has your company done enough?

16:15 Afternoon Refreshments

## 16:30 **The Role of the General Counsel and Chief Compliance Officer: How to Adopt and Maintain a Governance and Organisational Model to ensure Adequate and Efficient Reporting and Accountability**

*Stephan Mechnig-Giordano*

Chief Compliance & Security Officer, **Nestle S.A. (Switzerland)**

*Neville Tiffen*

Global Head of Compliance, **Rio Tinto (Australia)**

*Dr. Thomas Meiers*

Compliance Officer, **MAN Truck & Bus Group (Germany)**

*Dr. Benno Schwarz* – Panel Moderator

Partner, **Gibson, Dunn & Crutcher LLP (Germany)**

- Identifying the optimal governance structures and organisation of compliance and legal functions for each unique business model
- Ensuring that General Counsel and Chief Compliance Officers maintain their independence while trustfully working together and avoiding overlaps and gaps
- Setting up the right reporting lines to ensure a better oversight over complex businesses and create leverage in the compliance community
- Current status of European law on senior executives' corporate compliance and duties of office:
  - General and specific duties of office
  - Sanctions in case of violations of duties of office (civil and criminal)
  - Are “adequate procedures” available as a defence for individuals?
- Overcoming challenges in maintaining good communication lines and coordinating global legal and compliance organisations and teams located around the world
- Effective Communication with the Board of Management and Supervisory Board /Board of Directors to maximise mutual understanding, support and buy-in
- Establishing and maintaining an effective system of internal controls to detect potential deficiencies and timely address them

- D&O coverage – present market terms and conditions, what is covered what is waived?
  - Whistle-blower bounty programs and its impact on current reporting systems

**17:15 Auditing Your Compliance Management Systems to Support Your Compliance Initiatives**

*Dr. Stefan Heissner*

Managing Partner – Fraud Investigation & Dispute Services  
Ernst & Young GmbH (Germany)

*Prof. Dr. Stephan Grüninger*

Wissenschaftlicher Direktor

Konstanz Institut für Corporate Governance (Germany)

*Markus S. Rieder*

Co-Managing Partner, Shearman & Sterling LLP (Germany)

- Determining what your compliance management systems needs to accomplish
- Why and when should you audit your CMS according to audit standards in Germany and globally?

- Defining the scope of the audit
  - what it is and what it isn't?
  - what is audited and what isn't?
- Assigning responsibilities – who should conduct the audit: lawyers vs. accountants; internal auditors vs. external auditors
- What is an adequate level of audit to express a reliable opinion on the company's system?
  - how many business units are subject to the audit?
  - amount of samples
  - what tests are required to substantiate evidence collection?
- What does auditing a “compliance culture” entails and how to achieve it

18:15 Conference Adjourns

18:15



**Main Conference – Day Two | Wednesday, 30<sup>th</sup> January 2013**

**8:30 Opening Remarks from the Conference Co-Chairs**

**8:45 Uncovering Corruption Risks in Joint Ventures in Asia: How to Minimise your Exposure and Maintain an Effective Controls**

*Gaurav Jabulee*

Senior Counsel – Asia, Texas Instruments (India)

*Scott Lane*

CEO & Principal –  
Advisory, Corporate Strategy & Development  
The Red Flag Group (Hong Kong)

- What is the current status of Asian anti-corruption laws: How vigorously are they enforced against foreign vs. local business?
- Contrasting the practical implications of the anti-corruption laws on foreign companies operating in the regions
- What are the attributable social reasons for corruption in the regions
  - anticipating specific risk areas
  - reducing the risk of being asked for a bribe in the first place
- What are the standards/benchmarks for testing third parties
- Selecting appropriate joint venture partners: Conducting a risk inventory by examining ownership structures, qualifications, social and political connections and financial links
- Navigating 50/50 joint ventures: Maintaining control of the operations as well as compliance
  - Negotiating controls over compliance
  - Establishing strong financial controls: Finding a strong CFO for the JV partnership
- Competing with companies for contracts internationally

**9:45 How to Localise Your Global Anti-Corruption Efforts for your Russia and CIS Operations**

*Diyas Assanov*

Regional Compliance Officer, Siemens LLC (Russia)

*Inga Saltykova*

Chief Compliance Officer, Russia and CIS  
General Electric (Russia)

- Corruption schemes unique to Russia and business practices that may trigger violations under international anti-corruption legislation
- Building a compliance system based on actual physical checks and not trust
  - involving persons with knowledge of local language, customs and non-verbal cues
  - installing whistleblower systems in a culture which is against the notion
- Defining how much control you should retain over operations led by third parties – striking a balance between too much and not enough
- How to conduct due diligence on your distributors and act on findings of wrongdoing to satisfy competition authorities
- Training local staff to detect red flags: offshore companies, large payments to small businesses, faked invoices for goods/services
- Why a dedicated compliance manager in the region is vital to the success of your compliance programme
- Identifying common schemes employed to evade internal controls
- Monitoring employee relationships with third party providers or contractors
- Preventative measures companies can use to minimise corruption risks in daily interactions with agency officials

FOCUS ON RUSSIA & CIS

10:45 Morning Refreshments

**11:00 Overcoming Data Protection Challenges when Documenting and Recording Compliance Matters and Conducting Cross-Border Investigations**

*Dr Stefan Hanloser*

Corporate Privacy & Data Protection Officer  
Allianz Global Investors AG (Germany)

*Oliver Weiss*

Senior Legal Counsel & Syndic  
Hitachi Data Systems (Germany)

FOCUS ON ASIA

## “Very competent and experienced speakers”

Project Manager, Novo Nordisk A/S, European Anti-Corruption in Frankfurt

- What is “personal data”?
  - definition of “crime” under legislation allowing access to data
  - under which circumstances can you access personal data?
  - status of emails
- Restrictions on collection, storage and use of personal data
- At what point should the person be informed of access to their personal data?
- How to manage piecemeal and conflicting regulations and case law on data protection across Europe
- Solving the dilemma between data protection and anti-corruption compliance requirements
- How whistle blowing systems must operate in conjunction with data protection laws
- Where the US and the European approach to collecting evidence clash
- Communicating the restrictions to US or other foreign persons not subject to the same Strict EU restrictions
- How to question potential third parties, partners or clients: How far can you go?
- How to manage data protection in a multi-jurisdictional matter
- Impact of cloud computing on data protection provisions
- Complying with specific limitations under German data protection provisions in the context of internal investigations
- Obtaining approvals from and complying with required notifications to local Data Protection Authorities (DPAs)
- The importance of balancing the rights of individuals with the protection of the company under EU legislation

11:45

### Building the Defence: Contrasting Multi-Jurisdictional Defence Strategies Against Bribery and Corruption Allegations

*William Sullivan, Jr.*

Partner, Pillsbury Winthrop Shaw Pittman LLP (USA)

*Federico Busatta*

Partner, Gianni, Origoni, Grippo, Cappelli & Partners (Italy)

*Tom Epps*

Partner, Hickman and Rose (UK)

*Dr. Rolf Trittmann*

Partner, Freshfields Bruckhaus Deringer (Germany)

- Practical steps your company or client can take to plan a defence strategy and smoothly manage a case
  - defending the companies
  - defending individuals
- Varying approaches in responding to documents and other requests based on different jurisdictions
- When the circumstances dictate the search for separate counsel for individuals
- Sharing evidence with prosecutors - what prosecutors typically expect and how far can you go without compromising your defence?
- Cooperation with prosecutors: What that means to your client? What is the scope and who defines it?
- Ensuring the confidentiality of the case
- Collecting your evidence – how do you prove that an executive operated in good faith
- Preserving privilege
- Managing and preserving attorney-privilege
- Minimising downstream litigation exposure arising out of enforcement actions against individuals

13:00

Networking Lunch for Attendees and Speakers

14:15

### Impact of Dodd-Frank Whistle-Blower Provision on FCPA Enforcement in Light of The First Reward

*Vincente L. Martinez*

Director, Whistleblower Office, Commodity Futures Trading Commission (USA)

*Steven E. Fagell*

Partner, Covington & Burling LLP (USA)

15:00

### Minimising the Risk of Books and Records Violations: How to Maintain Adequate Anti-Corruption Internal Controls

*Caroline Visser*

Vice-President – Global Head Fraud and Compliance Services, Philips Internal Audit  
Philips International (The Netherlands)

*Cheryl Scarboro*

Partner, Simpson Thacher & Bartlett LLP (USA)

*Jonathan Middup*

Partner, UK Head of Anti-Bribery and Corruption  
Ernst & Young LLP

- Defining “internal controls” relevant to international anti-corruption compliance
- Types of “books and records” violations: Examples of journal entries that have led to a violation
- How to avoid false or fraudulent entries on any book or record of your foreign subsidiaries that is ultimately consolidated for financial reporting purposes
- Typical hidden internal control gaps and how to spot them
- Key controls to detect questionable transactions – what enforcement agencies will expect you to have in your files
- Streamlining and integrating payment systems to easily see where, why and how much money is being spent
- Document retention policies that work and those that do not
- What corporate card systems do you use to track and monitor entertainment expenses on behalf of government officials?
- Recognising the red flags in your paper trail
- The extent to which pre-approval requirements facilitate the follow through of the tracking process
- How to handle coding and expense accounts
- Encouraging greater and more transparent information sharing among the risk, operations, finance and corporate development function

16:00

Afternoon Refreshments

16:15

### Tailoring Compliance Procedures for Mittelstand Companies to Minimise Rising Corruption Risk Exposure in International Business Operations

*Inken Brand*

Senior Counsel Compliance, Legal Department Drägerwerk AG & Co. KGaA (Germany)

*Meinhard Remberg*

Executive Vice President, Senior Vice President Taxes – Internal Auditing – Compliance, SMS GmbH (Germany)

*Mid-sized German companies, called Mittelstand, represent 80% of the world's medium-sized market leaders and have made Germany “the world's largest goods exporter after China despite high labour costs and a strong euro.” Exporting to high risk markets expose these companies – that are family run or owned in majority – to corruption risks as larger companies. Hear from real-life practices on how to assess the risks and put in place a mechanism of control for companies that operate traditionally with a management style which favours trust, ethical and social factors to thrive but is less driven on controls.*



**“Very good conference. Probably the best for European coverage I have attended.**

**The level of detail is exactly right”.** Compliance Manager, Rolls Royce Plc, European Anti-Corruption in Frankfurt

- Understanding the business model and governance structures of mid-sized companies
- Assessing the compliance strengths of SMEs in high risk markets
- What is the ideal compliance programme for a mid-sized company that mitigates corruption risks
- What is reasonable to expect from a Mittelstand company in terms of anti-corruption compliance?
- Effective ways to communicate compliance requirements and awareness
- Meeting compliance requests from larger companies when engaging in business relationship as part of a supply chain

16:45

Chair’s Closing Remarks and Conference Ends

(\* Denotes speakers invited)

## Post-Conference Interactive Working Groups | Thursday, 31<sup>st</sup> January 2013

**C** 9:30 – 12:30

### Mock Internal Investigations: Practical Insights on How to Effectively Manage the Internal Processes and Handle the Communication with all Relevant Internal and External Stakeholders

*Dr. Benno Schwarz*  
Partner, Gibson, Dunn & Crutcher LLP (Germany)

*Robert Wieck*  
Forensic Audit Senior Manager, EMEA  
Oracle Corporation (Romania)

*Karen Moore*  
Director of Compliance  
Philip Morris International (Switzerland)

*Christoph Schlossarek*  
Head of Corporate Forensics, Metro Group (Germany)

*The participants of this interactive session will be presented and handed out a mock case file with summary materials describing a complex international case involving the typical fact patterns that are underlying prominent corruption cases brought in recent years by the SEC/DOJ, the SFO and the German Prosecutor’s Office.*

*In an interactive session the participants will be assigned roles of one of the typical stakeholders that are at some stage involved in an internal investigation: The Division Head in charge of a certain Region or Sector, the General Counsel, the Chief Compliance Officer, Members of the Management Board, the Chairman of the Audit Committee, the external legal counsel and the company’s auditor.*

*Coached by the leaders of the workshop who are experts in the different aspects of an internal investigation, the participants will independently develop their strategy and plan to address the issues presented by the matter, prepare appropriate instructions to be given in the course of the internal investigation, and discuss their communication with the respective other stakeholders.*

*In a joint session with all participants, the status of the matter and the findings will be assessed with the goal to determine the company’s next steps in view of a self-disclosure to the appropriate regulator, a disclosure in one of the company’s public filings or a remediation of the matter without disclosure. The joint session will be handled by the participants and moderated by the leaders of the work shop giving focused practical guidance on best practices and lessons learnt from past experience with the various regulators in the U.S., U.K and Germany.*

*Topics that will be covered by this work shop include:*

- Identifying the Appropriate Scope of an Investigation
- Creating and Maintaining Privilege
- Ensuring Forensic Defensibility
- Identification, Preservation and Collection – Sources of Evidence
- Workflow and timing of a document collection and review exercise
- Data Protection: Legislative & Contractual Framework
- Aligning Interested Parties (Works Council, Data Protection Officer, etc.)
- Concluding the Investigation
- Delivery of information to various stakeholders (Management Board, Board of Directors, Audit Committee, Shareholders/ Investors, Regulators)
- Self-reporting to regulators/prosecution agencies

**D** 13:30 – 17:00

### Designing, Implementing and Monitoring a Robust Gifts, Hospitality and Facilitation Payments Policy: Taking Compliance off the Paper and Ensuring its Adherence on the Ground

*Veronique d’Adhemar*  
Global Director, Compliance Field Operations  
SAP (France)

*Edoardo Lazzarini*  
European Compliance Officer, Vice President  
Biomet (Italy)

*This interactive and practical working group session will go beyond high level understanding of the FCPA, the UK bribery act, the German laws and other anti-corruption laws to identify concrete tools and tactics for avoiding the pitfalls presented by gift giving, entertainment and hospitality. Attendees will receive practical guidance on how to create a robust and culturally sensitive and credible approach to gifts, travel and entertainment. This workshop will include an interactive session on how to decide, document, and review decisions relating to the gifts, travel and entertainment, including:*

- The status of a facilitation payment under UK, US and European anti-corruption legislation
- What are the essential points of the Hospitality Guideline?
  - specific rules for “wining and dining” and invitations to events
  - how should this guide be used to shape policies for global operations?
- Best practice examples for scholarships, sponsorships and events
- Getting through road blocks in Africa
- Payment requests for communities in the oil and gas sector
- Satisfying local militia or bandits’ demands
- Handling payments requested under duress: Protection payments
- Drafting a global compliance policy which can account for cultural nuances which may exist in certain regional business operations
  - practical solutions for ensuring that the policy is implemented on the ground whilst acknowledging certain business realities in specific regions
- Case scenario: Status of sponsorship of a company which receives government grants – is this an improper payment?
  - what is the impact if the sponsorship results in a business relationship 6 – 12 months later?
- How realistic is it to expect implementation of a global gifts and payments policy in all areas of the world?

**“Very interesting conference. I will recommend it to my colleagues”.**

Legal Counsel, Glencore International,  
European Anti-Corruption in Frankfurt

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We assist companies in developing and maintaining efficient and effective corporate governance and compliance programmes and have a proven track record in providing integrity due diligence investigations in over 150 countries. Our technology solutions are leading edge – providing practical web-based solutions to manage compliance risks globally.

*"The content was very interesting and provided food for thought about ways to improve our compliance programme."*

Senior Compliance Advisor, Marsh Inc.,  
European Anti-Corruption in Frankfurt

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Date: 29<sup>th</sup> & 30<sup>th</sup> January 2013

Time: 8:45 – 17:00

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