

INSTITUTE FOR INTERNATIONAL  
AND COMPARATIVE LAW



THE CENTER FOR AMERICAN  
AND INTERNATIONAL LAW

**Policy and enforcement  
updates and benchmarking  
in international  
compliance, including:**

- Customs
- Economic sanctions  
and embargoes
- Export controls
- Anti-corruption  
compliance
- Anti-money laundering  
compliance
- Current "Best Practices"  
for multinationals

**Critical insights from:**

- Key enforcement  
officials and policymakers
- Senior industry  
representatives
- Leading practitioners

*"...I think this conference was a huge  
success. It was extremely well designed,  
administered and delivered."*

-2006 participant

# International Corporate Compliance

**February 22-23, 2007**

*A single forum addressing  
international ethics and  
compliance obligations*

**at The Fairmont Hotel  
Chicago, Illinois**

**PLUS 1 HOUR OF ETHICS**

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# INTERNATIONAL CORPORATE COMPLIANCE

A single forum addressing international ethics and compliance obligations

**February 22-23, 2007**  
**The Fairmont Hotel • Chicago, Illinois**

## **GET POLICY AND ENFORCEMENT UPDATES FROM KEY OFFICIALS FROM:**

- U.S. Department of State
- U.S. Department of Commerce
- U.S. Department of Justice
- U.S. Customs and Border Protection
- U.S. Department of the Treasury
- U.S. Securities and Exchange Commission

## **BENCHMARK AND UPDATE YOUR OWN PROGRAM WITH IN-HOUSE INSIGHTS FROM LEADING COMPANIES, INCLUDING:**

Baker Hughes  
Baxter Healthcare  
Electronic Data Systems  
Honeywell International Inc.  
The Home Depot  
Morgan Stanley  
Teledyne Technologies  
Tellabs

Join us for this one-of-a-kind conference featuring leading speakers on critical topics in the area of international corporate compliance. The program will address many international regulatory regimes critical to multinational operations around the globe. This is a must-attend conference for in-house and outside counsel, ethics and compliance officers, import and export compliance managers, contracts personnel, and other compliance gatekeepers.

This comprehensive program will address policy and enforcement developments, compliance expectations, best practices and compliance innovations from key government officials, senior industry representatives, and leading practitioners. Attendees are encouraged to come prepared to discuss the challenging issues they are navigating in their companies during the interactive workshops. The conference will provide useful tools to update and upgrade your international compliance programs.

## **INTERACTIVE CONCURRENT WORKSHOPS ON:**

- Risk Assessment, Program Audits and M&A Due Diligence
- Export Controls and Sanctions Compliance
- Balancing Privacy with KYC/Due Diligence Obligations

- 8:30 am**      **WELCOME AND OPENING REMARKS**  
*Kathryn Cameron Atkinson*, Program Co-Chair, Member, Miller & Chevalier Chartered, Washington, DC  
*David H. Resnicoff*, Program Co-Chair, Associate General Counsel & Vice President, Ethics & Compliance, Baxter Healthcare Corporation, Deerfield, IL
- 8:45 am**      **THE U.S. COMPLIANCE LANDSCAPE RECAST: WHAT DOES EFFECTIVE COMPLIANCE LOOK LIKE NOW?**
- Implementation of the 2004 amendments to the federal sentencing guidelines relating to compliance: areas of focus
  - Sarbanes-Oxley's continuing influence on compliance and enforcement expectations
  - Enforcement's effect on compliance "Best Practices"
  - Internationalization of enforcement
  - Special challenges for multinationals
- Panelists:**  
*Michael D. Mann*, Partner, Richards, Kibbe & Orbe, LLP, Washington, DC  
*Winthrop M. Swenson*, Partner, Compliance Systems Legal Group, Warwick, RI
- 9:45 am**      **THE VIEW FROM ABROAD: COMPLIANCE DEVELOPMENTS FROM AROUND THE WORLD**
- Regional compliance initiatives and progress reports
  - Continuing effects of 9/11 and corporate accounting scandals on international compliance
  - Challenges the Middle East poses regarding compliance issues
  - Drivers to European corporate compliance
  - U.S. long arm regulatory reach
  - Market reactions to increased regulation
  - State ownership as a special compliance challenge
- Moderator:**  
*David H. Resnicoff*, Associate General Counsel & Vice President, Ethics & Compliance, Baxter Healthcare Corporation, Deerfield, IL
- Panelists:**  
*Reema Ali*, Managing Partner, Ali & Partners, Washington, DC  
*Jose Luis de Salles Freire*, Tozzini Freire Advogados, Sao Paulo, Brazil  
*Bill Waite*, Group CEO, The Risk Advisory Group, Ltd., London, England
- 11:00 am**      **BREAK**
- 11:15 am**      **CUSTOMS COMPLIANCE IN A POST-9/11 WORLD**
- Continuing shift of responsibility to importers
  - What does today's customs compliance program look like?
  - C-TPAT (Customs-Trade Partnership Against Terrorism) Tier 3: Are the additional benefits worth the additional effort?
  - Standardizing customs compliance practices (policy, procedures, training, audits) across multiple countries
  - Duty minimization as an internal justification for compliance resources
  - U.S. Customs Rulings: When they're necessary, when they're valuable, when they should be avoided
  - Importer Self-Assessment Program vs. Focused Assessment
  - Reasonable care responsibilities under customs laws
  - Potential penalties for failure to exercise reasonable care
  - Summary of recent enforcement action
  - Penalties related to valuation, classification, preferential duty programs and recordkeeping
  - Use of the prior disclosure mechanism
  - Lessons to be learned for avoiding customs penalties
- Panelists:**  
*Kathleen M. Murphy*, Partner, Gardner Carton & Douglas, Chicago, IL  
*Shanna O'Brien*, Director, Corporate Customs Compliance, Honeywell International Inc., Tempe, AZ  
*Joel W. Rogers*, Senior Director-Legal International, The Home Depot, Inc., Atlanta, GA  
**Representative**, U.S. Customs and Border Protection

12:30 pm LUNCHEON

*“Current Best Practices in Corporate Compliance: Survey Results and Useful Tools”*

**Paul E. McGreal**

Professor of Law, Southern Illinois University Law School, Carbondale, IL

The U.S. Sentencing Guidelines were amended in November 2004. What has happened since then? Professor McGreal has surveyed the market and will report on results and best practices.

2:00 pm **ECONOMIC SANCTIONS AND EMBARGOES**

- Who's covered, who's targeted & what's prohibited?
- Sanctions law and policy developments
- Sanctions compliance challenges and strategies for multinationals
- What is facilitation?
- Voluntary disclosures, penalty guidelines, and enforcement trends

**Panelists:**

**William L. Clements**, Partner, Foley & Lardner, LLP, Washington, DC

**Paul M. Liebenson**, Asst. General Counsel-Transactions, International & Compliance, Tellabs, Inc., Naperville, IL

**Sean Thornton** (invited), Chief Counsel, Foreign Assets Control, U.S. Department of the Treasury

3:15 pm **BREAK**

3:30 pm **EXPORT CONTROLS**

- Complying with defense trade controls and anti-terrorism measures
- Navigating the inter-agency licensing process
- Reducing successor liability risks in M&A transactions
- Enforcement update
- Policy developments on the horizon

**Panelists:**

**David C. Trimble**, Director, Office of Defense Trade Controls Compliance, Bureau of Political-Military Affairs, U.S. Department of State, Washington, DC

**Wendy Hauser**, Special Agent in Charge, Chicago Field Office of Export Enforcement, Bureau of Industry & Security, U.S. Department of Commerce, Hillside, IL

**Lisa A. Prager**, Member, Miller & Chevalier Chartered, Washington, DC

**Melanie S. Cibik**, Vice President, Associate General Counsel, and Assistant Secretary, Teledyne Technologies Incorporated Los Angeles, CA



5:00 pm **RECESS**

*I walked away with a full page of ideas on things my company can do better or consider as additional measures.*

-2006 participant

7:30 am -

**ETHICS**

8:30 am

**Mary Lou Soller**, Member and General Counsel, Miller & Chevalier Chartered, Washington, DC

8:45 am

**ANTI-CORRUPTION COMPLIANCE**

- Compliance lessons from recent enforcement actions
- Changing standards: What are “Best Practices” now?
- Effective compliance programs as preventive measures
- Effectively avoiding vicarious FCPA liability for the acts of third parties
- Compliance programs as mitigation—sentencing guidelines, the Thompson Memorandum and the Seaboard 21(a) Report
- The compliance monitors phenomenon

**Moderator:**

**Homer E. Moyer, Jr.**, Member, Miller & Chevalier Chartered, Washington, DC

**Panelists:**

**Mark F. Mendelsohn**, Deputy Chief, Fraud Section, Criminal Division  
U.S. Department of Justice, Washington, D.C.

**Fredric D. Firestone**, Associate Director, Enforcement Division, U.S. Securities and Exchange Commission, Washington, DC

**Alexandra A. Wrage**, President, TRACE International, Inc., Annapolis, MD

**Dana G. Nahlen**, Senior International Counsel, Electronic Data Systems Corp., Dallas, TX

10:00 am

**BREAK**

10:15 am

**ANTI-MONEY LAUNDERING COMPLIANCE**

- PATRIOT ACT convergence of AML and other international business regulatory regimes: enforcement trends and compliance expectations
- Hazards of non-compliance: lessons from recent high-profile AML cases
- Extra territorial jurisdiction: the reach of U.S. anti-money laundering laws beyond U.S. borders
- The perils of sticking your head in the sand: what is “willful blindness” and how to avoid it
- Compliance guidance for non-financial institutions: What is an effective AML compliance program?

**Moderator:**

**Jane L. Wexton**, Senior Advisor, Chair, Compliance Practices & Advisory Services Group, Akerman Senterfitt, New York, NY

**Panelists:**

**Lester M. Joseph**, Principal Deputy Chief, Asset Forfeiture & Money Laundering Section, Criminal Division, U.S. Department of Justice, Washington, DC

**Douglas N. Greenburg**, Partner, Latham & Watkins, LLP, Washington, DC

**Timothy Lorah**, Executive Director, AML Compliance, Morgan Stanley, New York, NY

***The program was excellent - good speakers and topics - very informative.***

**-2006 participant**



11:15 am

**WEAVING IT ALL TOGETHER: SETTING THE BAR, AND MEETING IT**

- Practical guidance on achieving effective global compliance
- Addressing unique compliance environments
- Tips on training multinational workforces
- Building and maintaining an “ethics and compliance culture” worldwide

**Moderator:**

**Kathryn Cameron Atkinson**, Member, Miller & Chevalier Chartered, Washington, DC

**Presenters:**

**Jay G. Martin**, Vice President, Chief Compliance Officer & Senior Deputy General Counsel, Baker Hughes Incorporated, Houston, TX

**David H. Resnicoff**, Associate General Counsel & Vice President, Ethics & Compliance Baxter Healthcare Corporation, Deerfield, IL

**Jane L. Wexton**, Senior Advisor, Chair, Compliance Practices & Advisory Services Group, Akerman Senterfitt, New York, NY

**Dana G. Nahlen**, Senior International Counsel, Electronic Data Systems Corp., Plano, TX

## CONCURRENT LUNCHEON WORKSHOP SESSIONS

In these optional working sessions, outside and in-house compliance experts will explore key compliance issues and proven approaches. Workshop discussions will be led by members of the faculty, and conference participants will be asked to help select the topics of discussion for each workshop.

12:15–2:45 pm

**WORKSHOP A**

Risk Assessment, Program Audits and M&A Due Diligence

Workshop Leaders: Mr. Swenson, Ms. Wexton, Mr. Resnicoff

**WORKSHOP B**

Export Controls and Sanctions Compliance

Workshop Leaders: Mr. Clements, Ms. Prager, Mr. Liebenson

**WORKSHOP C**

Balancing Privacy with KYC/Due Diligence Obligations

Workshop Leaders: Ms. Nahlen, Mr. Waite, Ms. Atkinson

## GENERAL INFORMATION

**THE VENUE** - This program will be held at The Fairmont Hotel, 200 N. Columbus Drive, Chicago, IL 60601.

**HOUSING** - The cost of housing is not included in the course registration fee. However, rooms (in limited number) have been reserved at The Fairmont Hotel, 200 N. Columbus Drive, Chicago, IL 60601. Registrants should call 1.800.526.2008 and ask for the International Corporate Compliance program rate of \$249 + 15% occupancy tax. The last day to obtain this special rate is January 22, 2007.



Fairmont Chicago

## REGISTRATION FORM

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**PAYMENT MUST  
ACCOMPANY  
REGISTRATION**

**CONFIRMATIONS  
WILL BE SENT TO  
ALL REGISTRANTS.**

**CANCELLATION POLICY:**

Tuition less a \$50  
cancellation fee will be  
refunded upon receipt of  
written cancellation  
received by February 9,  
2007. Email:  
[cburkel@cailaw.org](mailto:cburkel@cailaw.org).  
After this date, no refunds,  
but substitution of atten-  
dees are welcome.  
Registrants not entitled to  
a refund will receive the  
course materials.

|   | <i>Early Bird by<br/>Feb. 2</i> | <i>After Feb. 2</i>             |
|---|---------------------------------|---------------------------------|
| Regular Registration Fee                                    | <input type="checkbox"/> \$1145 | <input type="checkbox"/> \$1195 |
| Institute for International and<br>Comparative Law Members: |                                 |                                 |
| • 2007 Advisory Board Member                                | <input type="checkbox"/> \$695  | <input type="checkbox"/> \$745  |
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*Payments must accompany registration.  
Confirmations will be sent to all registrants.*

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PLEASE NOTE: The Center for American and International Law utilizes outside mailing lists. If you receive a duplicate of this announcement, please pass it along to an interested colleague

**MCLE CREDITS** - We anticipate approval in all MCLE states. For 60 minutes / hour states, we anticipate 13 hours of credit including 1 hour of ethics. Sign-in sheets and / or certificates of attendance will be available for ALL states.

**NONDISCRIMINATION POLICY** - The Center for American and International Law does not discriminate on the basis of race, sex, sexual orientation, color, religion, national origin or ancestry, age, or handicap educational in its programs and activities.

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**International Corporate  
Compliance**

**See Inside for program details!**

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