This year marks 30 years since the inception of C5 Group. It is time to match our brand with the dynamic strides we have made. See inside for details…

20 – 21 JUNE 2016 | PARK PLAZA VICTORIA HOTEL, LONDON, UK

ANTI-CORRUPTION

10th Anniversary London Edition

A NEW ERA OF INTENSIFIED ANTI-CORRUPTION ENFORCEMENT IN A GLOBAL CONTEXT
Complex Global Issues, Practical Solutions: Europe’s Premier Legal & Regulatory
Anti-Corruption Compliance and Risk Management Event

Leading Enforcement Agencies, Regulators, the Judiciary & Keynote Speakers

The Rt Hon Sir Brian Leveson
President of the Queen’s Bench Division
Royal Courts of Justice (UK)

Kathleen McGovern
Senior Deputy Chief, Fraud Section
U.S. Department of Justice

David Green CB QC
Director
Serious Fraud Office

Kara N. Brockmeyer
Chief FCPA Unit, Division of Enforcement
U.S. Securities and Exchange Commission

Mark Lugton
Detective Constable | Operations | Overseas Anti-Corruption Unit
City of London Police

George “Ren” McEachern
Supervisory Special Agent and Acting Unit Chief, International Corruption Unit
The Federal Bureau of Investigation (FBI)

Marcelo Zenkner
Secretary of State – Comptroll and Transparency
Governo do Estado do Espírito Santo, Brazil

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Register Now | +44 (0) 20 7878 6888 | C5-Online.com/ACLondon
Europe’s Premier Legal & Regulatory Anti-Corruption Compliance and Risk Management Event

The UK, the U.S and international enforcement agencies have continued relentless activities of investigating and prosecuting anti-corruption and FCPA violations, resulting in recent high profile and meaningful settlements across the globe. In particular, last year the UK Serious Fraud Office entered into the first Deferred Prosecution Agreement and the first convictions under the UK Bribery Act 2010 were delivered. With these developments come increased government scrutiny and compliance expectations.

Now on its 10th Anniversary, C5’s International Annual Conference on Anti-Corruption in London brings together key enforcement officials including David Green CB QC, Director of the SFO, Kathleen McGovern, Senior Deputy Chief, Fraud Section, U.S. Department of Justice, Kara N. Brockmeyer, Chief FCPA Unit, Division of Enforcement, U.S. Securities and Exchange Commission and the UK National Crime Agency to talk about global trends and priorities.

For the first time this year, the event features a highly anticipated keynote address by The Rt Hon Sir Brian Leveson, President of the Queen's Bench Division, Royal Courts of Justice (UK).

Additional high profile enforcement authorities will join the speaker faculty, including Mark Lugton, Detective Constable Operations – Overseas Anti-Corruption Unit, City of London Police and George “Ren” McEachern, Supervisory Special Agent and Acting Unit Chief, International Corruption Unit, FBI.

In-house counsel and compliance executives from the following leading companies BAE Systems; Bourbon; Centrica; Diageo; GSK; Hitachi Data Systems; Oando; OSRAM GmbH; Rolls-Royce plc; Royal Mail Group; Sandvik AB; State Street; Stolt Nielsen; Tesco Stores Limited; Toyota (GB) PLC; Vodacom; Vodafone Group Services Limited and Wood Group, who face anti-corruption risks on a daily basis, will share how they evaluate programme components, respond to issues as they arise and monitor internal controls to maintain ongoing compliance.

The programme provides anonymous polling of the audience to collect feedback and identify compliance best practices; a Moot Court Debate designed to allow active contribution from experienced solicitors and barristers to provide an assessment of key unresolved UK Bribery Act issues. In order to provide attendees with the opportunity to concentrate on particular areas of interest, the programme continues to offer Breakout Sessions, allowing participants to personalise their conference experience. This programme now includes a new focus-day roundtable on The Role of the Compliance Officer today. Benefit from this format designed to provide relevant and valuable “take-aways” that can be applied in your daily work and can be used to benchmark your anti-corruption compliance programme.

In addition to the substantive content, this conference is an ideal way to connect and build your community. As the largest forum in Europe addressing anti-corruption and bribery enforcement and compliance, this conference offers an opportunity to meet with colleagues who share common interests and challenges and to find out what the industry is doing during exclusive audience polling panels. With over 200 attendees expected, you are sure to walk away with valuable insights and proven effective strategies on anti-corruption compliance for your company and clients.

This Conference has limited space and sells out every year. Be sure to confirm your place by: Calling +44 (0) 20 7878 6888, or Registering at C5-Online.com/ACLondon

This year marks 30 years since the inception of C5 Group.

30 years hosting more than 6,000 conferences
30 years building a network of industry leaders
30 years expanding across the globe

It is time for a brand, logo and language in keeping with the dynamic strides we have made as a company. It is time for a brand that will take us forward for the next 30 years.

C5 Group, comprising C5 in Europe, American Conference Institute and The Canadian Institute, will unite under one central brand image, appropriately a globe. See how bringing together the power of people and the power of information can accelerate your growth and success.

Our new brand look and language will be fully revealed soon. Stay tuned for more exciting changes.
Distinguished Faculty

**LEADING ENFORCEMENT AGENCIES, REGULATORS, THE JUDICIARY & KEYNOTE SPEAKERS**

The Rt Hon Sir Brian Leveson  
President of the Queen's Bench Division  
Royal Courts of Justice (UK)

David Green CB QC  
Director, UK Serious Fraud Office

Marcelo Zenkner  
Secretary of State –  
Comptroll and Transparency  
Governo do Estado do Espírito Santo, Brazil

Kathleen McGovern  
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U.S. Department of Justice

Kara N. Brockmeyer  
Chief FCPA Unit,  
Division of Enforcement  
U.S. Securities and Exchange Commission

Mark Lugton  
Detective Constable | Operations |  
Overseas Anti-Corruption Unit  
City of London Police

Speaker to be announced  
National Crime Agency

George* Ren’M cEachern  
Supervisory Special Agent and Acting Unit Chief,  
International Corruption Unit  
The Federal Bureau of Investigation (FBI)

Aldo Verbruggen  
Partner, Jones Day

Andrew Daniels  
Director of Global Integrity Enhancement  
GSK

Angelika Flamm  
Deputy Group Compliance Director  
Royal Mail Group

Arnondo Chakrabarti  
Partner, Allen & Overy LLP

Arpinder Singh  
Partner & National Leader, Fraud Investigation & Dispute Services  
EY (India)

Aurelie Staszak  
Global Compliance Process & System Manager, Sandvik

Ayotola Jagun  
Chief Compliance Officer & Company Secretary, Oando PLC

Bapsy Dastur  
General Counsel, Stolt Nielsen

Ben Rose  
Partner, Hickman and Rose Solicitors

Brian Spiro  
Partner, BCL Burton Copeland

Carl Judge  
Director, Fraud Investigation & Dispute Services, EY (UK)

Caroline Wehrle  
Global Risk & Compliance Director  
Diageo PLC

Christian Laveau  
Internal Audit, Risk Director & Group Compliance Officer, Bourbon

David McCluskey  
Partner, TaylorWessing LLP (UK)

Don Hughes  
Vice President and General Counsel  
EMEA, Hitachi Data Systems

Elaine Mays  
Group Chief Compliance Officer  
Wood Group

Elizabeth Robertson  
Partner, K&L Gates LLP

Flavio Bertoli  
Head of Compliance Legal  
OSRAM GmbH

Gönenç Gürkaynak  
Managing Partner, ELIG, Attorneys-at-Law

Jacqueline Barrett  
Group Risk & Compliance Director –  
Group Legal & Corporate Secretariat  
Vodafone Group Services Limited

John Smart  
Partner, Fraud Investigation & Dispute Services, EY (UK)

Judy Krieg  
Partner, Shepherd and Wedderburn LLP

Karolos Seeger  
Partner, Debevoise & Plimpton LLP

Kathryn Higgs  
Senior Counsel Ethics & Compliance | Group Legal, Tesco Stores Limited

Kristy Grant-Hart  
Managing Director  
Spark Compliance Consulting  
and Former Chief Compliance Officer  
United International Pictures

Leslie Kurshen  
Head of Product Development, FINPRO  
Practice, Marsh

Louise Delahunty  
Partner, Cooley (UK) LLP

Marc Hambrook  
Ethics Office | Global Anti Bribery & Corruption, State Street

Mark Beardsworth  
Partner, Brown Rudnick

Mark Rochon  
Partner, Chair of the Litigation Department  
Miller & Chevalier

Mark Serfozo  
Director of Risk, Rolls-Royce plc

Martin J. Weinstein  
Partner, Willkie Farr & Gallagher LLP

Martins Ogboolu  
Group Executive Head (International Markets) Risk and Compliance  
Vodacom PTY Limited

Matthew Turner  
Senior Counsel Compliance & Regulation  
BAE Systems PLC

Michael Harris  
Head of Screening and Enhanced Due Diligence, Europe, Thomson Reuters

Michael Heller  
Director of Risk and Compliance  
Dow Jones

Astrid Mignon Colombet  
Partner, Soulez Lariviere & Associates

Nick Benwell  
Partner, Simmons & Simmons LLP

Patrick Rappo  
Partner, Steptoe & Johnson LLP

Peter Burrell  
Partner, Willkie Farr & Gallagher LLP

Peter B. Pope  
Partner, Jenner & Block London LLP

Richard Lissack, QC  
Outer Temple Chambers

Robertson Park  
Partner, Murphy & McGonigle (USA)

Rod Fletcher  
Partner, Herbert Smith Freehills LLP

Satnam Tumani  
Partner, Kirkland & Ellis International LLP

Dr. Simone Nadelhofer  
Partner, LALIVE SA

Stephen A. Best  
Partner, White Collar Defence & Government Investigations  
Brown Rudnick LLP

Tamara Northcott  
Head of Compliance and Corporate Secretariat, Vodafone Group plc

Tim Greenwell  
Head of Legal & Compliance  
Toyota (GB) PLC

Tim Langton  
Group Ethics and Compliance Officer  
Centrica PLC

Thomas Etter  
Director of Advisory EMEA  
The Red Flag Group

Wayne Fergusson  
Head of Business Integrity, Sandvik AB

Speaker to be announced  
Partner  
Kirkland & Ellis International LLP
**AGENDA-AT-A-GLANCE**

### MAIN CONFERENCE DAY ONE
Monday, 20th June 2016

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<th>Time</th>
<th>Event</th>
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<tr>
<td>7:30</td>
<td>Registration Begins</td>
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<tr>
<td>8:15</td>
<td>Conference Chair’s Opening Remarks</td>
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<tr>
<td>8:30</td>
<td>OPENING KEYNOTE INTERVIEW The Serious Fraud Office’s Anti-Bribery Priorities Under its Director’s Second Term</td>
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<tr>
<td>9:15</td>
<td>A Q&amp;A with USDOJ and SEC Prosecutors: Cooperation, Compliance, Internal Controls Expectations and the Increased Liability of Individuals</td>
</tr>
<tr>
<td>10:15</td>
<td>Morning Refreshments</td>
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<tr>
<td>10:45</td>
<td>PANEL DISCUSSION General Counsel, Chief Compliance Officers &amp; Directors of Risk Roundtable: Assessing and Comparing Anti-Corruption Compliance Resources and Practices Pre &amp; Post Enforcement</td>
</tr>
<tr>
<td>11:45</td>
<td>PANEL DISCUSSION The UK Bribery Act Enforcement and DPAs: Comparative Lessons from The Standard Bank Judgement and The Sweett Group Case – What Do They Reveal About Sentencing in the UK?</td>
</tr>
<tr>
<td>12:45</td>
<td>Networking Luncheon</td>
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<tr>
<td>2:00</td>
<td>KEYNOTE ADDRESS Meeting the Public Interest and the Approval of DPA in the UK</td>
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### BREAKOUT SESSIONS A (2:45 – 3:45)

**Track 1**
M&A Pitfalls Case Studies: What the Latest Transactions Reveal about Due Diligence, Integration and How to Control Corruption Risks

**Track 2**
**BENCHMARKING SESSION**
A Deep Dive into The Mechanics of Risk Assessment in Case Studies: You Have Found a Red Flag – What do you do with That?

### BREAKOUT SESSIONS B (3:45 – 4:45)

**Track 1**
Leading Companies Think Tank on “Compliance Fatigue”: Overcoming Compliance Fatigue, Ensuring Business Proximity, Monitoring their Compliance Programme and Positioning Compliance as a Business Partner

**Track 2**
Responding to Whistleblowers: How to Respond to a Whistleblower Report and Prevent Pitfalls that Can Lead to Litigation

<table>
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<tbody>
<tr>
<td>4:45</td>
<td>Afternoon Refreshments</td>
</tr>
<tr>
<td>5:00</td>
<td>AUDIENCE POLLING Managing your Own Employee Risks and Those Associated with Hiring Interns: What Government Now Expects for Employee Screening, Compensation – and How to Use HR as a Gatekeeper</td>
</tr>
<tr>
<td>6:00</td>
<td>Conference Adjourns to Day 2 Cocktail Reception</td>
</tr>
</tbody>
</table>

### AUDIENCE POLLING
Select panel sessions will incorporate anonymous polling to collect audience feedback and identify compliance best practices – Polling is designed to give audience members a unique look into how industry is dealing with challenges related to anti-corruption compliance. With individual keypads, the audience will be able to respond to panel questions confidentially, enabling you to get honest feedback about compliance and the formulation of corporate anti-corruption strategy.

### Who You Will Meet
- Ethics & Compliance Officers
- General Counsel
- Vice Presidents and Directors of:
  - Corporate Responsibility
  - International Contracts
  - Corporate Compliance
  - Legal Affairs
  - Internal Audit
  - Business Conduct
- General Manager
- Operations Director/Manager
- Business Unit or Country Director/Manager
- Sales Director/Manager
- Marketing Director/Manager
- Business Development
- HR Director/Manager
- HR Business Partner
- HR Development
- Workforce Planning and Employment
- Private practice lawyers specialising in:
  - Corporate Governance
  - International Regulation & Compliance
  - White Collar Crime
  - Investigations
- Accounting & Consulting Firms:
  - Investigations & Forensic
  - Transactions
  - White Collar Crime
  - Investigations
MAIN CONFERENCE DAY TWO
Tuesday, 21st June 2016

8:30  Registration Begins

8:45  Conference Chair’s Opening Remarks

9:00  An Interactive Moot Court Debate on Unresolved UK Bribery Act Issues

10:00  KEYNOTE ADDRESS
Anti-Corruption Enforcement in Brazil and Global Cooperation

10:30  Morning Refreshments

11:00  Internal Investigation: Planning for the Investigative Protocol, Managing the Data Constraints and Building the Technology Infrastructure to Support your Investigation

12:00  INVESTIGATORS TOWN HALL PANEL
The NCA, The FBI and The City of London Police Talk about Latest Investigative Techniques of Corruption and Fraud Allegations, Key Priorities and Cooperation

1:00  Networking Luncheon

2:15  Preventing Individual Liability for Corporate Wrongdoing – The Debate: What does Yates Memo Mean in Practice for Companies and the Chief Compliance Officer?

BREAKOUT SESSIONS C (3:15 – 4:15)

Track 1  BENCHMARKING SESSION | AUDIENCE POLLING
“Risk Ranking” Third Parties: How Companies Are Upgrading Systems and Processes for Vetting and Monitoring Their Business Partners and Supply Chains

Track 2
A Conversation with Key Industry Leaders on How to Control Compliance Risks Associated with Providing Sponsorships, Hospitality and other Questionable Non-Financial Benefits

4:30  DEBATE
Addressing The Tough Realities of Global Investigation: The Preparation, The Defence and The Unpredictable in Light of The Latest Enforcement Activities and Going Forward

5:30  Conference Ends

POST-CONFERENCE WORKSHOPS
Wednesday, 22nd June 2016

A  9:00 am – 12:30 pm (Registration starts at 8:30 am)
The FCPA & UKBA Year in Review: A Look Inside the Key Cases & What They Mean Practically for your Global Anti-Corruption Programme

B  1:30 pm – 5:00 pm (Registration starts at 1:00 pm)
Third Party Relationships Scrutinised: Due Diligence, Contract Performance, Payment and Monitoring of your Most Challenging Business Partners

POST-CONFERENCE INTERACTIVE SEMINARS | Wednesday, 22nd June 2016

A  9:00 am – 4:30 pm (Registration starts at 8:30 am)
Anti-Corruption Compliance for Internal Audit, Accounting & Financial Controls

B  9:00 am – 5:00 pm (Registration starts at 8:30 am)
The Compliance Officer Boot Camp

All Day Seminars Running Simultaneously

“Excellent, definitely recommend”
Investigative Lawyer, Serious Fraud Office (UK)

“Very high level conference. Good overview of topics. Very impressed with the quality of speakers and panels, we really got to hear from all the right people”
Senior Controller, Compliance, Aibel AS
• How will DOJ approach resolutions involving non-US enforcement agencies?
• Continued enforcement of the books and records provisions by the SEC and going forward
• Increased focus on enforcement in the pharmaceutical sector

10:15 Morning Refreshments

10:45 PANEL DISCUSSION
General Counsel, Chief Compliance Officers & Directors of Risk Roundtable: Assessing and Comparing Anti-Corruption Compliance Resources and Practices Pre & Post Enforcement

Don Hughes
Vice President and General Counsel EMEA
Hitachi Data Systems (UK)

Andrew Daniels
Director of Global Integrity Enhancement
GSK (UK)

Mark Serfozo
Director of Risk
Rolls-Royce plc (UK)

Panel Moderator:
John Smart
Partner, Fraud Investigation & Dispute Services
EY (UK)

• Getting it right – Where to spend the money, time and resources to minimise the occurrence of corruption and fraud in your global operations
• Designing the best reporting structure for your company – how legal, audit, risk, compliance and the Board should interact
• How compliance policies and procedures differ when a company is in remediation/post-settlement
• How companies are innovating and tailoring their anti-corruption compliance with a focus on incentivisation
• What kind of legal protections to put in place to protect your company against the corrupt activities of others in your supply chain
• Best practices in handling cross-border investigations

11:45 PANEL DISCUSSION
The UK Bribery Act Enforcement and DPAs: Comparative Lessons from The Standard Bank Judgement and The Sweett Group Case – What Do They Reveal About Sentencing in the UK

Rod Fletcher
Partner
Herbert Smith Freehills

Stephen A. Best
Partner
White Collar Defence & Government Investigations
Brown Rudnick LLP (USA)

Satnam Tumani
Partner
Kirkland & Ellis International LLP (UK)
• Top differences between the USDOJ and the SFO on how DPAs are used
• How both cases compare and contrast – what are the key takeaways?
• Self-reporting and cooperation in the context of a DPA
• How the culpability is assessed in settlements
• The calculation of the sentence; what parameters are taken into consideration
• Leveling the playing field with the USDOJ on the severity of the fines
• How to handle conflicting situations of senior individuals of the company during the negotiation of the DPA

12:45 Networking Luncheon
Sponsored by:

2:00 KEYNOTE ADDRESS
Meeting the Public Interest and the Approval of DPA in the UK

The Rt Hon Sir Brian Leveson
President of the Queen’s Bench Division
Royal Courts of Justice (UK)

BREAKOUT SESSIONS A (2:45 – 3:45)

Track 1 M&A Pitfalls Case Studies: What the Latest Transactions Reveal about Due Diligence, Integration and How to Control Corruption Risks

Gönenç Gürkaynak
Managing Partner
ELIG, Attorneys-at-Law (Turkey)

Elaine Mays
Group Chief Compliance Officer
Wood Group (UK)

Matthew Turner
Senior Counsel Compliance & Regulation
BAE Systems PLC (UK)

Thomas Etter
Director of Advisory EMEA
The Red Flag Group

• Analysing the impact of the deal on liability for both parties to a merger
• What factors can possibly lead the transaction to a wrong start
• How to negotiate due diligence parameters and set contingency plans early
• How to conduct a systematic review of the target’s sales practices, business model and third parties
• Conducting effective pre-acquisition due diligence to identify business and regional risks
• Understanding how agency principles impact successor liability
• How the prosecutors views voluntarily disclosing a targets wrongdoing and taking action to address it
• How to develop a strong post-acquisition plan to resolve issues in integration and remediation

Track 2 BENCHMARKING SESSION
A Deep Dive into The Mechanics of Risk Assessment in Case Studies: You Have Found a Red Flag – What Do You Do with That?

Tamara Northcott
Head of Compliance and Corporate Secretariat
Vodafone Group plc

Angelika Flamm
Deputy Group Compliance Director
Royal Mail Group (UK)

Arpinder Singh
Partner & National Leader, Fraud Investigation & Dispute Services
EY (India)

Patrick Rappo
Partner
Steptoe & Johnson LLP (UK)

• What an effective risk assessment report looks like: what questions you should ask yourself to test the fullness of the risk assessment
• You have identified the risks – examples of how to take steps to meeting those risks with actual policies and procedures
• Who receives or has access to the risk assessment report?
• What can be done to make sure your compliance programme is constantly evolving based on changing risk profiles
• How to build an internal compliance team based on the results from your risk assessment
• What can be done internally vs. when you need to look for external resources

Delegates from
58 Countries Worldwide
97% of delegates would recommend this conference
1000+ Attendees across
123 Industries
**Track 1**  
**Leading Companies Think Tank on “Compliance Fatigue”: Overcoming Compliance Fatigue, Ensuring Business Proximity, Monitoring their Compliance Programme and Positioning Compliance as a Business Partner**

Kathryn Higgins  
Senior Counsel Ethics & Compliance | Group Legal  
Tesco Stores Limited

Kristy Grant-Hart  
Managing Director, Spark Compliance Consulting  
and Former Chief Compliance Officer  
United International Pictures (UK)

Flavio Bertoli  
Head of Compliance Legal  
OSRAM GmbH (Germany)

• Analysing the signs of compliance fatigue companies have commonly noticed – how to spot them  
• What are the direct and indirect causes for compliance fatigue in an organisation?  
• Creative and innovative practices to ensure that the business and operations are refocussed into the compliance and internal controls systems  
• Lessons learned for recent ramifications of weak compliance practices  
• Addressing external and internal obstacles and challenges: how good is the communication among the departments and the reputation of the compliance organisation?  
• How the compliance function can get the constant buy in from the senior management to re-engage and maintain a culture of compliance

**Track 2**  
**Responding to Whistleblowers: How to Respond to a Whistleblower Report and Prevent Pitfalls that Can Lead to Litigation**

Tim Greenwell  
Head of Legal & Compliance  
Toyota (GB) PLC

Caroline Wehrle  
Global Risk & Compliance Director  
Diageo (UK)

Bapsy Dastur  
General Counsel  
Stolt Nielsen (UK)

Panel Moderator:  
Mark Beardsworth  
Partner  
Brown Rudnick (UK)

• What to do when you receive a whistleblower letter: Differences in handling a letter from a law firm vs. internal employee  
• Setting up procedures and policies once a whistleblower is known: First steps to take and who to inform of the report  
• How to ensure employees come to you first  
• Determining whether to disclose to the authorities once a whistleblower letter is received  
• When to hire outside counsel  
• Working closely with your JV’s partners, competitors and other partners who may have received a similar report  
• Incentives for employees to stay “in house” and use corporate elevation procedures versus going outside to regulators

**4:45**  
**Afternoon Refreshments**

**5:00**  
**AUDIENCE POLLING**  
Managing your Own Employee Risks and Those Associated with Hiring Interns: What Government Now Expects for Employee Screening, Compensation – and How to Use HR as a Gatekeeper

Kara N. Brockmeyer *  
Chief FCPA Unit, Division of Enforcement  
U.S. Securities and Exchange Commission

Peter Burrell  
Partner  
Willkie Farr & Gallagher LLP (UK)

• What recent cases in Asia and in the USA reveal about prosecutors priorities and expectations for employee screening  
• Understanding HR’s role in training and screening employees and potential hires  
• What a system of internal accounting controls on hiring practices look like  
• How to align compliance performance factors with compensation structures  
• How compensation structures can impact employee behaviour

**6:00**  
**Conference Adjourns to Day 2**

**Networking Reception**

Sponsored by:

**Attended by:**

- Compliance Chief/ Director/Manager – 36%
- General Counsel/Legal Counsel/Head of Legal – 25%
- Internal Audit – 15%
- Managing Director/VP – 12%
- Managing Partner/ Senior Partner – 6%
- Consultant/ Service Provider – 6%
Deciding whether to undertake an internal investigation is a key part of an organisation’s response to detected or suspected corruption. Today however the cross border aspects of corruption investigations have significantly increased the size, cost and complexity of undertaking such investigations. It is critical that investigative resources are able to be organised quickly, are sufficiently skilled and use common tools and methodologies to accomplish an effective and thorough investigation.

- Briefing both legal and non-legal internal investigation teams to key red flags at the start of an investigation
- Ensuring documents and data are preserved...from the beginning
- How the Yates Memo implications can affect the internal investigation – what specific measures you should add in your protocol from the onset
- Addressing the challenges associated with an investigation to be conducted in multiple subsidiaries abroad
- Be aware that the manner in which an investigation team is structured and staffed can have an impact on the ability to assert privilege
- Building a team – Who do you need to retain?
  - Information management/storage/document review provider
  - Outside counsel; Local counsel; Counsel for individuals or Board of Directors
  - Forensic accountants
  - Communication/PR advisor
- Managing the risk of data privacy violations post-EU Decision in Safe Harbour
- Refining your company on privacy, labour, and anticorruption laws, self-disclosure requirements and privilege
- Determining your document review and interview process and analysis
- Preparing for what may lie ahead and anticipating any outcomes
- Best practice for investigating employee behaviour: what is and is not permissible when collecting and using personal evidence such as employee hardware, emails, telephone conversations and personal information
- What role does data analytics play in finding the key evidence?
- How to report your findings: what are the potential risks and benefits of reporting potential violations to local and foreign regulators?
12:00 INVESTIGATORS TOWN HALL PANEL
The NCA, The FBI and The City of London Police
Talk about Latest Investigative Techniques of Corruption and Fraud Allegations, Key Priorities and Cooperation

Mark Lugton
Detective Constable | Operations | Overseas Anti-Corruption Unit
City of London Police
Speaker to be announced
National Crime Agency

George “Ren” McEachern
Supervisory Special Agent and Acting Unit Chief, International Corruption Unit
FBI (USA)

The interviewer:
Elizabeth Robertson
Partner
K&L Gates (UK)

1:00 Networking Luncheon

2:15 Preventing Individual Liability for Corporate Wrongdoing – The Debate: What does Yates Memo Mean in Practice for Companies and the Chief Compliance Officer?

Kathleen McGovern
Senior Deputy Chief, Fraud Section
U.S. Department of Justice (USA)
Judy Krieg
Partner, Commercial Disputes and Regulation
Shepherd and Wedderburn LLP

Leslie Kurshan
Head of Product Development,
FINPRO Practice
Marsh

Panel moderator:
Kirkland & Ellis
International LLP (USA)

Using hypotheticals and real-life scenarios, panel leaders will discuss hair-raising dilemmas in which compliance professionals sometime find themselves involved. An arsenal of measures and strategies will be discussed to protect the personal liability of compliance professional whose role is to advise the business on the best compliance practices. Time will be given for smaller groups to discuss how they would address each scenario and the audience is invited to share its personal experience as well.

- The top five line of defence to protect the personal liability of the chief compliance officer
- What happens if a compliance officer gives the wrong advice?
- What is the “criminal” responsibility of the compliance officer himself?
- What if, because of resource limitations or other reasons, the compliance officer learns of past misconduct but is instructed by his or her superiors not to investigate or remediate the misconduct?
- Should a chief compliance officer insist upon at least a dotted reporting line to the company’s board or a committee of the company’s board?
- What should a compliance officer do if told that no compliance employee, including the company’s chief compliance officer, should disclose a compliance issue to the company’s board, committee of the company’s board or board director without approval in advance by the company’s CEO, who is known to have minimal commitment to compliance?
- How, if at all, are a compliance officer’s risk of personal liability affected by the sector in which his or her company is operating?
- Are compliance officers at financial services firms at greater risk of liability than compliance officers at other types of companies?
- What guidance can we provide to protect compliance officers, regardless of the type of company involved, from personal liability?

BREAKOUT SESSIONS C (3:15 – 4:15)

Track 1 BENCHMARKING SESSION | AUDIENCE POLLING
“Risk Ranking” Third Parties: How Companies Are Upgrading Systems and Processes for Vetting and Monitoring Their Business Partners and Supply Chains

Ayotola Jagun
Chief Compliance Officer & Company Secretary
Oando PLC (Nigeria)
Tim Greenwell
Head of Legal & Compliance
Toyota (GB) PLC
Michael Heller
Director of Risk and Compliance
Dow Jones

This panel will discuss how companies are tailoring their due diligence to risk factors that are specific to the third parties, jurisdiction and transactions in question. Audience members will be receiving a survey in advance to anonymously describe how they are approaching due diligence amid heightened enforcement risks. In addition to sharing the survey results at the session, further benchmarking will be accomplished through audience polling.

- Designing a questionnaire for third parties: What type of information to include
- Knowing how far down the supply chain to explore
- The recent requirements of the Modern Slavery Act: what your organisation’s business and supply chain need to know and achieve in respect to screening and due diligence processes
- Developing a tiered due diligence approach based on the appropriate risk level and type of third party in question
- Unique challenges associated with critical types of third parties for your global business, including:
  - customs brokers and agents,
  - lower tier suppliers and sub-distributors
  - consulting, sales and marketing intermediaries
  - foreign legal advisors and travel agencies
- Controlling facilitating payments: how to assess the risk of third party vendors that handle your marketing and sponsorship activities 5rt of the UK Bribery Act
- New priorities for the US and UK enforcement investigations: the year of the individual?
- Challenges in coordinating investigations in multiple jurisdictions: double jeopardy, privilege and privacy
- Protecting privilege during investigations and reporting to the government; how realistic is it?
- Shareholder plaintiffs’ access to legal documents post Walmart
- Ramifications of the Petrobras Case and key lessons learned
DEBATE
Addressing The Tough Realities of Global Investigation: The Preparation, The Defence and The Unpredictable in Light of The Latest Enforcement Activities and Going Forward

Mark Rochon
Partner, Chair of the Litigation Department
Miller & Chevalier (USA)

Astrid Mignon Colombet
Partner
Soulez Lariviere & Associés (France)

Tim Langton
Group Ethics and Compliance Officer
Centrica (UK)

Aldo Verbruggen
Partner
Jones Day (The Netherlands)

Panel Moderator:
Nick Benwell
Partner
Simmons & Simmons (UK)

This panel of expert practitioners involved in some of the most complicated high profile cases will take the audience through a series of complex scenarios. The purpose of the session will be to discuss how to resolve the real-life, high stakes dilemmas of managing concurrent enforcement actions in multiple jurisdictions as well as how to manage the risk of data privacy violations in the context of government investigations post-EU Decision in Safe Harbour. Topics will include:

- How to deal with international prosecutors: Tailoring your approach based on the unique contexts of different jurisdictions
- Assessing and understanding the scope of the enforcement agencies’ investigative powers
- Satisfying government requests for employee interviews: When/when not to dismiss an employee suspected of wrongdoing vs. keeping them employed
- Coordinating different and sometimes incompatible legal systems
- Managing a fast evolving crisis while maintaining the company’s reputation
- Overcoming challenges of cultural translation of legal proceedings during communication among cross-border defence teams
- How to manage the submission of documents to multiple governments post-EU decision on Safe Harbour: Responding to government document requests amid data privacy and state secret constraints
- Exploring alternative data transfer mechanisms, such as binding corporate rules and standard contractual clauses? What is the timing for their implementation?
- Managing U.S. agencies’ expectations for cooperation amid conflicting EU data privacy restrictions: The role of national authorities in authorising or denying data transfers
- Assessing the effect of an enforcement action – and your disclosures – in one country on those in other jurisdictions
- Weighing the risks of criminal prosecutions in China, Brazil and other countries following cooperation with the UK, the U.S. and other governments

5:30 Conference Ends

* Denotes Speakers invited

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DAY 3  Wednesday, 22\textsuperscript{nd} June 2016  |  Post-Conference Workshops

\textbf{A}  
\textbf{The FCPA & UKBA Year in Review: A Look Inside the Key Cases & What They Mean Practically for Your Global Anti-Corruption Programme}

Robertson Park  
Partner  
Murphy & McGonigle (USA)

- Major developments on enforcement of the FCPA  
  - The impact of the Yates Memo  
  - Benefits of voluntary disclosures  
  - Scrutiny of compliance programmes  
  - Internal controls provisions – BHP Billiton and Bank of New York Mellon  
  - Scrutiny of employees confidentiality agreements  

- Two largest penalties of 2014 involved conduct by third-party consultants or agents  
  - Alstom – nine consultants used to pay bribes in five countries  
  - Alcoa – use of a middleman to secure business with a Bahraini state-owned entity that bribed Bahraini officials

David McCluskey  
Partner  
Taylor Wessing LLP (UK)

- The UK first DPA with Standard Bank and first indictment under S7 of the UK Bribery Act  
- New priorities for the US and UK enforcement investigations: the year of the individual?  
- Challenges in coordinating investigations in multiple jurisdictions; double jeopardy, privilege and privacy  
- Protecting privilege during investigations and reporting to the government; how realistic is it?  
- Shareholder plaintiffs’ access to legal documents post Walmart  
- Ramifications of the Petrobras Case and key lessons learned

\textbf{B}  
\textbf{Third Party Relationships Scrutinised: Due Diligence, Contract Performance, Payment and Monitoring your Most Challenging Business Partners}

Martins Ogbolu  
Chief Regional Ethics and Compliance Officer  
(West Africa & DRC)  
Vodacom

Screening and monitoring your third parties is a perennial compliance challenge for companies. The challenges start with the on-boarding process and continue throughout the life of the third party relationship. This interactive and practical working group will discuss best practices and identify tools and tactics that peer companies are using to on board and monitor third parties. Walk away with proven-effective strategies that your company can incorporate when evaluating third party vendors, contractors, brokers, agents, or partners.

- Who is responsible for the proposal and the business case for using third parties?  
- What should be in the proposal and the business case?  
- How to design and effective questionnaire  
- What the latest investigations reveal about having a good due diligence report on third parties. How far do you have to go?  
- Who gets to see the due diligence?  
- Filtering and risk grading: what questions should you ask yourself?  
  - does the business proposal make sense?  
  - does the third party have the skills/resources to perform the contract?

Michael Harris  
Head of Screening and Enhanced Due Diligence, Europe  
Thomson Reuters (UK)

- any other payments/connections the third party (or any of its shareholders/employees) have to the company?  
- When should the relationship be approved and who should approve it?  
- The importance of clear roles and responsibilities  
- Contract and administration management: what is the scope of services in the contract?  
- Audit rights and compliance training for third parties  
- Suspension of payments and services for (suspected) breach of compliance requirements  
- Centralisation of records (contracts, red flags, mitigations)  
- Contract performance and payments: the importance of the “proof of services”  
- Where multinationals are most at risk and how to implement an effective global internal system of controls  
  - putting a programme in place  
  - what to monitor  
  - who sees the monitoring reports  
  - keeping track of red flag/mitigations  
- Auditing the third party

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customers. We have a proven methodology that we use to help
companies manage these risks.

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Founded in 1914, Jenner & Block is a law firm of international reach with more than 500 lawyers. Opened in 2015, our London office ushered in a new century of excellence. We provide direct access to best-in-class lawyers to help companies navigate complex arbitration/dispute challenges and investigations.

**Steptoe**
With more than 500 attorneys in Europe, Britain, China and the US, Steptoe provides counsel and representation in a wide range of legal fields that cross borders and industries. We have one of the largest international law practices in the world, working with clients to seize opportunities, minimize risks and successfully navigate ever-changing regulations. We focus on international trade litigation and market access, EU law, export controls and international regulatory compliance, customs, global arbitration and international business transactions. Steptoe’s comprehensive international practice strives to devise consistent, creative and sophisticated solutions to advance the strategic goals of our clients.

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Clients partner with Cooley on transformative deals, complex IP and regulatory matters, and high-stakes litigation, where innovation meets the law. The London office of over 70 lawyers was launched in January 2015 and named ‘London Office of the Year’ at the British Legal Awards. Cooley’s 900 lawyers across 12 offices in the United States, China and Europe.

**Debevoise & Plimpton LLP** is a premier law firm with market-leading practices and a global perspective. Approximately 650 lawyers work in eight offices across three continents. Debevoise has been at the forefront of international corruption issues for decades, and remains one of the world’s most prominent firms in the field.

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LALIVE is an international law firm, with offices in Switzerland and Qatar (LALIVE IN QATAR LLC). The firm provides strategic, tactical and transnational representation to States, corporatons and individuals around the world in all areas of fraud, asset tracing and recovery. It is renowned for its expertise in international dispute resolution, in particular arbitration and civil litigation. Furthermore, it has long standing experience in highly complex governmental investigations and mutual judicial assistance proceedings. Members of the team are ranked among the world’s leading practitioners in these areas.

**THE RED FLAG GROUP**
The Red Flag Group is a global integrity and compliance risk firm. We apply our unique set of advice, technology and business intelligence capabilities to manage the integrity and compliance risks of our customers. We have a proven methodology that we use to help companies manage these risks.

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8:30  Registration and Coffee

9:00  Opening Remarks


- Who is covered by the FCPA? – Issuers, domestic concerns, any person
- Understanding the role of the U.S. Department of Justice and the U.S. Securities and Exchange Commission in the enforcement of the FCPA
  - Understanding the SEC’s active role in enforcement
- Key terms and elements of the Book and Records Provision of the FCPA and the UK Company Act
  - To whom do these provisions apply?
  - What constitutes a violation of the provision?
- Understanding the exceptions and defences to the FCPA, including facilitation payments
- Record keeping – What the U.S. government expects you to have in your files
- Defining key terms:
  - “Anything of value”
  - Reasonable and bona fide expenses under the statute
  - What constitutes a “foreign official”?

10:15  Morning Refreshments

10:30  How to Detect Illegal Payments Hidden or Concealed in Your Company’s Books and Records

- What types of payments can be disguised as legitimate expenses
- How to spot illegal payments disguised as commissions and expenses
- What to look at from the financial perspective: invoices not according to contracts, looking at extra charges, looking at double billings …
- What are the government expectations for your system of internal controls?
- What the government expects you to have in the files

11:00  Compliance Audits: Practical Walkthrough of Anti-Corruption Audit Programmes and Testing Procedures Overview of the core components of an FCPA audit

- What a proactive corruption risks assessment from a financial perspective looks like
- Balancing “numbers that add up”, ethics and compliance: going beyond the numbers accounted for
- Walkthrough of a sample audit programme
- How to effectively review sensitive areas that require additional procedures such as commissions, discounts, gifts and charitable contributions
- How to trace payments and identify potential bribes
- Review of privilege considerations for non-attorneys
- How to use data mining to identify anomalies
- New techniques to find non-obvious relationships
- Importance of attorney privilege considerations for internal audit staff
- Strategies around the communication of the audit report to avoid an inadvertent damage to your organisation

12:30  Networking Luncheon

1:45  Special Cases on How to Account for Some Transactions while Maintaining Transparency of the Traceability: Accounting in Joint Ventures, Consortia and Subsidiaries, Gifts, Charitable & Political Contributions and Commissions

- Protocol and best practices in auditing joint ventures
- What your audit assignment should look for in majority control vs. minority control
- What to do to ensure that the joint venture implement protective measures against potential exposure to corruption risks

2:30  Best Practices to Conduct a Third Party Due Diligence Audit

- Assessing corruption and bribery risks inherent in your companies interactions with third parties
- Identifying the third party’s points of contact with foreign governments officials
- Payments in relation to gifts and hospitality – corporate donations and social investments
- Determining what should be documented in the third party due diligence file
- How to trace payments to third parties and identify potential bribes
- How to help legal and compliance establish protocols and controls for identifying red flags

3:15  Afternoon Refreshments

3:30  Defining the Role of Internal Audit in a Robust Anti-Corruption Compliance Programme: Another First Line of Defence?

- How to work with compliance and legal teams yet remain independent
- How to develop forensic audit skills in additional to financial audit skills
- Leveraging on-site visits of senior management
- Auditing within the remit of the company’s ABC policy
- Understanding and applying the company code of ethics
- Getting buy-in from senior management and the board

4:30  End of the Day
This new one-day Boot Camp will focus exclusively on the most critical success factors of the role of the modern corporate compliance organisation today. This practical and interactive benchmarking full day is designed to discuss real-life challenges the corporate compliance organisation faces. This includes compliance risk assessment, implementing a solid response mechanism to address any redflag, compliance monitoring to mitigate compliance risks and investigating potential wrongdoing. Throughout the day, the expert speakers will provide a realistic snapshot of what the role entails, how to address the business strategy and objectives in the most effective, efficient and friendly manner. They will share key lessons from experience and recent enforcement actions, as well as critical pitfalls to avoid and positive actions to carryout to enhance the compliance office into a corporate asset.

Key Success Factors for Running a Compliance Organisation and Compliance Programme with Limited Resources

- Understanding the business model and governance structures of small companies
- What are the components of the ideal compliance programme for a small company?
- Mastering the art of working with and leveraging resources in other functions including legal, IT, HR and Internal Audit
- Effective ways to communicate compliance requirements and awareness: training to ensure consistent compliance
- Meeting compliance requests from larger companies when engaging in business relationships as part of a supply chain

Using Top Sales Skills to Sell Compliance to Your Internal Audience

- Use the motivational techniques and ideas of Zig Ziglar and other sales pioneers to create a buzz and get your internal prospects (board members, employees, middle managers) to buy into the compliance programme.
- Learn to super-charge your approach utilising the four primary motivators to excite and challenge your audience during training and meetings.
- Learn techniques of closing the sale, and how to apply those to your conversations with your internal audience so that you get genuine commitment and buy-in for your initiatives and your programme.

Group Discussion: A Week in the Life of a Compliance Officer within the Company’s Compliance Organisation

- Assessing compliance risks and defining systems of controls
- Monitoring the controls put in place to mitigate compliance risk
- Identifying trends or new risks to the business
- How do you keep abreast of regulatory developments including regulators and prosecutors expectations as well as recent enforcement cases within your industry?
- Advising the Board on any risks, wrongdoing and on whether remedial actions are needed: how to confidentially and timely liaise and communicate with the Board
- Seating at the compliance headquarters level vs. at the business units’ level
- Training programmes locally and abroad
- Managing your time when running special compliance projects as well as your core work
- Preparing for and managing a compliance audit
- You will never know what type of situation you will be in from day to day: how to constantly be prepared for the worse
- What systems of controls to have in place allowing the compliance team to be proactive rather than reactive
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