6th Annual Conference on Anti-Corruption NORDICS

The premier conference in the region for networking and global compliance benchmarking

Government Faculty:
Hanne Margrethe Meldal
Senior Legal Advisor
Ministry of Labour and Social Affairs (Norway)

Meet and learn from a regional and international faculty, including:
- Aibel AS
- Coloplast A/S
- Equinor ASA
- Falck
- Fjord Line AS
- FLSmidth A/S
- Haugesund AS
- Nordic Investment Bank
- Pontarius AB
- VEON
- Vestas Wind Systems A/S
- Yara International

Experts from the Nordic countries, Germany, Russia, China, the UK and U.S. will discuss critical issues affecting your business, including:

- **ANTI-CORRUPTION & SUSTAINABILITY:** How to Meet New Compliance Expectations of Government, Investors and Civil Society
- **DEFENDING YOUR COMPLIANCE PROGRAMME TO THE AGENCIES:** Practical takeaways on how to prepare for the meeting and what to expect
- **INTERNAL CONTROL SYSTEMS:** The Newest, Unspoken AML Risks, and Enforcement Trends

NEW NETWORKING & BENCHMARKING OPPORTUNITIES:

- **COUNTRY SNAPSHOTs ON RISK & COMPLIANCE**
  Unique challenges in CHINA and RUSSIA
- **"COMPLIANCE ROUNDTABLES & EXCHANGES"**
  Smaller-Group Discussions on Human Rights, GDPR, Crisis Management and Training
- **ENHANCED COMPLIANCE PROGRAMME BENCHMARKING**
  The right tools for measuring, tracking, producing data and reporting to demonstrate compliance
- **LIVE AUDIENCE POLLING**
  Compare the latest approaches to resolving high stakes issues

Join Industry Executives at the Pre-Conference Workshops

**Tuesday, 28th January 2020**

A | Case Review on the Extra-Territorial Reach of the FCPA and UKBA

B | Third Party and M&A Due Diligence Processes: How Much Due Diligence is Now Enough

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Expand Your Global Network. Learn the Unwritten Rules for Effective Compliance.

Very relevant for the compliance community, and an excellent networking opportunity.

Norwegian Ministry of Defence

NEW “COMPLIANCE ROUNDTABLES & EXCHANGES”
Led by expert facilitators involved in some of the most significant cases to date, benefit from the opportunity to discuss sensitive, hot button issues.

The sessions will include:

- **Human Rights and Corruption Risks**: How ethics-based compliance systems foster a solid culture and add value
- **How to Detect Actual or Suspected Violations of Key GDPR Principles**: Recent enforcements actions and practical takeaways
- **Crisis Management**: Concrete examples of how to navigate the legal, PR and reputational aftermath
- **Compliance Training for Sales Departments**: The latest on what an impactful training programme looks like

ENHANCED BENCHMARKING

- Evaluating and Defending Corporate Compliance Programme to the Agencies
- Resolving Gifts & Hospitality Dilemmas on the Ground
- Identifying and Addressing Potential Conflicts of Interest
- Operationalising Your Compliance Programme: Dovetailing Your Program, Data Governance and Reporting with the Overall Business Strategy

NEW MUST-ATTEND DEFENCE COUNSEL “WAR STORIES”
Participants will benefit from a unique opportunity to hear critical updates on the rapid evolution of bribery schemes that are affecting industries of all kinds. Gain insights from experts who will share Strategies for Structuring, Conducting and Managing the Costs of Multi-Jurisdictional Investigations.

NEW COUNTRY SNAPSHOTs ON RISK & COMPLIANCE
Join an opportunity to dive into unique challenges in the following high risk markets:

- **CHINA** – New anti-bribery compliance expectations, Cyber Security law, State Secrecy and privilege issues
- **RUSSIA** – Demystifying the latest sanctions and compliance best practises

ANONYMOUS AUDIENCE POLLING ON CRITICAL CHALLENGES:
Select panel sessions will incorporate anonymous polling to collect audience feedback and identify compliance best practices. The audience will be able to respond to panel questions confidentially, enabling you to get honest feedback on hot button issues.
SPEAKERS:

Brittany Prelogar
Partner
Steptoe & Johnson LLP (USA)

Tron Dalheim
Partner
Thommessen (Norway)

Dominique Abrokwa
Partner
Pohlmann & Company

Fabrizio Camerini
Director Business Integrity
Yara International ASA

Laila Sivonen
Senior Associate
Roscher, Attorneys Ltd. (Finland)

Peter B. Pope
Partner
Jenner & Block (UK)

Elisabeth Andvig
Adviser, Human Rights and Humanitarian Affairs
Permanent Mission of Norway to the U.N. (Norway)

Pia Vining
Senior Director of Due Diligence
TRACE International, Inc. (USA)

Nicola Bonucci
Managing Director, Investigations & Compliance
Paul Hastings (Europe) LLP

Eva Jarbekk
Partner
Schjødt (Norway)

Mark Butler
Chief Compliance Officer
Nordic Investment Bank (Finland)

Anne Gaustad
Partner
Hughes Hubbard & Reed LLP

Camilla Nyhus-Møller
Chief Legal & Compliance Officer
Høegh LNG AS (Norway)

Martin Lønstrup
Head of Global Compliance, Senior Director
Falck (Denmark)

Gareth Rees, QC
Partner
Jenner & Block (UK)

Jeppe Kromann Haarsted
Group Compliance Manager
FLSmidth A/S (Denmark)

Giovanni Paolo Falcetta
Partner
TozziniFreire Advogados

Zoe Osborne
Partner
Flesch Advogados (Brazil)

Maria Rabben
Ethics and Compliance Advisor
Aibel AS

Jeffrey W. Cottle
Partner
Norton Rose Fullbright (UK)

Tom Best
Partner
Paul Hastings (USA)

Hanne Sønderland
Manager, Compliance & Internal Controls, Digital Protection Officer
Anti-Money Laundering Officer
Fjord Line AS (Norway)

Jens Ole Legart
Investigation, Business Ethics and Compliance Manager and Specialist
Vestas Wind Systems A/S

Nicola Bonucci
Managing Director, Investigations & Compliance
Paul Hastings (Europe) LLP

Joachim Orton Pikwer
General Counsel
Pontarius AB

Formerly Director for Legal Affairs for the OECD

Paul Feldberg
Partner
Jenner & Block (UK)

Tom Best
Partner
Paul Hastings (USA)

Vladimir Efremov
Partner
Baker & McKenzie - CIS, Limited

Tron Dalheim
Partner
Thommessen (Norway)

Dominique Abrokwa
Partner
Pohlmann & Company

Since its inception 5 years ago, this event has gathered key stakeholders from across the globe:

70% of attendees are from the Nordics

- Denmark
- Finland
- Iceland
- Norway
- Sweden

30% are from:

- Austria
- Belgium
- Brazil
- Chile
- Cyprus
- Djibouti
- France
- Germany
- Great Britain
- Lithuania
- Netherlands
- Poland
- Russia
- Saudi Arabia
- Spain
- South Africa
- Switzerland
- United Arab Emirates
- United States

A must-attend event for:

General Counsel
Chief Compliance Officers
Corporate Counsel
- Sustainability
- International Trade Counsel
- Trade and Regulatory Counsel
- Corporate Social Responsibility

Ethics Officers
Directors, Internal Audit
Directors, Import Export Compliance
Directors, Business Conduct
International Contract Managers
Directors, Corporate Audits and Investigations

Forensic Accountants
Outside Counsel specialising in:
- Corporate Compliance
- White Collar Crime
- Internal Investigations
- Corporate Governance
- Dispute resolution

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At this practical session, expert faculty members will review key principles of the Foreign Corrupt Practices Act “FCPA” and the UK Bribery Act “UKBA” including its extra-territorial application to date. The speakers will then delve into the complexities of key and recent regulatory and enforcement matters toward imparting real-life lessons for industry moving forward. Gain helpful insights on the ins and outs of significant cases, and how to leverage the lessons learned to better enhance your compliance status moving forward.

- Who is covered by the FCPA and the UKBA?
  » Organisations – Who qualifies?
  » Individuals – What categories of persons who are covered by the Act?
- What is the extraterritorial reach of the FCPA and the UKBA today?
- When the extraterritorial application of the FCPA is challenged – How significant is the Hoskins case?
- What are the new risks affecting organisations and their employees?
  » Basic elements of the FCPA’s anti-bribery provisions
  » Key aspects of the FCPA accounting provisions: Books and records, record keeping and internal controls requirements and standards
  » Permissible and impermissible payments
  » Involvement of third parties and due diligence requirements: Agents, consultants and joint venture partners
  » Factors that trigger government investigations under the FCPA and the UKBA
- A deep dive into key investigations and settlements, and what they reveal about DOJ and SEC expectations today
- Circumstances have led to declinations, DPAs and NPAs
- What does “cooperation” mean for the authorities as well as the company under investigation? What are the limits and precautions to take?
- How to cooperate with authorities in the context of multi-jurisdictional investigations
- Which areas of your compliance programme need to be improved considering an investigation and how can this be achieved?
- The significance of DOJ Update on the evaluation of Corporate Compliance Programmes
- Prosecution of individuals, including Legal and Compliance Officers: What is the scope and the limits of personal liability?

This intensive, practical working group will discuss transactional due diligence and a myriad of both business and compliance activities such as third party vetting and on-boarding, M&As pre-transactions challenges, private equity dealings/investment due diligence, screening and pre-hiring background checks. In the wake of continued high-profile enforcement actions across the globe, the working group will focus on how to resolve new and evolving due diligence challenges. Ensure that you are up-to-speed on the latest due diligence best practices and pitfalls that can heighten exposure.

- Determining your risk tolerance and how far to go in conducting pre-transaction due diligence
- Developing a risk model that stratifies your risk based on third parties – and how to perform due diligence accordingly
- Key GDPR considerations and constraints to your due diligence process – How to proceed without breaches
- Detecting issues with the target’s sales practices, business model and third parties
- When and how much due diligence to perform for an ongoing, existing third-party relationship
- Understanding the local business environment, customs and practices
- How to incorporate effective front-end vetting and screening protocols on a third party, a target and a potential employee
- Red flags to consider in a target’s accounting practices
- Measuring the consequences of potential undiscovered violations before the deal, knowing the negative impact of “buying an enforcement action”
- How to ensure enough access and meaningful information before the transactions – What to do if such access is impossible in a high-risk jurisdiction
- What kind of due diligence can be done to get the “true value” of a target
- What to do when the due diligence reveals problems pre-transaction:
  » How to evaluate background red flags
  » When red flags can derail or delay a transaction
- When to Consider Terminating a Third Party Relationship Over Bribery Suspicions: Anti-Corruption, Contractual and Other Key Considerations

With conferences in the United States, Europe, Asia Pacific, and Latin America, the C5 Group of Companies: American Conference Institute, The Canadian Institute, and C5 Group, provides a diverse portfolio of conferences, events and roundtables devoted to providing business intelligence to senior decision makers responding to challenges around the world.

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MAIN CONFERENCE DAY 1

Wednesday, 29th January 2020

07:15 Registration & Welcome Coffee

08:30 Opening Remarks from the Co-Chairs
Anne Helen Lunde
Chief Compliance Officer / VP Legal
Equinor ASA (Norway)

Bo Berndtsson
Specialist Counsel | Advokat
Setterwalls (Sweden)
Former Chief Compliance & Ethics Officer at Volvo AB

08:45 THE OECD’S FIGHT AGAINST CORRUPTION
Expectations for 2020 and Beyond
Nicola Bonucci
Managing Director, Investigations & Compliance
Paul Hastings (Europe) LLP

09:30 THINK TANK
ANTI-CORRUPTION COMPLIANCE AND SUSTAINABILITY
How Companies are Meeting New Compliance Expectations of Regulators, Enforcers, Investors and the Civil Society
Joachim Orton Pikwer
General Counsel
Pontarius AB

• Sustainability and compliance strategic cornerstones in the Nordics
• What are the drivers of sustainability “requirements”?
• How the ongoing AML monitoring failure in the banking sector is affecting compliance budgets
• The tools available to maintain an acceptable standard of compliance – What companies are using for reporting?

10:00 Morning Networking Break

10:30 CORPORATE COMPLIANCE PROGRAMMES #1
Evaluating and Defending Corporate Compliance Programme to the Agencies Post-DoJ Guidance
Paul Feldberg
Partner
Jenner & Block (UK)

Martin Lenstrup
Head of Global Compliance,
Senior Director
Falck (Denmark)

David M. Stuart
Partner
Cravath, Swaine & Moore LLP (USA)

This new session will navigate how to prepare for meetings with enforcement agencies and to walk them through your programme. Expert speakers discuss what the agencies are looking for with respect to key programme elements and improvements.

11:30 INTERNAL INVESTIGATIONS
Strategies for Structuring, Conducting and Managing the Costs of Local and Multi-Jurisdictional Investigations
Jens Ole Legart
Investigation, Business Ethics and Compliance Manager and Specialist
Vestas Wind Systems A/S

Jeffrey W. Cottle
Partner
Norton Rose Fulbright (UK)

Giovanni Paolo Falcetta
Partner
TozziniFreire Advogados

• How to assemble the team, determine the scope and engage different departments while ensuring that there is independence in the process
• What should be the role of the compliance officer in an internal investigation?
• Cultural considerations and practical interview techniques to ensure you get the information you are seeking in the jurisdiction where the facts took place
• How to deal with inconclusive findings and avoid any perceptions of “an unsatisfactory” investigation
• How to communicate with the Nordics authorities regarding a potential violation – What protections are provided to the company?
• Determining how much you need to spend and how to control the risk of rising costs
• When to stop: How to know when to conclude the investigation
• Why some internal investigations do not detect the wrongdoing?

12:30 Networking Luncheon

13:45 COUNTRY SNAPSHOT #1 CHINA
What Industry Needs to Know about the Local Bribery Corruption Crackdown: New, Evolving Standards and Trends
New for this year, industry experts will discuss the practical realities of operating in China today and beyond, and the latest anti-corruption initiatives and the enforcement landscape. In addition to key updates, speakers will discuss the country-specific challenges affecting risk mitigation.

14:30 Afternoon Networking Break

15:00 COMPLIANCE ROUNDTABLES & EXCHANGES
Select a roundtable and join the discussion, exchange views, debate questions and share experiences around current industry challenges.

#1 HUMAN RIGHTS & CORRUPTION RISK:
How Ethics-Based Compliance Systems Drive a Solid Culture and Add Value
Elisabeth Andvig
Advicer, Human Rights and Humanitarian Affairs
Permanent Mission of Norway to the U.N. (Norway)

• How do human rights and corruption risks connect and what is in it for organisations?
• What are the drivers to push companies to assess compliance with human rights?
• How companies should put transparency and accountability at the forefront of their operating principles
• How existing compliance programme and systems should be upgraded to incorporate ethics and human rights

#2 GDPR:
When is Your Organisation at Risk: Processing, Accessing, Transferring, Retaining and Preserving Personal Data
Eva Jarbekk
Partner
Schjødt (Norway)

The group will reflect on recent GDPR enforcement actions across different EU Member states with a focus on practical takeaways. Four major cases include:
• Google vs. The French Data Regulator (CNIL)
• Centro Hospitalar Barreiro Montijo vs. The Portuguese Data Protection Authority or DPA (CNPD)
• Knuddels.de vs. The State Commissioner for Data Protection and Freedom of Information Baden-Wuerttemberg (LfDI) in Germany
• The Austrian DPA (DSB) vs. an Unnamed Limited Liability Company

16:00 Resolving Compliance Dilemmas and Potential Conflicts of Interest
At this unique session, experts will discuss their approaches to navigating grey areas. Topics to be covered include code of conduct breaches, business relationships with SOEs, government officials during public tender processes, former government official, an employee’s family member owning the supplier, and hiring former or retired government officials. The panel will include a special focus on relevant jurisprudence about recent cases.

17:15 Conference Adjourns

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**Opening Remarks from the Co-Chairs**

08:45 **SPECIAL REMARKS**

The Serious Fraud Office Going Forward

Peter B. Pope
Partner
Jenner & Block (UK)

Recently returned from a secondment to the UK Serious Fraud Office, where he served as International Liaison and Investigations Advisor

International cooperation and what the Serious Fraud Office is looking for/expects from the outside world.

09:30 **CORPORATE COMPLIANCE PROGRAMMES #2**

Operationalising Your Compliance Programme: Dovetailing Your Program, Data Governance and Reporting with the Overall Business Strategy

Camilla Nyhus-Møller
Chief Legal & Compliance Officer
Høegh LNG AS (Norway)

Mark Butler
Chief Compliance Officer
Nordic Investment Bank (Finland)

- How to meet prosecutors' expectation of companies to operationalise your compliance programme
- Developing a sustainable strategy to assign clear responsibilities and accountability to demonstrate compliance
- How to leverage existing compliance systems and processes, and upgrade them to generate data and flag suspicious transactions
- Updating protocols for payments, third parties, gifts, travel, and entertainment, charitable and political contributions
- The ROI of Data analytics, AI and other innovation
- Developing "Ethics Ambassadors" for your organisation
- Training officers, directors, employees, agents and business partners
- Addressing specific cultural nuances when localising your new strategy

12:15 **COUNTRY SNAPSHOT # 2 RUSSIA SANCTIONS**

How to Leverage the Tools in Your Compliance Programme to Manage Sanctions, Trade and More Geopolitical Risks

Vladimir Efremov
Partner
Baker & McKenzie - CIS, Limited

New for this year, industry experts will discuss the impact of Russia sanctions on compliance in the Nordic region. Don't miss a comprehensive update on important new developments of the past few months, recent actions involving Russia and practical insights on how economic sanctions fit into compliance risks for Nordic multinational companies.

14:45 **COMPLIANCE ROUNDTABLES & EXCHANGES**

Select a roundtable and join the discussion, exchange views, debate questions and share experiences around current industry challenges.

**#3 Crisis Management**

Post Crisis Management & Compliance Certification – A Monitor’s Perspective

Dominique Abrokwa
Partner
Pohlmann & Company

Crisis Management
- Establishment of "situation room" and project management
- Defining what the risks and opportunities of your external and internal communication strategy should be
- At what point communicating with customers and the authorities about the incident is productive or counterproductive?
- Examples of the good, bad and ugly in crisis PR
- Representation of the company vis-a-vis the investigating authorities
- Risk analysis and implementation of mitigating measures

Certification in light of Compliance Monitorships – A Monitor’s Perspective
- The role and activity as Independent Compliance Monitor, e.g. for the U.S. Department of Justice, the U.S. Securities and Exchange etc.
- The life cycle of a compliance monitorship incl. preparation for and during compliance monitorships
- Certification criteria; Voluntary compliance monitoring; The phase out and closure of compliance monitorships

**#4 Compliance Training for Sales Functions**

What an Impactful Training Programme Looks Like Now

Jeppe Kromann Haarsted
Group Compliance Manager
FLSmidth A/S (Denmark)

- The types of compliance training that are tailored to the specificities of the sales functions
  » Fast employee turnover
  » Incentives and rewards
- Components of the KPI that maintain the right balance between making deals and remaining compliance
- Fostering and sustaining a strong ethical sales culture
The polling results will be shared in real-time and the panel of experts will provide practical comments:

- Navigating the line between hospitality vs. a bribe
- Giving, receiving, accepting and refusing gift, hospitality and entertainment:
  - Determining your organisation’s boundaries
  - How it is communicated to people in locations you are operating in?
- Sponsorship and donation: How to respond to solicitations from customers, suppliers, foreign government officials and more
- Third party vendors: When you need to use vendors to handle your marketing and business developments activities
- Commission payments, petty cash activity and cash advances

17:00
Conference Concludes
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