

Corporate Strategies for Internal and Regulatory Investigations

Managing and Conducting Investigations to Decrease Liability, Improve Morale, Increase Profits and Create a Safer Workplace

EARN SRA CPD CREDITS

Kempinski Hotel Bristol
Berlin, Germany

11th & 12th September 2008

Attending this **marcus evans** Conference will Enable you to:

- **Comply** effectively with regulatory investigations
- **Improve** internal and external communication with subjects involved in the process
- **Gain** knowledge of the complex legislation on regulatory investigations in the EU and USA
- **Find** suitable tools to conduct internal investigations
- **Know** the practical steps to collecting evidence and probing
- **Learn** how to assess the location of documents and establishing IT strategies to decrease costs of enquiries

Learn from Case Study Presentations:

- How **Siemens AG** experienced the advantages and risks of investigations
- **GE Financial's** tools for investigations Understanding the impact of US regulations on EU companies from **Parmalat S.p.A.**
- Minimising risks and guaranteeing compliance in export control and anti-boycott from **DuPont**
- Understanding how the U.S. DOJ and SEC commence an investigation from **BAE Systems**
- Former **FBI – USA** deputy general counsel's experience with corporate fraud investigations
- How to establish an effective whistleblowing system from **The Belgian Post**
- Examining how **SGS** deals with white-collar crime related issues

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conferences

Successfully **Harmonise**
the Process of Internal Investigations
to **Mitigate Risks**
of Regulatory Enquiries,
while **Avoiding Mistakes**
and **Achieving Compliance**

Handling investigations in order to safeguard your company's investment and reputation



In the Chair:

Paul C. De Jonge
Secretary General
ECLA

Your Expert Speaker Panel:

Nicola Walter Palmieri
Legal Affairs Group Director
Parmalat S.p.A.

Dr. Klaus Moosmayer
Compliance Operating Officer and Head of
Compliance Legal and Investigations
Siemens AG

Lisa Osofsky
Former Deputy General Counsel
F.B.I., USA

Jeffrey W. Cottle
Associate General Counsel, International and
Domestic Compliance
BAE Systems, Inc.

J.P. Méan
Group General Counsel and Chief
Compliance Officer
SGS

Stathis Mihos
Lawyer, Legal Manager
BP (Hellas) S.A.

Paul C. De Jonge
Secretary General
ECLA

Maria-Jesus Alonso
Former General Counsel – MNCs
ACC Country Representative – Spain

Nicole B. Boehler
Partner
SMITH & PARTNERS

Trees Paelinck
Senior Legal Counsel – Head of Investigations
The Belgian Post

Dominic Buckwell
General Counsel
GE SeaCo Services Limited

Dr. Christian Steinle
Partner
Member of the International Bar Association
Gleiss Lutz Law Firm

Dr. Norbert Löw
Head of Antitrust Law
Corporate Legal / Antitrust Law
Evonik Industries AG

Robert Brown
Senior Director
First Advantage Litigation Consulting Services

Adam Pollitt
Senior Director of Client Services
First Advantage Litigation Consulting Services

David Lorello
Senior Associate
Steptoe & Johnson LLP

Hanns J. Proenen
Manager Information Security EMEA
GE Commercial Finance

Legal Series

Day 1

11th September 2008

Booking Line

Tel: + 421 257 88 5207

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www.marcusevans.com

08:30 Registration and Morning Coffee

09:00 Chair's Opening Address

Paul C. De Jonge
Secretary General
ECLA

EVALUATING CORPORATE INVESTIGATION PROCESSES

09:15 **Keynote Presentation**

Distinguishing the Advantages and Risks of Investigations

- Permitting the company to make a better assessment of the legality and propriety to improve morale and public image
- Providing decisions regarding whether and how to take corrective action
- Benefiting from self-reporting to a regulatory agency
- Getting the opportunity of decreasing a company's liability
- Discovering the chance of increasing profits through investigations

Dr. Klaus Moosmayer

Compliance Operating Officer and Head of Compliance Legal and Investigations

Siemens AG

10:00 **Case Study**

Understanding Tools for Investigations

- Finding suitable tools to investigate in the company
- Legality of undercover operations
- Using technical services and external assistance
- Integrity and ethical conduct during the process

Hanns J. Proenen

Manager Information Security EMEA

GE Commercial Finance

10:45 Morning Coffee and Networking

COMPLYING WITH LEGISLATION

11:15 **Case Study**

Extraterritorial Application of U.S. Law

- Overview of the relationship between US and EU legislation
- The Sarbanes Oxley Act of 2002
- The Foreign Corrupt Practices Act

Nicola Walter Palmieri

Legal Affairs Group Director

Parmalt S.p.A.

12:00 **Case Study**

Best Practices in Investigation Response: eDiscovery Preparation and Compliance

- The Investigative Cycle
- The Investigation Response Team
- Anticipating Challenges in Multijurisdictional Projects
- Preserving and Collecting Data
- Considerations in Processing, Review and Production

Robert Brown

Senior Director

First Advantage Litigation Consulting Services

12:45 Lunch

Business Development Opportunities

Does your company have solutions or technologies that the conference delegates would benefit from knowing? If so, you can find out more about the exhibiting, networking and branding opportunities available by contacting:

Samantha Tan, Sponsorship Manager

Tel: +34 933 934 607, E-mail: SamanthaT@marcusevans.com

14:00 **Panel Discussion**

In-house Lawyers' Privileges in Investigations

- Understanding the issue of legal privilege for corporate counsels in Europe
- Discovering the potential results of reforms
- Hearing the external lawyers point of view

Facilitator:

Paul C. De Jonge

Secretary General

ECLA

Panellist:

Dominic Buckwell

General Counsel

GE SeaCo Services Limited

Together with additional speakers of the day.

MANAGING REGULATORY CORPORATE INVESTIGATIONS

14:45 **Case Study**

Anti-Corruption Enforcement by U.S. Regulators in Europe

- Understanding how the U.S. DOJ and SEC commence an investigation
- Benefiting from the voluntary disclosure process
- Learning how to survive the above

Jeffrey W. Cottle

Associate General Counsel, International and Domestic Compliance

BAE Systems, Inc.

15:30 Afternoon Tea and Networking

16:00 **Case Study**

Executing Corporate Fraud Investigations

- Managing theft and fraud investigations
- Working with internal staff and external investigators
- Developing organisational structures to identify and prevent wrongdoing

Lisa Osofsky

Former Deputy General Counsel

F.B.I., USA

16:45 **Case Study**

Instructing E-discovery

- Understanding the issues related with e-discovery
- Analysing and managing high volumes of data, documents and email to respond effectively to disclosure obligations
- Flow, storage and retrieval of information
- Organising the information captured in e-mail and electronic documents

Nicole B. Boehler

Partner

SMITH & PARTNERS

17:30 Closing Remarks from the Chair

17:45 End of Day One

SRA CPD Credits:

marcus evans is an authorised provider under the UK Solicitors Regulation Authority CPD Scheme (Ref: DDJ/MAEV). Attending this conference qualifies you for up to 9 SRA CPD Credits. Certificates of attendance will be available to all delegates, so that they may claim credits in respect of other continuing professional development requirements.

Day 2

12th September 2008

08:30 Registration and Morning Coffee

09:00 Chair's Opening Address

Paul C. De Jonge
Secretary General
ECLA

BEST STRATEGIES AND TECHNIQUES FOR PROPER INTERNAL CORPORATE INVESTIGATIONS

09:15 Case Study

Conducting an Internal Voluntary Legal Audit

- Analysing the benefits and risks of conducting an internal voluntary legal audit
- Understanding the general framework: the purpose and supervision of the process
- Establishing key factors in designing the process

Dr. Christian Steinle
Partner, Member of the International Bar Association
Gleiss Lutz Law Firm

10:00 Case Study

Monitoring of Internet Communications in the Workplace

- Employee misuse of the Internet: a rapidly increasing risk for employers
- Is the employer allowed to monitor the Internet use by the employees either as part of an internal investigation or not?
- Under what conditions is such monitoring permitted in various jurisdictions?

Sstathis Mihos
Lawyer, Legal Manager
BP (Hellas) S.A.

10:45 Morning Coffee and Networking

11:15 Case Study

Conducting Witness Interviews

- Methods and strategies for conducting effective interviews
- Maintaining attorney-client and work product privileges
- Importance of interviews in the context of the overall investigation

David Lorello
Senior Associate
Steptoe & Johnson LLP

SECURING EFFECTIVE COMMUNICATION AND COLLABORATION BETWEEN THE PARTIES

12:00 Panel Discussion

Understanding Integrity and Leadership Skills for Internal Investigation Managers

- What does the board want from IIM?
- Integrity: transforming ethics into reality
- Leadership: leading the team under pressure

Facilitator:

Dr. Christian Steinle
Partner
Member of the International Bar Association
Gleiss Lutz Law Firm

Panellist:

Dr. Norbert Löw
Head of Antitrust Law
Corporate Legal / Antitrust Law
Evonik Industries AG

Together with speakers of the day and invited guests.

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12:45 Lunch

13:45 Case Study

Review of the Rights of the Employee while Gathering Information: The Labor laws

- Understanding the impact of the local labor laws on the investigation process
- Overseeing an inadvertent waiver of attorney-client privileges when assuming information from the employee
- Determining the potential types of liabilities and rights of the employees

Maria-Jesus Alonso
Former General Counsel – MNCs
ACC Country Representative – Spain

IMPLEMENTING PREVENTION

14:30 Case Study

Debatable Briberies and Gifts

- Discussing ways of prevention
- Dealing with the situation when it occurs
- Enforcement matters and punishments

J.P. Méan
Group General Counsel and Chief Compliance Officer
SGS

15:15 Afternoon Tea and Networking

15:45 Case Study

Establishing and Managing a Whistleblowing System

- Understanding the benefits of a whistleblowing system for the whistleblower and the organisation
- Assuring compliance with data protection rules
- Using anonymous reporting or not?
- Putting in place internal organisation of the system

Trees Paelinck
Senior Legal Counsel – Head of Investigations
The Belgian Post

16:30 Closing Remarks from the Chair

16:45 End of Conference

Corporate Silver Partner:



First Advantage offers a comprehensive suite of services for complex multi-jurisdictional investigations: strategic consulting, investigation, due diligence, data harvesting, computer forensics, data recovery, e-disclosure, and expert testimony. Safe Harbor certified, First Advantage responds rapidly and efficiently to clients anywhere in the world from offices in Europe, Asia and North America.

Testimonials:

"Excellent organisation, brings together world class presenters from public and private sectors stimulating proactive debates."
General Counsel Europe, Flextronics

"Prior research lead to a well structured conference with excellent content".

Head of Compliance, BT

"It was a really good event – I'm very happy with some of the connections I made."

Lead Attorney CEE, Microsoft

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Fees

- 2 DAY CONFERENCE + ON-LINE DOCUMENTATION** @ EUR 2.895
- ON-LINE DOCUMENTATION** @ EUR 795

Please note that all fee's are charged in SKK/CZK at current exchange rates.

PAYMENT IS REQUIRED WITHIN 5 WORKING DAYS.

The fees is inclusive of programme materials, luncheon and refreshments. VAT will charged at the country rate where the conference will be held.

Registration Details

CONFERENCE: CORPORATE STRATEGIES FOR INTERNAL AND REGULATORY INVESTIGATIONS
DATES: 11TH & 12TH SEPTEMBER 2008
VENUE: BERLIN, GERMANY

COMPLIMENTARY ACCOMMODATION BOOKING SERVICE

Should you require accommodation whilst attending a **marcus evans** conference, please do not hesitate to contact our accommodation agent Travelocity who will be more than happy to make a reservation for you. Please quote the name of the **marcus evans** conference you are attending.
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Terms and Conditions:

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2. Payment Terms: Following completion and return of the registration form, full payment is required within 5 days from receipt of invoice. PLEASE NOTE: payment must be received prior to the conference date. A receipt will be issued on payment. Due to limited conference space, we advise early registration to avoid disappointment. A 50% cancellation fee will be charged under the terms outlined below. We reserve the right to refuse admission if payment is not received on time. Unless otherwise stated on the booking form, payment must be made in pounds sterling.
3. Cancellation/Substitution: Provided the total fee has been paid, substitutions at no extra charge up to 14 days before the event are allowed. Substitutions between 14 days and the date of the event will be allowed subject to an administration fee of equal to 10% of the total fee that is to be transferred. Otherwise all bookings carry a 50% cancellation liability immediately after a signed sales contract has been received by **marcus evans** (as defined above) Cancellations must be received in writing by mail or fax six (6) weeks before the conference is to be held in order to obtain a full credit for any future **marcus evans** conference. Thereafter, the full conference fee is payable and is non refundable. The service charge is completely non-refundable and non-creditable. Payment terms are five days and payment must be made prior to the start of the conference. Non-payment or non-attendance does not constitute cancellation. By signing this contract, the client agrees that in case of dispute or cancellation of this contract that **marcus evans** will not be able to mitigate its losses for any less than 50% of the total contract value. If, for any reason, **marcus evans** decides to cancel or postpone this conference, **marcus evans** is not responsible for covering airfare, hotel, or other travel costs incurred by clients. The conference fee will not be refunded, but can be credited to a future conference. Event programme content is subject to change without notice.
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5. Data Protection: Client confirms that it has requested and consented to **marcus evans** retaining client information on **marcus evans** group companies database to be used by **marcus evans** groups companies and passed to selected third parties, to assist in communicating products and services which may be of interest to the client. If the client wishes to stop receiving such information please inform **marcus evans** local office or email gleavep@marcusevanssk.com. For training and security purposes telephone calls maybe recorded.
6. Important note: While every reasonable effort will be made to adhere to the advertised package, **marcus evans** reserves the right to change event dates, sites or location or omit event features, or merge the event with another event, as it deems necessary without penalty and in such situations no refunds, part refunds or alternative offers shall be made. In the event that **marcus evans** permanently cancels the event for any reason whatsoever, (including, but not limited to any force majeure occurrence) and provided that the event is not postponed to a later date nor is merged with another event, the Client shall receive a credit note for the amount that the Client has paid to such permanently cancelled event, valid for up to one year to be used at another **marcus evans** event. No refunds, part refunds or alternative offers shall be made.
7. Governing law: This Agreement shall be governed and construed in accordance with the law of England and the parties submit to the exclusive jurisdiction of the English Courts in London. However **marcus evans** only is entitled to waive this right and submit to the jurisdiction of the courts in which the Client's office is located.