Keynote Address from:

The Honorable John F. Tefft
American Ambassador to the Russian Federation

The 2016 Agenda will provide real life information on:

- Resolving Complex Third Party Due Diligence Scenarios and Monitoring Your Third Party Relationships for Corruption Risks in Russia and CIS
- New Rules on Data Collection in Russia and How they Affect Compliance and Investigative Work
- Evolving Liability of Regional Compliance Officers in Russia and CIS
- How the Structure of the Compliance Function is Changing to Address Economic Sanctions, AML, Competition and Anti-Corruption Risks
- Lessons Learnt from Recent Investigations, Cases and a Tightening Anti-Corruption Enforcement in Russia and CIS
- PLUS! Spotlight on the Current Business and Anti-Corruption Landscape in Kazakhstan, Uzbekistan, Armenia, Azerbaijan
WHO WILL YOU MEET AT THIS PRESTIGIOUS EVENT:

- Chief Compliance Officers
- General Counsel
- Ethics & Compliance Officers
- Directors of:
  - Corporate Responsibility
  - Corporate Compliance
  - Investigations
  - Fraud Prevention
  - Legal Affairs
  - Internal Audit
  - Security
  - Forensic & Audit
  - AML and financial monitoring
- Private practice lawyers specializing in:
  - Corporate Governance
  - International Regulation & Compliance
  - White Collar Crime
  - Investigations
  - Litigation
- Accounting & Consulting Firms
  - Investigations & Forensic
  - Auditing Firms

Make the most of your attendance by taking part in Interactive Working Groups on June 2, 2016:

A: INs and OUTs of an Effective Third Party Management Programme
B: A Complete Guide on Anti-Corruption Risk Assessments

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DAY ONE –
Tuesday, May 31, 2016

09:00 Opening Remarks and Welcome from Co-Chairs

Igor Tot
General Counsel Russia & Emerging Europe
Dell (Moscow)

Anton Alferov
Regional Compliance Counsel, Russia and Caspian, Asia Pacific
Law Department, Ethics and Compliance Group
Halliburton (Moscow)

09:15 Keynote Address:
The Honorable John F. Tefft
American Ambassador to the Russian Federation

09:45 How to Ensure Your Anti-Corruption Compliance Programme Can Stand Up to Foreign and Domestic Government Scrutiny

Yulia Ostapets – Moderator
Regional Compliance Manager
John Deere (Moscow)

David Smith
Partner
EY (Moscow)

Anton Alferov
Regional Compliance Counsel, Russia and Caspian, Asia Pacific
Law Department, Ethics and Compliance Group
Halliburton (Moscow)

Timur Khasanov-Batirov
Compliance Manager
Dr. Reddy’s Laboratories (Moscow)

- Testing and auditing: how to develop a risk-based approach to compliance programme testing and audits, as well as ongoing monitoring of key controls
- Distinguishing between paper policies and integrated compliance protocols
- Assigning responsibility and accountability for compliance implementation and training
- Re-evaluating what your compliance programme needs to accomplish and how it should be supported
- How to gain the commitment from senior management to reinforce the importance of a robust and substantive anti-corruption compliance programme
- The role of data analytics
- What best practices are companies are implementing to update and fine tune their anti-corruption compliance programmes

10:45 Networking Coffee Break

11:00 Resolving Complex Third Party Due Diligence Scenarios in Russia and CIS: How to Select the Level of Due Diligence Based on the Risks Each Third Party Presents

Andriy Kirmach – Moderator
Compliance & Ethics Manager for EAME Direct Markets and CIS
Allergan Holdings Limited (London)

Evgeny Maltsev
Corporate Ethics & Compliance Manager Europe and CIS
Panalpina CIS Helsinki OY (Moscow)

12:15 Practical Analysis of New Rules on Data Collection in Russia and How they Affect Compliance and Investigative Work

Svetlana Kuznetsova – Moderator
Senior Group Counsel, Commercial Transactions Europe & Africa
Johnson Controls (Moscow)

Irina Maurits
Lead Legal and Compliance Counsel CIS
Syngenta (Moscow)

Maria Ostashenko
Of Counsel
ALRUD Law Firm (Moscow)

- Outlining the new requirement that “databases which are used for gathering, recording, systemising, accumulation, storage, updating and uploading of personal data of the Russian citizens” shall be located in Russia
- Prohibition against data leaving Russia to be processed, e.g. HR records
- Implications for companies that keep HR and other records outside of Russia
- Understanding data privacy protections of Russian employees during an internal investigation
- Analysing the results of the first inspections
- How can technology help your organisation to achieve compliance with the new data protection law

13:00 Networking Luncheon for Speakers and Attendees
14:00 How to Evaluate and Strengthen Your Sanctions Screening Protocols Amid Fast Evolving Regulatory Requirements

Sergey Konov
*Compliance Manager, Central and Eastern Europe, Consumer Healthcare, Governance, Ethics and Assurance*

GSK (Moscow)

Anna Aleshkevich
*Compliance Counsel for Russia, CIS & Eastern Europe, Ethics & Compliance*

NOV (Moscow)

Alexei Panich
*Partner*

Herbert Smith Freehills (Moscow)

- How to measure the functionality, effectiveness and user friendliness of your screening protocol
- Which USA, EU and other lists and databases to incorporate into your programme
- Factors to consider when selecting government and vendor lists and software
- How the closure of the Russian Advanced Systems of Registers will impact your sanctions screening programme
- How to tailor global sanctions screening protocols to your Russian operations
- How to customise screening criteria to the risks posed by particular products, transactions and customer/product volume
- What to do once a hit is discovered, and when to contact authorities
- How far you need to go in vetting transactions and customers
- Setting up a training and awareness programme for employees and third parties
- Technology- optimising your database of sanctioned countries and entities to screen potential transactions across compliance programmes

15:15 Debate – The Convergence of Compliance and Evolution of the Role of the Regional Compliance Counsel: How the Structure of the Compliance Function is Changing to Address Inter-Connected Sanctions, AML and Anti-Corruption Risks

Pavel Volkov
*Chief Legal Counsel Russia & CIS*

Sandvik (Moscow)

Nadezhda Kozyreva
*Director, Compliance & Internal Controls*

Deutsche Bank (Moscow)

- Parsing the evolving strategic role of regional compliance counsel and his/her relationship to the general counsel
- Combining legal and compliance function in one individual/small team. Best practices with overcoming potential conflict of interests
- Are there “legal” red flags in proposed contracts/structures that help compliance offices identify red flags?
- Understanding where AML, sanctions and anti-corruption laws converge in order to develop the right organisational structure for your compliance programme. Does it make sense to harmonise policies and processes across disciplines to streamline your programmes?
- How to leverage your established compliance structure to build AML/ABC/ sanctions controls
- Risk based approach- customising your compliance protocols based on the unique risks presented by your business operations (types of customers, types of accounts, locations of operations, etc.)

16:15 Interactive Panel: Spotlight on the Current Business and Anti-Corruption Landscape in the CIS Countries (Kazakhstan, Uzbekistan, Armenia, Azerbaijan)

Anna Panasyuk
*CIS Region Compliance Manager*

Sandoz (Moscow)

Ilser Akhmetsin
*Acting Chair of Compliance and Ethics Committee*

Association of European Businesses (Moscow)

- Update on local anti-bribery law enforcement and how they impact regional compliance officers
- What recent cases mean for multi-national companies doing business in the region
- Comparison of anti-corruption regulations in these countries
- “Red flags” to consider when conducting business in the CIS countries
- Investigating potential bribery violations in the CIS countries
- How to localise anti-corruption policies for each market
- Procedures designed for corruption prevention in companies operating in CIS countries

17:15 Summit Adjourns to Day Two

DAY TWO – Wednesday, June 1, 2016

09:00 Opening Remarks from Co-Chairs

09:15 Keynote Address: Transparency International

Elena Panfilova*
*General Director, Center for Anti-Corruption Research and Initiative*

Transparency International Russia (Moscow)

09:45 Large Russian Companies Speak on Monitoring Compliance and Risk Management Systems

Oxana Nedoluzhko
*Department of Internal Control*

Rosneft (Moscow)

Ekaterina Kaganova
*Head of Internal Control (Compliance) Department*

Gazprombank (Moscow)

Julia Romashkina
*Chief Compliance Officer*

MTS (Moscow)

Victor Astanin, Doctor of Law
*Professor – Department of Intellectual Property*

Plekhanov Russian University of Economics (Moscow)

This year following an overwhelming demand from the Summit’s audience, we have put together a new, exclusive session, where senior compliance and internal control officers - representing the leading, largest Russian companies - will share their experience and best practice on tackling the most critical compliance risks, implementing enhanced bribery detection methods and developing a roadmap to building a strong compliance programme within one of the most complex legal and business environments in the world.

10:45 Networking Coffee Break
11:00  Focus on AML and Financial Crime – Addressing Risks for Banks and Other Financial Institutions in Russia and CIS

Maria Shalimova
Head of AFC
(Moscow)

Senior representative *
Sberbank (Moscow)

Senior representative *
VTB Bank (Moscow)

- How local business practices impact your AML compliance policies
- How to train your local staff to the nuances of the Russia/CIS region and local AML/KYC rules
- How AML compliance can be incorporated into your overall compliance programme
- Practical takeaways from recent money laundering investigation cases

12:00  BHP Billiton and Sports Corruption Scandals – How to Minimize Sponsorship, Marketing and Large Event Bribery Risks

Irina Lazieva
Senior Counsel, CEEMEA Area Compliance Leader
3M Russia (Moscow)

Igor Tot
General Counsel Russia & Emerging Europe
Dell (Moscow)

Denis Korolev
Senior Manager
EY (Moscow)

- How to prevent the use of bribes as a means to gain media, marketing, and sponsorship of sporting and entertainment events
- Identifying ways bribes are concealed:
  - faking consulting contracts
  - creating shell companies and payment processes in/to tax friendly countries
  - credit notes
  - marketing funds spend
- How banks and other financial institutions are used to move bribe money between and among countries
- Minimising risks for marketing and promotional "slush" funds:
  - ensuring marketing expenses are properly recorded, verified cost-vice, and used for legitimate purposes
  - training your third party marketing partners on the importance of compliance
  - spotting shell companies that may be a home for "slush" funds
  - obtaining proper verification without relying on representations made by third party partners

15:00  Competition and Anti-Corruption Regulation in Russia: How to Reduce your Exposure to Risks Related to Irregularities between the Governing Laws

Arina Sergievskaya
Head of Compliance
Mercedes-Benz Trucks Vostok OOO (Moscow)

- Dissecting anti-monopoly rules under Russian law - Part 1 of Article 11 of the Competition Law: applicability to international transactions, joint venture agreements, services, consultancy contracts, etc.
- Jurisdiction of the Russian Federal Antimonopoly Service (FAS) under Article 23 of the Competition Law
- Understanding how complying with certain anticorruption policies may result in a company’s potential violations of Russia’s Competition Law
- Reconciling ways to comply with all applicable laws — how to comply with one and not violate another
- FAS or other authorities’ guidance on how to balance these important yet potentially conflicting legal frameworks

15:45  Networking Coffee Break

16:00  How to Respond to Corrupt Employee Conduct within the Limits of Russian Employment Laws

Speaker to be announced

- Identifying Russian employment law issues that arise when you discover employee misconduct
- Deciding what discipline action should be taken: re-training, employment suspension, demotion, employment termination
- How the Russian employee is protected during the investigation:
  - strategies for interviewing employees within the limits of local employment and privacy laws
  - how employment laws can restrict employment termination

16:45  Co-Chairs’ Closing Remarks and Summit Concludes

* denotes invited speakers at time of print. Check the website for programme updates
DAY 3 - INTERACTIVE WORKING GROUPS
Thursday, June 2, 2016

9:00 – 12:30 (Registration begins at 8:30)

Working Group A:
INs and OUTs of an Effective Third Party Management Programme

Polina Murzina
Compliance Manager, BACIS Compliance Department
Novo Nordisk LLC (Moscow)

Anna Panasyuk
CIS Region Compliance Manager
Sandoz (Moscow)

Attend this advanced, highly focused working group and receive actionable, step-by-step guidance to help you to create a cost-effective and risk-based third party management programme applicable for the Russian and CIS market. Experienced workshop leaders will go through case studies and explore the key risks to consider when evaluating your third party vendors, contractors, brokers, agents, distributors and partners. This unique, closed-door session will allow for an interactive discussion, allowing ample time for questions and answers.

Topics include:

- Conducting a risk inventory of your third parties to develop an appropriate management plan and to determine the extent of monitoring needed.
- How to conduct the right level of due-diligence whilst complying with the new data privacy laws in Russia regulating collection, processing and transfer of personal data.
- How to get management buy-in and support from the top.
- Training your third parties on your compliance protocols and expectations of local and foreign enforcement authorities.
- What kind of reporting requirements work best for the companies and third parties in Russia and CIS: how to prepare useful metrics that can be used to report to senior management and the board.
- How to correct the third party if they are not executing the contract to comply with its terms.
- Monitoring invoices and payments distributors and sub-distributors, consulting, sales and marketing intermediaries brokers and agents.
- How to perform effective compliance audits of your third party management programme.
- Best practices on when and how to perform compliance audits on third parties. Customising internal controls for effective third party oversight to detect and prevent anti-bribery issues.

13:30 – 17:00 (Registration begins at 13:00)

Working Group B:
A Complete Guide on Anti-Corruption Risk Assessments

Irina Lazieva
Senior Counsel, CEEMEA Area Compliance Leader
3M Russia (Moscow)

This practical and interactive working group will focus on how to determine your company’s risk profile in high risk markets and ensure that you have the proper procedures in place to avoid a costly government investigation and negative publicity. You will learn how to conduct an effective and comprehensive anti-corruption risk assessment that identifies risks based on rigorous analysis.

Topics include:

- How do anti-corruption programme reviews differ from financial audits and SOX testing:
  - best practices: essential components of effective anti-bribery compliance assessments
  - who, what, when: staffing, scope and frequency of testing
  - addressing unique compliance environments: how to secure cooperation overseas, and how to test whether you’re getting it money-saving methods: mini-audits, technology shortcuts, and other tools to stretch resources
- Uncovering new red flags for activities, transactions and schemes that are used to channel bribes.
- 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.
- Working with finance, internal audit and accounting departments in the risk assessment and reporting findings to compliance officers, audit committees and legal counsel.
- How to ensure leadership oversight over the compliance programme: “tone at the top” and “tone in the middle”.
- Compliance programme reviews: how often to review policies and adjust accordingly.

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Keynote Address from:

The Honorable John F. Tefft
American Ambassador to the Russian Federation

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