

FERC Compliance Summit 2008
October 20-22, 2008—Washington, DC

Tuesday, October 21, 2008:

- 8:50 – 9:00 **Welcoming Comments by Summit Co-Chairs:**
Celia David, *Director - Energy, Litigation, Regulatory & Markets,*
NAVIGANT CONSULTING, INC.
- Laurie J. Oppel**, *Managing Director, Energy Practice's*
Litigation, Regulatory & Markets Service Group,
NAVIGANT CONSULTING, INC.
- 9:00-9:45 **Overview of FERC Regulatory Developments**
Speaker TBA
- 9:45-10:15 Morning Break
- 10:15-11:45 Panel Discussion: **Emerging Directions in Enforcement**
This panel will provide an overview of developments on the
enforcement fronts and their implications.
- Moderator:
Andrea Wolfman, *Partner,* THELEN LLP
- Panelists:
Paul Korman, *Member,* VAN NESS FELDMAN
Kenneth M. Raisler, *Partner,* SULLIVAN & CROMWELL, LLP
Robert Wargo, *Manager, Compliance Enforcement,*
RELIABILITYFIRST CORPORATION
- 11:45-1:15 Group Luncheon
- 1:15-2:00 **Organizational Structures to Achieve & Maintain Compliance**
Beyond the necessities of achieving barebones compliance with
FERC and CFTC standards, committing to the development of an
effective compliance organization is a key metric in not only
meeting requirements of the standards, but also in the level of
sanction that might be levied due to a verified violation. This
presentation will discuss roles and responsibilities in compliance
within organizations, and how to develop an effective compliance
program.
Thomas C. Burgess, *Director, FERC Policy and Compliance,*
FIRSTENERGY CORP.

2:00-2:45 **Establishing an Ongoing Compliance Process**
Many organizations facing an audit have had significant difficulties in gathering and organizing the necessary data, with the potential of creating downstream problems resulting in enforcement actions. This presentation will discuss ways that compliance management can be incorporated into work flow and become a more systematic effort.
Celia David, Director - Energy, Litigation, Regulatory & Markets,
NAVIGANT CONSULTING, INC.

2:45-3:15 Afternoon break

3:15-4:45 Panel Discussion: **Implementing Software Reporting, Data Collection and Compliance Systems**
Many organizations have come to the conclusion that better data collection and reporting is a necessity in the new compliance era. This panel will discuss the potential of software to solve these problems. Those that have implemented software solutions will share lessons learned from the experience.

Moderator:

Laurie J. Oppel, Managing Director, Energy Practice's
Litigation, Regulatory & Markets Service Group,
NAVIGANT CONSULTING, INC.

Panelists:

Thomas C. Burgess, Director, FERC Policy and Compliance,
FIRSTENERGY CORP.

Gary Fingerhut, Senior Vice President, AXENTIS

Mohan Ponnudurai, Application Engineer, ASSURX INC.

Patricia VanMidd, Compliance Manager – NERC and WECC
Reliability Standards, SAN DIEGO GAS & ELECTRIC

4:45-6:00 Networking Reception Sponsored by:



Wednesday, October 22, 2008:

8:45-10:15 Panel Discussion:
What to Do If You Are Faced with a Compliance Audit or Investigation

This panel will review the recent responses to investigations and audits, and will lay out some best practices for dealing with these situations in the new enforcement regime.

Moderator:

Larry F. Eisenstat, *Partner*, DICKSTEIN SHAPIRO LLP

Panelists:

Mark Bennett, *Vice President of Regulatory Compliance*,
COMPETITIVE POWER VENTURES, INC.

Chris Hajovsky, *Director, Regulatory Policy and NERC
Reliability Standards*, RELIANT ENERGY, INC.

John L. Hairston, J.D., CCEP, *Chief Compliance Officer/
Manager, Agency Compliance and Governance - DG*,
BONNEVILLE POWER ADMINISTRATION

R. Michael Sweeney, Jr., *Partner*, HUNTON & WILLIAMS LLP

10:15-11:00

Morning Break

11:00-11:45

Dealing with Independent Investigations

An independent investigation can put a compliance officer in the middle of competing interests: corporate officials, the board, and investigators. This presentation will address how to respond to independent investigations, providing guidelines for handling privacy, privilege and document management issues.

Michael L. Spafford, *Partner*, MCKEE NELSON LLP

11:45-12:15

Mitigating & Aggravating Factors in Regulatory Actions

This presentation will explore discretionary factors that may affect the severity of enforcement actions and penalties.

- What Mitigating and Aggravating factors can affect regulatory actions
- What are the potential impacts?

Harvey L. Reiter, *Partner*, STINSON MORRISON HECKER
LLP

12:15

Conference adjourns