

# COMPLIANCE Education Platform



Welcome to the New  
Compliance Education Platform  
Changes you need to know about

# Welcome



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# Agenda for Today's Webinar

**01**

**Introduction**

**02**

**Why CEP?**

What's in it for companies?

**03**

**Timing of changes**

What's coming, and when.

**04**

**Contacting LIMRA**

How to best reach us.

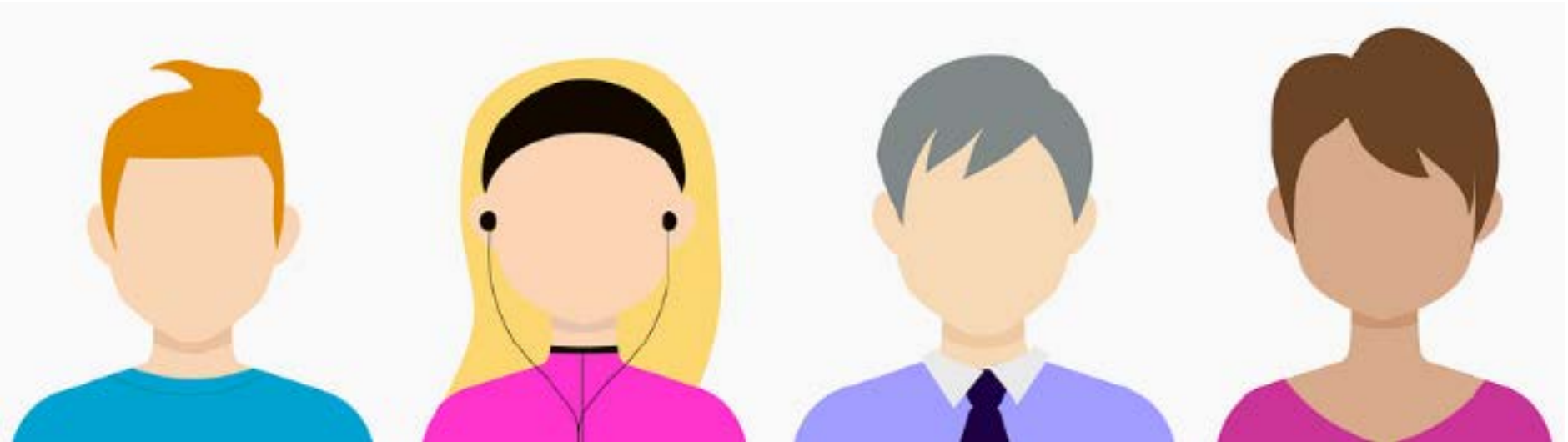
**WHY CEP?**

**COMPLIANCE**  
Education Platform



# Survey Results

We spoke with Financial Sales Professionals and Decision-Makers to hear what they wanted from their compliance education product.



# Most important features:

## System

- Secure
- One stop access

# Most important features:

## Processing Enrollments

- Easy to:
  - Enroll
  - Navigate
  - Use & understand

# Most important features:

## Reporting

- Course completion status
- Track completions
- Get information sooner
- Reduce wait time for results



**WHY CEP?**

# **COMPLIANCE**

## Education Platform



**Upgrade our  
technology**

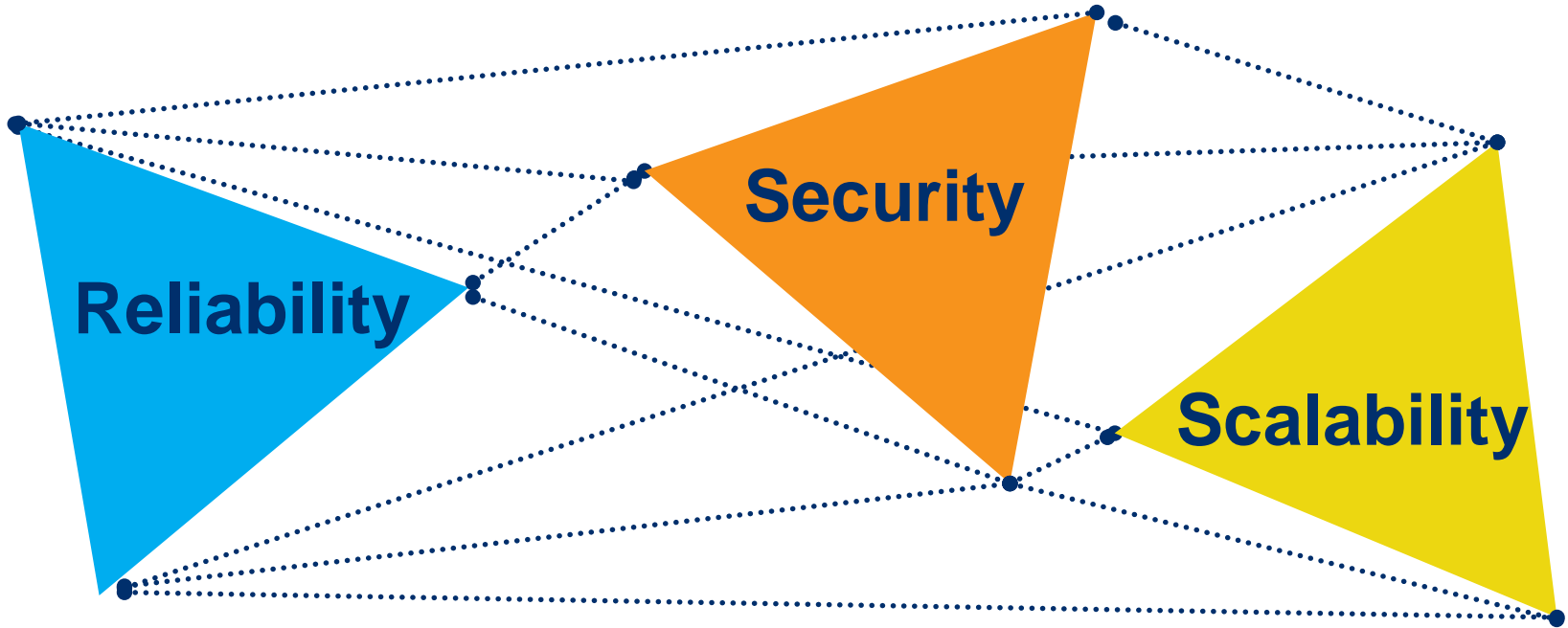
**More efficient  
processing**

**Enhanced Customer  
Experience**

**One stop access**

# Why Compliance Education Platform?

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**Upgrade technology**

# Why Compliance Education Platform?



**Automates processing throughout the day.**

# Why Compliance Education Platform?

**Faster  
access to  
results**

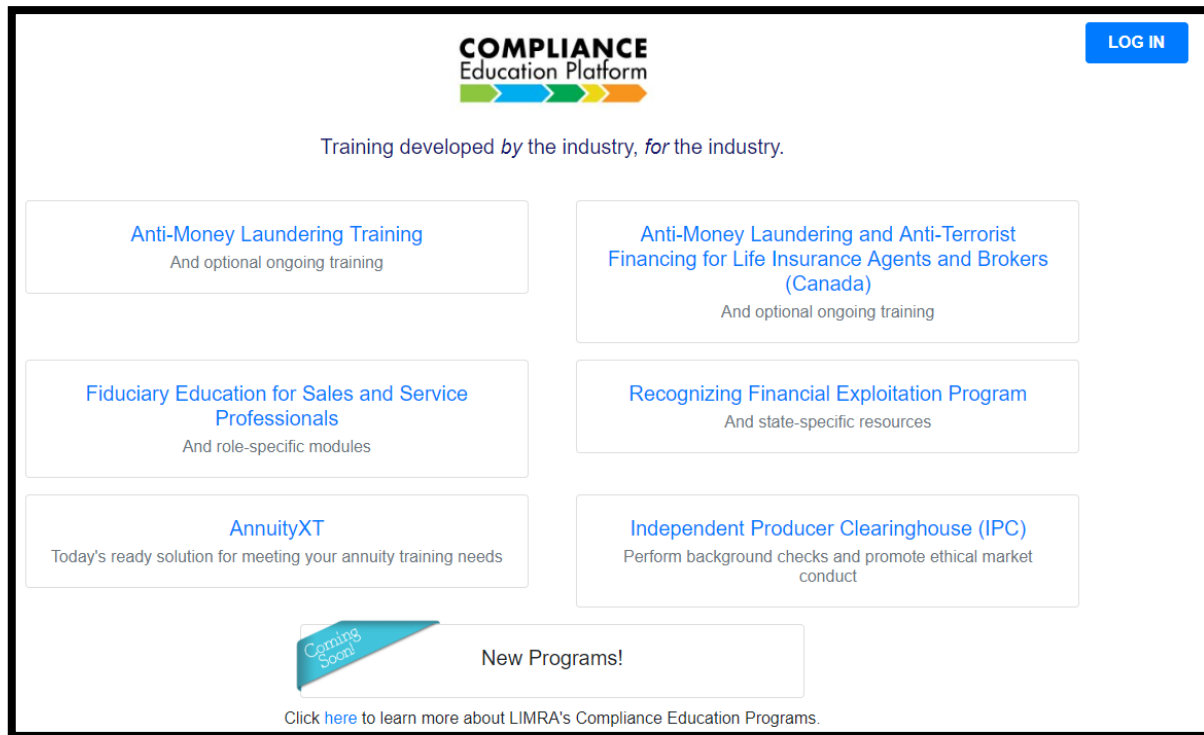
**Easy to  
use.**

**Self-service  
tools**

**NEW “auto-  
certification”  
option.**

**Enhanced customer experience.**

# Why Compliance Education Platform?



The screenshot shows the homepage of the COMPLIANCE Education Platform. At the top, the logo features the word "COMPLIANCE" in bold black text above "Education Platform" in a smaller font, with a graphic of five colored chevrons (green, blue, green, yellow, orange) below. A "LOG IN" button is in the top right. The tagline "Training developed *by* the industry, *for* the industry." is centered. Below are six program boxes: "Anti-Money Laundering Training" (with optional ongoing training), "Anti-Money Laundering and Anti-Terrorist Financing for Life Insurance Agents and Brokers (Canada)" (with optional ongoing training), "Fiduciary Education for Sales and Service Professionals" (with role-specific modules), "Recognizing Financial Exploitation Program" (with state-specific resources), "AnnuityXT" (described as today's ready solution for annuity training needs), and "Independent Producer Clearinghouse (IPC)" (for background checks and ethical market conduct). A "Coming Soon!" banner and "New Programs!" text are at the bottom, followed by a link to learn more about LIMRA's Compliance Education Programs.

**COMPLIANCE**  
Education Platform

LOG IN

Training developed *by* the industry, *for* the industry.

**Anti-Money Laundering Training**  
And optional ongoing training

**Anti-Money Laundering and Anti-Terrorist Financing for Life Insurance Agents and Brokers (Canada)**  
And optional ongoing training

**Fiduciary Education for Sales and Service Professionals**  
And role-specific modules

**Recognizing Financial Exploitation Program**  
And state-specific resources

**AnnuityXT**  
Today's ready solution for meeting your annuity training needs

**Independent Producer Clearinghouse (IPC)**  
Perform background checks and promote ethical market conduct

**Coming Soon!**

**New Programs!**

Click [here](#) to learn more about LIMRA's Compliance Education Programs.

## Single platform for LIMRA compliance products.

# Changes for Companies

**Data file  
changes.**

**Enhanced  
search  
capability.**

**New options for  
submitting and  
retrieving files.**

# Changes for Companies

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**Company  
Admin  
Access**

**Managing enrollments & terminations**

**Ad Hoc Enrollments**

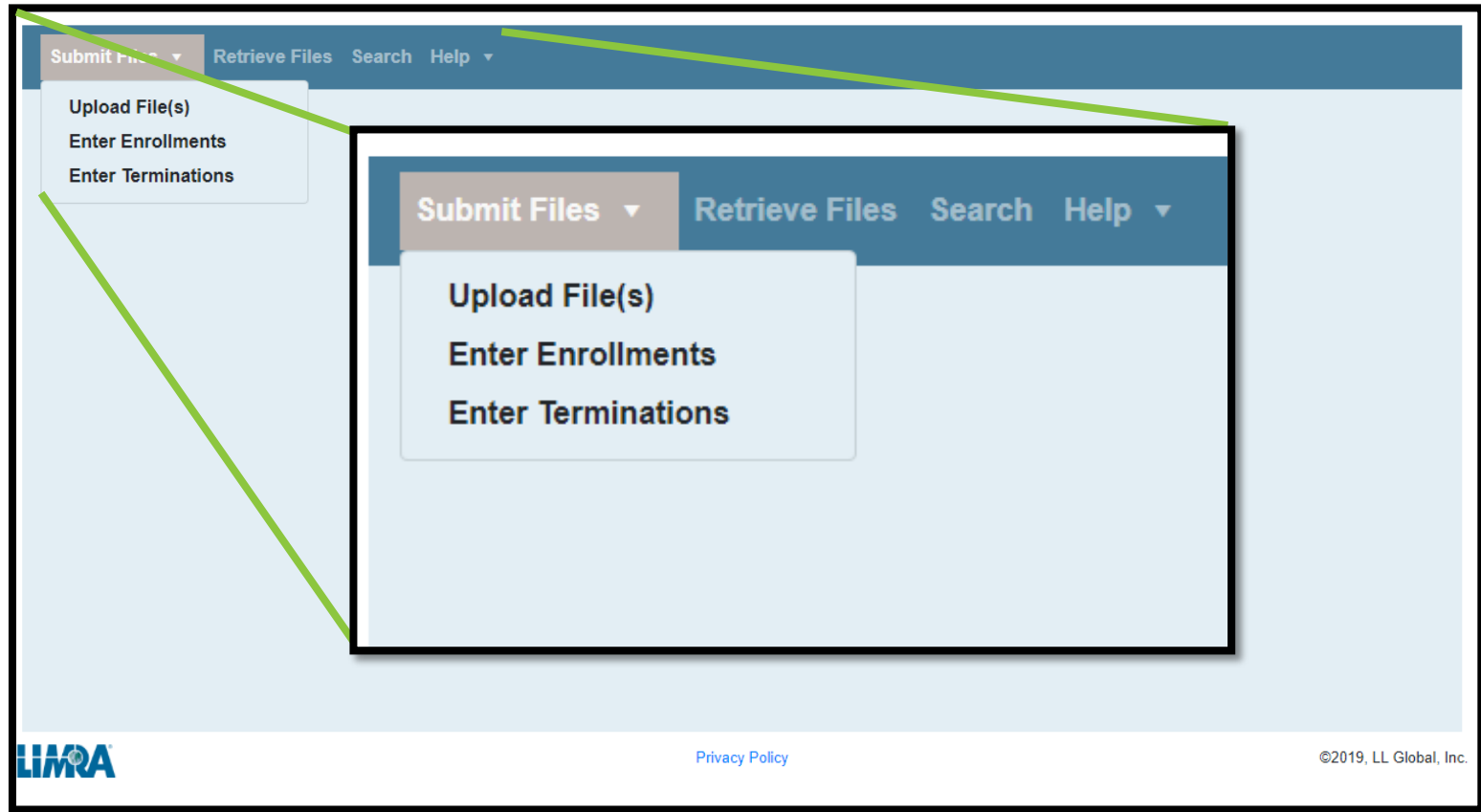
**Retrieving student progress &  
completions**

Welcome, Jo Anne Kallenbach (  Life Insurance Company)

Submit Files ▾ Retrieve Files Search Help ▾

# CEP Dashboard





# Submit Files

# CEP Customer Portal Submit enrollment files:

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**In bulk**



Click **Submit Files** & then **Upload File(s)**, using CEP Enrollment Request spreadsheet or Termination Requests spreadsheet.

**Single Entry**

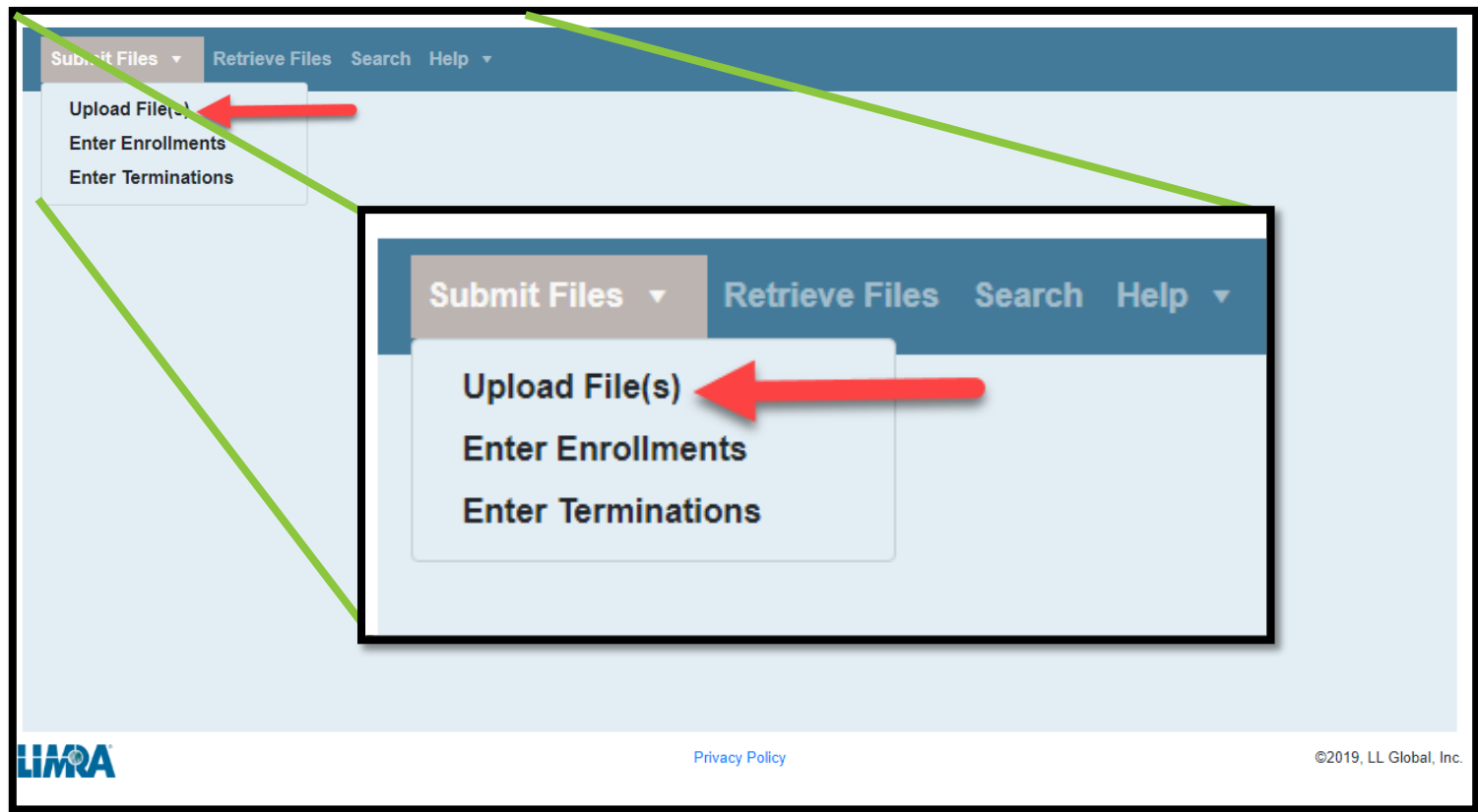


Click **Submit Files** & then **Enter Enrollment**

**Terminations**

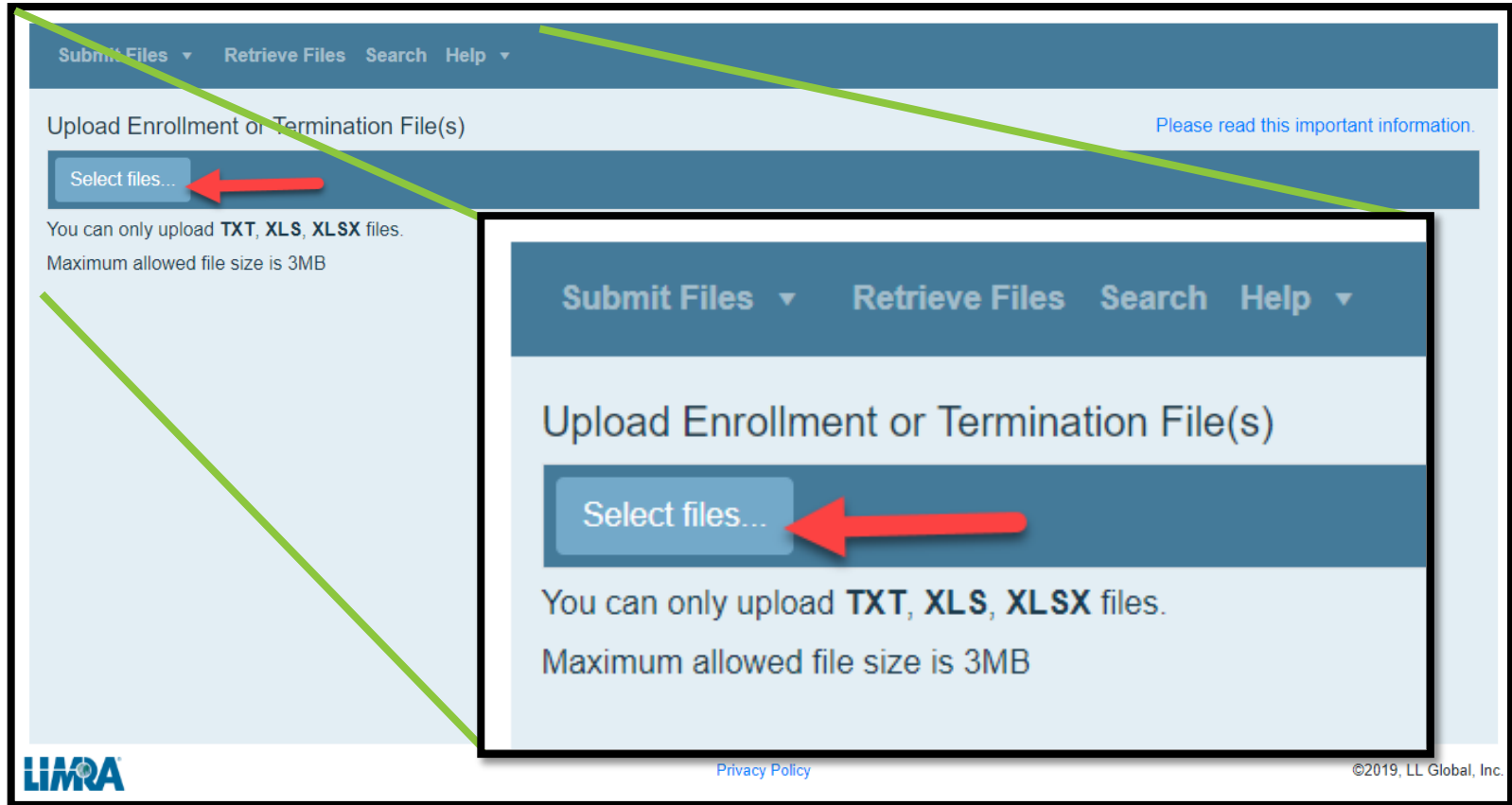


Click **Enter Terminations**



# Upload Files

# Upload Enrollment or Termination File(s)



Submit Files ▾ Retrieve Files Search Help ▾

Upload Enrollment or Termination File(s) [Please read this important information.](#)

Select files...

You can only upload **TXT**, **XLS**, **XLSX** files.  
Maximum allowed file size is 3MB

Submit Files ▾ Retrieve Files Search Help ▾

Upload Enrollment or Termination File(s)

Select files...

You can only upload **TXT**, **XLS**, **XLSX** files.  
Maximum allowed file size is 3MB

**LIMMA**

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# Select your upload file

Submit Files ▾ Retrieve Files Search Help ▾

Upload

Select

You can  
Maximum

Please r

Open

ASG (\\SAN01) (H:) > Client Support > 2019 March Webinar

Search 2019 March Webinar

Organize ▾ New folder

	Name	Date modified	Type	Size
<input checked="" type="checkbox"/>	Sample CEP Enrollment Request	3/8/2019 4:50 PM	Microsoft Excel 97...	27 KB
<input type="checkbox"/>	Sample CEP Termination Request	3/8/2019 4:57 PM	Microsoft Excel 97	26 KB

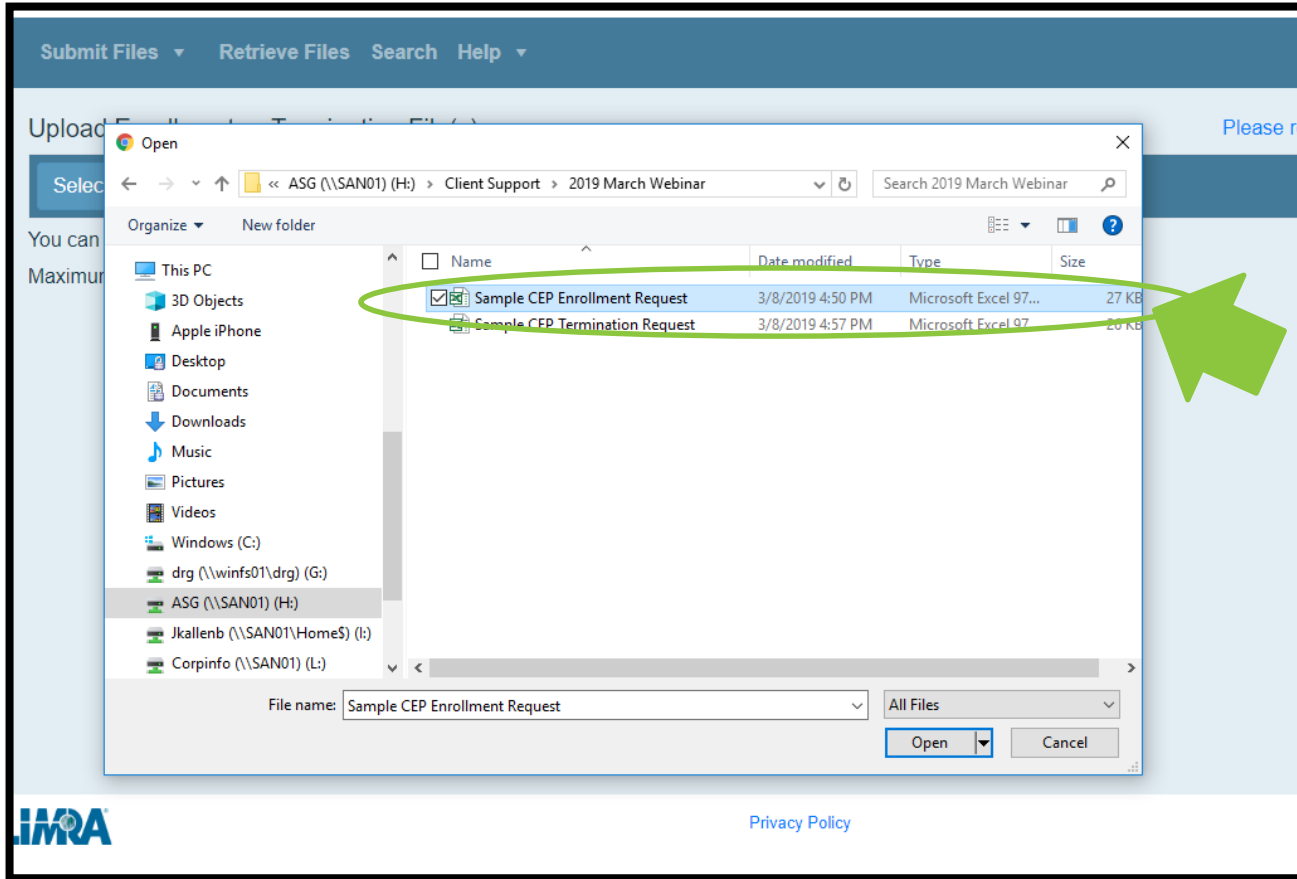
File name: Sample CEP Enrollment Request

All Files

Open Cancel

IMRA

Privacy Policy




# Use the Upload button to upload the file

[Submit Files](#) [Retrieve Files](#) [Search](#) [Help](#)

Upload Enrollment or Termination File(s) [Please read this important information.](#)

Select files...


 Sample CEP Enrollment Request.xls  
27.00 KB


×

Clear

Upload

You can only upload **TXT**, **XLS**, **XLSX** files.  
Maximum allowed file size is 3MB



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# Upload Complete Screen

[Submit Files](#) [Retrieve Files](#) [Search](#) [Help](#)

Upload Enrollment or Termination File(s) [Please read this important information.](#)

Select files...

✓ Done


 Sample CEP Enrollment Request.xls  
27.00 KB


Status

Upload completed.

OK

You can only upload **TXT**, **XLS**, **XLSX** files.  
Maximum allowed file size is 3MB



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# Sample CEP Enrollment Request

Sample CEP Enrollment Request [Compatibility Mode] - Excel

File Home Insert Page Layout Formulas Data Review View ACROBAT Tell me what you want to do...

Clipboard Font Alignment Number Styles Cells

C6

	A	B	C	D	E	F	G	H	I	J	K	L	M	N	O	P	Q	R
	Company or Subsidiary ID (Optional)	Agency or Division ID (Optional)	Last Name	First Name	Middle Initial	Individual Identifier	Course Type: 1=Home office, 2= Producer	Optional 1	Optional 2	NPN	CRD	IARD	Resident State Code	Resident State License	Integration Key			
1			Smith	John			2			123456								
2			Jones	Mary			2			234567								
3			Brown	Keith			2			345678								
4			Lee	Marc		98765	1											
5																		
6																		
7																		
8																		
9																		
10																		
11																		
12																		
13																		
14																		
15																		
16																		



# Enter Enrollments

Submit Files ▾

Retrieve Files

Search

Help ▾

Enter Enrollment(s)

Please read this important information.

Instructions: Click **Add New Record** to add an enrollment. Please review your entries and click **Send My Request** to submit your request(s). You can EDIT your request or DELETE the row if you do not want to submit the request.

+ Add New Record

✓ Send My Request

	Last Name	First Name	Course ID	NPN	Individual ID	CRD	IARD
--	-----------	------------	-----------	-----	---------------	-----	------

# Add New Record

Add

First Name

Michael

Middle

Last Name

Smith

Course

Anti-Money Laundering for Insurance Producers (Course ID 2)

NPN

123456

CRD

IARD

Individual ID

Company Or Subsidiary ID

Agency Or Division ID

Optional 1

Optional 2

Resident State

CONNECTICUT

Resident State License Num

LMS Integration Key

✓ Save

⌂ Cancel

## 2 Records added – then click on Send My Request

[Submit Files](#) [Retrieve Files](#) [Search](#) [Help](#)

### Enter Enrollment(s)

[Please read this important information.](#)

Instructions: Click **Add New Record** to add an enrollment. Please review your entries and click **Send My Request** to submit your request(s). You can **EDIT** your request or **DELETE** the row if you do not want to submit the request.

[+ Add New Record](#) [✓ Send My Request](#)

	Last Name	First Name	Course ID	NPN	Individual ID	CRD	IARD
<a href="#">✎ Edit</a> <a href="#">✕ Delete</a>	Jones	Mary	1		987654		
<a href="#">✎ Edit</a> <a href="#">✕ Delete</a>	Smith	Michael	2	123456			

# Single Entry Terminations – Add New Record

[Submit Files](#) [Retrieve Files](#) [Search](#) [Help](#)

## Enter Termination(s)

Instructions: Click **Add New Record** to add a termination. Please review your entries and click **Send My Request** to submit your request(s). You can **EDIT** your request or **DELETE** the row if you do not want to submit the request.

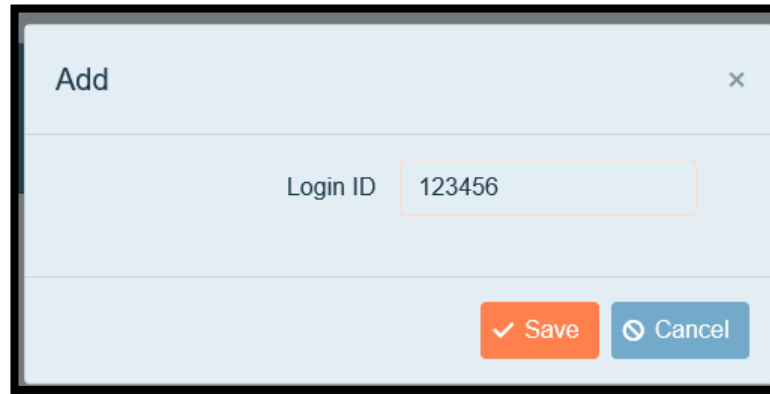
+ Add New Record

✓ Send My Request

Login ID
----------

## Single Entry Terminations – Enter Login ID

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A screenshot of a software dialog box titled "Add" with a close button (X) in the top right corner. The dialog box has a light blue background and a white border. Inside, there is a label "Login ID" followed by a text input field containing the value "123456". At the bottom right of the dialog box, there are two buttons: an orange "Save" button with a checkmark icon and a blue "Cancel" button with a circular arrow icon.

# Single Entry Terminations – Send My Request

Submit Files ▾

Retrieve Files

Search

Help ▾

Enter Termination(s)

Instructions: Click **Add New Record** to add a termination. Please review your entries and click **Send My Request** to submit your request(s). You can EDIT your request or DELETE the row if you do not want to submit the request.

+ Add New Record

✓ Send My Request

	Login ID
<div>EditDelete</div>	999_msmith
<div>EditDelete</div>	65432145
<div>EditDelete</div>	987654

# Retrieve File(s)



The screenshot shows a web application interface for retrieving files. A green arrow points to the 'Retrieve Files' tab in the top navigation bar. Another green arrow points to the 'Created' column header in the table. A third green arrow points to the 'Download' button for the first file. A white rectangular redaction box covers the file names in the first four rows of the table.

Submit Files ▾ **Retrieve Files** Search Help ▾

Retrieve File(s)

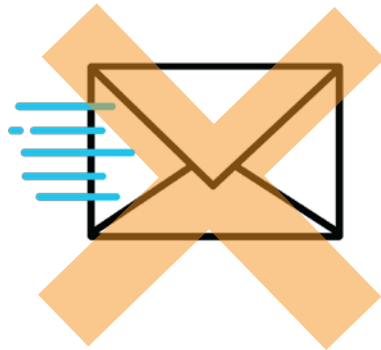
File Name	Size	Created ↓	
AML_ProgressReport_ [redacted].txt	32.4MB	03/08/2019 16:02:21	<a href="#">Download</a>
DOL_NewIDs [redacted]_20190308_0800.txt	129B	03/08/2019 08:00:21	<a href="#">Download</a>
AML_NewIDs [redacted]_20190308_0800.txt	1.6KB	03/08/2019 08:00:20	<a href="#">Download</a>
DOL_NewIDs [redacted]_20190308_0400.txt	129B	03/08/2019 04:00:34	<a href="#">Download</a>
AML_NewIDs [redacted]_20190308_0400.txt	1.6KB	03/08/2019 04:00:33	<a href="#">Download</a>
DOL_NewIDs [redacted]_20190307_0800.txt	129B	03/07/2019 08:00:23	<a href="#">Download</a>

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# New ID File Format

AML\_NewIDs\_20190310\_0800 - Notepad

Login ID	Company Name	Company	or Subsidiary	Agency or Division	First Name	Middle Name	Last Name	Course Name	Optional 1	Option 2
17282607		Y					ey	Anti-Money Laundering for Insurance Producers	1234823	
7335187	A							Money Laundering for Insurance Producers	1235103	
6756978	A							ti-Money Laundering for Insurance Producers	1235003	
16036763		Y						i-Money Laundering for Insurance Producers	1234963	
17825075		Y					ill	Anti-Money Laundering for Insurance Producers	1234723	
18597813		Y					ss	Anti-Money Laundering for Insurance Producers	1235083	
17510343		Y						i-Money Laundering for Insurance Producers	1234763	
17949773		Y					ey	Laundrying for Insurance Producers	1234943	
1987974	A							ti-Money Laundering for Insurance Producers	1234703	
8862896	A						haub	Anti-Money Laundering for Insurance Producers	1234863	
8736907	A						ans	Anti-Money Laundering for Insurance Producers	1234843	



New ID file will not be generated unless requested



# Progress Report file

AML\_ProgressReport - Notepad

File Edit Format View Help

Company Name	Company	Subsidiary	ID	Agency	Division	Student's Last Name	Student's First Name	Student's Middle Name	Student's Login ID	Optional 1	Optional 2	En					
						8_306600	857539		2014-12-11 08:33:33	AML	2	Anti-Money Laundering for Insurance Producers	Enrolled, Not Started	00			
						8_306600	857539		2014-12-11 08:33:33	AML	176		Enrolled, Not Started	00			
						2317618	910890		2007-02-26 13:44:04	AML	2	Anti-Money Laundering for Insurance Producers	Completed	2007-05-18 00:00:00			
						2317618	910890		2014-04-11 00:00:00	AML	22014	2014 Anti-Money Laundering for Insurance	Enrolled, Not Started	00			
						2317618	910890		2016-04-08 00:00:00	AML	22016	2016 Anti-Money Laundering for Insurance	Enrolled, Not Started	00			
						2317618	910890		2018-03-28 00:00:00	AML	22018	2018 Anti-Money Laundering for Insurance	Enrolled, Not Started	00			
						2317618	910890		2007-02-26 13:44:04	AML	176		Enrolled, Not Started	00			
						Paul	5448670	1162863	2018-06-19 11:20:08	AML	2	Anti-Money Laundering for Insurance Producers	Enrolled, Not Started	00			
						Paul	5448670	1162863	2018-06-19 11:20:08	AML	176		Enrolled, Not Started	00			
						chard	2064533	974756	2007-02-23 13:01:36	AML	2	Anti-Money Laundering for Insurance Producers	Completed	2006-10-02 00:00:00			
						chard	2064533	974756	2014-04-11 00:00:00	AML	22014	2014 Anti-Money Laundering for Insurance	Completed	2015-08-10 00:00:00			
						chard	2064533	974756	2016-04-08 00:00:00	AML	22016	2016 Anti-Money Laundering for Insurance	Enrolled, Not Started	00			
						chard	2064533	974756	2018-03-28 00:00:00	AML	22018	2018 Anti-Money Laundering for Insurance	Enrolled, Not Started	00			
						chard	2064533	974756	2007-02-23 13:01:36	AML	176		Completed	2007-10-08 00:00:00			
						chard	7090021		2016-04-14 08:40:47	AML	2	Anti-Money Laundering for Insurance Producers	Completed	2006-10-02 00:00:00			
						chard	7090021		2016-04-14 08:41:09	AML	22016	2016 Anti-Money Laundering for Insurance	Completed	2016-08-01 00:00:00			
						chard	7090021		2016-04-14 08:40:47	AML	176		Completed	2011-02-17 00:00:00			
						Marie	2621617	1058264	2016-09-20 12:34:35	AML	2	Anti-Money Laundering for Insurance Producers	Completed	2007-09-06 00:00:00			
						Marie	2621617	1058264	2016-09-20 12:36:05	AML	22016	2016 Anti-Money Laundering for Insurance	Started	2017-08-07 00:00:00			
						Marie	2621617	1058264	2016-09-20 12:34:35	AML	176		Completed	2009-10-23 00:00:00			
						rons	Marc	Samuel	4624979	927226	927226	2006-09-10 15:00:10	AML	2	Anti-Money Laundering for Insurance Producers	Completed	2006-09-10 15:00:10
						rons	Marc	Samuel	4624979	927226	927226	2014-04-11 00:00:00	AML	22014	2014 Anti-Money Laundering for Insurance	Completed	2014-04-11 00:00:00
						rons	Marc	Samuel	4624979	927226	927226	2016-04-08 00:00:00	AML	22016	2016 Anti-Money Laundering for Insurance	Completed	2016-04-08 00:00:00
						rons	Marc	Samuel	4624979	927226	927226	2018-03-28 00:00:00	AML	22018	2018 Anti-Money Laundering for Insurance	Completed	2018-03-28 00:00:00
						rons	Marc	Samuel	4624979	927226	927226	2006-09-10 15:00:10	AML	176		Completed	2010-08-13 00:00:00
						P	8224509	817735	2009-11-11 09:15:44	AML	2	Anti-Money Laundering for Insurance Producers	Enrolled, Not Started	00			
						P	8224509	817735	2009-11-11 09:15:44	AML	176		Enrolled, Not Started	00			
						ronson	Michael	D	7404151	Broker / Registered Rep	928646	2006-09-10 15:00:10	AML	2	Anti-Money Laundering for Insurance	Completed	2006-09-10 15:00:10



# Student Search

[Submit Files](#) [Retrieve Files](#) **Search** [Help](#)

Login ID

First Name

Middle


Last Name

Email Address

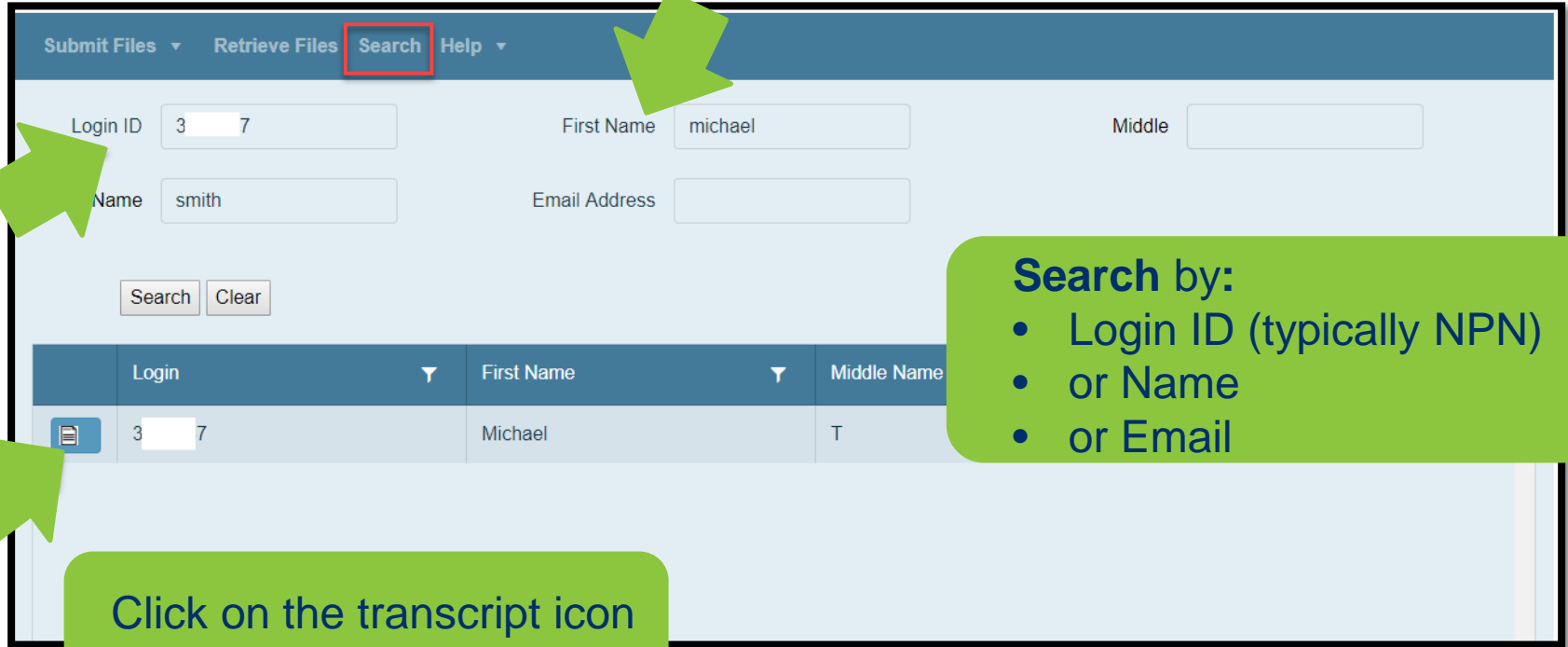
Search

Clear

Login	First Name	Middle Name	Last Name
-------	------------	-------------	-----------

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# Student Search



The screenshot shows a web interface for student search. At the top is a navigation bar with 'Submit Files', 'Retrieve Files', 'Search' (highlighted with a red box), and 'Help'. Below this are input fields for 'Login ID' (containing '3' and '7'), 'First Name' (containing 'michael'), 'Middle' (empty), 'Name' (containing 'smith'), and 'Email Address' (empty). There are 'Search' and 'Clear' buttons. Below the form is a table with columns 'Login', 'First Name', and 'Middle Name'. The first row of data shows '3' and '7' in the 'Login' column, 'Michael' in the 'First Name' column, and 'T' in the 'Middle Name' column. A transcript icon is visible in the first row of the table.

Login	First Name	Middle Name
3 7	Michael	T

## Search by:

- Login ID (typically NPN)
- or Name
- or Email

Click on the transcript icon to view student status.

# Transcript Sample

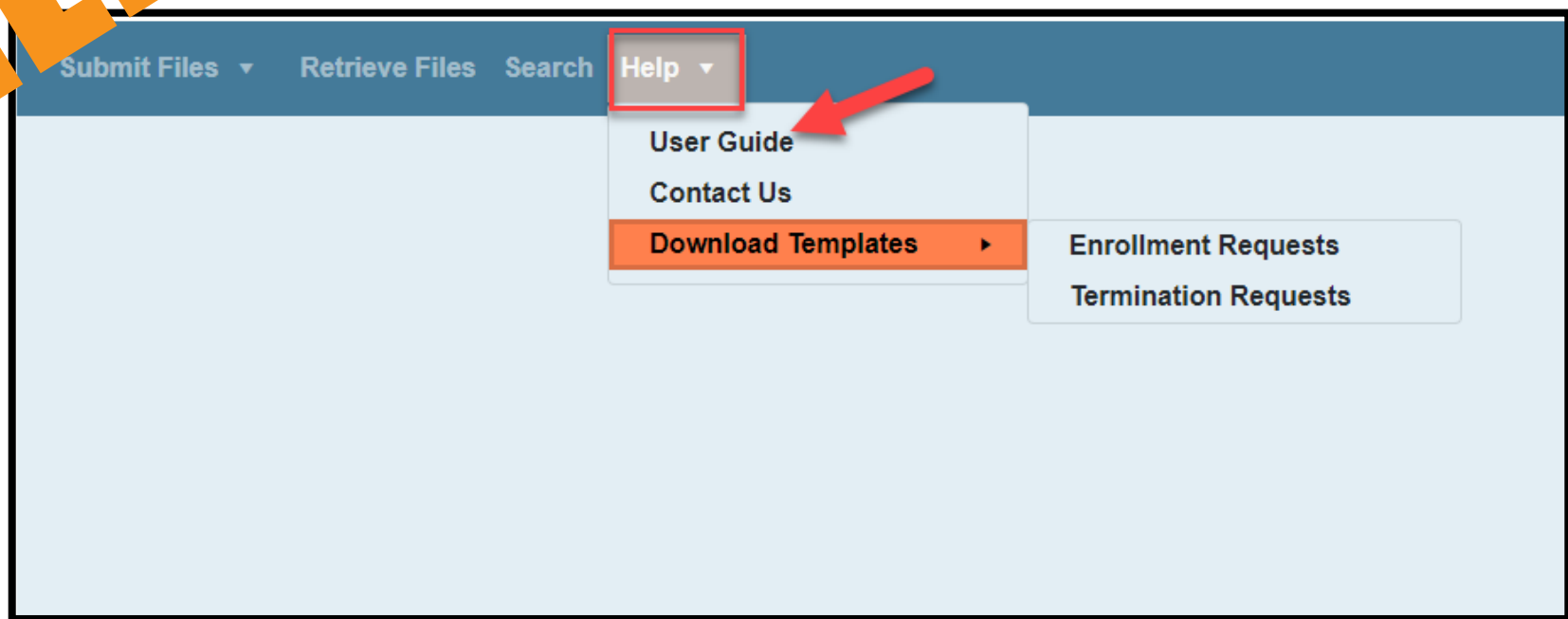
Transcript for:

(LoginID = )

Program	Course Name	Status	%Complete	Enroll Date	Last Accessed Date	Completion Date
AML						
	(1	Completed	100.00	3/6/2007	7/28/2008	7/28/2008
	(2) Anti-Money Laundering for Insurance Producers	Completed	100.00	3/6/2007	6/16/2006	6/16/2006
	(22014) 2014 Anti-Money Laundering for Insurance	Completed	100.00	4/11/2014	5/1/2015	5/1/2015
	(22016) 2016 Anti-Money Laundering for Insurance	Enrolled, Not Started	0.00	4/8/2016		
	(22018) 2018 Anti-Money Laundering for Insurance	Enrolled, Not Started	0.00	3/28/2018		

You can see all courses in which your company has enrolled the student.

# HELP!!



# Timing of the Format Change



Date LIMRA can *start* accepting  
*new format*  
(pipe-delimited)  
enrollment files.



*LAST* date LIMRA will support  
*current format*  
(comma-delimited)  
enrollment files.

# Getting Admin Access

1

**Send  
LIMRA...**



Company  
Approver.

List of users.

3

**Complete  
registration  
email.**



Return registration  
email to LIMRA.

2

**Users  
will...**



Receive a  
registration email.

4

**Access  
given.**



Users will receive  
a welcome email.

Users can then log  
in and create  
password.

# We're here to help.



**Vince Peterson**

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**Customer Success Team**

compliance@limra.com

<https://www.limra.com/CEPCOMM>









***Your Trusted Source for  
Industry Knowledge***

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