

2019 Regulatory Compliance Exchange Attendee List

Company	Title
AIG	Sr. Manager - L&R Operations
AIG	Associate General Counsel
AIG Life & Retirement	Elder & Vulnerable Client Care Officer
Aite Group	Sr. Life and Annuities Analyst
Allianz Life	Chief Distribution Compliance Officer
Allianz Life	Consumer Protection Program Owner
Allianz Life	Compliance Analytics Manager
Allianz Life Insurance Co of North America	Ethics & Compliance Dir, Strategy & Projects
Allianz Life Insurance Co of North America	Chief Compliance Officer
American Equity Investment Life Ins Co	AVP - Regulatory Compliance
American Fidelity Assurance	AVP, Privacy
Americo Life, Inc.	Regulatory Compliance Analyst
AmeriLife Group	Corporate Counsel
Ameritas Investment Corp.	VP, CCO and Risk Management
Ameritas Life Insurance Corp	2nd VP - Corporate Compliance
Aquilan Technologies	Senior Manager
Aquilan Technologies	Founder, President & CEO
Athene	Director of Compliance
AXA US	Cheif Financial Crime Officer
Brighthouse Financial	Director, Compliance
Broadridge Financial Solutions	Product Specialist
Business Information Group	National Sales Executive
Catholic Order of Foresters	General Counsel
Catholic Order of Foresters	Compliance and Product Support Assistant
Columbian Mutual Life Insurance Company	Second VP, Compliance & Asst. Secretary
CompliancePoint	Vice President of Operations
Control Risks	Associate Director
Co-Operators Financial Services Ltd.	Manager, Compliance
Crump Life	Market Conduct Officer
CUNA Mutual Group	Director of Corporate Compliance
Currin Compliance Services	Director, Operational Compliance
Deloitte	Specialist Senior Manager
Deloitte Risk and Financial Advisory	Senior Manager, Forensic Analytics
Dept of Human Services	APS Program Director
Drinker Biddle & Reath	Partner
Edward Jones	Sr. Insurance Field Supervision Director
EquiTrust Life Insurance Company	Paralegal
EquiTrust Life Insurance Company	Sr. Suitability Analyst
Eversheds Sutherland	Partner
FINRA	Director Regulatory Analysis
FINRA	Senior Director
FTI Consulting	Sr Managing Director

Genworth Financial	Compliance, Director
Gerber Life Insurance Company	SVP, General Counsel
Gleaner Life Insurance Society	VP, Insurance Operations & Underwriting
Great American Insurance Group	Compliance Director
Great-West/Empower Retirement	AVP - Head of Supervision
Guardian	Chief Compliance Officer
Guardian	Sr Paralegal
Guardian Life	Director Business Risk
Guardian Life Insurance Co of America	Compliance Officer, Individual Markets
Highland Capital Brokerage, Inc.	VP, Legal & Compliance
Hinman Straub, P.C.	Partner
Horace Mann Life Insurance Company	AVP, Life & Retirement Compliance Officer
IDology	VP Sales & Business Development
IDology	National Sales Manager
Jackson	Annuity Suitability Analyst
John Hancock	Cybersecurity Regulatory Compliance Consult
John Hancock	AVP, Insurance IS
John Hancock Financial Services	Director & Assistant Counsel
Landon Associates, Inc.	President
Legacy Marketing Group	Vice President of Compliance & Administration
LexisNexis RISK Solutions	Sr. Director Product Management
LexisNexis Risk Solutions	Director of Strategy
LEXISNEXIS RISK SOLUTIONS	DIRECTOR OF PRODUCT MANAGEMENT
LexisNexis Risk Solutions	VP, Business Development
LexisNexis Risk Solutions	Director, Product Management and State Relations
Liberty Bankers Insurance Group	Vice President Compliance
Life Insurance Council of New York	Managing Director for Legislative and Regulatory Affairs
Lincoln Heritage Life Insurance Company	Vice President & Compliance Officer
Locke Lord LLP	Partner
MassMutual	Director, MassMutual Fraud Operations
MassMutual	Field Compliance, Regional Head
MassMutual	Communications with the Public Lead
Meiji Yasuda America	SVP
Milliman	Compliance Consultant
Modern Woodmen of America	Manager, Compliance Department
Modern Woodmen of America	Assistant General Counsel
Nassau Re	Vice President and Chief Compliance Officer
National Life Group	Chief Compliance Officer, Life & Annuity
Nationwide Financial	Compliance Director
New York Life	Corporate Vice President

New York Life	Senior Vice President
New York Life Insurance	Senior Compliance Associate
New York Life Insurance Company	Senior Associate
New York Life Insurance Company	Corporate Vice President
Northwestern Mutual	Compliance Oversight Consultant
Northwestern Mutual	Compliance Sr Specialist
Northwestern Mutual	Assistant Director - Market Conduct
Northwestern Mutual	Assistant Director Supervision
Northwestern Mutual	Vice President Enterprise Compliance
Northwestern Mutual	Assistant Director- Fraud & Ethics
Northwestern Mutual	Regulatory Response Consultant
Northwestern Mutual	Assistant Director-Centralized Supervision
Northwestern Mutual	Sr. Director- Enterprise Compliance
Northwestern Mutual	Asst. Dir, Transformation
Northwestern Mutual	Chief Compliance Officer
Northwestern Mutual	Compliance Consultant
Northwestern Mutual	Assistant Director, New Business Operations
Northwestern Mutual	Sr Dir of Privacy and Information Risk Mgt
Ohio National Financial Services	Assistant VP, Corporate Compliance
OneAmerica	Market Conduct Consultant
OneAmerica	Senior Director Compliance
Pacific Life	Compliance Consultant
Pacific Life Insurance Company	Vice President, Regulatory Compliance
Principal Financial Group	Assistant Director - Annuity Compliance
Prudential	Vice President, Governance & Controls
Prudential	Vice President
Prudential	Audit Manager
Prudential	Senior Audit Manager
Prudential	Director, Compliance
Prudential	Vice PResident, Compliance
Prudential Advisors	Director
PwC	Partner
RBA Alliance	Product Manager
RGA	Director, Compliance & Filing
Securian	Fraud Investigator
Securian Financial	Agreements & Regulations Specialist
Securian Financial	Dir, ILAD Services and Business Systems
Securian Financial Group	Manager
Securian Financial Group	Compliance Manager
Securities and Exchange Commission	Associate Director
Southern Farm Bureau Life Insurance Co	Vice President, Chief Compliance Officer
State Farm	Director
State Farm	Sr. Risk and Compliance Analyst
State Farm Insurance	Compliance Manager

Symetra	Senior Compliance Analyst
Symetra Financial Corp.	Counsel
Symetra Life Insurance	Broker Dealer Operations Manager
Talcott Resolution	Senior Compliance Consultant
Tennessee Department of Commerce & Ins	Commissioner
Tennessee Department of Commerce and Ins	Dir, Financial Services Investigations Unit
Texas Department of Insurance	Chief Prosecutor
Texas Service Life Insurance Company	Compliance Officer
Compliance & Ethics Forum for Life Insurers	Vice President - Compliance & Ethics
Compliance & Ethics Forum for Life Insurers	President & CEO
The Co-operators	Market Conduct Specialist
Thrivent Financial	Vice President and Managing Counsel
Thrivent Financial	Counsel & Community Engagement Leader
Thrivent Financial	Sr Compliance Analyst
TIAA	Compliance Officer
Ulsch Cyber Advisory LLC	Advisor
USAA	Lead Risk Mitigation Advisor
USAA	Compliance Advisor Lead
USAA	Director of Centralized Supervision
Western and Southern Financial Group	Compliance Auditor
Wolters Kluwer Financial Services	Account Executive
World Financial Group Insurance Agency	Director of Compliance