



Regulatory Compliance Exchange

It's Everybody's Business

March 31 – April 2, 2020

Portofino Bay at Universal, Orlando, FL USA



www.limra.com/rcex



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General Session Highlights

Leadership Excellence

PAT WILLIAMS

*Co-Founder and Senior Vice President
NBA's Orlando Magic*

In his thought-provoking speech, Pat details the seven keys to leadership and teaches how you can be a more effective leader. Pat provides leaders with practical and proven techniques for immediately increasing their productivity in a management capacity. Learn how to create a personal vision, communicate effectively with your employees, develop and implement business strategy and make profitable decisions. Pat's sports leadership experience, humorous anecdotes, and unique philosophy make this one of his most highly-regarded speeches.

Best Interest

JAMES CLEMENTS

*Vice President and CCO
Ameritas*

CARRIE A. O'BRIEN

*Senior Special Counsel
U.S. Securities and Exchange Commission*

DIANE STUTO

*Managing Director for Legislative and Regulatory Affairs
Life Insurance Council of New York*

Best interest requirements from both federal securities and state insurance regulations are showing a continuing trend toward consumer protection. Along with the SEC Reg BI and NYDFS Reg 187, other states are introducing legislation aimed at fiduciary duties, conflicts of interest disclosures, best interest, and more. Join us for a discussion of how companies are managing the strategic and operational changes required, and how this continuing focus on the best interest of the customer might impact the industry.

Data Analytics in Compliance — Making the Connections

ROB HORROBIN

*Assistant Vice President, Analytics & Planning
Pacific Life Insurance Company*

KARTIK SAKTHIVEL

*Vice President & CIO
LIMRA, LOMA, LLGlobal*

DAVID TURGEON

*Head of Compliance Data Intelligence
MassMutual*

NANCY A. HILL, AIRC, ACS, Moderator

*Vice President, Regulatory Compliance
Pacific Life Insurance Company*

Whether you are just exploring the possibilities of applying data analytics or are experienced using data in compliance, you don't want to miss this session. Our panelists are experienced professionals utilizing data in the financial services industry every day. They will share how data is used within their organizations and their insights into future opportunities.



Conversation With Regulators

WILL DAVIS

Assistant Regional Director
SEC

JOE SAVAGE

Vice President and Counsel, Office of Regulatory Analysis
FINRA

LARRY NILAND, Moderator

Senior Regulatory Advisor
LIMRA

The panel of regulators will answer questions about the current regulatory environment. Please pre-submit your questions for a wide-ranging discussion of issues by emailing LIMRA's Larry Niland at lniland@limra.com.

Fraud Trends — What's New, What's Old, and What's New Again

NANCY BARNWELL

Vice President, Governance and Controls
Prudential

MICHAEL HAGAN

AML & Financial Crimes Officer
Sammons Financial Group

ANN RADFORD

Director, Operations Compliance & Anti-Fraud
John Hancock

P. YVETTE KNOTT, RCC, Moderator

NF Operations Director
Nationwide

Fraudsters are increasingly more diligent, aggressive and sophisticated in their tactics to defraud and takeover accounts in financial services companies. While some tactics may not be new and are expected, what about the unexpected? In this general session, a panel of industry leaders with responsibility for fraud prevention and investigation will provide insight and overview on the latest tactics and schemes deployed by fraudsters and how we can win the war on fraud.

Privacy — Managing Regulations, Meeting Customer Expectations

KATHLEEN KIERNAN

Vice President, Chief Counsel & Deputy, State Relations
American Council of Life Insurers

ALEXANDER F.L. SAND

Associate
Evershed Sutherland

Today's consumer expects privacy protection, and regulators agree. GDPR, CCPA, and other privacy regulations and laws are a hot topic in our industry and beyond. So, how are companies managing these privacy requirements? The panel in this session will provide global, legal, and practical insights to help you understand the current privacy environment and expectations, and what might be coming next.

Schedule at a Glance

► Tuesday, March 31

REGISTRATION — 10:00 a.m. to 6:30 p.m.

NEW ATTENDEE WELCOME — 1:00 p.m.

WELCOME & ANNOUNCEMENTS — 1:30 p.m.

GENERAL SESSION 1 — 1:35 to 2:30 p.m.

Leadership Excellence

REFRESHMENT BREAK — 2:30 to 2:45 p.m.

GENERAL SESSION 2 — 2:45 to 3:45 p.m.

Best Interest

REFRESHMENT BREAK — 3:45 to 4:00 p.m.

ROUNDTABLE DISCUSSION GROUPS — 4:00 to 5:00 p.m.

WELCOME RECEPTION — 5:00 to 6:30 p.m.

INFORMAL DINNER MEET-UPS — 6:45 p.m.

► Wednesday, April 1

REGISTRATION — 7:00 a.m. to 5:00 p.m.

CONTINENTAL BREAKFAST — 7:00 to 8:00 a.m.

WELCOME — 8:00 to 8:15 a.m.

GENERAL SESSION — 8:15 to 8:30 a.m.

The Technology Age — Thriving Through Disruption

GENERAL SESSION 3 — 8:30 to 9:15 a.m.

Data in the Compliance World

REFRESHMENT BREAK — 9:15 to 9:45 a.m.

BREAKOUT SESSIONS — 9:45 to 10:45 a.m.

1.1 The Good, Bad and Ugly of Doing Business in New York

1.2 When the Caregiver Becomes the Criminal — Hot Topics in Senior Financial Abuse

1.3 Consumer or Crook? Authenticating & Responding to Consumer Privacy Requests

REFRESHMENT BREAK — 10:45 to 11:00 a.m.

BREAKOUT SESSIONS — 11:00 a.m. to 12:00 p.m.

2.1 Learn to Soar...The Sky Is the Limit When It Comes to Your Compliance Career

2.2 Going Beyond the Rule: Monitoring Your Operation for Regulatory Requirements and Agent Activities

2.3 "They Want What, by When?!" Meeting Regulator Expectations

LUNCHEON — 12:00 to 1:15 p.m.

GENERAL SESSION 4 — 1:15 to 2:15 p.m.

Fraud Trends — What's New, What's Old, and What's New Again

REFRESHMENT BREAK — 2:15 to 2:30 p.m.

BREAKOUT SESSIONS — 2:30 to 3:30 p.m.

3.1 Fraud Prevention — Structure Matters

3.2 Do You Know Your Foreign National?

3.3 Ethics: Do You Practice What You Preach?

3.4 Do You Know What Your Distribution Partners Are Up To?

REFRESHMENT BREAK — 3:30 to 4:00 p.m.

BREAKOUT SESSIONS — 4:00 to 5:00 p.m.

4.1 Operations & Compliance — Partnership for Success

4.2 The Squeaky Wheel: Managing the Complaint Process

4.3 Risky Business Keeping You Up at Night? Manage It Successfully Utilizing Your Three Lines of Defense

INFORMAL DINNER MEET-UPS — 6:00 p.m.

► Thursday, April 2

CONTINENTAL BREAKFAST — 7:00 to 8:00 a.m.

GENERAL SESSION 5 — 8:00 to 9:00 a.m.

Regulatory Panel

REFRESHMENT BREAK — 9:00 to 9:15 a.m.

GENERAL SESSION 6 — 9:15 to 10:15 a.m.

Privacy — Managing Regulations, Meeting Customer Expectations

GENERAL SESSION 7 — 10:15 to 11:15 a.m.

What Are You Doing?

ADJOURNMENT — 11:15 a.m.



Conference Details

TO REGISTER

Register online: <https://www.limra.com/en/events/conferences/2020/2020-regulatory-compliance-exchange/#registration>

IMPORTANT DATES

Early Registration Fee Deadline: **March 3**

Hotel Reservation Deadline: **March 3**

Cancellation Deadline: **March 16**

HOTEL INFORMATION

LOEWS PORTOFINO BAY HOTEL AT UNIVERSAL

5601 Universal Boulevard

Orlando, FL 32819

407.503.1000

<https://res.windsurfercrs.com/ibe/details.aspx?propertyid=14841&nights=1&checkin=03/30/2020&group=GMPH3T1>

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SKIP EDMONDS

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