

# 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 CEPA?**

**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**

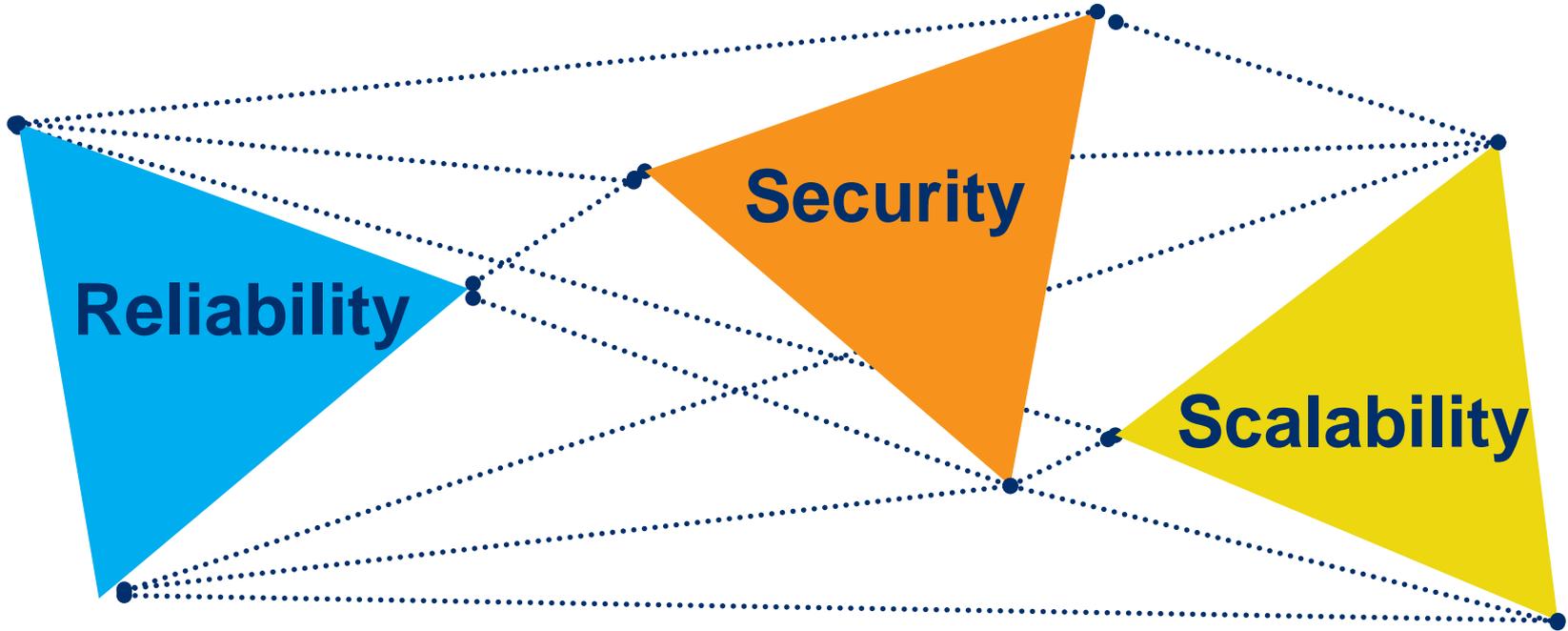
**More efficient  
processing**

**Enhanced Customer  
Experience**

**One stop access**

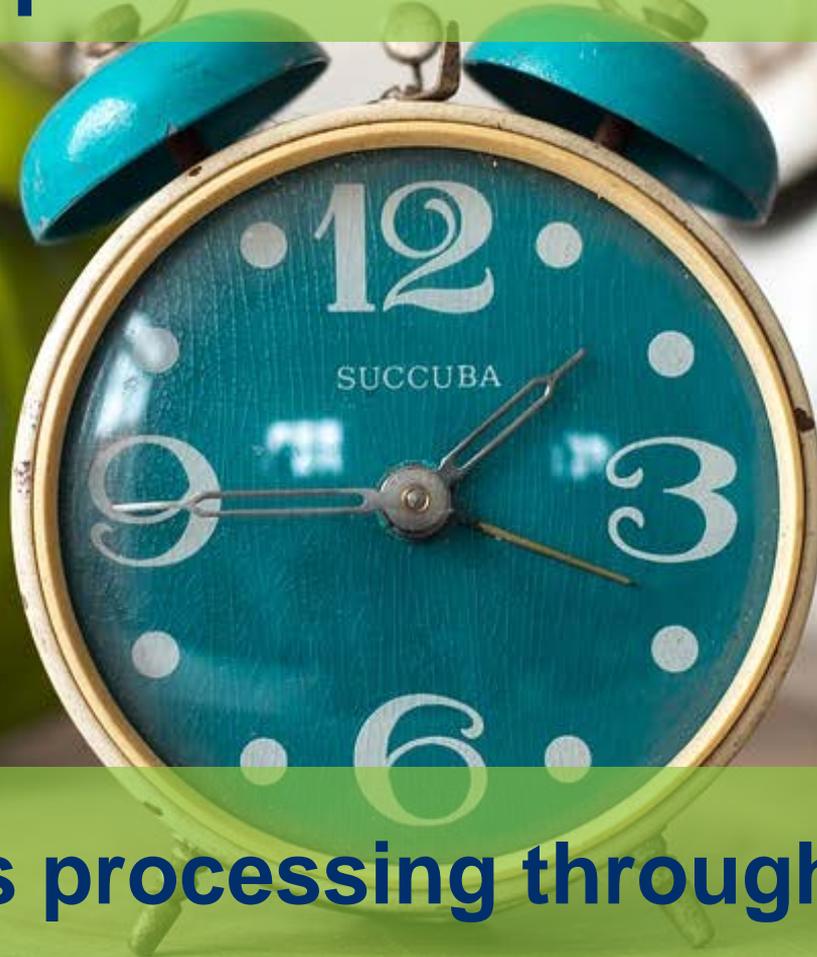
# Why Compliance Education Platform?

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**Upgrade technology**

# Why Compliance Education Platform?



**Automates processing throughout the day.**

# Why Compliance Education Platform?

**Faster  
access to  
results**

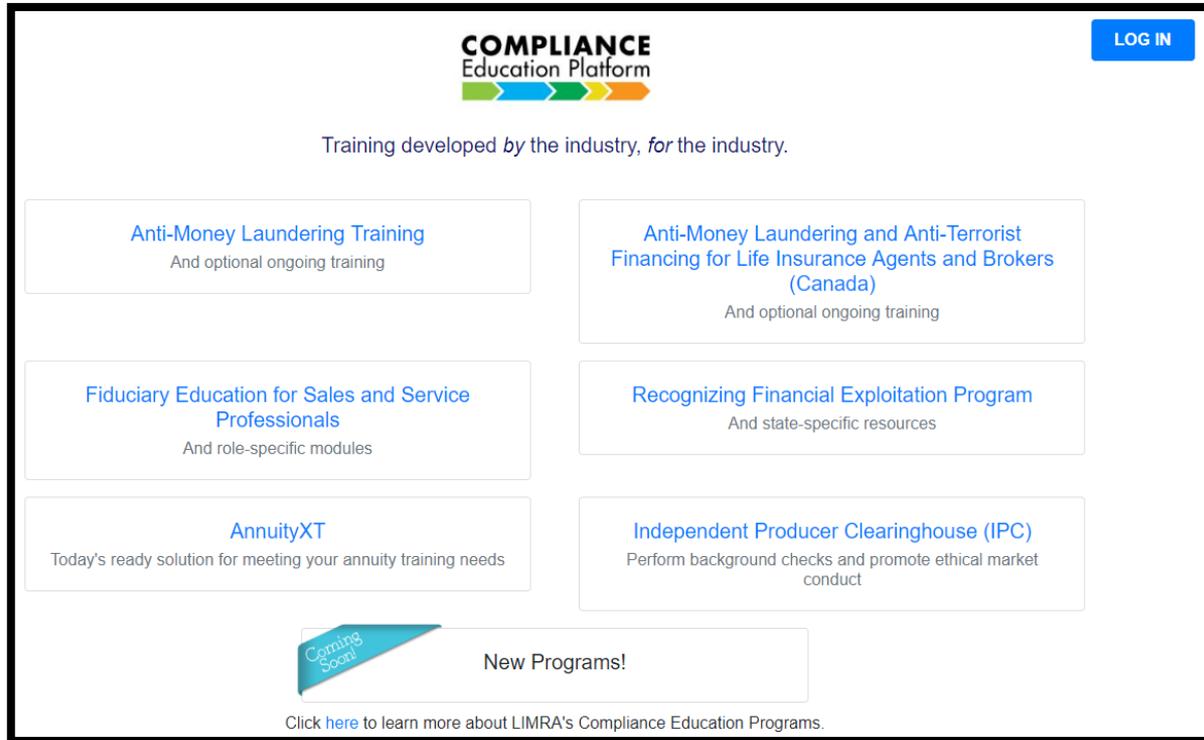
**Easy to  
use.**

**Self-service  
tools**

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

**Enhanced customer experience.**

# Why Compliance Education Platform?



**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**

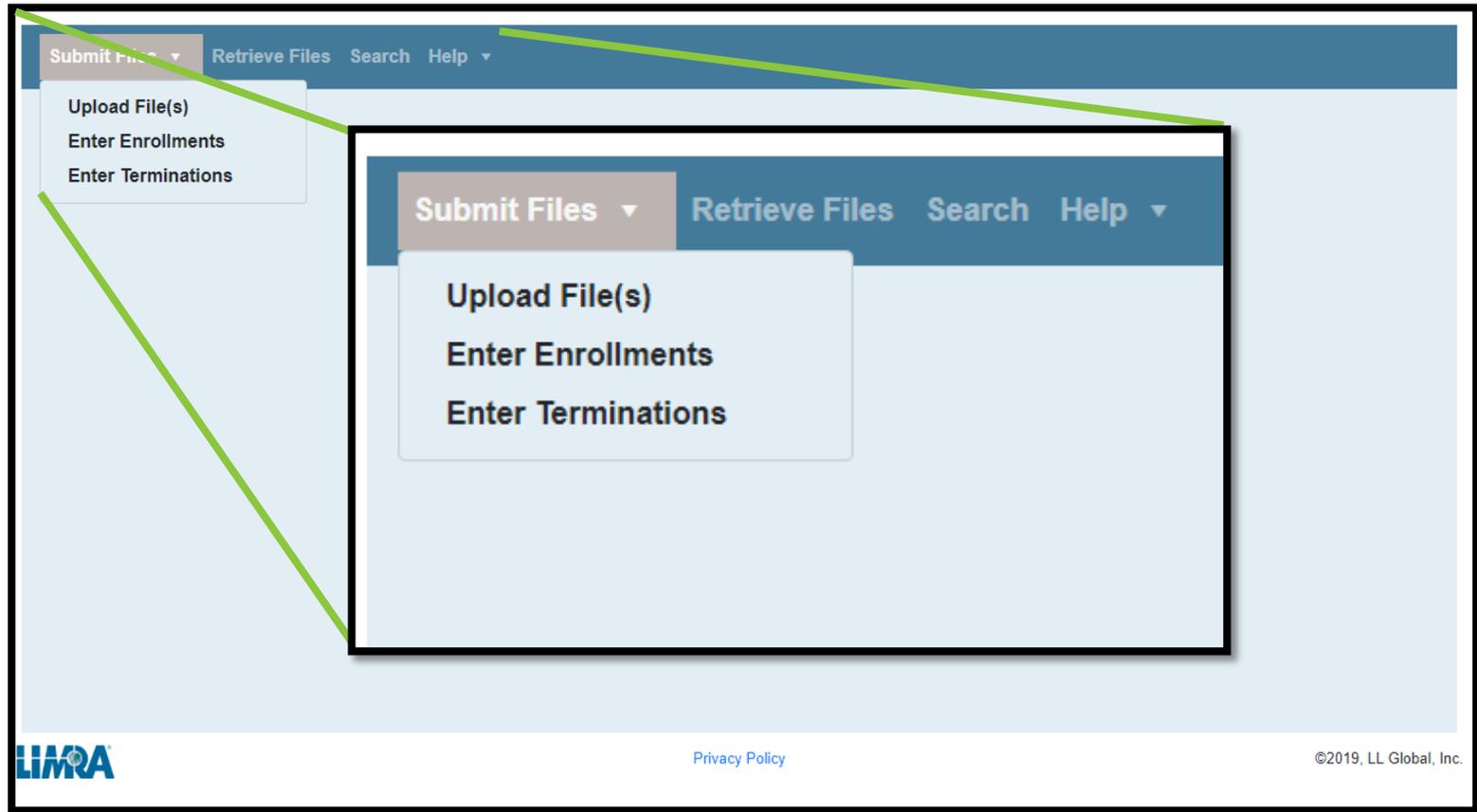
**Ad Hoc Enrollments**

**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**

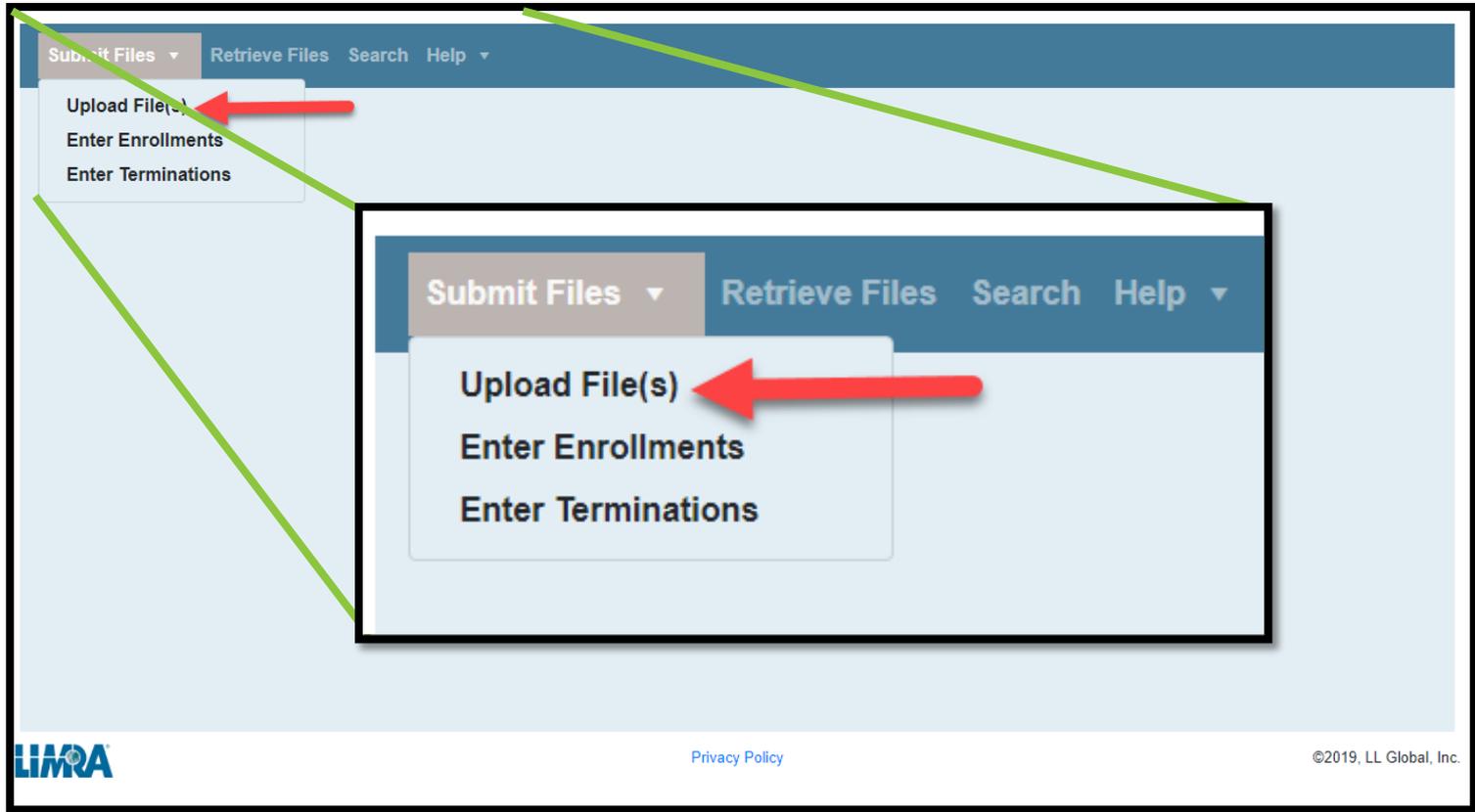


Click **Submit Files** & then **Enter Enrollment**

**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

**LIMA**

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# Select your upload file

The screenshot shows a web application interface for file uploads. At the top, there are navigation links: "Submit Files", "Retrieve Files", "Search", and "Help". The main area is titled "Upload" and contains a "Select" button. A file explorer window is open, showing the path "ASG (\\SAN01) (H:) > Client Support > 2019 March Webinar". The file list contains two entries:

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

The "Sample CEP Enrollment Request" file is selected, and a green arrow points to it from the right. The file name field at the bottom of the explorer shows "Sample CEP Enrollment Request". The "Open" button is highlighted with a blue border.

At the bottom left, the IMRA logo is visible. At the bottom right, there is a "Privacy Policy" link.

# 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

The screenshot shows a web interface for uploading files. At the top, there is a navigation bar with links for "Submit Files", "Retrieve Files", "Search", and "Help". Below this, the main heading is "Upload Enrollment or Termination File(s)", with a link to "Please read this important information." on the right. A dark blue bar contains a "Select files..." button and a "Done" button with a checkmark, both highlighted with red boxes. Below this bar, a file named "Sample CEP Enrollment Request.xls" (27.00 KB) is shown. A modal dialog box titled "Status" is open, displaying "Upload completed." and an "OK" button, also highlighted with a red box. A green arrow points to the "OK" button. At the bottom left, text states: "You can only upload TXT, XLS, XLSX files. Maximum allowed file size is 3MB". The footer includes the LIMRA logo, a "Privacy Policy" link, and the copyright notice "©2019, LL Global, Inc."

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...

Paste Clipboard Font Alignment Number Styles Cells

	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

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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  Middle  Last Name

Course

NPN  CRD  IARD  Individual ID

Company Or Subsidiary ID  Agency Or Division ID

Optional 1  Optional 2

Resident State  Resident State License Num

LMS Integration Key

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

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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.

	Last Name	First Name	Course ID	NPN	Individual ID	CRD	IARD
<input type="button" value="✎ Edit"/> <input type="button" value="✕ Delete"/>	Jones	Mary	1		987654		
<input type="button" value="✎ Edit"/> <input type="button" value="✕ Delete"/>	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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Add ×

Login ID

# 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
 Edit	 Delete	999_msmith
 Edit	 Delete	65432145
 Edit	 Delete	987654



# Retrieve File(s)



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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# Progress Report file

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	Enrollment Status
						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 00:00:00 100.00
			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 00:00:00 100.00
			Chard			7090021		2016-04-14 08:40:47	AML 176 Completed 2011-02-17 00:00:00 100.00
			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 00:00:00 100.00
			rons	Marc	Samuel	4624979	927226	2006-09-10 15:00:10	AML 2 Anti-Money Laundering for Insurance Producers Completed 2006-09-10 15:00:10 100.00
			rons	Marc	Samuel	4624979	927226	2014-04-11 00:00:00	AML 22014 2014 Anti-Money Laundering for Insurance Completed 2014-04-11 00:00:00 100.00
			rons	Marc	Samuel	4624979	927226	2016-04-08 00:00:00	AML 22016 2016 Anti-Money Laundering for Insurance Completed 2016-04-08 00:00:00 100.00
			rons	Marc	Samuel	4624979	927226	2018-03-28 00:00:00	AML 22018 2018 Anti-Money Laundering for Insurance Completed 2018-03-28 00:00:00 100.00
			rons	Marc	Samuel	4624979	927226	2006-09-10 15:00:10	AML 176 Completed 2010-08-13 00:00:00 100.00
			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 Enrolled, Not Started .00



# Student Search

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

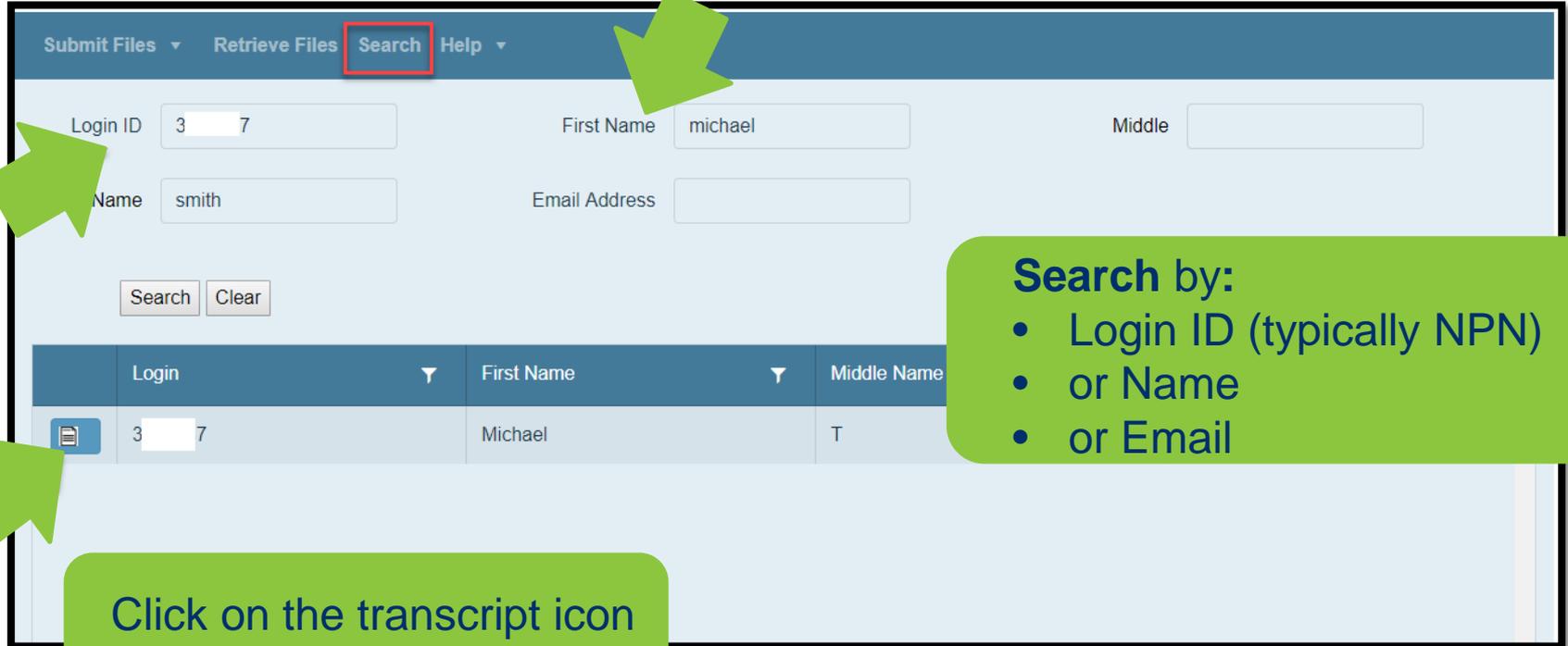
Login ID  First Name  Middle

Last Name  Email Address

Login	First Name	Middle Name	Last Name
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# Student Search



Submit Files ▾ Retrieve Files Search Help ▾

Login ID  First Name  Middle

Name  Email Address

	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.

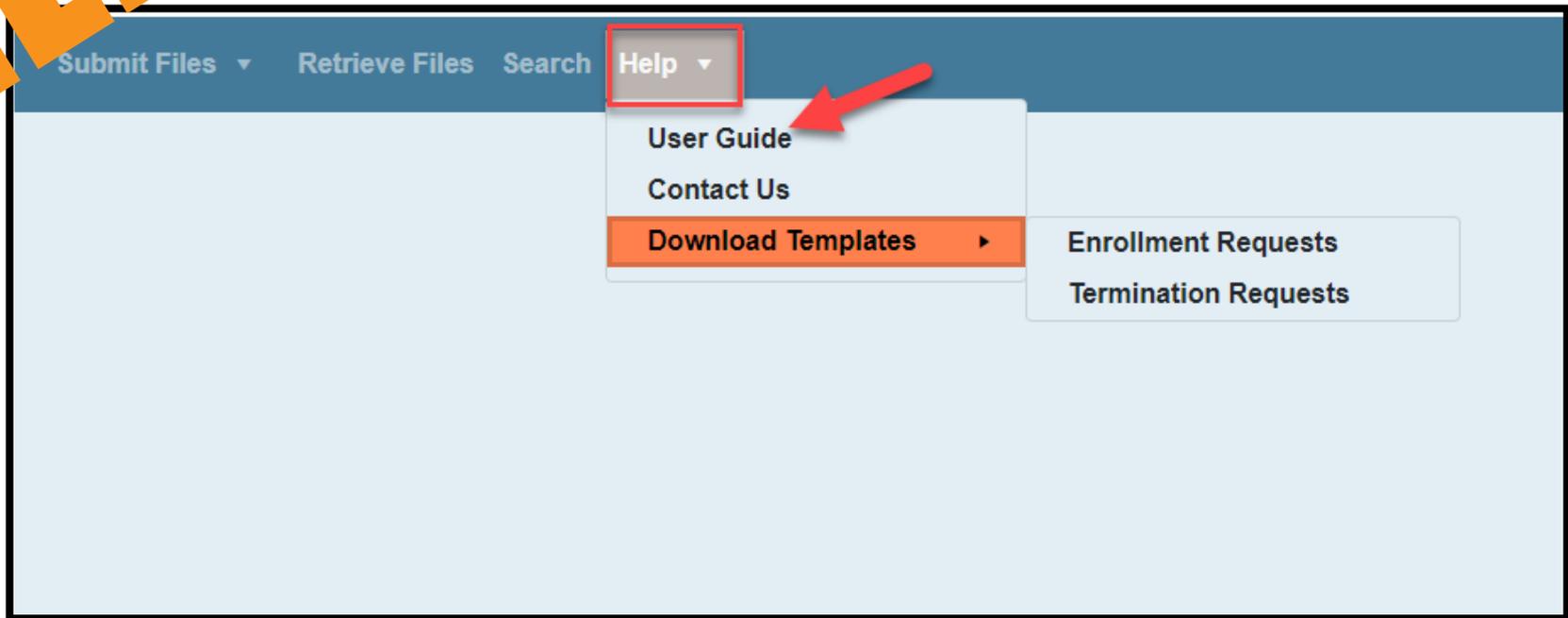
# Transcript Sample

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.

2

Users  
will...



Receive a  
registration email.

3

Complete  
registration  
email.



Return registration  
email to LIMRA.

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**

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







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

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