



REGULATORY COMPLIANCE EXCHANGE
Intelligence for Imminent Regulatory Change

2014 Attendees

Company	Job Title
AARP	Sr. Strategic Policy Advisor
Actiance, Inc.	Regional Manager, Social Media
Actiance, Inc.	Regional Manager, Social Media
Allianz Life of North America	Chief Suitability Officer
Allianz Life of North America	Deputy Chief Suitability Officer
Allianz Life of North America	Field Suitability Compliance Officer
Allianz Life of North America	Sr. Director, Corporate Compliance
Allianz Life/GamePlan Financial	Chief Suitability Officer
Allstate Financial Services, LLC.	Senior Compliance Officer
Allstate Life	Sr. Manager-Life Compliance
American Family Insurance	Sales Compliance Administrator
American Family Insurance	Sales Compliance Administrator
American-Amicable Life	AVP, Compliance Officer
Americo Financial	Manager, New Business
Amica Life	Asst. Vice President
Amica Life	Compliance Manager
Amica Life	Sr. Asst. Vice President
Anthem Life	Director, Compliance
Ash Brokerage	ChFC, CLU, CFP
Athene Annuity	Director of Suitability
Auto Club Group	Compliance Specialist
Bankers Life	Manager, Legal & Field Compliance
Boston Mutual Life	CCO
Brightpeak Financial	Counsel / Compliance Analyst
Business Information Group	President
Business Information Group	Senior Business Developer
Carlton Fields Jordan Burt, P.A.	Attorney/Shareholder
Catholic United Financial	Compliance Manager
CFM Partners, Inc.	Director, Product Architecture
CFM Partners, Inc.	President & CEO
CFM Partners, Inc.	Project Manager
Charles Schwab	Regional Sales Executive
Cincinnati Life	Vice President
CNO Financial Group	Manager, Ops Risk & Compliance
CNO Services	Associate General Counsel

Colorado Bankers Life	Regulatory Manager
Colorado Bankers Life	Vice President-Corporate Services
Columbian Mutual Life	Assistant VP, Compliance, Assistant Secretary
Compliance Assurance Corporation	Corporate Account Executive
Compliance Assurance Corporation	Senior Account Executive
Computer Services, Inc.	Sr. Account Executive
Crump Life/BB&T	Sr Risk Manager
CUNA Mutual Group	Compliance Manager
CUNA Mutual Group	Director, Ethics & Compliance
CUNA Mutual Group	Sr. Consultant, Product Compliance
Delaware Life	AVP Compliance
EY	Senior Manager
Farmers Financial Solutions	Chief Compliance Officer
FBL Financial Group, Inc.	Sr. Market Conduct Specialist
Fidelity & Guaranty Life	Senior Paralegal
Financial Industry Regulatory Authority	Senior Regional Counsel
First Consulting & Administration, Inc.	Senior Consultant
First Consulting & Administration, Inc.	Senior Consultant
First Investors Corp.	
Foresters	VP, Associate General Counsel
Fortalice, LLC	CEO, President & Founder
Genworth Financial	Compliance Leader, Product & Distribution
Genworth Financial	Compliance Officer
Georgeson Inc.	Senior Vice President
Georgeson Inc.	V. President
Gerber Life	Compliance Specialist
Great American Insurance Group - Annuities	Compliance Manager
Great West Life, London Life, Canada Life	AVP, Distribution Compliance & Risk
Guardian Life of America	2nd VP - OCEO Support
Guardian Life of America	Corporate Chief Compliance Officer
Guardian Life of America	Corporate Chief Security Officer & Head of Operational Risk
Guardian Life of America	Director, Market Conduct & Compliance
Guggenheim Life and Annuity	Counsel, Compliance Specialist
Hearsay Social	Product Marketing Manager
Homesteaders Life	Director- Compliance & Government Relations
Horace Mann Investors, Inc.	Chief Compliance Officer
Insurance Compliance Insight	Editor
Investors Group	Assistant Vice President, Compliance Business Review
Iowa Insurance Division	Assistant Commissioner
John Hancock	Assistant Vice President
John Hancock	AVP
John Hancock	Manager, Market Conduct and Compliance
John Hancock	Sr. Compliance Analyst
Kansas City Life	VP-Broker Dealer Compliance

Keane	Director
Keane	Senior Vice President
Keane	Vice President
KPMG LLP	Manager
KPMG LLP	Marketing Director
KPMG LLP	Partner
KPMG LLP	Sr. Associate, Internal Communications
Liberty Bankers Life	Vice President, Compliance
Liberty Life Assurance of Boston	Compliance Consultant
Liberty Mutual	Compliance Manager
Liberty Mutual	Counsel
Lincoln Financial Group	Advisor, Compliance
Lincoln Financial Group	Compliance Consultant
Lincoln Financial Group	Director, Compliance
Lincoln Financial Group	Manager
Lincoln Financial Group	Senior Compliance Manager
Lincoln Financial Group	Vice President & Chief Compliance Officer, LFGD
Lincoln Financial Group	VP & CCO, Life & Annuity
Lincoln Heritage Life	Vice President, Compliance Officer
Locke Lord LLP	Partner
Maritz	Senior Strategic Consulting Director
MassMutual	Assistant Vice President
MassMutual	Assistant Vice President
MassMutual	Compliance Consultant
MetLife	Compliance Manager
MIB	Regional Vice President
MIB	Senior Manager New Business Development
Modern Woodmen	Compliance Officer
Morgan Stanley	VP
National Life Group	2nd Vice President
Nationwide Financial	Senior Director
Nationwide Life	Compliance Director
New York Life	Deputy CISO
New York Life	Vice President
New York Life	Vice President & Deputy General Counsel
Northwestern Mutual	Ass. Director, Electronic Communication Compliance
Northwestern Mutual	Assistant Director
Northwestern Mutual	Asst. Director - Annuity Compliance
Northwestern Mutual	Compliance Consultant
Northwestern Mutual	Director - Policyowner Services
Northwestern Mutual	Director- Field Supervision
Northwestern Mutual	Director-Compliance/Best Practices
Northwestern Mutual	Manager - Policyowner Services
Northwestern Mutual	Regulatory Compliance Consultant

NRS	Associate Director, Audit Solutions
NRS	Consultant, IA Services
NRS	Managing Director
NRS	National Account Manager
NRS	Senior Director
NRS	Vice President
NRS	VP, Sales
Office of Insurance Commissioner, State of WA	Market Conduct Oversight Manager
Ohio National	CCO, Onesco
Ohio National	Chief Compliance Officer
Ohio National	COO, Onesco
Ohio National	Deputy CCO
P. J. Robb Variable Corp.	President, CEO
Pacific Life	Compliance Consultant
Pacific Life	Director, Compliance
Pacific Life	Director, Regulatory Affairs
Pan-American Life	Business Analyst, Global Life Compliance
Pan-American Life	Counsel
Pan-American Life	Director, Global Life Compliance
Partners Advantage Insurance Services	Director of Compliance & Suitability
Penn Mutual	Chief Compliance Officer - Distribution
Phoenix	Business Head, Growth
Phoenix	Senior Compliance Officer
Pinpoint Global Communications	VP Sales Engineering, Production & Support
Pinpoint Global Communications	COO
Principal Financial Group	CCO - Compliance
Principal Financial Group	Financial Controller
Princor Financial Group	CCO
Protective Life	Regulatory Analyst
Prudential	Director, Compliance
Prudential	Director, Outbrokerage Operations
Prudential	Vice President - Compliance
Renaissance Regulatory Services, Inc.	President
Rhode Island Department of Business Regulation	Associate Director
Sagicor Life	Compliance Manager
Sagicor Life	Counsel
Sammons Financial Group	Director - Compliance/Suitability
SBLI of MA	VP/CCO
Securian Financial Group	Compliance Manager
Securian Financial Group	Manager
Securian/Minnesota Life	Annuity Regulations Specialist
Securian/Minnesota Life	Suitability and New Business Manager
Securities and Exchange Commission	Assistant Regional Director
Signator Financial Services, Inc.	VP, Chief Compliance Officer

Silanis	Marketing Director
SmithGroup/GuyCarpenter	VP, Compliance & Regulatory Affairs
Southern Farm Bureau Life	Suitability Specialist II
Southern Farm Bureau Life	Vice President, Chief Compliance Officer
State Farm Insurance	Compliance Manager
State Farm Insurance	Manager, L/H Compliance
Sun Life Financial	AVP Compliance
Sun Life Financial	Compliance AVP
SunTrust Investment Services, Inc.	Compliance Officer
Surety Life	Regulatory Analyst
Surety Life Insurance	Staff Attorney
Symetra	Assistant Vice President, Compliance
Symetra	Compliance Manager
TD Life Group	Director, Government and Industry Relations
Teachers Life	Director, Risk Management
The Berwyn Group	Business Development
The Berwyn Group	Director of Business Development
The Co-operators	Agency Compliance Mgr
The Co-operators	Director, Compliance
The Co-operators	Manger, Compliance
The Co-operators	Senior Licensing Compliance Officer
Thrivent Financial for Lutherans	Director, Insurance Compliance
Thrivent Financial for Lutherans	Paralegal
TIAA-CREF	Compliance Associate
Transamerica	Sr. Compliance Manager
Transamerica Life	Sr. Compliance Review Manager
UPRR	Associate General Counsel
UPRR	Senior Consultant
UPRR	Senior Consultant
Verus Financial	Associate General Counsel, Director of Examinations
Western & Southern Financial Group	AVP, Compliance & Licensing
Western & Southern Financial Group	Insurance Compliance Specialist
Wolters Kluwer Financial Services	Account Executive
Wolters Kluwer Financial Services	Account Manager
Wolters Kluwer Financial Services	National Product Specialist
Woman's Life	National Secretary & Director of Compliance
Woodmen Financial Services	Manager of Operations II/Co-CCO
Woodmen of the World	Compliance Specialist
Zions Bancorporation	Insurance Compliance Officer
LIMRA	Analyst
LIMRA	Assistant Product Manager - AML
LIMRA	Assistant Vice President
LIMRA	Audit Services Consultant
LIMRA	AVP Multi-Media/Business

LIMRA	Senior Conference Coordinator
LIMRA	Senior Regulatory Advisor
LIMRA	Vice President, Regulatory Strategy Center
LIMRA	VP, Compliance
LOMA	AVP-Member Services
LOMA	Industry Learning Consultant
LOMA	Second VP
LOMA	Senior Associate
LOMA	Senior Meeting Planner
