

Regulatory Compliance Exchange

March 21 - 23, 2018

Hyatt Regency New Orleans, New Orleans, LA

Conference 2018



The Forward-Thinking Forum

Discuss crucial regulatory issues

Learn effective compliance practices from peers and topical experts

Stay ahead of what's coming next in regulatory compliance





Compliance Executive Roundtable

As a senior executive or CCO, you are invited to participate in an executive roundtable luncheon. These expand your experience through facilitated discussion with peers on shared problems and issues, and effective compliance strategies and practices.

Participation is limited to:

Chief Compliance Officers and Senior Executives in the areas of compliance, market conduct, legal, audit, and similar.

Compliance Executives Roundtable Luncheon

Thursday, 11:30 a.m. to 1:00 p.m.

General Session Highlights

Market Signals: What Are the Financial Markets Telling Us?



PETER RICCHIUTI

Director of Research for Burkenroad Reports,
A.B. Freeman School of Business
Tulane University

The economy is inherently cyclical. While these cycles don't necessarily repeat themselves, they usually rhyme. Understanding the forecasting ability of stock, bond, and energy markets can both illuminate opportunities and serve as valuable storm warnings for business leaders. A lot of this runs counter to what people are commonly hearing in the media. In this lively and entertaining session, Peter Ricchiuti explains how to interpret the market signals.

Innovation From Within



NICK GERHART

Chief Administrative Officer
FBL Financial Group Inc.

Innovation and insurance are not exactly synonymous. How can insurance carriers innovate from within and take control of consumer experience? Changing culture is a battle, but it is one worth fighting and winning.

Conference

Regulator Panel



NICK GERHART
Chief Administrator Officer
FBL Financial Group Inc.



LAWRENCE KOSCIULEK
Director of Regulatory Policy
FINRA



LARRY NILAND, CLU, Moderator
Senior Regulatory Advisor
LIMRA

The panel of regulators will answer questions about the current regulatory environment.

A New York State of Mind



DIANE STUTO
Managing Director, Legislative and
Regulatory Affairs
Life Insurance Council of New York, Inc.



DOUGLAS A. WHEELER
Senior Vice President
New York Life Insurance Company

Insurers doing business in New York are seeing an increase in regulatory initiatives from the New York Department of Financial Services (NY DFS). These initiatives are unique to New York and cover a range of topics including standard of care, cybersecurity, non-guaranteed elements, fee-based annuity products, and use of big data in life underwriting. A panel of experts will provide their perspective, tips for addressing their developments, and best practices in partnering with the NY DFS to successfully implement these and other new regulatory challenges inside your company.

Cyber Security: The Role of Compliance in a Constantly Changing World



JUDY HOPKINS
Head of Legal,
Haven Life Insurance Agency



JAMES PASTORE
Partner
Debevoise & Plimpton LLP



CHRIS SZAFRANSKI
Director, Information Risk Management
Northwestern Mutual



BRIAN LOUREL, CIA, CFSA, Moderator
Vice President
New York Life Insurance Company

Learn from a panel of experts and through case studies about the new regulatory requirements, including their impact on life insurance agents, and how they go about making sure that their firms are in compliance.

What's an Ethical Culture, Why It Matters, and What It Takes



CAVENI WONG, CCEP
Founder & Principal
Principle Compliance, Inc.

An ethical culture is one where people do the right thing, not only what's legal and required. It's often easier to focus on compliance than ethics. But ethics is what builds a company's reputation and helps it succeed in the long run. In this session, we'll explore what it means to have an ethical culture, why it matters, and what it takes to have one at your company.



Schedule at a Glance

WEDNESDAY, MARCH 21

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

WELCOME — 1:30 to 1:45 p.m.

GENERAL SESSION 1 — 1:30 to 2:45 p.m.

Market Signals: What Are the Financial Markets Telling Us?

REFRESHMENT BREAK — 2:45 to 3:15 p.m.

GENERAL SESSION 2 — 3:15 to 4:00 p.m.

Innovation From Within

BREAK — 4:00 to 4:15 p.m.

COMPLIANCE ROUNDTABLE — 4:15 to 5:15 p.m.

WELCOME RECEPTION — 5:15 to 6:30 p.m.

THURSDAY, MARCH 22

BREAKFAST — 7:15 to 8:00 a.m.

GENERAL SESSION 3 — 8:00 to 8:45 a.m.

Regulator Panel

BREAK — 8:45 to 9:00 a.m.

CONCURRENT SESSIONS — 9:00 to 10:00 a.m.

- 1.1 FBI — Fraud Beyond Identification
- 1.2. Compliance as Your Valued Business Partner
- 1.3. I Spy...Components of an Effective Surveillance Program

BREAK — 10:00 to 10:30 a.m.

CONCURRENT SESSIONS — 10:30 to 11:30 a.m.

- 2.1 Do You Really Know Your Customer?
- 2.2 Independent Distribution, Challenges & Solutions
- 2.3 To Visit or Not to Visit: Risk Basics Review
- 2.4 Recognizing Financial Exploitation — A Regulatory and Ethical Imperative

LUNCHEON — 11:30 a.m. to 1:00 p.m.

COMPLIANCE EXECUTIVE ROUNDTABLE LUNCHEON — 11:30 a.m. to 1:00 p.m.

CONCURRENT SESSIONS — 1:00 to 2:00 p.m.

- 3.1 I've Never Met Them in Person
- 3.2 Risky Business
- 3.3 What Are You Trying to Say? Making Your Marketing Materials More Effective

BREAK — 2:00 to 2:15 p.m.

CONCURRENT SESSIONS — 2:15 to 3:15 p.m.

- 4.1 Proactive Analytics for Sales Practices Review
- 4.2 You Want to Do What? Supervising Outside Business Activities
- 4.3 What Does Innovation Really Mean?
- 4.4 Operationalizing Your Fraud, AML and Cyber Programs for Efficiency and Effectiveness

BREAK — 3:15 to 3:45 p.m.

CONCURRENT SESSIONS — 3:45 to 5:00 p.m.

- 5.1 Compliance Innovation Lab
- 5.2 No Questions Left Unanswered
- 5.3 Small Company Session

FRIDAY, MARCH 23

BREAKFAST — 7:15 to 8:00 a.m.

GENERAL SESSION 4 — 8:00 to 9:00 a.m.

A New York State of Mind

BREAK — 9:00 to 9:15 a.m.

GENERAL SESSION 5 — 9:15 to 10:15 a.m.

Cyber Security: The Role of Compliance in a Constantly Changing World

BREAK — 10:15 to 10:30 a.m.

GENERAL SESSION 6 — 10:30 to 11:30 a.m.

What's an Ethical Culture, Why It Matters, and What It Takes

Conference

Program Overview

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PETER RICCHIUTI

Director of Research for Burkenroad Reports, A.B. Freeman School of Business
Tulane University

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GENERAL SESSION 2 — 3:15 to 4:00 p.m.

Innovation From Within

NICK GERHART

Chief Administrative Officer
FBL Financial Group, Inc.

BREAK — 4:00 to 4:15 p.m.

COMPLIANCE ROUNDTABLE CONVERSATIONS — 4:15 to 5:00 p.m.

- AML
- Cybersecurity
- Fiduciary Rule
- Financial Exploitation of Vulnerable Persons
- FINRA Issues
- Fraud
- NY Regulatory Environment
- Regulatory Exams
- Social Media
- Suitability
- Supervision
- Tech & Data in Compliance

WELCOME RECEPTION — 5:15 to 6:30 p.m.

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LAWRENCE KOSCIULEK

Director of Regulatory Policy
FINRA

LARRY NILAND, CLU, Moderator

Senior Regulatory Advisor
LIMRA

BREAK — 8:45 to 9:00 a.m.

CONCURRENT SESSIONS — 9:00 to 10:00 a.m.

1.1 FBI — Fraud Beyond Identification

Are you allocating more resources and time investigating and reporting fraud? Spend a little time with our industry experts to understand how they are handling fraud within their companies and walk away with some strategies and safeguards you can begin implementing in your company.

- Recent fraud trends
- Current controls and tools
- Investigations — Lessons learned during the investigation process
- Opportunities to share within our industry

CHAD ESLINGER, Chief Compliance Officer, Vice President, Annuities, Life and Employee Benefits, Voya Financial; **RICK MATARANTE**, Corporate Vice President, Special Investigations Unit, New York Life Insurance Company



1.2 Compliance as Your Valued Business Partner

Do your business partners view compliance as a valued business partner? Are you used as a positive recruitment tool for new distribution partners? Is it possible that the next generation of compliance really is collaborative, innovative, and naturally creative? Join us and learn:

- Techniques, tactics, and programs for collaboration
- Tips for being a proactive, visible, and accessible business partner
- How to ensure compliance has a seat at the table
- How to be known as the “value added” compliance partner

LISA COOPER, FLMI, AIRC, MCM, Technical Director, Corporate Compliance, Nationwide; **BARBARA FITCH, CLU, FLMI, AIRC**, Chief Compliance Officer, Life & Annuity, National Life Group; **AMY FULLENKAMP**, Senior Manager, Distribution Business Development, Allianz Life Insurance Company of North America; **Moderator: WENDY PROCHASKA, FLMI, AIRC**, Assistant Director, Integrated Risk and Regulatory Services, Northwestern Mutual

1.3 I Spy... Components of an Effective Surveillance Program

Effective surveillance is a key part of distribution compliance. This session will allow attendees to “peek behind the curtain” to look at best practices used for producer surveillance. The speakers will provide their insight on new business, senior sales, replacements, documentation, and escalation, to name a few.

KENNETH BRILL, Assistant Vice President, Field Compliance, MassMutual; **JOSEPH DEPIETRO**, Corporate Vice President, Corporate Compliance, New York Life Insurance Company

BREAK — 10:00 to 10:30 a.m.

CONCURRENT SESSIONS — 10:30 to 11:30 a.m.

2.1 Do You Really Know Your Customer?

Building on the FINRA KYC rule, the Beneficial Ownership/Customer Due Diligence rule goes live in May 2018. Life insurers with affiliated broker-dealers and mutual fund companies as well as those who market variable life and annuity products have much work to do to comply with this key rule. Learn how you can best comply with this rule from a panel of industry experts.

MAX BOLSTAD, ALMI, CAMS, Global Anti-Money Laundering and Anti-Corruption Officer, MetLife Company; **ANTHONY MASELLA**, Corporate Vice President, New York Life Insurance Company; **LAURA PERLOTTO**, Assistant Vice President & Anti-Money Laundering Officer, MassMutual Financial Group; **Moderator: BRIAN LOUTREL, CIA, CFA**, Vice President, New York Life Insurance Company

2.2 Independent Distribution, Challenges & Solutions

Join us for a discussion on the evolving role of the independent distribution intermediaries, lessons from the fiduciary rule, and what lies ahead for independent distribution and their industry partners.

LINDA BURM, Chief Distribution Compliance Officer Allianz Life; **JAMES CLEMENTS**, Second Vice President Supervision, Ameritas Life Insurance Corp; **DAVID WOLFE**, Advisor's Excel; **Moderator: GISSOU GOTLIEB**, Field Suitability & Compliance Officer, Ann Arbor Annuity Exchange

2.3 To Visit or Not to Visit: Risk Basics Review

Join us to discover the evolution from compliance-based supervision to risk-based supervision. Unlocking data within common fact patterns will reveal your next compliance problem. In this workshop, we'll explore:

- Offsite, risk based supervision models
- Narrative versus static supervisory questions
- Forward-looking training designed to mitigate future risk

MICHAEL BILS, Corporate Vice President, New York Life Insurance Company; **BRANDON M. O'HARA**, Mgr, BD & IA Compliance, General Counsel's Office, Thrivent Financial; **Moderator: ZACHARY RIGDON, J.D.**, Corporate Vice President, New York Life Insurance Company.

2.4 Recognizing Financial Exploitation — A Regulatory and Ethical Imperative

Recognizing financial exploitation of seniors and other vulnerable people has become more important than ever before, as losses of \$3 billion annually demonstrate. Over the last two years, financial services firms have made substantial investments to ensure their advisors are prepared for the new era in which they are expected to always put their clients' best interests first. They must conform to high standards of both ethical and prudent behavior, though some of their clients, due to age and circumstance, could put their firms — even the advisor themselves — at significant risk. In this session, you'll learn about this growing issue and common types of exploitation, discuss the evolving regulatory environment, and hear about steps being taken by firms to successfully protect vulnerable clients.

LAWRENCE KOSCIULEK, Director of Regulatory Policy, FINRA; **MICHELE KRYGER**, Elder and Vulnerable Client Care Officer, AIG Life & Retirement, U.S.; **EBONY PHILLIPS**, Director, Elderly Protective Services, Governor's Office of Elderly Affairs, State of Louisiana; **Moderator: PAUL S. HENRY**, Corporate Vice President and Managing Director, LIMRA LOMA Secure Retirement Institute

Conference

LUNCHEON — 11:30 a.m. to 1:00 p.m.

COMPLIANCE EXECUTIVES ROUNDTABLE LUNCHEON —
11:30 a.m. to 1:00 p.m.

CONCURRENT SESSIONS — 1:00 to 2:00 p.m.

3.1 I've Never Met Them in Person

The ease of doing business electronically has shifted the way agents desire to do business. Face to face sales may no longer be the norm as agents push to expand their geographical reach and broaden their client base. This session will identify and examine:

- How agents are using Skype or the telephone to solicit insurance
- The potential risks associated with non-face to face sales
- Solutions companies can take to mitigate risk

SCOTT GRANDMONT, FALU, FLMI, ACS, Vice President, Underwriting Solutions, RGAX, LLC; **WILL MOORCRAFT**, Second Vice President and Chief Compliance Officer, Phoenix; **CHRISTOPHER WEBER**, National Life; **Moderator: WENDY PROCHASKA, FLMI, AIRC**, Assistant Director, Integrated Risk and Regulatory Services, Northwestern Mutual

3.2 Risky Business

Effective compliance risk management underscores an organization's commitment to integrity, business practices and business conduct for the benefit of customers, employees, the insurance company and the public. Compliance Risk Assessments are a tool to protect organizations from financial, legal, regulatory, and reputational harm.

- Learn reasons why insurance companies conduct compliance risk assessments
- Understand the Three Lines of Defense framework to define compliance and risk management roles and responsibilities
- Apply the risk assessment methodologies to your compliance risk
- Key control identification and compliance testing to validate control effectiveness

MATT CLEGG, Compliance Director, Sun Life and Health Insurance Company; **KEVIN HENRY**, Assistant Vice President – Consumer Affairs, Federal Bank of St. Louis; **Moderator: EVAN BALDWIN**, Vice President, Prudential

3.3 What Are You Trying to Say? Making Your Marketing Materials More Effective

Using everyday language helps your customer understand your message better and feel more confident in taking the next step. Being purposeful with your disclosure — how much you say, how you say it, and where it appears — is a critical component in this effort. This panel will discuss the regulatory and oftentimes self-imposed challenges of revising your company's marketing materials to (as stated by surveyed consumers) "keep language simple and succinct," "make it easier to understand" and "make sure we know what we're buying" — all in an effort to better connect with your customer.

GINA CRISTALLO, J.D., Corporate Vice President, Head of Sales Material Review and Life Products, New York Life Insurance Company; **TED NEWTON, AIRC**, Assistant Vice President, MassMutual Financial Group; **Moderator: SCOTT KALLENBACH**, Director, Strategic Research, LIMRA

BREAK — 2:00 to 2:15 p.m.

CONCURRENT SESSIONS — 2:15 to 3:15 p.m.

4.1 Proactive Analytics for Sales Practices Review

Monitoring leveraging data analytics is useful in detecting or predicting potential threats to an organization such as sales practice misconduct, fraud, and abuse. These techniques may be also applied proactively in the sales review process to provide the analytical foresight into existing and emerging issues. In this session, Lalchand will provide an overview of analytics and insight on why and how a compliance professional may effectively use data analytics in the sales practices monitoring and review processes.

SATISH LALCHAND, Deloitte Transactions and Business Analytics LLP



4.2 You Want to Do What? Supervising Outside Business Activities

Their OBA becomes your firm's OBA!

- What risks are associated with OBAs?
- What are the key requirements to supervising them?
- How do you review and approve them?

Come hear from a diverse panel as they discuss effective practices for designing and implementing supervisory systems and controls to mitigate the risks associated with OBAs including a discussion on common OBA requests made by the field.

DAVE LONG, Corporate Vice President, Compliance, New York Life Insurance Company; **GREGORY TEESE**, Senior Vice President, Compliance, Chief Compliance Officer, Equity Services, Inc.; **JAY WILLIAMS**, Vice President, Chief Compliance Officer, OneAmerica; **JEFF SCHLOEMER**, Director, Enterprise Compliance, Northwestern Mutual

4.3 What Does Innovation Really Mean?

Keeping up with the innovation initiatives in your company presents opportunities and challenges. Now you are being asked to innovate within your department at the same time. Hear from top Innovation Officers how you too can be supportive and be an innovative thought leader within your organization.

- Innovation is at the heart of a customer centric organization
- Innovation and compliance — How they complement one another
- What does your innovation tool box look like?

LEILANI BLOOMQUIST, Marketing & Customer Engagement Manager, Securian Financial Group; **ANN FARLEY**, Assistant Vice President, Innovation Management, Pacific Life;
Moderator: NANCY HILL, Vice President, Compliance, Pacific Life Insurance Company

4.4 Operationalizing Your Fraud, AML and Cyber Programs for Efficiency and Effectiveness

With cyber crime, fraud, and money laundering on the rise, regulators are expecting insurers to increase effectiveness in detecting and deterring these illegal activities. In this session, you'll see how companies are operationalizing fraud, cyber, and AML programs, and are using data, processes, and tools to protect their companies, clients, and the U.S. financial system from ever-evolving criminals. Compliance officers from two disparate companies and an AML auditor will talk about programs that work, strategies for cross-silo cooperation, and ways to achieve more without necessarily increasing budget.

GINA JONES, Chief Financial Crime Officer, AXA; **VICKI LANDON**, CAMS-Audit, FLMI, CFCS, President, Landon Associates Inc.; **KEITH SCHROEDER**, Assistant Vice President and Compliance Officer, Chief Anti-Money Laundering Compliance Officer, Chief Privacy Officer and Assistant Corporate Secretary for the American-Amicable Life Insurance Company of Texas

BREAK — 3:15 to 3:45 p.m.

CONCURRENT SESSIONS — 3:45 to 5:00 p.m.

5.1 Compliance Innovation Lab

Many companies in our industry have insurance think labs, designed to come up with creative ways to improve how we design, develop, market, and sell insurance. What are we doing to create innovative opportunities in our compliance departments to solve problems and reduce risk?

Participants in this hands-on working lab session will first learn some simple innovation frameworks to take back to their teams, and then will put those tools to work immediately. Working collaboratively in small groups, attendees will choose a common compliance problem and create innovative solutions that just might make a breakthrough difference.

Speakers TBD

Conference

5.2 No Questions Left Unanswered

This is your chance to get all of your questions answered, in an “unconferenced,” interactive, peer-to-peer conversational session. Hosted by members of the LIMRA LOMA Regulatory Compliance Committee, you’ll have opportunities to submit your questions, both before and during the session, and draw upon the power of the crowd to get answers.

Any questions left unanswered after this session will be sent out in a post-conference survey, with results shared with participants, so there will truly be no questions left unanswered

Moderators: **TED NEWTON, AIRC**, Assistant Vice President, MassMutual Financial Group; **DOMINIC RUSSO**, Chief Compliance Officer, Insurance Products & Services, Penn Mutual Life Insurance Company

5.3 Small Company Session

Join this lively discussion intended specifically for those in small life insurance companies, broker-dealers, and subsidiaries of larger companies. In this session, participants will discuss how to meet the demands posed by increasing compliance responsibilities — even as resources shrink. Attendees will have the opportunity to see how their practices compare to peers’ using the anonymous polling capabilities of the conference app. Those who register for this session will be contacted in advance of the conference to submit topics for discussion.

Speakers TBD

FRIDAY, MARCH 23

BREAKFAST — 7:15 to 8:00 a.m.

GENERAL SESSION 4 — 8:00 to 9:00 a.m.

A New York State of Mind

DOUGLAS A. WHEELER

Senior Vice President
New York Life Insurance Company

DIANE STUTO

Managing Director, Legislative and Regulatory Affairs
Life Insurance Council of New York, Inc.

BREAK — 9:00 to 9:15 a.m.

GENERAL SESSION 5 — 9:15 to 10:15 a.m.

Cyber Security: The Role of Compliance in a Constantly Changing World

JUDY HOPKINS

Head of Legal
Haven Life Insurance Agency

JAMES PASTORE

Partner
Debevoise & Plimpton LLP

CHRIS SZAFRANSKI

Director, Information Risk Management
Northwestern Mutual

BRIAN LOUTREL, CIA, CFSA, Moderator

Vice President
New York Life Insurance Company

BREAK — 10:15 to 10:30 a.m.

GENERAL SESSION 6 — 10:30 to 11:30 a.m.

What’s an Ethical Culture, Why It Matters, and What It Takes

CAVENI WONG, CCEP

Founder & Principal
Principle Compliance, Inc.

CONFERENCE ADJOURNS — 11:30 a.m.



Regulatory Compliance Committee

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National Life Group

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ANDREW BUCKNAM, J.D.
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Allianz Life Insurance Company of North America

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Teachers Insurance & Annuity Association of America

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Conference

Conference Details

TO REGISTER

Register Online: www.limra.com/rce or www.loma.org/rce

REGISTRATION FEES

Before March 1, 2018

LIMRA or LOMA Member: \$1,250

AIRC Designee: \$1,150

Nonmember: \$1,875

Guest/Spouse Fee: \$100

After March 1, 2018

LIMRA or LOMA member: \$1,450

AIRC Designee: \$1,350

Nonmember: \$2,075

Guest/Spouse Fee: \$100

LIMRA requires prepayment of registration fees prior to all conferences and meetings. Please make checks payable to LIMRA in U.S. dollars drawn on a bank in the United States. For vendor registration fees, call Events Registration at 800.235.4672 (U.S. and Canada).

SPOUSES/GUESTS: We invite spouses/guests to participate in the event's food and social functions and ask that they wear their badge to these events. Individuals in an industry-related position, co-workers, or associates do not qualify. Participation in the general sessions and workshops is limited to those who have paid the full registration fee to attend the conference.

MEETING ATTIRE: The attire for this conference is business casual.

HOTEL INFORMATION



HYATT REGENCY NEW ORLEANS

601 Loyola Avenue

New Orleans, LA 70113

Phone: 504-561-1234

Reservations Phone: 888-591-1234

(mention 2018 Regulatory Compliance Exchange)

MAKE YOUR HOTEL RESERVATIONS EARLY! Make your reservation **by March 1, 2018** in order to receive the group rate of \$219 single/double (plus applicable sales taxes.) Requests **after March 1, 2018** will be accepted on the basis of space availability. The group guest room rate will be offered three days prior and three days after the meeting dates subject to availability.

Please note that the hotel rates will go up after the cut-off date or when the meeting room block sells out, whichever comes first. Make your reservation early to take advantage of our discounted rate.

CONTINUING PROFESSIONAL EDUCATION CREDIT

CPE: Earn CPE credit hours at this conference.

Intermediate level. No prerequisites or advance preparation required.

Instructional delivery method includes lecture. In accordance with the standards of the National Registry of the CPE Sponsors CPE credits are based on a 50-minute hour.

LOMA is registered with the National Association of State Boards of Accountancy as a sponsor of continuing professional education on the National Registry of CPE Sponsors. State boards of accountancy have final authority on the acceptance of individual courses for CPE credit.

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CLE: CLE credits may be available depending upon the number of conference hours attended and the state in which credit is sought. Attendees are responsible for complying with all rules and regulations governing the jurisdictions in which they seek credit. **Please contact Carolyn Clement (cclement@LIMRA.com) if you plan to seek CLE credits for this conference.**

Professional Recertification Program (Formerly PACE) Credits:

A form will be available for your records to qualify for **CLU and ChFC continuing education requirements only**. If you have any questions or need more information about the **PRP program**, please visit: <http://www.theamericancollege.edu/ce-continuingeducation/pace> or call The American College of Financial Services (888) 263-7265.

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