

COMPLIANCE & LEGAL SECTIONS ANNUAL MEETING 2023

JULY 17-19, 2023 | ARIA RESORT & CASINO | LAS VEGAS, NV



AGENDA

MONDAY, JULY 17

- 7:15 AM-4:15 PM **REGISTRATION**
- 7:45-9:00 AM **ACLI Compliance & Regulatory Affairs Breakfast and Meeting (Members Only)**
Join members of ACLI's Compliance & Regulatory Affairs (CRA) team for a wide-ranging discussion about best practices for, and your opinions on, their publications and services. We'll review the results of the 2023 Compliance Products Survey and discuss potential improvements to CRA's member resources.
- 9:15 AM **WELCOME AND OPENING REMARKS**
Mike Anderson, ACLI Legal Section Chair, Senior Vice President, Deputy General Counsel, Pacific Life
Scott Creutzmann, ACLI Compliance Section Chair, Senior Vice President & Chief Compliance Officer, Protective Life Corporation
- 9:20-10:20 AM **GENERAL SESSION: NAIC FIRESIDE CHAT**
Join us for a conversation as we sit down with NAIC commissioners to discuss the most pressing topics of the day.
Moderator:
Jennifer McAdam, Associate General Counsel, American Council of Life Insurers
Speaker:
Scott Kipper, Commissioner, Nevada Division of Insurance
- 10:30 AM-11:30 AM **GENERAL SESSION: REGULATORY ISSUES: BEST INTEREST/FIDUCIARY DEVELOPMENTS – SEC/DOL/STATES**
This session will include a discussion on FINRA/SEC initiatives, DOL's fiduciary agenda and its review of Pension Risk Transfer guidance, State developments.
Moderator:
Jim Szostek, Vice President & Deputy, Retirement Security, American Council of Life Insurers
Speaker:
Thomas Roberts, Principal, Groom Law Group
- 11:45 AM-1:30 PM **LUNCH SESSION: DATASHOCK: ARTIFICIAL INTELLIGENCE, CONNECTEDNESS, AND READYING FOR THE BIG DATA FUTURE**
The future is going to be driven by Artificial Intelligence (AI). Huge power lies in smart algorithms combined with the vast amount of big data generated by sensors, Internet of Things devices, and human behavior – from financial transactions to social interactions to increasingly trackable behavior. How will AI help people make better decisions? How will it affect or even potentially replace some human tasks altogether? How could it alter long-standing practices in your industry? Where do business opportunities lie in leveraging new technological capabilities, and how can organizations prepare for these changes? The key, according to Dr. Jennifer Golbeck, is to focus on the strategic impact of these technologies.
Speaker:
Jennifer Golbeck, Director of the Social Intelligence Lab and Professor in the College of Information Studies at the University of Maryland, College Park
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- 1:45-2:45 PM **GENERAL SESSION: ALGORITHMIC ACCOUNTABILITY AND ARTIFICIAL INTELLIGENCE**
This session will include a discussion on key state and federal regulatory updates relating to the development of artificial intelligence and algorithmic accountability.
Moderator:
Leigh McKegey, Chief Administrative Officer & Chief Legal Officer at Resolution Life US
Speakers:
Jeff Clott, Chief Legal Officer, Global Technology and Enterprise Services, Prudential

Gary Sanginario, AVP, Product Management and Insurance Market Education, LexisNexis Risk Solutions
Mary Jane Wilson-Bilik, Partner, Eversheds Sutherland

2:45-3:15 PM

REFRESHMENT BREAK

3:15-4:15 PM

CONCURRENT SESSIONS

LEGAL CONCURRENT #1: PRACTICAL DISCUSSION ON BUILDING GOVERNANCE AND RISK FRAMEWORKS FOR ARTIFICIAL INTELLIGENCE AND BIG DATA

This breakout session will include practical tips and discussion on implementing and building governance programs and risk management frameworks for your company's use of artificial intelligence and Big Data.

Moderator:
Rebecca Gahete, Chief Privacy Officer & Counsel, Technology & Strategic Sourcing, Resolution Life

Speakers:
Lael Bellamy, Of Counsel, DLA Piper LLP (US)
Tom Fletcher, Vice President, Data Analytics, North America Life, Partner Re

COMPLIANCE CONCURRENT #1: COMPLIANCE AS A PROFESSION

During this session we'll discuss what the future looks like for compliance professionals, evolving skill sets, and ways to draw and develop talent.

Moderator:
Patricia Thompson, Vice President, Chief Compliance & Ethics Officer, Pacific Life

Speakers:
Erich Axmacher, Chief Privacy Officer & Assistant General Counsel, Securian Financial
Carlota Balet, Head of Financial Crimes, Ethics & Compliance, Allianz Life Insurance Company of North America
Travis Kupiec, Team Lead, Regulatory Guidance, National Life Group

5:30-6:30 PM

WELCOME RECEPTION

7:00 AM-4:35 PM

REGISTRATION

7:00-8:00 AM

ACLI Market Conduct Committee Meeting & Breakfast (By Invitation Only)

7:15-8:00 AM

NETWORKING BREAKFAST

8:05-9:00 AM

GENERAL SESSION: ANATOMY OF A DATA BREACH

This session will review the timeline, issue spotting and decision-making points during a data breach.

Moderator:
Chanda Brady, Associate Director, American Council of Life Insurers

Speakers:
Sarah Alwine, Cyber Squad Supervisor, Federal Bureau of Investigation
Elise Elam, Associate, BakerHostetler
Jibran Ilyas, Managing Director, Incident Response, Mandiant
Simon Scully, Vice President, Chief Information Security Officer, Venerable

9:15-10:15 AM

CONCURRENT SESSIONS

LEGAL CONCURRENT #2: LEGAL AS A PROFESSION

During this session we'll discuss what the future looks like for legal professionals, evolving business skill sets, and ways to draw and develop talent.

Moderator:
Mike Anderson, ACLI Legal Sections chair, Senior Vice President, Deputy General Council, Pacific Life

Speakers:
Turan Odabasi, Director and Assistant General Counsel, Technology & Intellectual Property, Ameritas
Daniel Roe, Assistant General Counsel 2, Workplace Division, Transamerica Corporation

COMPLIANCE CONCURRENT #2: DATA BREACH DEEP DIVE: PRACTICAL PRIVACY AND CYBER CONTROLS

As a follow up to our earlier discussion on the anatomy of a data breach, we'll now explore policies and controls to prevent data breaches and ways to enhance password security.

Moderator:
Kristin Abbott, Counsel, American Council of Life Insurers

Speakers:

Thomas Cunningham, Partner, Sidley Austin
JoAnne Breese-Jaeck, Vice President & Chief Privacy Officer, Northwestern Mutual
Simon Scully, Vice President, Chief Information Security Officer, Venerable

10:15-10:45 AM

REFRESHMENT BREAK

10:45 AM-11:45 AM

GENERAL SESSION: VENDOR MANAGEMENT

Moderator:

Emily Wolf, Assistant Vice President, Compliance & Regulatory Affairs, American Council of Life Insurers

Speakers:

Kristi Harding, Senior Vice President, Chief Compliance Officer, Venerable
Jill Lippincott, Program Manager, Supplier Diversity & Sustainability, Principal Financial Group
Jeremiah Posedel, Partner, Faegre Drinker Biddle & Reath LLP

11:45 AM-12:45 PM

NETWORKING LUNCH

1:00-2:00 PM

GENERAL SESSION: FROM CHATBOTS TO FRAUDBOTS- AN UPDATE ON FRAUD

Speakers:

Robert Hess, Partner, MaynardNexsen
Ted Holt, Shareholder, MaynardNexsen
Tino Lisella, Of Counsel, Carlton Fields

2:00-2:30 PM

REFRESHMENT BREAK

2:30-3:30 PM

CONCURRENT SESSIONS**LEGAL CONCURRENT #3: LITIGATION UPDATE**

This session will discuss hot topics in life insurance, annuity, and product litigation.

Speakers:

Laura Geist, Partner, Litigation, Willkie Farr & Gallagher LLP
Gary Howard, Partner, Bradley

COMPLIANCE CONCURRENT #3: FEDERAL SENTENCING GUIDELINES/DOJ GUIDANCE

Moderator:

Scott Creutzmann, ACLI Compliance Section Chair, Senior Vice President & Chief Compliance Officer, Protective Life Corporation

Speakers:

Robert Biskup, Managing Director, Regulatory Forensics & Compliance, Deloitte
Erica MacDonald, Partner, Faegre Drinker Biddle & Reath LLP
Mike Yaeger, Shareholder, Carlton Fields

3:35-4:35 PM

CONCURRENT SESSIONS**LEGAL CONCURRENT #4: KEY LANGUAGE FOR CONTRACTING THIRD PARTIES**

Moderator:

Ted Claypoole, Partner, Womble Bond Dickinson (US) LLP

Speakers:

Blaine Doerrfeld, Senior Vice President Legal, Athene
Jonathan Goeringer, Senior Counsel, Foley & Lardner
Mark Richardson, AVP, Procurement, Pacific Life

COMPLIANCE CONCURRENT #4: FRAUD DEEP DIVE

As a follow up to our earlier discussion on fraud, we'll now explore special investigations, antifraud tools; ways to combat fraud; and employee verification.

Speakers:

Ryan Schwoebel, Director, Special Investigative Unit, Protective Life Corporation
Sarah Paul, Partner, Co-Global Head of Corporate Crime and Investigations, Eversheds Sutherland

6:00-7:00 PM

NETWORKING RECEPTION

WEDNESDAY, JULY 19

7:30-11:00 AM

REGISTRATION

7:45-8:45 AM

HOT CAKES AND HOT TOPICS: ROUNDTABLE DISCUSSION BREAKFAST

Join us for breakfast and conversation during this interactive session to discuss the latest industry issues including the following:

1. Evolution of data analytics

WEDNESDAY, JULY 19 (continued)

2. Interstate compact
3. Third party oversight
4. Artificial Intelligence

5. Private equity initiatives
6. Networking only!

9:00-10:00 AM

GENERAL SESSION: ESG, SUSTAINABILITY, AND MORE...

Moderator:

Skip Braziel, Vice President, Prudential Financial

Speakers:

Noreen Fierro, Senior Vice President, Chief Ethics and Compliance Officer, Principal Financial Group

Bob Stebbins, Partner, Corporate & Financial Services, Willkie Farr & Gallagher LLP

10:05-11:00 AM

GENERAL SESSION: INTERACTIVE ETHICS SESSION

Join us for an interactive closing session discussing hybrid role of lawyer and adviser, internal investigations, the ethics of cybersecurity, work product, and more.

Moderator:

Nick Christakos, Partner, Eversheds Sutherland (US) LLP

Speakers:

Jennifer Kraus-Florin, Vice President, Associate General Counsel, Regulatory and Business Compliance Leader, TruStage (formerly CUNA Mutual Group)

Christy Neighbors, Senior Vice President, General Counsel & Corporate Secretary, Ameritas

Pat Reeder, Vice President & Deputy General Counsel, American Council of Life Insurers

11:00 AM

ADJOURNMENT