



COMPLIANCE & LEGAL SECTIONS ANNUAL MEETING 2024

JULY 22-24, 2024 FORT LAUDERDALE MARRIOTT HARBOR BEACH RESORT & SPA, FORT LAUDERDALE, FL



AGENDA

MONDAY, JULY 22

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 2024 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.

10:30 AM-11:30 AM

GENERAL SESSION - CYBERSECURITY

Speaker:

Jackie Jones, Director of Security Engagement & Claims, Resilience

11:45 AM-1:30 PM

LUNCH SESSION WITH GUEST SPEAKER SCOTT MANN

From Crisis to Order: Leading Through Change, Complexity, and Chaos. From pandemics to elections to wars to bad economies, the next crisis is just around the corner. It affects the fiscal health of our organizations and the mental and physical health of our people. But how do you lead through these events? Throughout his career, Scott Mann has navigated his teams through volatility, uncertainty, change, and ambiguity. Mann draws from his experience leading in these high-stakes environments, including Operation Pineapple Express, the grassroots mission to rescue our Afghan allies amid the chaos of the U.S.'s withdrawal from Afghanistan, and shares that when the next crisis strikes, the first step in getting back to a sense of order is to be comfortable being uncomfortable. This keynote equips leaders with the tools to lead others through the storm, while also caring for themselves, so they emerge healthier, stronger, and more than capable of handling the complexities all around them.



Speaker:

Scott Mann, High-Impact Leadership Expert & Retired Green Beret

1:45-2:45 PM

LEGAL CONCURRENT #1 - DEVELOPING THE BENCH & SUCCESSION PLANNING

This session will include a discussion on talent recruitment, development, and having the right people in place to move the team and your company forward.

COMPLIANCE CONCURRENT #1 - RECORD AND DATA MANAGEMENT

2:45-3:15 PM

REFRESHMENT BREAK

3:15-4:15 PM

CONCURRENT SESSIONS

LEGAL CONCURRENT #2 - FINANCE FOR NON-FINANCE EXECUTIVES

COMPLIANCE CONCURRENT #2 - CONFLICTS OF INTEREST: POLICY AND PROCESS

This session will explore conflicts of interest as outside business activities continue to evolve in terms of policies and procedures and a hybrid work environment.

Speaker:

Phil Pescatore, Chief Ethics and Compliance Officer, Guardian Life

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 - ALGORITHMIC ACCOUNTABILITY AND ARTIFICIAL INTELLIGENCE**
 This session will provide a high-level overview of the current landscape and include a discussion on various regulatory components and compliance and legal use cases.

9:15-10:15 AM **CONCURRENT SESSIONS**
LEGAL CONCURRENT #3 – MERGERS AND ACQUISITIONS

COMPLIANCE CONCURRENT #3 - COMPLIANCE INVESTIGATION10:15-10:45 AM **REFRESHMENT BREAK**

10:45 AM-11:45 AM **GENERAL SESSION – DEPARTMENT OF LABOR REGULATORY AGENDA**
 This will include a discussion on pension risk transfers and the final fiduciary rule.

11:45 AM-12:45 PM **NETWORKING LUNCH**

1:00-2:00 PM **GENERAL SESSION – FRAUD**
 This session will discuss current trends in the fraud space including a discussion on elder abuse.

2:00-2:30 PM **REFRESHMENT BREAK**

2:30-3:30 PM **CONCURRENT SESSIONS**
LEGAL CONCURRENT #4 - SEC OFF CHANNEL COMMUNICATIONS

COMPLIANCE CONCURRENT #4 – COMPLIANCE REVIEW PROGRAMS AND RISK ASSESSMENTS

3:35-4:35 PM **CONCURRENT SESSIONS**
LEGAL CONCURRENT #5 - LITIGATION UPDATE
 This session will discuss hot topics in litigation including class action lawsuits on pension risk transfers.

COMPLIANCE CONCURRENT #5 - THIRD PARTY RISK MANAGEMENT
 This session will go beyond third party risk management to also cover fourth and fifth party.

6:00-7:00 PM **NETWORKING RECEPTION**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 some of the following:

1. Networking Only
2. How do you build AI governance/framework
3. So Many Policies!- The Policy of Policies

9:00-10:00 AM **GENERAL SESSION – REGULATORY HOT TOPICS LANDSCAPE**
 This would include current issues occurring across multiple agencies including SEC and the DOJ.

10:05-11:00 AM **GENERAL SESSION - ETHICS SESSION**
 Join us for an interactive closing session and earn 1 hour of live ethics credit!

11:00 AM **ADJOURNMENT**