



COMPLIANCE & LEGAL SECTIONS ANNUAL MEETING 2024

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

MONDAY, JULY 22

7:15 AM-4:15 PM

REGISTRATION

Sponsored by:



7:45-9:00 AM

ACLI COMPLIANCE & REGULATORY AFFAIRS BREAKFAST AND MEETING *(ACLI 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.

Moderator:

Jennifer McAdam, Associate General Counsel, American Council of Life Insurers

Speakers:

Doug Ommen, Commissioner, State of Iowa Division of Insurance

Michael Wise, Director, South Carolina Department of Insurance

10:30 AM-11:30 AM

GENERAL SESSION - CYBERSECURITY & PROACTIVITY: THE TO-DO LIST BEFORE A BREACH

As more and more regulators push for cybersecurity incident response measures, companies are grappling internally with how to maintain compliance. Insurers will need to navigate the increasingly complex landscape of cybersecurity incident response as well as take proactive measures to remain prepared even before an incident. This panel will focus on vendors, testing, and reporting best practices, focusing on what a proactive approach looks like, how to remain compliant, and how to create an internal incident response plan and team.

Moderator:

Kirsten Wolfford, Counsel, American Council of Life Insurers

Speakers:

Justin Herring, Partner, Mayer Brown LLP

Dustin Kemp, Director, IT Security Operations and Recovery Management, Venerable

Eric Langland, Assistant Vice President, Legal Counsel, Unum

Kevin Neslage, Incident Response Claims Counsel, 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.

Moderator:

Kerry Jung, Deputy General Counsel, Protection Solutions and Savings & Investments, Transamerica

Speaker:

Sterling Miller, Chief Executive Officer and Senior Counsel, Hilgers Graben PLLC

COMPLIANCE CONCURRENT #1 - RECORD AND DATA MANAGEMENT

Moderator:

Elise Elam, Associate, BakerHostetler

Speakers:

Omero Banuelos, Senior Counsel, Access Sciences

Matt Dendinger, Senior Counsel, Associate Vice President, National Life Group

2:45-3:15 PM

REFRESHMENT BREAK

3:15-4:15 PM

CONCURRENT SESSIONS

LEGAL CONCURRENT #2 - FINANCE FOR NON-FINANCE EXECUTIVES

Finance in the insurance industry is different than traditional businesses, as are the threats and financial challenges. Increasing your financial acumen from a compliance and legal perspective helps your organization prepare for challenges while keeping pace with ever changing regulation. This session will highlight the importance of understanding financial acumen in your organization and explain the basic building blocks of finance.

Speaker:

Ann Martel, President, Martel & Associates

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.

Moderator:

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

Speaker:

Phil Pescatore, Chief Ethics and Compliance Officer, Guardian Life

5:30-6:30 PM

WELCOME RECEPTION

Sponsored by:



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

Sponsored by:



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.

Moderator:

Paige Waters, Partner, Locke Lord LLP

Speakers:

Mike Byrne, Partner, McDermott Will & Emery

Cara St. Martin, Vice President, Compliance, Ladder Life

Patrick Sugent, Vice President of Data Science, Insurance Data Solutions, LexisNexis Risk Solutions

9:15-10:15 AM

CONCURRENT SESSIONS

LEGAL CONCURRENT #3 – MERGERS AND ACQUISITIONS

For life and annuity carriers, M&A can take many different forms: ranging from traditional stock purchase agreements to various types of reinsurance transactions. In this session, we will explore current M&A and reinsurance trends in the life and annuity industry and describe the latest in transaction structures and issues with three industry experts.

Moderator:

Mike Anderson, ACLI Legal Section Chair, Senior Vice President, Deputy General Counsel, Pacific Life

Speakers:

Megan Arrogante, Counsel, Debevoise

AJ Salomon, Vice President, Investments, Brookfield Reinsurance

COMPLIANCE CONCURRENT #3 - COMPLIANCE INVESTIGATION

Moderator:

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

Speakers:

Gina Alsdorf, Shareholder, Carlton Fields

Paul Barbato, Senior Vice President, Chief Legal Officer, TruStage

10:15-10:45 AM

REFRESHMENT BREAK

10:45 AM-11:45 AM

GENERAL SESSION – DEPARTMENT OF LABOR REGULATORY AGENDA

Moderator:

Howard Bard, Senior Vice President & Deputy General Counsel, American Council of Life Insurers

Speakers:

Brad Campbell, Partner, Faegre Drinker

Wayne McClain, Senior Director, Associate General Counsel, Advocacy & Oversight, TIAA

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.

Moderator:

Beth Lovaas, Assistant Vice President & Compliance Officer, Secretary, Continental General Insurance Company

Speakers:

Jane Bagley, Senior Vice President, General Counsel & Chief Fraud Officer, Fuzion

Zach Baldwin, Elder Fraud Schemes Coordinator, Federal Bureau of Investigation

Deb Martin, Manager Vulnerable Adult Office, Thrivent

2:00-2:30 PM

REFRESHMENT BREAK

2:30-3:30 PM

CONCURRENT SESSIONS

LEGAL CONCURRENT #4 - SEC OFF CHANNEL COMMUNICATIONS

Moderator:

Jeffrey Martell, Director of Enterprise Ethics & Compliance, Jackson National Life

Speakers:

Clifford Kirsch, Partner, Lead of the Investment Services Group, Eversheds Sutherland

Susan Schroeder, Partner, Vice Chair, Securities and Financial Services Department, WilmerHale

COMPLIANCE CONCURRENT #4 – COMPLIANCE REVIEW PROGRAMS AND RISK ASSESSMENTS

An effective compliance review program begins with a sound risk assessment, continues with reasonable testing, involves appropriate documentation and is focused on the importance of relationships. Hear perspectives regarding risk assessment and compliance review program approaches that are designed for success.

Moderator:

Carla Strauch, Senior Vice President, The Compliance & Ethics Forum for Life Insurers (CEFLI)

Speakers:

Mike Currier, Vice President, Compliance, Protective Life

Erin Miller, Director, Regulatory Compliance, Pacific Life

3:35-4:35 PM

CONCURRENT SESSIONS

LEGAL CONCURRENT #5 - LITIGATION UPDATE

This session will discuss hot topics in litigation.

Speakers:

Ted Holt, Shareholder, Maynard Nexsen

Eric Mattson, Partner, Sidley

TUESDAY, JULY 23 (continued)

COMPLIANCE CONCURRENT #5 - THIRD PARTY RISK MANAGEMENT

This session will go beyond third-party risk management to also cover fourth and fifth party.

Moderator:

Kristi Harding, Senior Vice President, Chief Compliance Officer & AML Reporting Officer, Venerable

Speakers:

Jared Combs, Senior Director, RadarFirst

Dustin Kemp, Director, IT Security Operations and Recovery Management, Venerable

Bev Rohlik, Insurance Global Compliance Officer, Cognizant

5:15-6:00 PM

GENERAL COUNSEL AND CHIEF LEGAL OFFICER RECEPTION (By Invitation Only)

6:00-7:00 PM

NETWORKING RECEPTION

Sponsored by:



WEDNESDAY, JULY 24

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:

1. Networking Only
2. How do you build AI governance/framework
3. So Many Policies! The Policy of Policies
4. Third party oversight
5. Market conduct exam trends
6. Transforming legal/compliance operations
7. Privacy program maturity
8. Account takeover/fraud
9. Evolution of data analytics

9:00-10:00 AM

GENERAL SESSION – REGULATORY HOT TOPICS LANDSCAPE

Life insurers continue to navigate the unprecedented volume of rulemaking from the Securities and Exchange Commission (SEC) in 2024. This session will cover seven key rule proposals and final rules that impact life insurers' products, distribution channels, and investment fund management. Speakers will provide insights on the direction of the SEC's Regulatory Agenda. In addition, the session will highlight a few trending topics from the SEC and the Financial Industry Regulatory Authority (FINRA).

Moderator:

Madison Ward, Counsel, Policy & Legal, American Council of Life Insurers

Speakers:

Justin Chretien, Shareholder and Chair, Securities & Investment Companies Industry Group, Carlton Fields

Fred E. Karlinsky, Shareholder and Global Co-Chair, Insurance Regulatory and Transactions Practice, Greenberg Traurig

10:05-11:00 AM

GENERAL SESSION - ETHICS SESSION: HOW TO HANDLE QUESTIONS WE GET ASKED AS LAWYERS

Join us for an interactive closing session and earn up to 1 hour of live ethics credit!

Speaker:

Jesse Linebaugh, Partner, Faegre Drinker

11:00 AM

ADJOURNMENT