2017 SILA National Education Conference Agenda

9/23/2017

1:30 - 2:00 PM

Student registration

Room: Hall of Cities Hallway

2:00-6:00 PM

Surplus Lines Fundamentals Class

SILA is providing a four-hour classroom training class covering Surplus Lines fundamentals that includes Surplus Lines terms and definitions, players in the surplus lines market, the role of the Surplus Lines Associations, and Surplus Lines licensing and tax reporting requirements.

Instructors: Julia Van Buren, MarketScout and Holly Kominsky, Glatfelter Insurance Group

Room: New York

2:00 - 6:00 PM

Cowboy Ethics Class

Before the American West was settled and barbed wire closed off the range, the Code of the West was the one civilizing influence that could be relied upon. In his 2004 book, Cowboy Ethics – What Wall Street Can Learn from the Code of the West, Jim Owen made a heartfelt case for a new approach to business ethics — one that goes back to simple, timeless principles like those of the cowboy code. He also translated the unwritten Code of the West into Ten Principles to Live By. In addition, this class seeks to understand the "why" in life by contrasting the difference between acceptable and unacceptable societal behavior behavior. It will feature inspiring stories about individuals that sacrificed much for virtue. The class will have case studies and there will be open discussion about virtue ethics which is the basis of Jim Owens book. This will be an interactive class and is not a traditional ethics class.

Instructor: Brian Gaudiose

Room: New Orleans
**Surplus Lines Advanced**

Don’t you hate it when you are trying to file a policy with a state and they ask all those daunting questions? Are you tired of trying to navigate through the world of state regulations and statutes when trying to file taxes? If you bang your head against a wall on a daily basis, then you might be a compliance person too! Don’t despair because the Surplus Lines Advanced class can help. We will discuss state filing requirements, the NRRA when determining Home State, the FL Clearinghouse, OPTins and more. Don’t get panic-stricken...take action and join us at the SILA Conference for the Surplus Lines Advanced Class. PREREQUISITE: Student must complete the SILA Surplus Licensing Fundamentals course (class only) prior to attending this class. An exemption will apply for students who provide proof of holding a minimum of three years’ surplus lines experience.

Instructors: Julia Van Buren, MarketScout and Roger Smith, Ryan Specialty Group

**Adjuster Licensing Advanced**

Do you have knowledge about adjuster licensing, but need help understanding how to apply the information? This course will address common issues of both staff and independent adjuster licensing, such as: obtaining a designated home state license when your resident state does not require a license, developing a licensing strategy for adjusters as well as practical ways to expedite the licensing process through practical application case study scenarios. The content will cover an introduction/review of adjuster licensing, tools and resources, and problem solving through case study scenarios. PREREQUISITE: Student must complete the SILA Adjuster Licensing Basics course (class or online) prior to attending this class. An exemption will apply for students who provide proof of holding a minimum of three years’ adjuster licensing experience.

Instructors: Kathleen Halverson, Farmers Insurance and Patricia Sullins, Sedgwick Claims Management
<table>
<thead>
<tr>
<th>Time</th>
<th>Event Description</th>
<th>Instructor(s)</th>
<th>Room</th>
</tr>
</thead>
<tbody>
<tr>
<td>8:00-12:00 PM</td>
<td><strong>Securities Basics</strong>&lt;br&gt;This course is designed for individuals who are new to securities registration as well as for those who want a refresher on securities rules, regulation and processes. Content includes registration requirements and processes, continuing education, securities types, securities markets and regulations.</td>
<td>Deirdre Patten, Patten &amp; Training</td>
<td>Grand 11</td>
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<td>8:00-12:00 PM</td>
<td><strong>Producer Licensing Basics</strong>&lt;br&gt;This course will cover the fundamentals of producer licensing, such as licensing terminology, regulatory processes, and producer/carrier requirements. The agenda will cover some of these topics: Introduction to Insurance Licensing, Licensing Individuals, Maintaining a License, Variable Licensing, Licensing Agencies and Legalities.</td>
<td>Kristin Prohonic, Brighthouse Financial and Heather Henderson, SILA</td>
<td>Grand 12</td>
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<td>10:00-11:00 AM</td>
<td><strong>Vendor Meeting</strong>&lt;br&gt;This meeting will provide an overview of conference exhibit activities, meet exhibit service provider and hear set-up, tear-down instructions.</td>
<td>Matt Braunbeck, BIG</td>
<td>Crystal A-H</td>
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<td>12:00-6:00 PM</td>
<td><strong>Conference Registration</strong>&lt;br&gt;Conference registration opens for all attendees.</td>
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<td>Crystal Reg Desk</td>
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<td>1:00-2:00 PM</td>
<td><strong>New Attendee Orientation</strong>&lt;br&gt;SILA extends a special recognition and welcome to attendees who are attending the National Education Conference for the first time. This session will provide new attendees with an introduction to the ins and outs of the many great opportunities to learn from and ways to network with peers in the industry both during the conference and throughout the year. New attendees will be introduced to the SILA Board, the SILA Education and Designation Committee and the many topic-specific subgroups available to join and participate. Come and learn how to get the most out of the conference venue.</td>
<td></td>
<td>Grand 8B</td>
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2:00-3:30 PM

Regulator Only Meeting

This session is reserved for regulators to cover regulator-specific topics.

Room: Grand 13

3:00-6:00 PM

Exhibitor Fair & Welcome Reception

The Exhibitor Fair and Welcome Reception is the official start to the 2017 SILA National Education Conference. Come and meet other SILA attendees and discover products and services that are available to licensing professionals.

Room: Crystal A-H

3:30-4:00 PM

Speakers Only Meeting

This session provides speakers, moderators and panelists with session updates and an overview of the room and AV set-up. It is a great time to meet the individuals who are on a panel with you. Final presentation changes can also be communicated at this session.

Room: Grand 14
# 2017 SILA National Education Conference Agenda

## 9/25/2017

### 7:00-8:00 AM

**Breakfast & Exhibitor Fair**

Room: Crystal A-H

### 7:00-8:00 AM

**Conference Registration**

Conference registration open for attendee registrations.

Room: Crystal Reg Desk

### 8:00-9:00 AM

**General Session Opening & Welcome (Awards)**

Come and experience the opening of the 2017 SILA Conference with entertaining and educational topics that will keep your interest.

Room: Crystal J

### 9:00-9:45 AM

**Professional Dev. Speaker**

To be announced

Room: Crystal J

### 9:45-10:00 AM

**Morning Break**

Room: Crystal Foyer
10:00-12:00 AM

Regulator Exchange (3 segments)

The ever-popular Insurance Regulator sessions return again, continuing the streamlined, smaller panel approach utilized last year. In this informative session, Regulators will be answering the selected Hot Topic questions that YOU, the SILA membership, have submitted. Each regulator will be providing their written responses to the top 10-15 questions and the questions will be displayed for you to follow along. Come listen as the regulator panel provides their perspective on the submitted topics.

Facilitator: Jeff Baughman, Washington DOI

LH, LHV, PC, Adjuster, Surplus Lines

Room: Crystal J

10:00-12:00 PM

FINRA I – CRD Transformation and Gateway Concept

Senior management from FINRA’s Registration and Disclosure and Technology Departments will be discussing the transformation of Web CRD and the development of a gateway for financial professionals. The landscape has changed since Web CRD was first deployed which undoubtedly required you and your firm to adapt as well. It is now time for a new way of thinking and our registration and licensing systems must reflect that. Those systems must be streamlined, more intuitive, and responsive to a broad set of industry requirements. What does that mean for the future? Come sit in on this session and find out what tomorrow might look like and how compliance will be improved as never before imagined.

Securities

Room: Grand 12,13,14

12:00-1:15 PM

Lunch

Room: Crystal A-H

1:15-2:15 PM

Today’s Adjuster: Leveraging new technology to improve licensing processes and strategies

The SILA Adjuster Licensing Subgroup (SALS) panel discussion will reveal how companies use adjuster versatility created by advances in technology for today’s adjusters (in centralized environments, virtual platforms and the traditional field role) to effectively and rapidly meet consumers' demands and needs. SALS, NIPR and Vertafore will provide updates on how they continuously improve licensing administration and create and promote true adjuster licensing efficiencies supporting uniformity that alleviate a variety of adjuster licensing pain points.

Adjuster

Room: Grand 9,10,11
<table>
<thead>
<tr>
<th>Time</th>
<th>Session</th>
<th>Room</th>
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<tbody>
<tr>
<td>1:15-2:15 PM</td>
<td><strong>No Strings Attached – Mastering the Surplus Lines Tax Filing Process</strong></td>
<td>Grand 8A</td>
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<td>This session will focus on Surplus Lines tax reporting and filing requirements in addition to recent regulatory updates that impact the Surplus Lines industry.</td>
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<td>1:15-2:15 PM</td>
<td><strong>Shining the Light on Commission Hierarchies</strong></td>
<td>Grand 8B</td>
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<td>Do you ever feel like you are under a dark cloud trying to figure out how to manage commission payouts in the complex world of agent hierarchies? Join us for an interactive discussion with carriers, agencies, and technology vendors to find out how it’s being done and what technology is available to assist.</td>
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<tr>
<td>1:15-2:15 PM</td>
<td><strong>Producer Licensing Task Force Update</strong></td>
<td>Crystal J2</td>
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<td>Come and learn about initiatives the NAIC Producer Licensing Task Group is tackling to streamline the states’ varying business rules and processing procedures.</td>
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<td>1:15-2:15 PM</td>
<td><strong>FINRA II – CRD enhancements, BrokerCheck and Disclosure Initiatives Session</strong></td>
<td>Grand 12,13,14</td>
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<td></td>
<td>Senior management from FINRA’s Registration and Disclosure Department will provide updates regarding Web CRD enhancements, upcoming changes to Form ADV and recent changes to its BrokerCheck program. In addition, FINRA will provide a status update on its disclosure-related initiatives and share some helpful hints for firms to improve compliance with their reporting requirements.</td>
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2:15-2:30 PM  
**Afternoon Break**

Room:
2:30-3:30PM

**Building the Adjuster CE Foundation, One Block at a Time**

Although there has been a collaborative effort between states and industry to define continuing education requirements for adjusters, there continues to be the ongoing challenges and roadblocks to satisfy CE requirements in respective states. This session will review and discuss the infrastructure previously established by the states and industry to create a reciprocal continuing education (CE) environment for adjusters, including DHS adjusters, while identifying the various obstacles, challenges, and impediments that occur, regardless of the road map that has been provided. In addition to the challenges and differences, the session will also address areas of uniformity and best practices that have been developed to transition adjuster CE into a reciprocal environment.

Adjusters

Room: Grand 9,10,11

2:30-3:30PM

**Open Forum - Agency Licensing**

Rise above the challenges of agency licensing by joining this interactive session where you will Discover answers to your agency licensing questions, Build your network, and Connect with peers to share and/or gain knowledge around agency licensing.

Moderator: Diana Ivey, Marsh

LH, LHV, PC

Room: Grand 8A

2:30-3:30PM

**Call Center Conundrums**

Do you struggle with understanding and complying with all the varying state requirements for reporting state-to-state moves and name changes, and which email addresses each state insurance department uses for communication purposes? Come join us to chat about the challenges, to share best practices, and to encourage the state regulators to gain more uniformity and efficiency in these areas.

LHLHV, PC

Room: Grand 8B

2:30-3:30PM

**SILA: Get the Most from your Membership**

Attend this session to learn how to best navigate through the SILA website, join peer groups to interact with other members working in your lines of business, track professional development status and locate the valuable resources available to members.

Mary Kay Krambeer, SILA

General

Room: Crystal J2
2:30-3:30PM

**FINRA III – Testing & Continuing Education Session**

Senior management from FINRA’s Registration and Disclosure Department will provide updates to FINRA’s qualification and continuing education programs, including a proposal to restructure the qualification examinations program, as well as developments in the proposed consolidated registration and qualifications rules. In addition, FINRA will discuss Web delivery and personalization of FINRA’s Regulatory Element continuing education programs.

**Securities**

Room: Grand 12,13,14

3:30-3:45 PM

**Afternoon Break**

Room: Crystal Breakout

3:45-5:00 PM

**Around the Country all State Regulators (incl NIPR, NAIC, Vertafore, FINRA) & Vendors**

This is an informal session designed to meet state regulators and address any specific regulator issues that affect your operations. In addition to the regulators, the Testing Providers, NAIC, NIPR, Sircon (Vertafore) and FINRA will be available to answer questions that you have regarding their service and support. The Exhibit booths will again be open to meet and discuss vendor services with the participating exhibitors.

**General**

Room: Crystal A-H
9/26/2017

7:00-8:00 AM

Breakfast & Exhibitor Fair

Room: Crystal A-H

8:00-9:15 AM

General Session- Designation Recognition

SILA will continue with General Session presentations to include the recognition of new SILA Associate and SILA Fellow designation holders. Join us to congratulate these member accomplishments.

Room: Crystal J

9:15-9:45 AM

SILA News

The SILA News is a fun and informative segment that touches on current events affecting SILA members and the financial services industry.

Room: Crystal J

9:45-10:00 AM

Morning Break

Room: Crystal Foyer

10:00-12:00 PM

Regulator Exchange (3 segments)

The ever-popular Insurance Regulator sessions return again, continuing the streamlined, smaller panel approach utilized last year. In this informative session, Regulators will be answering the selected Hot Topic questions that YOU, the SILA membership, have submitted. Each regulator will be providing their written responses to the top 10-15 questions and the questions will be displayed for you to follow along. Come listen as the regulator panel provides their perspective on the submitted topics.

Facilitator: Jeff Baughman, Washington DOI
LH, LHV, PC, Adjuster, Surplus Lines

Room: Crystal J
### 10:00-12:00 PM

**Securities Open Forum**

Attend this interactive session to network with other securities professionals facing the same challenges as you. The first part of the session is for industry members to share experiences and gain insight from peers. After a break, we will come back together with FINRA representatives who will answer regulatory and procedural questions from the earlier session. Come with questions and insights on how to improve the registration process!

Securities Room: Grand 12,13,14

### 12:00 - 1:15 PM

**Lunch**

Room: Crystal A-H

### 1:15-2:15 PM

**Legislative Update**

Discover proposed legislation and regulatory initiatives that could potentially impact licensing and registration. Build your knowledge of how new or proposed laws, rules or regulations impact licensing and/or registration. Connect with peers to prepare responses to impending legislation during public comment periods. Come join this interactive session as we highlight recent legislative and regulatory activity on topics impacting industry, such as NARAB II, FINRA Securities Industry Essentials Exam, DOL Fiduciary Rule, Pay-to-Play/Poliical Contribution, ACA, Senior Investor Protections, and certain Presidential Executive Orders.

General Room: Grand 9,10,11

### 1:15-2:15 PM

**Adjuster Open Forum**

Join the SILA Adjuster Licensing Subgroup (SALS) in its annual open forum to collaborate on current hot topics that impact adjuster licensing, provide 2017 Task Forces’ progress, and identify ongoing adjuster licensing needs for future SALS Task Forces. SALS’ members include companies, regulators and vendors. Regulators have been invited to participate. SALS once again will facilitate open and productive discussions.

Adjusters Room: Grand 8A

### 1:15-2:15 PM

**Background Investigations – Public record deep dive**

The recent announcement and change with how the credit companies are reporting public records has caused the industry to ask a lot of questions. This session will take a deep dive into public records: how they come about, how they are indexed, and subsequently how they are reported. The difference between consumer reporting agencies, public record databases, and FBI criminal record histories will be explored.

LH, LHV, PC, Adjuster, Surplus Lines Room: Grand 8B
1:15-2:15 PM

Open Forum - Agency-Carrier Relations

In this session members will have the opportunity to discover and discuss agency-carrier challenges, build strategies and connect ideas to prevent gridlocks in agency-carrier communications.

LH, LHV, PC

Room: Crystal J2

1:15-2:15 PM

Onboarding Registered Representatives

The financial services industry gets a bad reputation sometimes due to the actions of a few representatives. You want the right person representing your firm. What should you do to ensure your candidates have the right stuff? Join us as our panelists talk about recommended procedures in regard to background checks, high risk and recidivist brokers, training requirements, and more.

Securities

Room: Grand 12,13,14

2:15-2:30 PM

Afternoon Break

Room:

2:30-3:30PM

The Nuts and Bolts of Continuing Education Course Submissions and Filings

The process begins with a course title and ends with producers receiving the proper CE credits before their license expires. The hard part is figuring out how to get from beginning to end. The answer is...IT DEPENDS. Are you seeking approval in one state or multiple states? When and where will this course be offered? What is the method of instruction? How many credits are you seeking for approval? What is the word count? Do you need a timed outline? Will any instructors need to be approved? Where do I submit the course for approval? How much is this going to cost? If you are confused about the process of submitting a CE course for approval, filing a completion roster, or just looking for clarity to help create a more streamlined process, then this session is for YOU! Join us for a high level overview (we only have an hour) of the step-by-step process.

LH, LHV, PC

Room: Grand 9,10,11

2:30-3:30PM

Specialty Lines & Limited Lines Roundtable

This session offers roundtables focused on Portable Electronics Insurance, Travel Insurance and Third Party Administrator licenses. Come equipped with questions and be ready to share your experiences.

LH, LHV, PC, Adjuster, Surplus Lines

Room: Grand 8A
2:30-3:30PM

**SILA: Get the Most from your Membership (repeated)**

Attend this session to learn how to best navigate through the SILA website, join peer groups to interact with other members working in your lines of business, track professional development status and locate the valuable resources available to members.

Mary Kay Krambeer, SILA

General

Room: Grand 8B

2:30-3:30PM

**Open Forum - Agency-Carrier Relations**

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LH, LHV, PC

Room: Crystal J2

2:30-3:30PM

**Building Your Understanding of Outside Activities**

What do your representatives do other than sell? Are they involved in Outside Business Activities? Do they use social media accounts? Do they have any disclosures? What information do you need to collect from your representatives? Should you allow your representatives to participate in these activities? When and how do you report these items to FINRA? Bring examples of what you do at your firm and participate in a discussion with our panelists on best practices surrounding your representative’s outside activities.

Securities

Room: Grand 12,13,14

3:30-3:45 PM

**Afternoon Break**

Room:

3:45-5:00 PM

**Around the Country all State Regulators (incl NIPR, NAIC, Vertafore, FINRA) & Vendors**

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General

Room: Crystal A-H
### 9/27/2017

**8:30–9:30 AM**

**Breakfast**

**Room:** Crystal G, H, J

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### 9:30 - 10:00 AM

**Innovations in Securities and Insurance Licensing: Past, Present and Future**

This session will explore the most impactful technological and regulatory innovations in our industry. See the progress that has been made over the years, understand the current day opportunities for improvement that remain and envision a better tomorrow.

**General**

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### 10:00-10:45 AM

**Regulatory System Updates**

Come and learn about recently released or planned enhancements to regulatory systems that will benefit the industry by further streamlining processing and information. Systems highlighted in the discussion include SBS, NIPR, Sircon-for-States and FINRA.

**General**

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### 10:45 - 11:00 AM

**Closing Session**

Join us in this conference summary wrap-up that will recap the 2017 SILA conference experience and excite you for next year's conference. Raffle winners will be announced in addition to other surprises that you won't want to miss.

**Room:** Crystal G, H, J