MARKET CONDUCT EXAMINATION GUIDELINES (D) WORKING GROUP

Tuesday, March 5, 2024
1:00 – 2:00 p.m. ET / 12:00 p.m. CT / 11:00 – 12:00 p.m. MT / 10:00 – 11:00 a.m. PT

ROLL CALL

Matthew Tarpley, Chair Texas Ralph Boeckman New Jersey
Brett Bache, Vice Chair Rhode Island Patrick Zeller New Mexico
Maria Ailor Arizona Sylvia Lawson New York
Teri Ann Mecca Arkansas Teresa Knowles North Carolina
Nick Gill Connecticut Rodney Beetch Ohio
Sharon Shipp District of Columbia Landon Hubbart Oklahoma
Elizabeth Nunes/ Georgia Tashia Sizemore Oregon
Paula Shamburger Gary Jones/ Pennsylvania
Erica Weyhenmeyer Illinois Paul Towsen Vermont
Doug Ommen Iowa Karla Nuissl Virginia
Ron Kreiter Kentucky Bryan Wachter Washington
Mary Lou Moran Massachusetts Jeanette Plitt West Virginia
Jeff Hayden Michigan Desiree Mauller Wisconsin
T.J. Patton/Bryce Wang Minnesota Rebecca Rebholz/ Wisconsin
Teresa Kroll/Jo LeDuc Missouri Darcy Paskey
Peggy Willard-Ross/ Nevada
Hermoliva Abejar
Maureen Belanger/ New Hampshire
Ellen Walsh

NAIC Support Staff: Petra Wallace/Lois E. Alexander

AGENDA

1. Hear Opening Remarks—Matthew Tarpley (TX)

2. Discuss its 2024 Adopted Charges—Matthew Tarpley (TX) Attachment 1

3. Discuss Any Other Matters Brought Before the Working Group—Matthew Tarpley (TX)

4. Adjournment
The Market Conduct Examination Guidelines (D) Working Group will:

1. Develop market conduct examination standards, as necessary, for inclusion in the Market Regulation Handbook.

2. Monitor the adoption and revision of NAIC models and develop market conduct examination standards to correspond with adopted NAIC models.

3. Develop updated standardized data requests, as necessary, for inclusion in the Market Regulation Handbook.

4. Discuss the development of uniform market conduct procedural guidance (e.g., a library, repository, or shared collaborative space with market conduct examination templates, such as an exam call letter, exam exit agenda, etc.) for inclusion in, or for use in conjunction with, the Market Regulation Handbook.

5. Coordinate with the Innovation, Cybersecurity, and Technology (H) Committee to develop market conduct examiner guidance for the oversight of regulated entities’ use of insurance and non-insurance consumer data and models using algorithms and artificial intelligence (AI).