

NAIC Insurance  
Regulator  
Professional  
Designation  
Program

# 2021 Course Catalog

## NAIC Education and Training

# NAIC Education and Training

The NAIC Education & Training offers professional development courses in insurance regulation for individuals at all levels of their careers and expertise. These courses are for members, government personnel, international regulators and insurance industry representatives.

The NAIC introduced the Insurance Regulator Professional Designation Program in 2006. We created this program in response to regulators requesting a structured professional development path based on the NAIC curriculum. To learn more about the Designation Program, visit: [naic.org/education\\_designation.htm](http://naic.org/education_designation.htm)

Please note dates, locations, tuition and continuing education credits are subject to change. For up-to-the-minute information, please visit us online at [naic.org/education](http://naic.org/education).

## Contact us

NAIC Education & Training  
1100 Walnut Street, Suite 1500  
Kansas City, Missouri 64106-2197

816.783.8200  
[education@naic.org](mailto:education@naic.org)  
[naic.org/education](http://naic.org/education)



This symbol indicates that the course is approved for NAIC Insurance Regulator Professional Designation credit and/or Designation Renewal Credit (DRC).

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# Accreditation Update

## Course Description

Plan to attend this annual webinar to learn the latest updates to the NAIC Accreditation Program. The webinar will cover changes to the accreditation standards including Part A: Laws and Regulations, Part B: Regulatory Practices and Procedures, and Part D: Primary Licensing, Redomestications and Change of Control.

## Dates

January 14

## Continuing Education

Up to 1.5 credit, DRC, CPE

## Webinar

Regulator only

## What others have said:

Good, straightforward discussion of forthcoming accreditation requirements and the process of their development.

# Basic Derivatives

## Course Description

The Basic Derivatives non-instructor-led course is a primer on fundamental concepts that regulators can draw upon when reviewing derivative instruments. The course is composed of reading material, six brief lectures and other learning activities designed to equip regulators with the capabilities described in the learning objectives.

## Dates

One-week course

Start the first Monday of each month, beginning July 6

## Continuing Education

4 Credits

Internet-based  
Non-instructor-led  
Regulator only

What others have said:

I'm in the middle of obtaining a master's degree in financial engineering from Columbia University so this was helpful in seeing the insurance industry's use of various derivatives.

# The Basics of Investing

## Course Description

The Basics of Investing is a practical primer on fundamental investment concepts regulators draw upon when reviewing insurance company portfolios. Complementary to NAIC's How to Analyze Insurer Investment Portfolios course, The Basics of Investing applies a laser-like focus on the finer points of investment principles such as the primary goals of investing and investment returns.

This online course is composed of eight instructional units:

- Fundamental Drivers of Investment Analysis
- Investment Analysis & Tools
- Investment Returns
- Investment Selection
- Portfolio Theory
- Bonds
- Structured Securities
- Other Asset Classes
- Stock Investments
- Derivatives

## Dates

May 3-10

## Continuing Education

14 credits, PIR, DRC

Internet-based  
Instructor-led  
Regulator only

What others have said:

I learned a great deal about the investing processes and how the economic environment affects investing decisions.

# Best Practices in Company Licensing

## Course Description

This course provides an overview of the Uniform Certificate of Authority Application (UCAA) Company Licensing process. You will learn about best practices for submitting and reviewing Primary, Expansion and Corporate Amendment licensing applications, as well as the securities and safeguards around the UCAA process.

The following topics are covered in the course:

- Why License Insurance Companies?
- The Company Licensing Process
- Safeguards and Security Measures
- Review of a Primary Application
- Review of an Expansion Application
- Review of a Corporate Amendment Application

## Dates

Start the first Monday of each month, beginning February 1

## Continuing Education

14 credits, PIR, DRC

Internet-based  
Non-instructor-led  
Regulator only

What others have said:

I enjoyed it and will definitely be taking more courses from the NAIC in the near future.



# Capital Markets Quarterly Update

## Course Description

The Capital Markets Bureau is comprised of a team of experienced financial services professionals who provide support to state insurance departments in terms of capital markets research and insurance company investment activities. The objective of these calls is to give you the benefit of insight and experience from experts following the capital markets, especially as they relate to insurance companies and insurance regulation.

## Dates

March 17

June 11

September 15

December 10

## Continuing Education

1 credit, DRC, CPE

Webinar

Regulator only

What others have said:

Following the presentation, I had a good discussion with my supervisor about the points presented in the webinar and what we should be doing in our examinations of companies. I loved the insights. Thank you for such a good and timely presentation.

# Climate Change and Risk-Focused Examinations

## Course Description

This intermediate-level one-week course provides an overview on the types of risks insurance companies face in relation to severe weather and climate change. It is designed for mid- and senior-level financial examiners in state insurance departments.

Through their study, examiners will develop a better understanding of climate change concepts, the various ways climate changes impact the insurance industry and, in turn, insurance regulation. The class will explore how solvency risks can arise in an insurer's underwriting, investment, and reinsurance practices as a result of this impact. Additionally, the course will cover the effects on solvency when these three risk areas overlap.

## Dates

One-week course

Start on any Monday, beginning February 1

## Continuing Education

6 credits, DRC

Internet-based  
Non-instructor-led  
Regulator only

What others have said:

A very informative course and hope to apply this knowledge in near future.

# Company Licensing Application Review Process

## Course Description

This two-week course provides a detailed look at the process for reviewing a Uniform Certificate of Authority Application (UCAA) and includes content for all application types; Primary, Redomestication, Expansion, and Corporate Amendments. The content includes a regulatory review process that covers checking the application for completeness, identifying red flags of issues or concerns, identifying areas of the application where follow-up with the Applicant Company may be necessary, verifying if a company is well capitalized to write business in your state, and making a recommendation for approval or denial of the application.

## Prerequisite

It is strongly recommended that you complete the NAIC course Best Practices in Company Licensing before registering for this course.

## Dates

Start the first Monday of each month, beginning February 1

## Continuing Education

26 credits, PIR, DRC

Internet-based  
Instructor-led  
Regulator only

## What others have said:

This course was very helpful in adding to my knowledge of processing primary and expansion applications. It helped me see what I am reviewing in a different way and understand how my analysis of the applications is very crucial to the licensing process.

# Consumer Assistance Training

## Course Description

If you are a consumer services representative or interested in improving the effectiveness with which you manage the complaint handling process from start to finish, this course should be an essential part of your preparation. You will learn how to process complaints, gain familiarity with complaint codes, learn why proper complaint coding is essential for effective regulation, and identify when to communicate issues with various divisions of your insurance department to ensure that consumers receive excellent service and that uniformity in complaint handling is achieved.

## Dates

February 1-8

July 12-19

November 8-16

## Continuing Education

14 credits, PIR, DRC

Internet-based  
Instructor-led  
Regulator only

What others have said:

I find these courses very beneficial and encourage any employee to consider taking them whether it is in their job description or not.

# Corporate Securities

## Course Description

Few people set out to behave unethically, but circumstances sometimes arise that can present dilemmas insurance professionals must confront and resolve while keeping their personal integrity intact. Our field is under intense scrutiny. To be effective, and to ensure our activities are always above board and compliant with established ethical standards, we need to become familiar with general codes of conduct, guidelines, policies and laws in place that are designed to govern behavior.

## Dates

One-week course

February 22 - March 1

## Continuing Education

8 credits, IPIR, DRC

Internet-based

Non-instructor-led

Regulator only

# Derivatives

## Course Description

The Derivatives course is structured around the following instructional units:

- Unit 1: Derivative Definitions
- Unit 2: Practical uses for Insurers
- Unit 3: Risks of Derivatives for Insurers

During the course, learners will participate in a variety of activities including lectures, skill builders exercises and quizzes. Material for the course has been provided by staff from the NAIC's Capital Markets and Investment Analysis Office in New York City.

## Dates

July 19-26

## Continuing Education

10 credits, IPIR, DRC

Internet-based  
Non-instructor-led  
Regulator only

# Effective Coaching Techniques for Financial Regulators

## Course Description

Do you ever find yourself wanting to give feedback to staff but you hold back because you're just not sure how to do it or how it will be received?

We've developed a class that's designed to help you in this area! The Effective Coaching Techniques class offers insight into the importance of coaching in the workplace and those points to consider when giving feedback or receiving feedback. The class also provides examples of effective supervisory review using both financial analysis and financial examination based situations, making the content directly applicable to what you do.

If you are in a supervisory role in your department or hope to be a supervisor one day, this class is one to consider!

## Non-Instructor-Led Dates

One-week course

Start any Monday, beginning February 8

## Instructor-Led Dates

One-week course

November 1-8

## Continuing Education

14 credits, DRC

Internet-based  
Non-instructor led  
or  
Instructor led  
Regulator only

What others have said:

Great class. Learned more about coaching and relationship building and examination development than I ever expected to. Thanks!

# Ethical Considerations of Insurance Companies

## Course Description

Few people set out to behave unethically, but circumstances sometimes arise that can present dilemmas insurance professionals must confront and resolve while keeping their personal integrity intact. Our field is under intense scrutiny. To be effective, and to ensure our activities are always above board and compliant with established ethical standards, we need to become familiar with general codes of conduct, guidelines, policies and laws in place that are designed to govern behavior.

## Dates

One-week course

Start any Monday, beginning March 1

## Continuing Education

2 credits, DRC

Internet-based  
Non-instructor-led  
Regulator only



# Ethical Considerations of State Insurance Regulators

## Course Description

Few people set out to behave unethically. But circumstances sometimes arise that present dilemmas state insurance regulators must confront and resolve while keeping their personal integrity intact. Our field is under intense scrutiny. To be effective, and to ensure our activities are always above board and compliant with established ethical standards, we need to become familiar with general codes of conduct, guidelines, policies and laws in place that are designed to govern behavior.

## Dates

One-week course

Start any Monday, beginning March 1

## Continuing Education

2 credits, DRC

Internet-based  
Non-instructor-led  
Regulator only

# Financial Analysis

## Course Description

The work of the financial analysts is critical to assessing an insurer's financial condition and identifying and assessing an insurer's current and prospective risks. To aid in this solvency monitoring, several analytical and assessment tools have been developed and maintained by the NAIC.

This course is designed to help analysts learn techniques for effective financial analysis, methods that employ the solvency monitoring tools and support the procedures outlined in the Financial Analysis Handbook.

For some, this class may offer new insight on financial analysis techniques. For others, the course may be a good refresher while providing ideas for areas of improvement.

## Dates

Two-week course

Start any Monday, beginning January 25

## Continuing Education

26 credits, PIR, DRC

Internet-based  
Non-instructor-led  
Regulator only

## What others have said:

The course was useful in solidifying my understanding of the analytical tools and approaches, and how the group level analysis and multi-state supervision have evolved.

# Financial Analysis Solvency Tools (FAST) Enhancements

## Course Description

The Financial Analysis Research and Development (E) Working Group and the Financial Analysis Handbook (E) Working Group of the NAIC are sponsoring a webinar to update and train financial analysts on recent revisions to the Financial Analysis Handbook and other financial analysis applications in I-SITE.

## Dates

January 26

## Continuing Education

Up to 1.5 credits, DRC, CPE

Webinar

Regulator only

What others have said:

Very good webinar and an excellent presentation by all the speakers. I truly appreciated the webinar for focusing attention on what needs to be done (and the explanations of what not to do).

# Financial Condition Examiners Handbook Update

## Course Description

The NAIC will be presenting a webinar on 2019 Handbook Updates. This webinar is open to all state regulators and contractors who conduct analysis work.

## Dates

February 18, 23

## Continuing Education

1.5 credits, CPE, DRC

Webinar

Regulator only

What others have said:

The presenters were very effective in their approach, and the material presented was concise and clear. Very good presentation regarding the Handbook updates.

# Foundations of Insurance Regulation

## Course Description

Foundations of Insurance Regulation is a must-have professional development experience for insurance department staff just beginning their careers, or seasoned regulators desiring some exposure to a broad array of regulatory disciplines. This two-week course is also the perfect foundation on which to build a repertoire of regulatory skills and concepts taught in other NAIC courses such as Introduction to Financial Regulation and Regulation of Insurance Products.

## Dates

Two-week course

Start the first Monday of each month, beginning February 1

## Continuing Education

26 credits, APIR, DRC

Internet-based  
Non-instructor-led  
Regulator only

What others have said:

The discussions are always interesting since there are entry-level employees along with seasoned vets that have different viewpoints.

# How to Analyze Insurer Investment Portfolios

## Course Description

How to Analyze Insurer Investment Portfolios is designed to improve students' analytical skills and walk them through the tools available to financial examiners and analysts who analyze insurer investment portfolios. This course includes an update on investment products and trends relevant to insurer portfolios. Participants will discuss the reporting of invested assets as well as underlying risks that are not readily apparent.

This course is intended for financial examiners and analysts, but any interested regulator is welcome to participate.

## Date

TBD

## Continuing Education

12 credits, PIR, DRC

3 credits, CPE

Internet-based  
Instructor-led  
Regulator only

## What others have said:

NAIC did a good job organizing this course for analysts. It was very helpful, and I hope we have more of such courses in the future.

# Introduction to Critical Thinking

## Course Description

“Critical thinking” is a term that’s heard a lot in business settings. Employers want to hire people who can think critically. But what does that actually mean? What is it that critical thinkers do that elevates the level of their thinking that a non-critical thinker does not?

This regulator-only class will explore what it means to be a critical thinker. It will cover the components of the thought process, ways to evaluate how we think, and the role inquiry plays in critical thinking. Anyone who wants to look at “thinking” differently and learn the traits of a critical thinker will benefit from this overview class.

## Dates

One-week course

Start any Monday, beginning January 11

## Continuing Education

2 credits, DRC

Internet-based  
Non-instructor-led  
Regulator only

## What others have said:

The class was more difficult than I thought it would be. I really had to think about the responses so I guess that was the intent. Thanks! I got a lot out of this class and will be using that information to enhance my job skills.

# Introduction to Financial Regulation

## Course Description

Are you a new financial examiner or analyst looking for a course designed just for you? If you have been in financial regulation two years or less, plan to enroll today in Introduction to Financial Regulation. Through this introductory course, you will gain an overview of several key areas of financial regulation:

- Differences between SAP & GAAP
- Assets and liabilities
- The P&C and life annual statements
- Tools available to you as examiners & analysts
- The financial analysis process
- The risk-focused examination process

## Dates

Three-week course

Start the first Monday of each month, beginning February 1

## Continuing Education

38 credits, APIR, DRC

Internet-based  
Non-instructor-led  
Regulator only

What others have said:

I enjoyed taking this course. I have a very limited background of financial regulation, and this course has taught me a great deal as to how financial regulation works and the role played by examiners and analysts.



# Market Analysis Techniques

## Course Description

Regulators interested in learning more about the core duties for state market analysts as outlined in the Market Regulation Handbook will not want to miss this important course. Participants will gain hands-on experience navigating, extracting, and analyzing data from NAIC databases, as well as experience running reports from the MIS.

This course will provide a detailed focus on the analysis of complaint data and complaint ratios, an in-depth look at the company market analysis profiles, and an explanation of the relevance of financial data to market analysis. Participants will learn through lectures and case studies what regulatory action should be initiated in response to identified problems at a company.

## Dates

April 5-26

October 4-26

## Continuing Education

38 credits, PIR, DRC

Internet-based  
Non-instructor-led  
Regulator only

What others have said:

I find this course necessary for anyone who plans to perform market analysis as it has been developed. The manual provides a great reference tool for the future to reinforce items learned throughout the course.

# Market Conduct Annual Statement

## Course Description

This two-day course will cover all aspects of the Market Conduct Annual Statement (MCAS). Participants will learn the basic history of the MCAS and the process for collecting MCAS data. They will learn about the lines of business and data elements collected through the MCAS, and they will gain an understanding of the roles of NAIC staff and state regulators during the MCAS collection period. The course will also cover MCAS analysis techniques using iSite+ tools and the identification of outliers.

This course is designed for analysts new to market analysis or those wanting to learn methods for incorporating MCAS data into their analysis.

## Dates

May 13-14

## Continuing Education

11 credits, DRC

Classroom  
Regulator only

What others have said:

I liked seeing some of the new technologies that may be available to make analysis more user-friendly going forward.

# Market Conduct Examinations

## Course Description

This three-week online course will cover all aspects of the Market Conduct Examination. Participants will learn how to use the Market Regulation Handbook when conducting an examination, determine logistical and administrative requirements for an efficient examination, and identify required elements of a Market Conduct Examination Report. The course will also cover how to successfully close a Market Conduct Examination and ensure a confident mindset through the examination process.

## Online Only Dates

January 4-25

November 1-22

## Hybrid Course Dates

May, meet in Kansas City, MO

## Continuing Education

38 credits, PIR, DRC

Internet-based  
Instructor-led / Hybrid  
Regulator only

## What others have said:

The class was very interesting, informative and worthwhile. I would recommend this online course as a prerequisite to any examiner before conducting the first examination of a company, agency, affiliate of the company, a producer and the like.

# Mental Health Parity

## Course Description

This Mental Health Parity course was developed to provide regulators an in-depth overview on mental health parity and topics that are currently being discussed in this area.

- Unit 1: Introduction to Mental Health Parity Federal Law
- Unit 2: Financial Requirements and Quantitative Treatment Limits (QTLs)
- Unit 3: Overview of State Filings
- Unit 4: Non-Quantitative Treatment Limit Requirements
- Unit 5: State Panel

During the course, learners will participate in a variety of activities including lectures, skill builders exercises and quizzes. Subject Matter Experts for this course are regulators from around the country.

## Dates

February 22 - March 1

## Continuing Education

14 credits, DRC

Internet-based  
Instructor-led  
Regulator only

# Municipal Securities

## Course Description

The Municipal Securities course includes the following units:

- Unit 1: Introduction
- Unit 2: Financial Guarantors and the Municipal Bond Market
- Unit 3: Municipal Default and Bankruptcy
- Unit 4 Fiscal Challenges Facing States and Local Governments

During the course learners will participate in a variety of activities including lectures, skill builders, discussions and quizzes.

Material for this course was developed by staff from the NAIC's Capital Markets and Investment Analysis Office located in the heart of New York City's Financial District. The Capital Markets & Investment Analysis Office examines the credit quality and value of insurer's investment portfolios for the benefit of the regulatory community.

## Dates

One-week course

Nov 8-16

## Continuing Education

8 credits, IPIR, DRC

Internet-based  
Non-instructor-led  
Regulator only

# New Financial Regulator Training

## Course Description

Are you new to financial regulation and interested in an opportunity to learn best practices from experienced regulators as well as network with new regulators in other states through a live setting? If you have been involved in financial regulation of insurers for three years or less (regulators or contractors), plan to enroll today in the NAIC's Live New Financial Regulator Training taking place October 6-8, 2020 at the NAIC Central Office in Kansas City, MO.

## Dates

June

## Continuing Education

DRC, CPE

Classroom  
Regulator only

# Other Investment Practices

## Course Description

During the Other Investment Practices course you learners will participate in a variety of activities such as lectures, skill builder exercises, Capital Markets Special Report reviews, and accountability partner discussions. Topics covered during this course include:

- Unit 1: Securities Lending
- Unit 2: Insurer Exposure to Securities Lending
- Unit 3: Repurchase Agreements
- Unit 4: Recent Trends

Material for this course was developed by staff from the NAIC's Capital Markets and Investment Analysis Office located in the heart of New York City's Financial District. The Capital Markets & Investment Analysis Office examines the credit quality and value of insurer's investment portfolios for the benefit of the regulatory community.

## Dates

One-week course

Oct 7-14

## Continuing Education

6 credits, IPIR, DRC

Internet-based  
Non-instructor-led  
Regulator only

# Practical Manager Program

## Course Description

The NAIC's Practical Manager Program is an interactive workshop designed specifically for managers, supervisors, and executive-level leaders within state insurance departments. This SPIR-level course uses real world examples and engaging, up-to-date content to develop effective leaders for state departments of insurance.

## Modules

- Achieving Results through Others
- Appraising Performance
- Feedback and Difficult Discussions
- Goal Planning & Execution
- Leading Performance Change through Training
- Managing Tasks and Priorities
- Personal Leadership
- Staff Development for more Agile Teams
- Taking the Lead

Note: This program can also be customized to meet your department's needs. Visit the Practical Manager Program webpage or contact Melissa Griffin at [mlgriffin@naic.org](mailto:mlgriffin@naic.org).

Continuing Education  
SPIR

Classroom  
Instructor-led  
Regulator only

What others have said:

This course is exactly what it says it is—practical. Managers at all levels can gain insight and helpful strategies to manage their employees as well as their own workload more effectively.



# Regulating for Solvency

## Course Description

This class is designed to help experienced financial regulators hone their critical thinking skills in identifying and assessing the risks that threaten a company's current and prospective solvency, and then determining the action that should follow. In a broad sense, this class is about taking the information that you know about an insurer, understanding the implications of that information, and determining your next steps as an examiner or analyst.

The class begins with a foundational unit that addresses how solvency is assessed, the key causes of insolvency, and regulatory tools used when identifying and addressing critical risks within the U.S. Solvency Framework Core Principles. The remaining units then address specific risks, the risks that have the tendency to cause the most problems, ones that tend to repeat themselves over and over through different economic cycles.

Note: This class is designed for state insurance financial examiners and analysts with a minimum of three years' experience.

## Dates

August 2-16

October 4-19

## Continuing Education

26 credits, PIR, DRC

Internet-based  
Instructor-led  
Regulator only

What others have said:

I found the class to be very informative. It provided a good overview of the many tools that can be used by regulators when monitoring the solvency of an insurer. It also provided information on other issues relating to solvency.

# Regulating Risk Retention Groups

## Course Description

This class is designed to expose you to a more specialized set of concepts and skills thereby preparing you to better regulate risk retention groups (RRGs), whether you're a financial analyst, product filing or financial examiner, regulatory attorney, or property/casualty actuary.

## Dates

October 18-November 1

## Continuing Education

26 credits, PIR, DRC

Internet-based  
Instructor-led  
Regulator only

What others have said:

I found the threaded discussions to be the most interesting. It was very enlightening to see other's positions on issues of controversy.

# Regulation of Insurance Products

## Course Description

How do insurers price the products they sell? How do insurance products differ from other financial services offerings? How do regulators evaluate property and casualty rates submitted by insurers? Since life insurance rates are not regulated, what do regulators do to monitor the sales of life insurance products? Why do states vary in their approaches? So many questions—and we have the answers in this course designed especially for regulators!

Rate and policy form examiners, market analysts, and legal staff will want to attend to learn how to review insurance contracts and acquire the know-how needed to effectively use such regulatory efficiency tools as SERFF, the review standards checklists, uniform product naming standards, and filing metrics.

## Dates

Two-week course

Start the first Monday of each month, beginning February 1

## Continuing Education

26 credits, APIR, DRC

Internet-based  
Non-instructor-led  
Regulator only

What others have said:

This provides us with the necessary framework to face the daily issues and align our direction towards our mission as regulators.

# Risk-Focused Examinations

## Course Description

Learn the basics of the risk-focused exam process in this course for all new examiners.

We have designed the course to teach you the fundamental principles and processes associated with risk-focused examinations. After completing this course, you will be able to better help your state conduct effective financial examinations by focusing your procedures on the areas of greatest risk.

## Dates

Two-week course

Start any Monday, beginning March 15

## Continuing Education

26 credits, PIR, DRC

Internet-based  
Non-instructor-led  
Regulator only

What others have said:

As a field examiner my primary job is doing risk focus examinations, so this course is invaluable towards that objective.

# Risk-Focused IT Review

## Course Description

The examination of information technology (IT) utilized by an insurer is an important part of the examination process. As such, a formalized process to complete a general IT review is included in the Financial Condition Examiners Handbook to assist the IT examiner in completing this important piece of the financial condition examination.

This course provides an overview of the IT review process and tools used to complete the review. The course will not only be an overview, but will also give regulators a chance to review its application in real-life situations.

All financial examiners and IT examiners with limited experience in utilizing the IT review process, as well as other regulators\* who wish to gain a better understanding of the process and tools utilized in examining an IT environment, will benefit from this course.

\*Some experience in conducting a financial examination is expected.

## Dates

October 12-26

## Continuing Education

26 credits, PIR, DRC

Internet-based  
Instructor-led  
Regulator only

What others have said:

I would recommend this course to financial examiners as a cross-training exercise.

# 7 Professional Writing Secrets

## Course Description

Do you struggle to write reports, emails, proposals? Learn to write docs 50% faster—and save 1-2 hours/week with these 7 writing tricks used by professionals, from award-winning national writing expert Paula Peters. In this fast-paced, interactive seminar, you will learn to write better, faster, easier—for any document. Plus, you'll learn how people read content today (hint: it's different from 5 years ago!). Paula has taught executives and officers from U.S. Strategic Command, Capitol Hill, Broadway, the Pentagon—and will show you the “insider” tricks of the trade.

## Dates

One-week course

Start the first Monday of each month, beginning February 1

## Continuing Education

8 credits, DRC

The NAIC Education & Training Department is excited to partner with Peters Writing Services, Inc., in the offering of this course for a \$295-\$375 fee.

Pricing varies upon course selection.

Internet-based  
Non-instructor-led  
Regulator only

# Situational Leadership

## Course Description

Situational Leadership®: Building Leaders introduces participants to the Situational Leadership® Model and equips leaders with the necessary tools to skillfully navigate the demands of an increasingly diverse workforce and evolving global marketplace. Widely adaptable to any circumstance, Situational Leadership® prepares leaders to meet the moment-to-moment challenges pervasive in today's work environments.

Through a combination of instructor-led training, role-playing and skill-building activities, Situational Leadership®: Building Leaders provides ample opportunity to practice applying the core tenets of the model. Participants learn to effectively manage by immediately prioritizing broad actions into specific tasks and utilizing the tools that indicate each individual's ability to perform.

## Dates

TBD

## Continuing Education

DRC

The NAIC Education & Training Department is excited to partner with The Center for Leadership Studies in the offering of this special course for a \$180 fee.

Classroom  
Regulator only

# Surplus Lines

## Course Description

What is Surplus Lines? Simply put, Surplus Lines insurance exists to provide coverage that cannot be filled in the regular admitted market. It might be because the risk is unique or unusual and the traditional insurers decline to write the policy.

That's when the Surplus Lines market steps in. The NAIC in conjunction with the Wholesale & Specialty Insurance Association (WSIA), formerly known as NAPSLO, offers a course designed especially for state insurance regulators to help them understand the Surplus Lines market: its purpose, how it evolved, how it operates, and how it is regulated. Join other regulators for instruction from and interaction with NAIC and NAPSLO Subject Matter Experts during this fascinating one-week course!

## Dates

November 15-22

## Continuing Education

14 credits, PIR, DRC

Internet-based  
Instructor-led  
Regulator only

What others have said:

It was very informative and has given me a better understanding of how the surplus lines market works.



# Understanding the Federal Legislative & Regulatory Process

## Course Description

Learn how a bill really becomes a law... and so much more!

What strategies are applied to influence legislative and regulatory processes? What statutes are in place to coordinate federal and state regulation of insurance? What role does the NAIC play? If you have ever been confused by the complexities associated with establishing public policy, this is a course you won't want to miss. This one-week course is taught by Government Relations Staff from NAIC's Washington, DC office.

## Dates

October 12-19

## Continuing Education

14 credits, PIR, DRC

Internet-based  
Non-instructor-led  
Regulator only

## What others have said:

From taking this course I was able to obtain a more in-depth understanding of how federal legislation and the regulatory process work in conjunction with one another.

# US Government Securities

## Course Description

Government Securities course provides an overview of Government Securities and examines risks currently facing this class of assets. U.S. Government Securities include; U.S. Treasuries, U.S. Agency Debt, and securities issued by Government Sponsored Entities, such as Fannie Mae, Freddie Mac and the Federal Home Loan Banks.

During the course, learners will participate in a variety of activities including lectures, skill builders exercises and quizzes. Material for the course has been provided by staff from the NAIC's Capital Markets and Investment Analysis Office in New York City.

## Dates

One-week course

Start any Monday, beginning March 1

## Continuing Education

8 credits, DRC

Internet-based  
Non-instructor-led  
Regulator only

# Annual Statement Investment Schedules

## Course Description

If you are responsible for preparing the annual statement investment schedules and would like more concentrated discussion and study of Schedules A, BA, B, D, DA, DL and E, this course is highly recommended!

Through comprehensive text materials, online instructor-facilitated discussions, and virtual practice exercises, you will obtain the knowledge you need to accurately report your company's investments. You should have at least one year of experience in financial reporting to benefit fully from this course.

## Dates

November 1-8

December 6-13

## Non-Regulator Tuition

\$495

## Continuing Education

14 credits

Internet-based  
Instructor-led  
Public

What others have said:

Overall this was a very good course for beginners as well as for those individuals that needed a refresher course (as I did). Anyone who will be doing the investment reporting for their company will benefit from taking the course.

# Basic Fraud Investigations

## Course Description

This two-week course is designed to assist state insurance officials in detecting, monitoring, and investigating insurance fraud, both by and against consumers. Participants will learn basic terms and concepts, how to use available fraud databases provided by the NAIC and other online search tools in their investigations, and how to investigate agent and consumer fraud. Healthcare and workers compensation will be major areas of focus. Legal considerations will also be highlighted.

## Dates

Two-week course

Start the first Monday of the month, beginning February 1

## Non-Regulator Tuition

\$445

## Continuing Education

26 credits, PIR, DRC

Internet-based  
Non-instructor-led  
Public

What others have said:

This was the first time for me to do a course in this format, and I found it to be very helpful, thought-through and comprehensive.

# Basic Reinsurance

## Course Description

If learning more about reinsurance is on your professional to-do list, then don't miss the opportunity to sign up for this comprehensive one-week online course.

You will come away with an overall better understanding of reinsurance, the role it plays, why it is needed in the market, how it is used and how it is regulated through units that cover:

- An Introduction to Reinsurance
- The Forms, Methods and Types of Reinsurance
- Reinsurance Contracts
- Risk Transfer
- Annual Statement Reporting
- Current Issues

## Dates

June 14-21

October 4-12

## Non-Regulator Tuition

\$495

## Continuing Education

14 credits, PIR, DRC

## Internet-based Instructor-led Public

### What others have said:

I have relayed what I learned to my reinsurance manager, and they are very impressed with what I have learned from just one basic course.

# Core Legal

## Course Description

This two-week course is designed to acquaint attorneys new to state regulation with the various laws that govern the insurance industry. The course begins with a historical presentation of milestones and court cases that have shaped our current understanding of insurance and the business of insurance. Attorneys who want a broader understanding of their role within the state regulatory framework should not miss the opportunity to participate in this course.

This course is designed primarily for attorneys and other professionals with less than five years of experience in insurance regulation or compliance. However, veteran attorneys may also benefit from information provided within this course by NAIC legal staff.

## Dates

Two-week course

Start any Monday, beginning March 1

## Non-Regulator Tuition

\$445

## Continuing Education

26 credits, PIR, DRC, CLE

Internet-based  
Non-instructor-led  
Public

What others have said:

There is a lot of information, and it was a welcome challenge. I am sure in the years ahead I will recall this course as an excellent primer.

# Health Annual Statement Preparation

## Course Description

Join us for a comprehensive two-week online course that will provide interactive guided practice in completing the Health Annual Statement.

Learn the Health Annual Statement completion process while experiencing a walk through of the various schedules and exhibits.

Health Annual Statement Preparation is designed for individuals with one to five years of experience in the preparation, analysis or auditing of the health annual statement.

## Dates

September 20-October 4

## Non-Regulator Tuition

\$595

## Continuing Education

26 credits

Internet-based  
Instructor-led  
Public

What others have said:

I found this class challenging but very worthwhile. I feel prepared to tackle the Health Annual Statement for the first time. Many thanks.

# How to File Securities with the SVO

## Course Description

If you are new to filing securities with the Securities Valuation Office (SVO) or if you have some experience filing but would like a refresher, this course is for you! Filing delays can create inefficiency and frustration for filers. The NAIC has designed a one-week online course that helps take the guesswork out of your security filings and helps eliminate delays in filings that can result from inexperience with using the filing system and with using the available resources. By providing helpful hints and explaining the roles of each party, such delays can be minimized and efficiency increased.

When you have completed the course, you will be able to explain why you need to file securities, what is to be filed, what is not to be filed, when you should file and, most importantly, the necessary information to include with your submissions.

## Dates

One-week course

Start any Monday, beginning July 6

## Non-Regulator Tuition

\$295

## Continuing Education

10 credits, DRC

Internet-based  
Non-instructor-led  
Public

What others have said:

This course has taken the mystery out of filing. I feel more confident and look forward to start filing. Filing is part of my development plan, and I have gained the necessary skills thanks to this course.



# Interest Maintenance Reserve Asset Valuation Reserve (IMR/AVR)

## Course Description

Increase your understanding of the Interest Maintenance Reserve and the Asset Valuation Reserve (IMR/AVR) by taking this special one-week online course designed for insurance company staff who prepare the life or fraternal annual statement and for state insurance department employees who audit or analyze these statements. It provides accounting guidance and instructions for completing the annual statement pages.

## Dates

One-week course  
November 15-22

Non-Regulator Tuition  
\$495

Continuing Education  
14 credits

Internet-based  
Non-instructor-led  
Public

What others have said:

This course worked well for me; it allowed me to work at my own pace while continuing to complete assigned tasks as part of my job.

# An Introduction to the Insurance Industry and its Regulation

Text / Test course  
Public

## Course Description

The Introduction to the Insurance Industry and its Regulation course serves as an orientation to the fundamentals of insurance for new regulators and insurance industry professionals. Through independent study, you will be introduced to such topics as the role of insurance in our economy, insurance and the management of risk, and insurance product lines, among others.

This is a six-week text-based course. You will study the text An Introduction to the Insurance Industry and its Regulation and then complete an online exam. You have two attempts to successfully complete the exam, and both attempts must be completed within the six-week time frame.

## Dates

Six-week course

Start any Monday, beginning February 1

## Non-Regulator Tuition

\$295

## Continuing Education

10 credits, DRC

# Introduction to Statutory Accounting Principles

## Course Description

If you or your staff are looking for the perfect primer on statutory accounting, there is simply no better training source than the NAIC and our Introduction to Statutory Accounting Principles course!

This course is designed for those who are new to statutory accounting or have very limited (2 years or less) experience with the application of statutory accounting principles.

## Dates

Two-week course

Start any Monday, beginning March 1

## Non-Regulator Tuition

\$445

## Continuing Education

26 credits, DRC

Internet-based  
Non-instructor-led  
Public

What others have said:

I was very impressed with how well the information in this course was taught. I would definitely recommend this course to any of my coworkers as well as anyone who is currently working in the insurance industry.

# Life Annual Statement Preparation

## Course Description

NAIC's Life Annual Statement Preparation class is the latest addition to a suite of courses with annual statement themes. This two-week course offers the most up-to-date statutory accounting and reporting requirements, along with a fundamental understanding of statutory accounting principles (SAP) and the differences between SAP and Generally Accepted Accounting Principles (GAAP). You will learn about Assets, Liabilities, Risk-Based Capital and Reinsurance as they pertain to filing the life blank. This class is designed for those with up to five years experience working with the life blank, whether in reporting, analyzing or auditing.

## Dates

Two-week course  
September 27-October 12

## Non-Regulator Tuition

\$595

## Continuing Education

26 credits

Internet-based  
Non-instructor led  
Public

## What others have said:

I plan to send staff from my team to this course in the future. I found this to be the most useful learning experience I've had in a long time, and I know others in my group would greatly benefit from it as well.

# Market Conduct Annual Statement (MCAS) Online Industry Training

## Course Description

This one-week non-instructor-led online course provides a comprehensive walk-through of the MCAS filing process for those who are new to the process or need a refresher.

You will gain an overview of several key areas of the MCAS submission:

- Resources available for MCAS filers
- Understanding user administration
- Guidance on the use of the automated waiver and extension process
- Instructions and helpful tips on manually entering the MCAS data
- Analyze MCAS messages
- Uploading a CSV file

## Dates

March

March-April (7 sessions)

May

## Non-Regulator Tuition

\$95

Webinar

Internet-based

Non-instructor-led

Public

# MCAS: Online Submission Tool for 2021

## Course Description

New for 2018 Data Year Submissions: Lender-placed auto and homeowners MCAS data will be collected for the first time beginning with the 2018 data year.

Learn about the NAIC's MCAS Online Submission Tool and how to effectively use the online application to submit your health and lender-placed filings. MCAS data submissions are required for all companies licensed and reporting at least \$50,000 of lender-placed auto and homeowners and health earned premium for all coverages reportable in MCAS (includes both in-exchange and out-of-exchange) within any of the participating MCAS jurisdictions.

Dates (Disability Income)	Dates (Private Flood)	Dates (Health Filings)
March 11	March 17	March 30
April 8	April 6	April 14

Non-Regulator Tuition  
Fee

Webinar  
Non-instructor-led  
Public

# Producer Licensing

## Course Description

This course takes you from the beginnings of producer licensing through the integration of current policies and processes and up to initiatives that are on the horizon. The course is an excellent learning opportunity for licensing analysts, consumer service analysts, market conduct examiners, fraud investigators or anyone interested in learning more about producer licensing and the important policies and technology shaping its future.

This course will encompass the following topics:

- The History of Producer Licensing
- Licensing Reciprocity and Uniformity
- State Licensing Process
- The Products and Services of NIPR
- Future NAIC Activities

## Dates

February 8-15

October 18-25

## Non-Regulator Tuition

\$495

## Continuing Education

14 credits, PIR, DRC

Internet-based  
Non-instructor-led  
Public

What others have said:

The course is a worthwhile effort, and I would recommend it to others here at the department, even for people who do not work in licensing.

# Property/Casualty Annual Statement Preparation

## Course Description

Learn the most up-to-date statutory accounting and reporting requirements for property & casualty insurance without ever leaving your office!

After completing this two-week class, you will gain a fundamental understanding of statutory accounting principles, statutory filing requirements and risk-based capital. You will see how the investment schedules data flows through the other parts of the statement and learn the impact reinsurance has on the insurance business and the required reporting. A sample P/C annual statement will be used throughout to support your learning.

## Dates

September 13-27

## Non-Regulator Tuition

\$595

## Continuing Education

26 credits

Internet-based  
Instructor-led  
Public

What others have said:

The class is actually exceeding my expectations. I have taken several statutory classes, but none through the NAIC. I feel these have been much more explanatory than other classes I have taken.



# Risk-Focused Exams: The Role of an Examining Actuary

## Course Description

If you are an actuary who supports risk-focused examinations, this course has been designed especially for you! Under the risk-focused examination approach, it is expected the examining actuary will be more involved throughout the examinations process. This course will prepare actuaries to be more effective in supporting examinations.

This course is open to appointed actuaries and interested parties (industry). Examiners-in-Charge and other supervising examiners may benefit from this training by gaining a better understanding of how they should be integrating the actuary into the examination team.

## Dates

One-week course

Start any Monday, beginning February 22

## Non-Regulator Tuition

\$345

## Continuing Education

14 credits, DRC

Internet-based  
Non-instructor-led  
Public

What others have said:

A well-prepared presentation. It helped to clarify the role of the actuary and how such role is coordinated with financial exam team.

# SERFF Training

## Course Description

The System for Electronic Rate and Form Filing (SERFF) team and NAIC Education & Training are bringing SERFF Training directly to you in a live, online format without an increase in price from the prior year. This training is offered by NAIC staff that has over 15 years experience in training SERFF to all state and industry users.

This NAIC instructor-led course is designed specifically for industry personnel associated with submitting electronic filings with the SERFF system. This hands-on training will enable you to better understand the SERFF application and the entire filing process.

## Dates

Multiple sessions are available.

## Non-Regulator Tuition

\$495

## Webinar

## Public

### What others have said:

Great coverage, very thorough. Being able to watch, listen and be hands-on was the best.

# Statutory Accounting and Reporting Issues Webinar Series

Webinar  
Public

## Course Description

Get up-to-date information directly from the source by participating in the 2018 Statutory Accounting and Reporting Issues Webinar Series!

Staff from the NAIC Financial Regulatory Services Division will explain the changes in 2018 that are published in the March 2019 Accounting Practices and Procedures Manual, as well as changes to annual statement reporting for annual 2019 and quarterly 2020.

If you prepare, analyze or examine statutory financial statements, these webinars will benefit you. These webinars offer something for those in all lines of business (property/casualty, life and health).

## Dates

July, September, December

## Non-Regulator Tuition

\$275

## Continuing Education

2 credits per webinar, DRC, CPE

## What others have said:

I feel the webinar was very helpful; it provided research resources that will be useful during quarterly/annual filing periods. I would surely enroll in another seminar of this nature.