Conference Call

MARKET CONDUCT EXAMINATION STANDARDS (D) WORKING GROUP
Thursday, July 20, 2017
1:30 p.m. ET / 12:30 p.m. CT / 11:30 a.m. MT / 10:30 a.m. PT

ROLL CALL

Bruce R. Ramge, Chair                      Nebraska                      Win Pugsley                      New Hampshire
Jim Mealer, Vice Chair                    Missouri                      Cliff Day                       New Jersey
Damion Hughes                            Colorado                      Robert McLaughlin               New York
Kurt Swan                                Connecticut                   Angela Dingus                    Ohio
Lee Backus/Sharon Shipp                   District of Columbia          Joel Sander                     Oklahoma
Mark Ossi/Debra Peirce                    Georgia                       Constance Arnold                 Pennsylvania
Doug Ommen                                Iowa                          Christina Rouleau                Vermont
Russell Hamblen                           Kentucky                      Julie Fairbanks                 Virginia
Rich Bradley                              Massachusetts                 Jeanette Plitt                   Washington
Paul Hanson                               Minnesota                     Mark Hooker                     West Virginia
Peggy Willard-Ross                        Nevada                       Rebecca Rebholz                  Wisconsin

AGENDA

1. Consider Adoption of its June 14 Minutes—Director Bruce R. Ramge (NE)  Attachment 1

2. Review and Consider for Adoption Closing Continuum Actions, July 13 Draft, for Inclusion in the Reference Documents of the Market Regulation Handbook—Director Bruce R. Ramge (NE)  Attachment 2

3. Review and Discuss Revisions to Chapter 2—Continuum of Regulatory Responses, July 13 Draft, for Inclusion in the Market Regulation Handbook—Director Bruce R. Ramge (NE)
   • Texas – July 10 Comments  Attachment 3

4. Review and Consider for Adoption Standardized Data Requests, June 7 Draft, for Inclusion in the Reference Documents of the Market Regulation Handbook—Director Bruce R. Ramge (NE)
   • Life Claims
   • Life Declinations
   • Life In Force
   • Life Replacements  Attachment 4

5. Review and Consider for Adoption Chapter 13—Standardized Data Requests, July 13 Draft, for Inclusion in the Market Regulation Handbook—Director Bruce R. Ramge (NE)
   • Washington – June 14 Comments  Attachment 5

6. Review and Discuss Revisions to Chapter 19—Conducting the Life and Annuity Examination Regarding Actuarial Guideline XLIX—The Application of the Life Illustrations Model Regulation to Policies with Index-Based Interest (AG 49), July 18 Draft, for Inclusion in the Market Regulation Handbook—Rhonda Ahrens (NE)  Attachment 6

7. Discuss an April 26 Proposed Compliance Risk Assessment Methodology Outline
   —Shelly Schuman and Tanya Sherman (INS Regulatory Insurance Services Inc)  Attachment 7

8. Discuss a Proposal Revised March 29 for Process Review Methodology
   —Director Bruce R. Ramge (NE)
   • Washington – June 14 Comments
   • NorthStarExams LLC – June 14 Comments  Attachment 8
9. Discuss Any Other Matters Brought Before the Working Group—*Director Bruce R. Ramge (NE)*

10. Adjournment