

Date: 9/06/17

Conference Call

MARKET CONDUCT EXAMINATION STANDARDS (D) WORKING GROUP

Tuesday, September 12, 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. Review and Consider Adoption of Regulatory Guidance for Closing Continuum Actions, Aug. 31 Draft, Attachment 1
for Inclusion in the Reference Documents of the *Market Regulation Handbook*
—*Director Bruce R. Ramge (NE)*
2. Review and Consider Adoption of Revisions to Chapter 2—Continuum of Regulatory Responses, Attachment 2
July 13 Draft, for Inclusion in the *Market Regulation Handbook*— *Director Bruce R. Ramge (NE)*
3. Review and Discuss Revisions to Chapter 19—Conducting the Life and Annuity Examination Attachment 3
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)*
 - Center for Economic Justice (CEJ) – Aug. 30 Comments
4. Discuss an April 26 Proposed Compliance Risk Assessment Methodology Outline Attachment 4
—*Shelly Schuman (INS Regulatory Insurance Services—INS) and Tanya Sherman (INS)*
 - CEJ – Aug. 30 Comments (See Attachment 3)
 - CEJ – July 19 Comments
5. Discuss a Proposal Revised March 29 for Process Review Methodology Attachment 5
—*Director Bruce R. Ramge (NE)*
 - CEJ – Aug. 30 Comments (See Attachment 3)
 - NorthStarExams LLC – July 20 Comments
 - CEJ – July 19 Comments (See Attachment 4)
6. Discuss Any Other Matters Brought Before the Working Group—*Director Bruce R. Ramge (NE)*
7. Adjournment

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