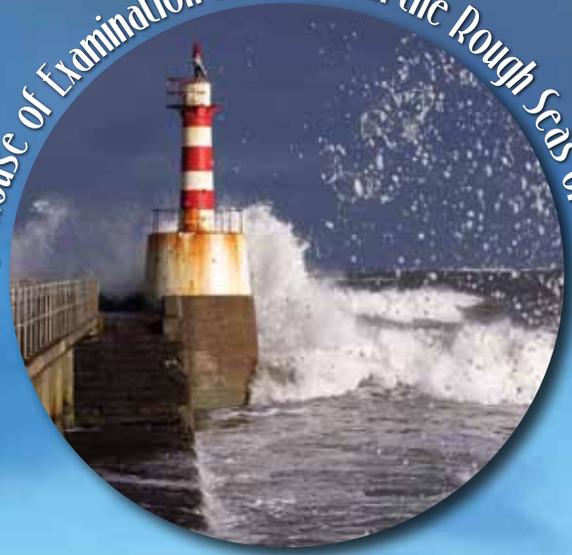


SOFE 2010

The Lighthouse of Examination Education in the Rough Seas of Business



Annual Career Development Seminar

August 1-4
Providence, RI
The Westin Providence

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Learning Objectives

Through lectures, roundtable discussions, and interactive formats, participants in the Society of Financial Examiners' 2010 Career Development Seminar will learn of the latest developments, current issues and new solutions in the areas of regulation of banks, insurance companies, and credit unions. Issues will include the risk-focused examination procedures, fraud detection, IT development, latest legislation, auditing, and new solutions in the regulation of insurance companies.

SOFE Pins

If you wear your SOFE pin to the 2010 CDS, your name will be entered into a drawing and there will be 10 chances to win a gift. You received a SOFE pin upon joining the Society as either a General Member or Associate Member and then upon receiving your AFE and CFE designations. If you cannot locate your pin, we will be selling them at the registration desk for \$5 each. And once you have this shiny, new pin, you can proudly wear it all the time.

Course Level

This seminar is offered for Intermediate and Advanced Financial Examiners. No advanced preparation or prerequisites are necessary, as this seminar will provide group-live delivery of updates and overviews of knowledge to which examiners are already exposed.

Total number of CRE hours 25

Total number of CPE hours available 103.2

FIELDS OF STUDY OFFERED:

Auditing	11.4
Behavior Ethics	1.8
Computer Science	19.8
Finance	8.4
Specialized Knowledge	61.8



The Society's Career Development Seminar is registered with the National Association of State Boards of Accountancy (NASBA) as a sponsor of continuing professional education on the National Registry of CPE Sponsors. State boards of accountancy have final authority on the acceptance of individual courses for CPE credit. Complaints regarding registered sponsors may be addressed to the National Registry of CPE Sponsors, 150 Fourth Ave. North, Suite 700, Nashville, TN 37219-2417. Website: www.nasba.org.

Housing Bureau

A housing bureau will be used to make hotel reservations for the 2010 Career Development Seminar. They will monitor the room block and assist SOFE in handling the reservations. Use of the housing bureau will add \$2 per room per night to your hotel bill. You cannot get a hotel room from the housing bureau until you have registered to attend the CDS program.

Hotel Information: The Westin Providence

One West Exchange Street
Providence, RI 02903



The hotel room rates are \$161 (\$159 plus \$2 housing fee) Single/Double Occupancy. Plus all room rates are subject to state, local and any occupancy taxes in effect at the time of the function. Current city tax is 13%.

You must register for your room online at www.sofe.org and you may only reserve your sleeping room after you have registered to attend CDS.

The "cut-off date" is June 30. Reservation requests received after the cut-off date will be based on availability at the Hotel's prevailing rates and will be credited to the Group's Guest Room Block.

Dress

The dress for this conference will be business casual. The hotel has informed SOFE that they usually keep the hotel very cool during the summer months. It is recommended that the participants dress in layers with jackets and sweaters available to adjust to cooler classrooms.

First-Time Attendee Special Registration Rate

There is a special rate for firms/departments that send two or more first-time attendees to CDS. If the firm/department sends two or more first-time attendees to the 2010 CDS, each attendee will receive a 25% discount on the applicable registration fee, whether they are a SOFE member or not. To register for this rate, please complete the appropriate box on the registration form and attach a list of the names of the other first-time attendees from your firm/department that qualifies you for this discounted rate.

Also, note that all first-time attendees are invited to attend the State Chair/First-Time Attendee Social on Saturday, July 31 from 7- 9:00pm. If you will be attending this function, please check the box on the Registration Form for the event.

Spouse/Guest/Youth Hospitality Registration

SOFE is pleased to offer a Hospitality Suite to the spouses, guests and youths of our attendees. The Hospitality Registration fee is \$90 per person if received by SOFE by or on July 2 and \$115 per person if received by SOFE after July 2. The following benefits are offered to Hospitality Registrants:

- * Access to the hospitality suite where spouse/guest/youth gather for networking, catching up with old friends, and making new ones
- * A place to relax and unwind or meet with friends to venture out to see the sights of Providence
- * A continental breakfast on Monday, Tuesday, and Wednesday in the hospitality suite
- * Sunday night social including:
 - ✓ Heavy hors d'oeuvres and host beer and wine bar
 - ✓ Entertainment for the evening

Please note that spouse/guest/youth registrations do not include breakfasts, lunches or coffee breaks with the conference participants. You may take advantage of the option to join the conference participants for these functions by registering for each of the individual functions you wish to attend on the registration form.

How to Register for CDS

All registrations must be online at <http://www.sofe.org/education/cds/>. If you need a copy of the form for purposes of payment by or reimbursement from your department/firm, you may complete the form online and just before hitting the submit button, you may print a completed copy of the registration form. You may then submit the form and indicate that payment will follow. Your registration form will not be processed until payment is received.

What does Registration Include?

The registration fees are:

	Received	
	By 7/2	After 7/2
Members of SOFE	\$510	\$610
Non-Member Examiners	\$650	\$750
Retired Members	\$300	\$400
Spouse/Guest/Youth	\$90	\$115

The fee for these categories includes the Sunday Social, seminar sessions, Monday lunch, Tuesday lunch, 3 breakfasts and all coffee breaks.

The registration fee for Spouse/Guest/Youth includes only the Sunday Social and the Hospitality Suite (*see the previous section for details on those benefits*). It does not include any of the meals offered to the attendees such as the breakfasts, lunches and coffee breaks. If you want to join the attendees for any of these meal functions, you must purchase these individually on the Registration Form.

Join us as for a "Taste of Rhode Island"

Join us as we set sail in the **Creative Capital** (Providence's nickname) to calm the stormy seas of examination. Navigate your way to the Ballroom at the Westin to join a "Taste of Rhode Island" which will take us on a journey through the rich and tasty history of The Ocean State. Our taste buds will travel through Block Island, Little Compton, and Federal Hill. We will enjoy Seafood Chowder, Steamed Littlenecks, Swordfish, Grilled Lemon Herb Chicken, Platters of Grilled Summer Vegetables, Penne Pasta, Grilled Pizza, and dessert to satisfy the sweet tooth in everyone. While you network and catch up with friends, wear your dancing shoes to enjoy the musical entertainment, and then take the elevator home.

SOFE will provide two drink tickets and a beer/wine cash bar will be available after drink tickets are used.

Things To Do In Providence



Providence has something for everyone. Roger Williams Park is a top-notch family attraction that has delighted generations of visitors. The park also contains waterways, walks, Botanical Center, a Carousel Village, Museum of Natural History and Planetarium. History buffs will revel in the city's rich and varied architecture, which ranges from Colonial to Modern, as well as landmarks such as the First Baptist Church in America. One of the city's most popular events is WaterFire. Recently named one of the Top 100 events in the country by the American Bus Association, WaterFire is a multi-sensory art installation, highlighted by a series of bonfires installed on the three rivers of downtown Providence. Held from May to October, WaterFire is at once enthralling and engaging, sure to inspire and entertain the whole family. From boutiques to department stores, Providence offers ample shopping. Connected to Westin Providence, Providence Place offers visitors a mall with more than 170 shopping, dining, and entertainment options. Funky urban chic can be found at one of the many boutiques on Thayer and Wickenden streets, both on the city's East Side. From the hip downtown neighborhood, to elegant Wayland Square and eclectic Federal Hill, there is lots to see and buy.

The Visitor's Center is able to assist in setting up tours for groups as small as 2-3. Some attractions you may want to see are:

Waterfire	Mile of History "Benefit Street"
Seasonal Events	Walking Tours
Harbor Tours	Scenic Waterplace Park & Riverwalk
Live Theatre Performances	Museums
Gondola Rides	Vineyards & Winery Tours
Culinary Tours	Music Festivals
Botanical Gardens	Roger William Park & Zoo

Please visit our web site highlighting some of the "not to miss" things in Providence at www.GoProvidence.com/Subsites/SOFE. You may also call *Sheila Lindemann*, Meeting Sales & Services Manager, Providence Warwick Convention & Visitors Bureau at (401) 456-0228 for information and to set up tours.



You are invited to a Special and Extended Session!

For **AES designees, IS Specialists** and *other interested parties.*

AUGUST 4 - 5

Understanding the COBIT Framework 

(Upon Which the New Exhibit C is Based)

When: Wednesday 1:00 pm – 5:00 pm &
Thursday 8:00 am – 12:00 pm

Please note that these two sessions are an extension of the two special sessions offered as part of the IT Track during the CDS. Those two sessions are on Wednesday morning at 8:55am and 10:45am. Although there is no attendance pre-requisite, it would be helpful to attend the two Wednesday sessions offered during CDS, if you plan to attend the post-conference sessions.

Purpose: To supplement knowledge and understanding of the COBIT Framework upon which the new Exhibit C is based.

Topics: IT Assurance Using COBIT

This workshop will address how to use COBIT for conducting IT assurance engagements, and will increase your understanding of the core concepts of control, IT assurance, and IT governance. The course is based on ISACA's IT Assurance Guide: Using COBIT®, (available as a free download at www.isaca.com) which serves as the basis for discussion and guidance on how COBIT can be used to support a variety of assurance activities, such as planning, scoping and assessing risks, and how to perform an assurance review of the COBIT processes. The workshop will conclude with a discussion on how to document and communicate the business impact of control weaknesses. The course is tailored to fit the 2 four-hour sessions for the SOFE Special Session..

Presenter: **Donald Caniglia**, CISA, CISM, CGEIT, FLMI, is a Senior Associate with *Jon Campbell & Associates* located in Tampa, FL, a regional provider of information management, internal audit, information security, and IT governance consulting services. He is a former information security analyst for Cummins Inc. A 30-year veteran of operational, financial and information systems auditing and a former audit director, Caniglia has developed and implemented IS audit departments for two financial institutions. He currently specializes in organizational Information Security Programs and IT Governance implementation. He is an energetic and popular speaker at ISACA conferences and seminars.

Cost: \$100 per person and the program is limited to 30 attendees.

**Financial Examiners
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SERVICES, INC.**

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PLATINUM LEVEL

FINANCIAL EXAMINERS EDUCATIONAL FOUNDATION

The **Financial Examiners Educational Foundation** is sponsoring the *Professional Series*, which is an Executive Development for Insurance Professionals track to discuss the new Risk-Focused Approach to financial examination and other current topics of interest to the insurance professional.



The Eide Bailly Difference

You can trust that Eide Bailly truly understands regulators' unique challenges, because our insurance team of more than 60 professionals is led by former regulators. We have the knowledge and skills to help regulators reach their goals. Clients appreciate our focused knowledge and understanding of current laws and regulations and our ability to deliver tailored solutions to meet their needs. Eide Bailly is recognized as a national leader in the insurance industry.



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For over a decade, **Huff, Thomas & Company** has provided insurance examination and consulting services to regulatory agencies and select industry clients. Financial Condition and Market Conduct examinations are the “core” services provided by HuffThomas. In addition, we offer consulting services for specialized issues and transactions, provide litigation support and expert witness testimony, and provide regulatory compliance expertise. Since our staff is comprised primarily of former insurance regulators, we understand the needs and requirements of regulators and the agencies they represent. Our team consists of professionals who hold one or more titles: CFE, CIE, AFE, AIE, CPA, CISA, CPCU, FLMI, MCM or other insurance specialties. In addition, our firm includes former SOFE President Cecil Thomas.

For professional services or employment opportunities, please contact our Kansas City office.

Neeraj Gupta, CFE – President

Phone: (816) 531-5727

E-mail: huffthomas@huffthomas.com

Web site: www.huffthomas.com

Dedicated to Insurance Regulation

The Regulatory Insurance Consulting Practice (RICP) within RSM McGladrey focuses on providing exceptional service to states. Depending on your needs, our professionals conduct comprehensive, risk-focused, combined (financial and market conduct) or targeted financial examinations.

RSM McGladrey is a nationally recognized leader in providing consulting services to insurance regulators. We bring multiple service lines together to provide excellent skills and seamless service to our clients. We are committed to train our customers and offer competitive pricing, outstanding experience, credentials and references. RSM McGladrey actively participates in NAIC national meetings and various committees. A majority of RSM McGladrey professionals hold memberships in regulatory trade associations and provide significant regulatory training sponsored at local and national levels.



- ✓ Our team includes individuals located nationwide, dedicated full-time to serving our regulatory insurance clients. They include ex-insurance regulators and CFE/AFEs, as well as numerous CIEs/AIEs, MCMs, CISAs, FLMI, MAAs, FCASs, CPCUs, CLUs, RHUs, CMAs, Certified Fraud Examiners, ARes and CIAs.
- ✓ We employ specialists in information systems, actuarial services, corporate governance, investments, reinsurance and regulatory solvency consulting.
- ✓ As necessary, we are also able to provide experienced Examiners-In-Charge and/or other levels of loan staff to your department, allowing you to use our resources to supplement your staff.
- ✓ We're focused on listening to your needs, then designing examination, consulting and training solutions that fit together with your budget and time.

For additional information on how the RICP can assist your state insurance department, or for more information on employment opportunities, please contact:

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We are proud to support SOFE in its mission of providing quality education to the regulatory community.

GOLD LEVEL



Examination Resources

Examination Resources, LLC is pleased to be a sponsor at the 2010 SOFE Career Development Seminar and to be a part of such an essential community of professionals.

Based in Atlanta, GA, Examination Resources, LLC (ER) has been providing financial and market conduct examination services, since 2002. With a staff of 24 full-time examiners and long term relationships with subject matter experts on a contract by contract basis, we have conducted over 250 financial and market conduct examinations during those eight years. The companies we have examined range in size up to \$100 billion in assets. ER also offers other regulatory consulting services involving administration supervision, rehabilitation, liquidation, re-domestication, solvency analysis, and mergers.

ER offers high-level expertise and experience in conducting examination services and emphasizes top notch performance and quality examination services with particular attention to detail and efficiency. ER has experience with both the traditional and the risk-focused examination approaches and has a team of examiners who are highly qualified, holding such designations as CFE, CPA, CPCU, FLMI, CIE, AIE, AES, CISA, ARe, ARM, and AIRC and represent a wide variety of professional backgrounds, including former regulators, CFOs, big 4 auditors and insurance industry professionals.

More important, ER places emphasis on value-added examinations targeted to help a state insurance department accomplish its mission of protecting the policyholders of the companies it regulates.

Please visit our website at www.examresources.net for more information about our firm or contact Rebecca Belanger-Walkins, Managing Member, (404) 816-6188, rebeccawalkins@examresources.net.



INS Regulatory Insurance Services, Inc.

Contact: Alan Shaw, President
Phone: (215) 625-2927
Fax: (215) 625-8323
Email: AShaw@insconsultants.org
<http://www.insris.com>

INS Regulatory Insurance Services, Inc. (InsRis) has been providing examination and related services to regulators since 1987. With over one hundred and twenty five (125) highly qualified regulatory professionals, we have been able to assist insurance regulators in fulfilling their responsibilities in the most efficient and cost-effective manner possible. Since InsRis works solely for Insurance Regulatory Agencies, utilization of our firm eliminates any potential conflicts of interest.

Our staff includes many former State employees familiar with the needs of regulatory agencies. InsRis provides assistance to regulators in virtually all areas of insurance regulation. The firm specializes in Risk-Focused Surveillance Examinations, Information Systems Technology, Actuarial Services (Property/Casualty and Life/Health), Reinsurance Services, Investment Services, Market Conduct Examinations, Market Analysis, Rehabilitations and Liquidations, and Financial Analysis. Our highly qualified staff includes Subject Matter Experts (SMEs) and individuals with the following credentials: CFE/AFE, CIE/AIE, MCM, CPA, ARe, CISA, AES, FLMI, FCAS/ACAS/MAAA, FSA/ASA/MAAA, CPCU, CLU, and CFE (Certified Fraud Examiners).

Our experts provide training and education (formal classroom and on-the-job) to ensure that regulatory agencies remain in compliance with accreditation standards.

InsRis is honored to be a sponsor of the Society of Financial Examiners 2010 Career Development Seminar and to assist in providing continuing professional education to the regulatory community.



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Invotex Group helps state insurance departments meet and overcome financial regulatory challenges and other often daunting and complex situations involving insurers, including some of the industry's very largest. The firm provides financial examinations and investigations, troubled company support, administrative supervision, rehabilitation and liquidation services, valuations, litigation services, and specialty services involving complex areas such as reinsurance, investments, claims, actuarial and information technology. The firm is also experienced in all business segments – property and casualty, life and health, and managed care.

Invotex's executive staff has deep industry and project management experience from a wide variety of perspectives: as former auditors, consultants and partners of international public accounting firms; as financial executives for some of the largest insurers; as former Deputy Insurance Regulator; as directors of internal audit and of Sarbanes Oxley implementation teams; as a CFA and credit analyst with NRSRO experience; and as former in-house counsel and claims attorney. They actively and routinely contribute to the body of insurance and regulatory knowledge through participation in efforts such as the NAIC's Risk Assessment Working Group, through an award-winning series of articles in SOFE's quarterly publication, The Examiner, and more. Also, Invotex shares its insights into regulatory and industry trends in its monthly newsletter, Insurance Perspectives. For more information, please visit www.invotex.com or contact:

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(410) 824-6001 or jstangroom@invotex.com

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Noble Consulting Services, Inc. is pleased to continue as a sponsor and a presenter for CDS programs. Over the past two decades, Noble has been dedicated to providing regulatory consulting services exclusively for the benefit of state insurance regulators. Through our employee-based model, we have developed a reputation for what we believe is unparalleled service we call the "Noble Experience." Our seasoned professionals include former regulators, big four managers, insurance industry professionals, and seasoned specialists. Our information security measures meet best practices in the insurance industry and have passed independent reviews by the industry. We provide the following services: risk-focused financial and market conduct examination, information systems reviews, reinsurance and investment specialists, liquidation and rehabilitation services, and financial analysis and compliance services. Our regulatory background, along with our strong communication efforts, ensures satisfaction with our services and our long-term commitment to our state regulators. We control all aspects of the examination including the examiner's training and use of technology. We also provide value-added services to our state insurance regulators through customized training programs. To learn more about Noble or for employment opportunities, please visit our web site at www.noblecon.net or contact Randy Lamberjack, Mike Dinius, or Bob Panah at (317) 471-8800.



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TeamMate is delighted to be a sponsor at the 2010 SOFE Career Development Seminar. We invite you to stop by our booth or visit us on the web at www.cchteammate.com.

SILVER LEVEL



Douglas A. Hartz, Principal
T (573) 268-6546 or DougHartzKC@gmail.com

Insurance Regulatory Consulting Group (IRCG) focuses on insurance regulation, and the transactions and issues involving troubled or insolvent insurance companies. Similar to the shift to Risk-Focused Exams, IRCG is trying to shift the thinking to Benefit-Focused Actions in relation to troubled and insolvent insurers. IRCG aims to employ the best available resources, which may well include resources from other groups featured in this brochure, to find the actions that should provide the greatest benefits for regulators and the consumers they protect in regard to troubled or insolvent insurance companies. Douglas Hartz, as principal member of IRCG, with over 22 years of experience in seeking better ways to deal with troubled or insolvent insurers, knows the professionals working in these areas, and the issues that may be best addressed by working with those professionals while retaining the ability to associate with anyone that can get things done.

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Stroock & Stroock & Lavan LLP is a law firm with market leadership in financial services and insurance law, providing transactional, regulatory and litigation expertise to many of the largest domestic and overseas life, non-life and financial guarantee insurers and reinsurers, as well as regulators, trade associations, and financial services companies in the insurance industry, including investment banks, venture capital firms and investment advisers. Stroock's emphasis on client service and innovation has made it one of the nation's leading law firms for 130 years. Stroock's practice areas include: capital markets/securities, commercial finance, mergers & acquisitions and joint ventures, private equity/venture capital, private funds, derivatives and commodities, employment law and benefits, energy and project finance, entertainment, financial restructuring, financial services litigation, insurance, intellectual property, investment management, litigation, personal client services, real estate, structured finance and tax. For more information, please visit Stroock's web site at www.stroock.com.



Regulatory Consultants, Inc. (RCI) was established in January 2003 to offer comprehensive regulatory services, including risk-focused financial and market conduct examination resources, and currently provides those services to a number of state insurance departments. RCI provides the general regulatory and specialized skills necessary for relevant, complete, and accurate results on examinations and for other consulting services such as accreditation and financial analysis support, and IT, reinsurance, Form A and investment portfolio reviews. Our expertise also includes assisting insurance departments regarding sensitive and high profile issues related to troubled insurance companies.

RCI's examination teams bring decades of insurance regulatory experience to state insurance departments. The principals of RCI are Nestor J. Romero, CPA, CFE, CIE, FLMI, Juli-Kay Baumann, CFE, CIE, CPCU, ALMI, ARe and Eric Dercher, CFE.

RCI is dedicated to providing exceptional service – our goal is to exceed your expectations.

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- Provide state regulators training on examination topics and best practice techniques
- Large client-base including mutual and public companies, L&H, and P&C companies
- Our insurance audit practice was recently ranked 17th in the AM Best North American Insurance Auditors & Actuaries – 2009 Ranking Review

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Smith-Little, LLC is pleased to join you for SOFE's annual Career Development Seminar. Smith-Little's aim is to provide state insurance regulators and select industry clients an option for excellence when supplementing their regulatory resources. Our services include:

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AGI services *Serving insurance regulators since 1991
Atlanta, GA*



John Humphries
Managing Partner

AGI Services is dedicated solely to meeting the unique needs of state insurance regulators. In addition to providing full-scope financial and actuarial exam support, our innovative market conduct techniques have established us as a forerunner in the regulatory industry.

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• Market Conduct Exams	• Prompt Pay Analysis

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Thank You!

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CDS Registration Brochure	Noble Consulting Services, Inc.
Sponsorship of the Professional Series Track.....	The Financial Examiners Educational Foundation
State Chair/First-Timers Reception	Eide Bailly LLP Stroock & Stroock & Lavan LLP
Sunday Board of Governors Meeting	Huff, Thomas & Company
Sunday Social Entertainment	Smith-Little, LLC
Sunday Social Drinks.....	Huff, Thomas & Company
Sunday Social Food	Eide Bailly LLP
Monday Breakfast Roundtables.....	Global Insurance Enterprises, Inc.
Monday Morning Break	Examination Resources, LLC
Interviewing Topic	ParenteBeard LLC
Annual Meeting Luncheon.....	INS Regulatory Insurance Services, Inc. (InsRis)
Monday Afternoon Break.....	CCH® TeamMate, part of ARC Logics A Wolters Kluwer Business
Presidents and Past President's Breakfast	RSM McGladrey, Inc.
Tuesday Breakfast Roundtables	Insurance Regulatory Consulting Group
Tuesday Morning Break	Examination Resources, LLC
Tuesday Membership Luncheon	Invotex Group
State Chairs Luncheon	RSM McGladrey, Inc.
Tuesday Afternoon Break.....	Regulatory Consultants, Inc.
Wednesday Breakfast Roundtables.....	AGI Services
Wednesday Board of Governors Luncheon.....	Eide Bailly LLP
Spouse/Guest Hospitality Suite	Carr Riggs Ingram LLC Invotex Group McKonly & Asbury, LLP Noble Consulting Services, Inc. Taylor-Walker & Associates, Inc.
General Sponsorship	Colodny, Fass, Talenfeld, Karlinsky & Abate Regulatory Consultants, Inc.
Registration Desk Internet Service	CCH® TeamMate, part of ARC Logics A Wolters Kluwer Business
Attendee Gift	Huff, Thomas & Company Noble Consulting Services, Inc. CCH® TeamMate, part of ARC Logics A Wolters Kluwer Business
CDS Final Program	RSM McGladrey, Inc.
Laptops for Sessions	RSM McGladrey, Inc.

Society of Financial Examiners 2010 Career Development Seminar

SATURDAY, JULY 31

- 12:00 – 6:00 pm Registration Desk Open
Sponsored by CCH® TeamMate
- 1:00 – 3:00 pm Committee Meetings
- 3:00 – 6:00 pm Executive Committee Meeting
- 7:00 – 9:00 pm State Chair/First-Time Attendee Reception
*Sponsored by Eide Bailly LLP
Stroock & Stroock & Lavan LLP*

SUNDAY, AUGUST 1

- 8:00 am – 5:00 pm Registration Desk Open
Sponsored by CCH® TeamMate
- 8:30 am – 12:00 pm Board of Governors Meeting
Sponsored by Huff, Thomas & Company
- 12:30 – 5:00 pm Spouse & Guest Hospitality Suite
*Sponsored by Carr Riggs Ingram LLC
Invotex Group
McKonly & Asbury, LLP
Noble Consulting Services, Inc.
Taylor-Walker & Associates, Inc.*
- 1:00 – 1:30 pm GENERAL SESSIONS
Welcome & Opening Comments
President Dennis L. Kluk, CFE
Vice President-CDS Roshi Fekrat, CPA, CFE, CIA
Local Dignitary
- 1:30 – 3:00 pm **A1-Update on Federal Insurance Issues**
Commissioner Jane L. Cline
West Virginia Insurance Department
Learn what is happening on “the Hill” that will impact the insurance industry.
- 3:00 – 3:30 pm Break
- 3:30 – 5:00 pm **A2-Forensics and Valuation Services** 
John R. Mallery, *BKD, LLP*
Forensics in the current environment – finding what you need to get the answers.

- 6:00 – 11:00 pm Sunday Social (*See page 4 for details*)
*Entertainment Sponsored by Smith-Little, LLC
Drinks Sponsored by Huff, Thomas & Company
Food Sponsored by Eide Bailly LLP*

MONDAY, AUGUST 2

- 7:00 am – 5:00 pm Registration Desk Open
Sponsored by CCH® TeamMate
- 7:45 – 8:45 am BREAKFAST ROUNDTABLES
Sponsored by Global Insurance Enterprises

B1-Auditing Derivatives

Alex C. Hart
Maryland Insurance Administration
Nadine Treons, CPA, CFE
Noble Consulting Services, Inc.
An overview of derivatives and how they are used by insurers to manage risk. Assessing risks and determining substantive procedures for each type of use.

B2-Financial Examiners Handbook Update

Michael J. Sindel, CPA, NAIC
Jodi Bachelor, CPA, NAIC
Attendees will receive important information regarding guidance added to the Examiners’ Handbook over the past year including guidance currently proposed for adoption. The discussion will include guidance related to new exam repositories, the new IT review process, the reorganization of the Handbook, the documentation of internal controls, prospective risks and additional guidance for examiners when performing risk-focused examinations.

B3-Reinsurance Overview

Donald Carbone, CFE, CIE, ARE, AIAF, ARC, MCM
INS Regulatory Insurance Services, Inc.

B4-Industry Overview

(Financial/Rating Analysis)
David A. Vacca, CPA, NAIC
This session provides an overview of recent financial results and trends for the various types of insurers.

	<p>B5-Tier Rating of Data Center Facilities </p> <p>W. Pitt Turner, IV, P.E. Uptime Institute Professional Services</p>	<p>Chris Evangel, NAIC SVO NAIC/SVO current developments; Rating Agency Working Group update; impairment issues; fair value update; state of financial markets; and other topics.</p>
8:00 am – 5:00 pm	<p>Spouse & Guest Hospitality Suite <i>Sponsored by Carr Riggs Ingram LLC Invotex Group McKonly & Asbury, LLP Noble Consulting Services, Inc. Taylor-Walker & Associates, Inc.</i></p>	<p>10:25 – 10:45 am Break <i>Sponsored by Examination Resources, LLC</i></p>
8:55 – 10:25 am	<p>BREAKOUT SESSIONS B6-Interviewing Margery Myer <i>Bates Communications, Inc.</i> Tips on interviewing the management of insurance companies under the new risk-focused approach of financial examination. <i>Sponsored by ParenteBeard LLC</i></p> <p>B7-Ethics Michael Kogut, CPA, CFE <i>INS Regulatory Insurance Services, Inc.</i> Light and enjoyable session that defines ethics and ethical behavior in a context of your choice to be a “professional.” Provides guidance on how to assess the “ethics” of your every day decisions and dilemmas. Includes practical and interactive examples as well as a link to the Financial Examiners Handbook and Corporate Governance.</p> <p>B8-Incorporating CPA Work Papers into TeamMate <i>(Basic Track)</i> Robert F. Crawford, CFE, CPA <i>Bostick/Crawford Consulting Group</i> Incorporating CPA work papers into Teammate.</p> <p>B9-Basic History of Insurance <i>(Basic Track)</i> William D. Latza, Esq. <i>Stroock & Stroock & Lavan LLP</i> Brief history of how Insurance came to be and how laws were integrated into insurance.</p> <p>B10-Outsourcing/Off-Shoring  LeeAnne Creevy, CISA, CITP <i>RSM McGladrey, Inc.</i> Discussion of IT outsourcing/off shoring –pros and cons and how it affects the IT reexamination.</p> <p>B11-Investment Challenges for 2010 (Part 1 of 2) <i>(Professional Development Series)</i></p>	<p>10:45 am – 12:15 pm BREAKOUT SESSIONS B12-SOX Basics Mike Loftus, CPA <i>United National Insurance Company</i> Basic concepts of SOX; a review of the Act; responsibility of management.</p> <p>B13-Enterprise Risk Management Mary Peter, Eide Bailly LLP How examiners can utilize the Company’s ERM process to aid in Risk-Focused Exams.</p> <p>B14-Auditing 101 <i>(Basic Track)</i> Pat Casey Davis, CPA, CFE, CMA, CIA <i>INS Regulatory Insurance Services, Inc.</i> Workpaper techniques, value of different types of evidence.</p> <p>B15-Enhancements to Financial Analysis Solvency Tools <i>(FAST)</i> <i>(Financial/Rating Analysis)</i> David A. Vacca, CPA, NAIC This session will include updates on enhancements to the Financial Analysis Solvency Tools (FAST). The session discusses confidential regulatory tools. Therefore, it is only open to regulators and contractors currently providing services to a state insurance department (under contract) for analysis or examinations services, who have signed a state-approved confidentiality agreement. Participants must sign in to the session with the applicable state reference.</p> <p>B16-Cloud Computing – The State of the Cloud  TBA</p> <p>B17-Investment Challenges for 2010 (Part 2 of 2) <i>(Professional Development Series)</i> Chris Evangel, NAIC SVO See description under B11, Part 1.</p>
	<p>B11-Investment Challenges for 2010 (Part 1 of 2) <i>(Professional Development Series)</i></p>	<p>12:15 – 1:30 pm Luncheon and Annual Business Meeting <i>Sponsored by INS Regulatory Insurance Services, Inc. (InsRis)</i></p>

1:30 – 3:00 pm

GENERAL SESSIONS

B18-Commissioners' Panel

Commissioner Jane L. Cline
West Virginia Insurance Department
Superintendent Mila Kofman
Maine Bureau of Insurance
Commissioner Kevin M. McCarty
Florida Office of Financial Services
Director Michael T. McGrath
Illinois Department of Insurance
Commissioner Roger A. Sevigny
New Hampshire Insurance Department
Superintendent Joseph Torti, III, CPA
Rhode Island Division of Insurance
Discussion of current topics.

3:00 – 3:30 pm

Break

Sponsored by CCH® TeamMate

3:30 – 5:00 pm

BREAKOUT SESSIONS

B19-Emerging Accounting Issues

TBD

B20-Troubled Companies: Lessons Learned from the Crisis

A. Thomas Finnell, Jr., CPA, FLMI
InvoTex Group

The crisis caught many off guard, and it resulted in varying impacts to insurers—some of which may have been anticipated, others not. What did states learn from this process, and what questions still remain unanswered? This presentation will explore how and why the adverse impacts to insurers that stemmed from the recent credit/economic crisis differed from our past experiences as a regulatory community, what was learned, and potential implications going forward, both for insurers and for regulation.

B21-Using the NAIC Repositories in a Risk-Focused Exam *(Basic Track)*

Annette Knief, CFE, FLMI, ARA, AIRC
RSM McGladrey, Inc.

Discuss how to use the NAIC Repositories in a Risk-Focused Exam.

B22-Corporate Governance

(Financial/Rating Analysis)

Rick Nelson, CFE, CIE, *Eide Bailly LLP*
Overview of Corporate Governance area.

B23-The HITECH Act – The Legislative Earthquake Causing a Tsunami 

Steve Cummings, CISA, CISSP, CHSP, BCP,
NSA-Infosec, *eCompliantz, LLC*

The effect of the HITECH Act on Information Systems and insurance companies.

B24-Issues Facing the PCIIA

PCIIA Panel *(Professional Development Series)*
Deirdre Manna
Property Casualty Insurers Assn. of America

TUESDAY, AUGUST 3

7:30 am – 5:00 pm

Registration Desk Open

Sponsored by CCH® TeamMate

7:45 – 8:45 am

PRESIDENTS AND PAST PRESIDENTS BREAKFAST

Sponsored by RSM McGladrey, Inc.

7:45 – 8:45 am

BREAKFAST ROUNDTABLES

Sponsored by Insurance Regulatory Consulting Group

C1-Using Regulatory Actions and Receivership to Avoid Liquidation

Douglas A. Hartz, JD, CIR-ML, MBA
Insurance Regulatory Consulting Group

C2-Sampling

John B. Humphries, CFE, ASA, MAAA, AES, CISA, MCM, *AGI Services*
Take the mystery out of sampling, and make this powerful tool work for you!

C3-Risk-Focused Examination Activities or How the Analyst and Examiner Can Be Friends

Michael F. Motil, CFE, CIE, CPA *(Inactive)*
Motil Consulting, Inc.

Initial Examination Planning Performed by Analysis Staff; Use of Risk Identification Statements in Assessing Corporate Governance; Generating Examination Efficiencies *(through Off-Site Planning/Internal Collaboration Activities and On-site Leveraging of the Work of Others)*

C4-Integrating ACL Into the Exam Process 

Phet Pannhanouvong, CFE, AES, CISA
Noble Consulting Services, Inc.

Discussion on how to integrate ACL into the Risk-Focused exam process.

C5-Regulator Roundtable

(Professional Development Series)

James N. Armstrong, CPA, CFE
Iowa Insurance Division
Sharon K. Gordon, CPA, CFE
Rhode Island Insurance Division
William C. Harrington, CFE, CPA
Ohio Department of Insurance
Patrick Hyde, CPA, CFE
Illinois Department of Insurance

	Discussion of current topics in insurance regulation from the viewpoint of various state regulators.		U.S. reinsurance collateral white paper; international reinsurance developments; and changes impacting SSAP 62 and 75.
8:00 am – 5:00 pm	<p>Spouse & Guest Hospitality <i>Sponsored by Carr Riggs Ingram LLC Invotex Group McKonly & Asbury, LLP Noble Consulting Services, Inc. Taylor-Walker & Associates, Inc.</i></p>	10:25 – 10:45 am	<p>Break <i>Sponsored by Examination Resources, LLC</i></p>
8:55 – 10:25 am	<p>BREAKOUT SESSIONS</p> <p>C6-SOX Panel Mike Loftus, CPA <i>United National Insurance Company</i> TBA <i>Hartford Insurance Company</i> TBA <i>Massachusetts Mutual Insurance Co.</i></p> <p>C7-TeamMate  Michael Gowell, CPA, CFE <i>CCH® TeamMate</i></p> <p>C8-Utilization of Analyst Workpapers <i>(Basic Track)</i> Gregg Bealuk, CFE <i>INS Regulatory Insurance Services, Inc.</i> Basic review of utilizing the analyst workpapers in the exam.</p> <p>C9-Holding Company Analysis Best Practices <i>(Financial/Rating Analysis)</i> David A. Vacca, CPA, NAIC This session will highlight what an analyst might review and document when performing a holding company analysis.</p> <p>C10-Multimedia-IT Controls in Financial Exams, Part 1 of 2 – COBIT General Controls  Paul Berkebile, CISA, <i>INS Services</i> George Lentini, CISA, <i>INS Services</i> IT and financial examiners use of the new COBIT-based Exhibit C General Controls review, including its use for both large and small organizations. This would include leveraging from 3rd party work and the efficiencies of harvesting not only the general controls, but processing and applications controls during the planning for the general controls review.</p> <p>C11-NAIC Study Group and the Reinsurance Task Force <i>(Professional Development Series)</i> Joseph Fritsch, CFE, CIE, ARe <i>New York State Insurance Department</i></p>	10:45 am – 12:15 pm	<p>BREAKOUT SESSIONS</p> <p>C12-Lessons Learned Through a Review of Completed Risk-Focused Exam Files Jodi Bachelor, CPA, NAIC Bruce E. Jenson, CPA, NAIC Attendees will be presented with best practices and concerns identified by NAIC staff during their review of completed risk-focused examination files. This discussion will also cover best practices in utilizing the risk-matrix and in coordinating items for follow-up and consideration by financial analysts.</p> <p>C13-Beyond the Names and Under the Hood: A View and Perspective of Captives and Risk-Retention Groups Lawrence J. Stern, <i>B&D Consulting</i> Understanding the purposes of Captives and Risk-Retention Groups and interaction with traditional companies and regulators, understanding and analyzing the numbers, and understanding and assessing the qualitative factors.</p> <p>C14-IFRS - Current Developments and Impact on the Future of Statutory Accounting Timothy J. Foley, FLMI, <i>Invotex Group</i> James E. Stangroom, CPA, <i>Invotex Group</i> The U.S. has been marching down the road toward adoption of IFRS, but recent bumps in the road have introduced some doubt as to whether we will see conversion to, or convergence with, IFRS. More importantly to examiners is the possibility that statutory accounting as we now know it may cease to exist or at least be changed dramatically. The issue is currently before the NAIC, but it is unclear when a final determination will be made. This session will bring the audience up to date on the current state of the movement toward IFRS, and the implications for statutory accounting.</p> <p>C15-Lessons Learned in the Credit Crisis <i>(Financial/Rating Analysis)</i> Alex C. Hart <i>Maryland Insurance Administration</i></p>

C16-Disaster Recovery and Business Continuity 

Carl Adamson
Mutual of Omaha Insurance Company
A discussion of the requirements for an effective and workable implementation of DR and BCP.

C17-From Examiner to CEO and Back?

(Professional Development Series)
John Clark
INS Regulatory Insurance Services, Inc.
Covers the journey from early life as an examiner and the training and experiences that are needed to fulfill the lifelong goal of running and insurance company & the full circle return to the field examination roots.

C20-Corporate Governance - After the Assessment *(Basic Track)*

Craig Moore, CFE, RSM McGladrey, Inc.
Discussion on helping the examiner document Corporate Governance after the interviews.

C21-Reinsurance Ladders, Chutes and Labyrinths *(Financial/Rating Analysis)*

David N. Kragseth, Munich Re America
Frank Maffa, CFE, CIE, Munich Re America
A presentation on the accounting benefits of reinsurance treaties, entangled accounting provisions with multiple interpretations which could lead to different accounting results, as well as the importance of clear contract wording through use of drafting techniques that avoid ambiguity in material provisions such as financial or economic terms and conditions.

C22-Multimedia-IT Controls in Financial Exams, Part 2 of 2 – COBIT General Controls 

Paul Berkebile, CISA, INS Services
George Lentini, CISA, INS Services
See description under C10, Part 1.

C23-Data Analysis: Secret Testing for Finding Secrets 

Samuel BowerCraft, MIS, CISA
McKonly & Asbury LLP

C24-Insurance Company Ratings

Brian Schneider, Fitch Ratings
Trends and issues impacting the insurance industry and specifically the metrics that Fitch Ratings employs when analyzing an insurance company.

12:15 – 1:30 pm

Luncheon
Sponsored by Invotex Group

12:15 – 1:30 pm

State Chairs Luncheon
Sponsored by RSM McGladrey, Inc.

1:30 – 3:00 pm

GENERAL SESSION
C18-Risk-Focused Panel – What’s Working with the Approach, What’s Not, and Why?
David G. DelBiondo, CPA
Pennsylvania Insurance Department
Moderator, A. Thomas Finnell, Jr., CPA, FLMI
Invotex Group
William C. Harrington, Jr., CPA, CFE
Ohio Department of Insurance
Charles “Max” McGee, FLMI
Max McGee Consulting, LLC
(Retired from Prudential Insurance Co.)
You’ve read the book, and seen the movie. Training is done. And now, you’ve actually experienced it—the risk-focused approach, that is. So, how do you feel about it? Did it taste great; was it less filling; both; or neither? Are there aspects that can be improved upon? This panel will explore perspectives from both the regulatory and the company/industry sides to provide a candid look at the approach, how it is being perceived by key stakeholders, and what that might mean going forward.

3:00 – 3:30 pm

Break
Sponsored by Regulatory Consultants, Inc.

3:30 – 5:00 pm

BREAKOUT SESSIONS
C19-TeamMate 
Michael Gowell, CPA, CFE
CCH® TeamMate

WEDNESDAY, AUGUST 4

7:30 am – 1:00 pm

Registration Desk Open
Sponsored by CCH® TeamMate

7:45 – 8:45 am

BREAKFAST ROUNDTABLES
Sponsored by AGI Services
D1-Financial Exam Coordination
(2nd Session, Regulators Only)
Bruce E. Jenson, CPA, NAIC
Michael J. Sindel, CPA, NAIC
For over a year, the NAIC Financial Examiners Coordination Working Group and its subgroups have been working diligently on revising the framework around the coordination of examinations for companies in holding

company groups. Find out the background information on how this came about including the important details of this new process expected to be in place in the near future.

D2-Principle-Based Reserving

John B. Humphries, CFE, ASA, MAAA, AES, CISA, MCM, *AGI Services*
 A new approach to life reserves is coming. Learn what this new approach will mean to you and the companies that you examine.

D3-Current and Upcoming Changes to the NAIC Accreditation Program

(Financial/Rating Analysis)
 Julie Glaszczak, CPA, FLMI, ARA, NAIC
 Discussion by NAIC staff of current and upcoming changes to the NAIC Accreditation program.

D4-Implementing the New COBIT-Based IT Work Plan (Exhibit C) for Small and Medium-Sized Companies 

Jerry Ehlers, CPA, CFE, CISA, AFE, AES, CFE (Fraud), CITP
Noble Consulting Services, Inc.
 Discussion on how to implement and tailor the new COBIT-based IT Work Plan for small and medium sized companies.

D5-Industry-Wide Practices in Claims Review (Part 1 of 3)

(Professional Development Series)
 Christine Fleming, JD, ACAS, MAAA
Milliman
 How one can measure the inherent risk of a sub-process and be able to identify and measure if a control is in place to mitigate that risk.

8:00 am – 12:00 pm Spouse & Guest Hospitality
*Sponsored by Carr Riggs Ingram LLC
 Invotex Group
 McKonly & Asbury, LLP
 Noble Consulting Services, Inc.
 Taylor-Walker & Associates, Inc.*

8:55 – 10:25 am BREAKOUT SESSIONS
D6-Model Audit Rule Updates
 Roy Eft, CPA, MCM
Noble Consulting Services, Inc.
 Changes and update to the Model Audit Rule and the effects on examinations.

10:25 – 10:45 am

Break

10:45 am – 12:15 pm

BREAKOUT SESSIONS
D10-Investment Risks and the Risk Matrix
 Todd Sauer, *RSM McGladrey, Inc.*

D11-Panel Discussion on Best Practices in Coordination Between Financial Examiners and Financial Analysts

David G. DelBiondo, CPA
Pennsylvania Insurance Department
 Rick Nelson, CFE, CIE, *Eide Bailly LLP*
 Others TBD

D12-COBIT – Framework of Enterprise Governance of IT (Part 2 of 2) 

Don Caniglia, CISA, CISM, CGEIT, FLMI
 Jon Campbell & Associates (ISACA)

D13-Industry-Wide Practices in Underwriting and Pricing (Part 3 of 3)

(Professional Development Series)
 Christine Kogut, FCAS, MAAA
 Urban E. Leimkuhler, Jr., FCAS, MAAA
Milliman
 Same description under D5, Part 1

12:30 – 3:30 pm

Board of Governors Luncheon/Meeting
Sponsored by Eide Bailly LLP

3:30 – 5:00 pm

Executive Committee Meeting



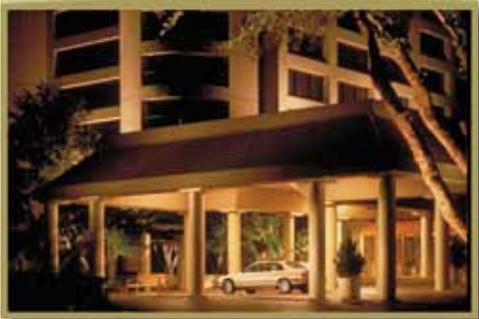
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