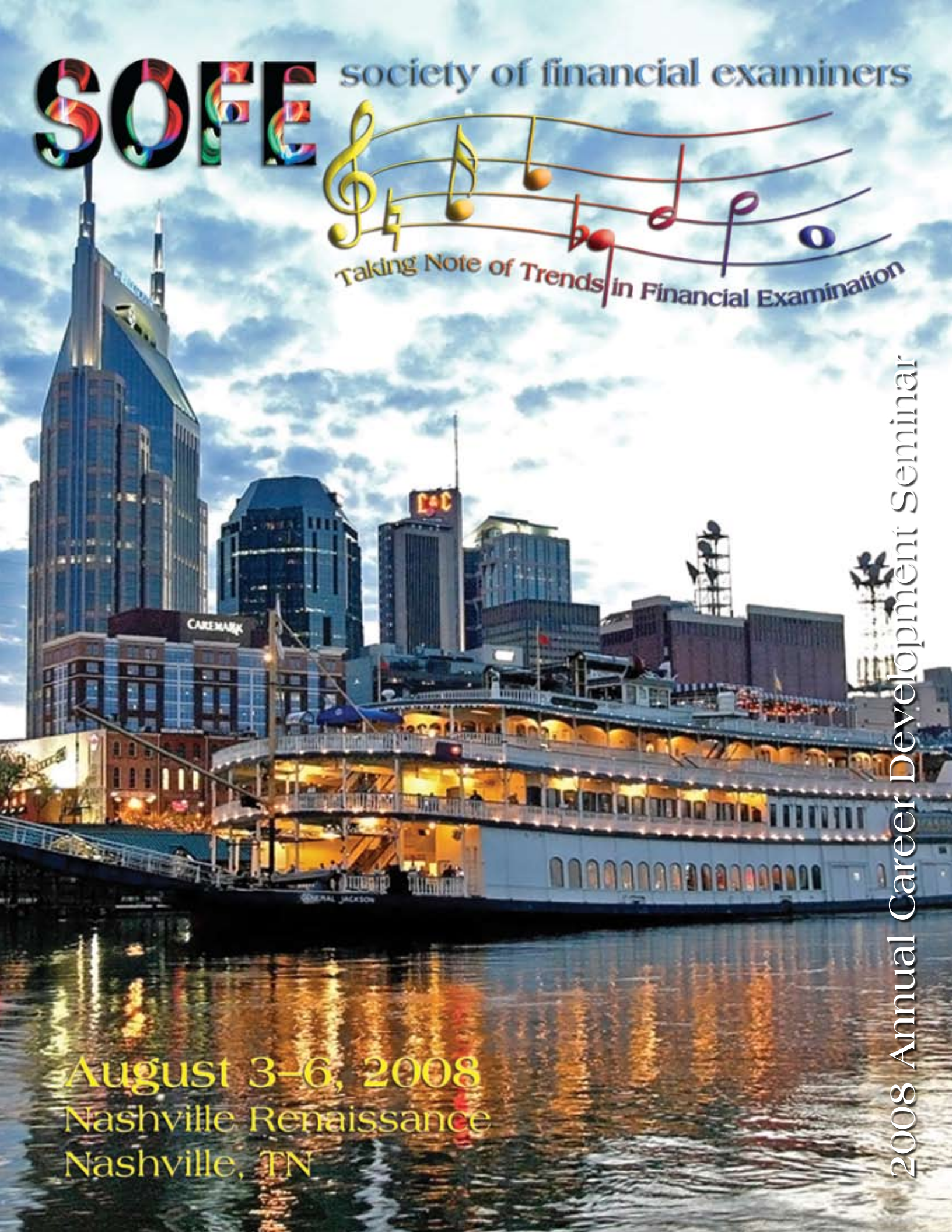
SOFE society of financial examiners



2008 Annual Career Development Seminar

August 3–6, 2008

Nashville Renaissance

Nashville, TN

Learning Objectives

Through lectures, roundtable discussions, and interactive formats, participants in the Society of Financial Examiners' 2008 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 current challenges facing the industry.

SOFE Pins

If you wear your SOFE pin to the 2008 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 21

Total number of CPE hours available.....110

FIELDS OF STUDY OFFERED:

Auditing 21

Behavior Ethics 4

Computer Science 26

Economics 2

Finance 3

Specialized Knowledge 54

Session Descriptions Are Available Online

The individual session descriptions will be available on the online version of the registration form. We encourage all attendees to register online even if you are mailing payment. This assists us because it saves our time in entering the registration information manually and it ensures the accuracy of the information. If you are paying with a check, we will hold your registration until such time as we receive payment. There will be a box to check, if you select that payment option. If you are paying by credit card, we will process your registration within three business days.

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.

Hotel Reservations:

Nashville Renaissance

611 Commerce Street • Nashville, TN 37203

The hotel room rates are $139/night plus 15.25% tax. The phone number to make your reservations is either (615) 255-8400 or (800) 327-6618. Tell them you are with the Society of Financial Examiners. Please be advised that the hotels policy is to charge your credit card with a one-night guarantee. This is fully refundable if the room is cancelled seven (7) days prior to the date of arrival.

While the hotel cut-off date is July 7, we encourage you to make your reservations as soon as possible to ensure that you are not barred from the room block. Once our room block is gone, the rates will go up significantly. If you make your reservations early, it will give us more leeway in managing the room block and adding additional rooms, if necessary, or dropping unneeded rooms so we are not charged for them.

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 2008 CDS, each attendee will receive a 50% 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 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, August 2 from 7- 9 pm. 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 $95 per person if received by SOFE by or on July 7 and $115 per person if received by SOFE after July 7. 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 Nashville
- ☛ 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.

What does Registration Include?

The registration fee for Members, Non-Members, Retired Members and First-Time Attendees are listed on the Registration Form on page 13. 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 on page 13.

Come Kick Up Your Heels at the World Famous Wildhorse Saloon

SOFE IS TAKING OVER THE WILDHORSE SALOON. Break out your cowboy boots and hats and join us for a two-stepping good time on Sunday, August 3. We will have the entire Wildhorse Saloon which is over 60, 000 square feet of space, three levels, and a world famous dance floor. Whimsical horses and cows are "saddled up" to the bars to join you at the watering hole. Take a look at the website: www.wildhorsesaloon.com.

Come hungry. We will have a fabulous buffet with a variety of foods, guaranteed to make your taste buds break into a two-step. Select from starters such as our "Fried Pickles" or "House Smoked Spare Ribs" smoked to perfection in our custom smoker topped with award-winning Wildhorse Barbecue Sauce.

Prepare to be entertained with a live band and line dance lessons—just in case you need to brush up on your Boot Scoot Boogy. Be sure to bring your camera as we have it on good authority that a few Nashville celebrities are going to join us.

Financial Examiners Educational Foundation

The Financial Examiners Educational Foundation is sponsoring several of the speakers at the SOFE Career Development Seminar. In addition, funds were provided for text books and educational materials for financial examiners.

EideBailly

CPAs & BUSINESS ADVISORS

There are many unique challenges that face regulators across the nation. The need for qualified candidates to help supplement your existing resources is crucial for you to continue to provide the consumer protection expected by the citizens of your state.

Eide Bailly can assist Regulators by providing experienced staff and expertise in the performance of comprehensive insurance company statutory examinations, Form A reviews, reinsurance transaction reviews, and Information System reviews. All of our Certified Financial Examiners (CFE) are former regulators with a minimum of eight years experience conducting comprehensive examinations for state departments of insurance. We have more than 50 years of insurance regulatory experience and have performed more than 200 state insurance department financial examinations of insurance companies. These individuals are dedicated to our Insurance Regulatory customers and are experienced in leading our examination teams. Call (877) 504-6294 today to learn more.

Examination Resources

Examination Resources, LLC is pleased to be a sponsor at the 2008 SOFE Career Development Seminar. It is the first time we have been a sponsor, and as our practice continues to expand, so will our role in this unique community.

Based in Atlanta, GA, Examination Resources, LLC (ER) has been providing financial and market conduct examination services since 2002. With a staff of 15 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 six years. The companies we have examined range in size up to $70 billion in assets.

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 web site at www.examresources.net for more information about our firm or contact Todd Fatzinger, Managing Partner, toddfatzinger@examresources.net, (404) 685-8494,

CDS Sponsors

INS
Regulatory Insurance Services, Inc.
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Consulting Services Exclusively for Insurance Regulators

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www.insris.com

Contact Alan Shaw, President
(215) 625-2927 • Fax (215) 625-8323
email aes@insconsultants.org

Noble Consulting Services, Inc. is pleased to continue as a sponsor and a presenter for the CDS programs. Over the past 16 years, Noble has been dedicated to providing regulatory consulting services exclusively for the benefit of state insurance regulators. We have developed a reputation for what we believe is unparalleled service we call the "Noble Experience." Our seasoned professionals include former regulators, big 4 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. In addition to the risk-focused financial and market conduct examination services, we provide information systems, reinsurance, investment, liquidation and rehabilitation services, and financial analysis and compliance services. Our regulatory background, along with our strong communication efforts, ensure satisfaction with our services and our long-term commitment to our state regulators. We control all aspects of the examinations 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 at (317) 471-8800.

Tom Finnell, Managing Director
(202) 370-2405 or tfinnell@invotex.com

Les Hatley, Director
(202) 370-2403 or Lhatley@invotex.com

Invotex Group provides financial examination, dispute, investigation, rehabilitation and liquidation, valuation, and litigation support services as well as analysis of complex areas such as reinsurance, investments and claims, and evaluations of proposed transactions involving insurers of all sizes and across business segments – property and casualty, life and health, and managed care. Invotex's senior professionals include former in-house counsel and financial executives for insurance companies as well as former auditors, consultants and partners from international public accounting firms. They have contributed significantly to the NAIC's Risk Assessment Working Group proceedings, consulted with states to implement the Risk-Focused Examination Approach, and are frequently hired for matters requiring specialized expertise, such as suspected fraud, or issues involving reinsurance, investments, or claims.

For more information, please visit www.invotex.com.

CDS Sponsors

Regulatory Consultants, Inc. (RCI) was established in January 2003, to offer comprehensive consultant services including examination resources, and currently provides those services to several state insurance departments. RCI provides general regulatory and specialized skills necessary for relevant, complete, and accurate results on examinations and other consulting services. Our experience also includes assisting insurance departments regarding sensitive and high profile issues related to troubled insurance companies.

The principals of Regulatory Consultants, Inc. are Nestor J. Romero, CPA, CFE, CIE, and Juli-Kay Baumann, CFE, CIE, CPCU, ALMI, ARe. Our examination teams bring decades of insurance regulatory experience to state insurance departments.

Contact Information:
Regulatory Consultants, Inc.
10433 Montgomery Parkway Loop NE
Suite 100
Albuquerque, NM 87111
Telephone: (505) 944-0058
Fax number: (505) 944-0059

RSM McGladrey

Firm Name: RSM McGladrey, Inc.
Contact Person: Patrick Tracy, CPA, CFE, Managing Director
Address: 1954 Greenspring Drive, Suite 400
Timonium, MD 21093
Phone: (410) 308-5839
Fax: (410) 308-5439
Email: Patrick.tracy@rsmi.com
Website: www.rsmmcgladrey.com

RSM McGladrey Inc.'s National Regulatory Insurance Consulting Practice (RICP) is a team of professionals who specialize in serving state insurance departments. The RICP group includes CFE/AFEs, CIE/AIEs, CPCUs, CLUs, FLMIs, MAAAs, CISAs, CMAs, Certified Fraud Examiners, CIAs (Certified Internal Auditors), as well as ex-insurance regulators. We are located throughout the country with members residing in 23 states. Our professionals provide a variety of services including traditional and risk-focused financial and market conduct examination assistance; information technology, investment, tax and reinsurance specialist services; and training. We are constantly adding quality resources. We believe our commitment to recruiting the best talent and investing in their training makes RSM McGladrey Inc. a vendor of choice for state regulators.

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

CDS Sponsors

AEGON companies

The AEGON Companies are a group of financial services companies, including several major life insurance companies, mutual funds, securities broker-dealers, and related financial services. Our core business is life insurance, annuities, pensions and investment and retirement products. Certain associates of the AEGON Companies have been long-time members of SOFE, including Bill Geiger, former Associate General Counsel and former General Counsel of SOFE. For more information about the AEGON Companies, please contact Bill at (727) 515-4904 or at bgeiger@aegonusa.com.

HUFFTHOMAS

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, or other insurance specialties. In addition, our firm includes two former SOFE Presidents – Cecil Thomas and Joy Little.

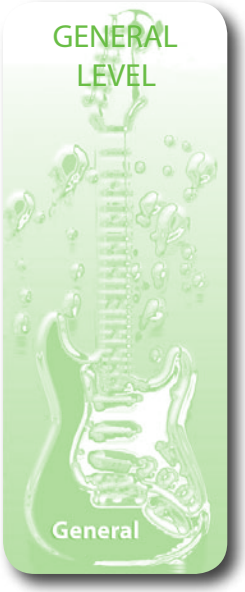
For professional services or employment opportunities, please contact our Kansas City office.

Robert E. Huff – Chairman
Cecil W. Thomas, CFE, CIE - President
Phone: (816) 531-5727
E-mail: huffthomas@huffthomas.com
Web site: www.huffthomas.com

STROOCK

STROOCK & STROOCK & LAVAN LLP

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.



Taylor-Walker & Associates, Inc.
Actuarial Consulting Group

Since 1984, Taylor-Walker & Associates, Inc. has been a service-oriented actuarial and regulatory consulting firm dedicated to providing high-quality, cost-effective, and innovative actuarial consulting services. Mr. R. Glenn Taylor, ACAS, MAAA is the President and owner of this Utah-based firm. We also have branch offices located in Illinois and Colorado. Taylor-Walker provides actuarial and regulatory consulting services to state insurance departments, receivers, guaranty associations, self-insured groups, and insurance companies. We consult in a variety of property and casualty, life, and accident and health areas.

Contact Information:
Glenn Taylor gtaylor@taylor-walker.com
Linda Spann Lspann@taylor-walker.com
Web site: www.taylor-walker.com

Society of Financial Examiners
2008 Career Development Seminar

SATURDAY, AUGUST 2

12:00 – 6:00 pm *Registration Desk Open*

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 Social
Sponsored by Stroock & Stroock & Lavan LLP and Eide Bailly LLP

SUNDAY, AUGUST 3

8:00 am – 5:00 pm *Registration Desk Open*

8:30 am – 12:00 pm Board of Governors Meeting
Sponsored by Eide Bailly LLP

12:30 – 5:00 pm Spouse & Guest Hospitality Suite
Sponsored by Noble Consulting Services, Inc. & Taylor-Walker & Associates, Inc.

1:00 – 1:30 pm GENERAL SESSION
Welcome & Opening Comments
Donald A. Crawley, CFE, CPA
Vice President of CDS
Maryland Insurance Administration
Darryl Reese, CFE, CIE, CFE
President of SOFE
Delaware Department of Insurance
Commissioner Leslie Newman
TN Department of Commerce & Insurance

1:30 – 3:00 pm **A1–Interviewing for Risk-Focused Surveillance**
Sponsored by Financial Examiners Educational Foundation
John Hall, CPA
INS Regulatory Insurance Services, Inc.

3:00 – 3:30 pm Break
Sponsored by Eide Bailly LLP

3:30 – 5:00 pm **A2–Economic Update**
Sponsored by Financial Examiners Educational Foundation
David Mirza, Associate Professor
Loyola University Chicago is invited.

6:00 – 11:00 pm Sunday Social *(See page 3 for details)*
Sponsored by Examination Resources, LLC (Drinks)
Sponsored by Regulatory Consultants, Inc. (Food)

MONDAY, AUGUST 4

7:00 am – 5:00 pm *Registration Desk Open*

7:15 – 8:15 am BREAKFAST ROUNDTABLES
Sponsored by AEGON Insurance Group

B1–2008 Changes to the Financial Condition Examiners Handbook
TBD, *NAIC*
TBD, *NAIC*

B2–Risk-Focused Surveillance – TeamMate Documentation
Robert Rodack, CFE, CPA
INS Regulatory Insurance Services, Inc.

B3–Insurance Company/Regulator Relations
Norlyn D. Baker, CPA, CFE
Eide Bailly, LLP

B4–SVO – What We Do for Investments
Joseph Prakash, CFA, *NAIC*
Wayne Cotter, *NAIC*

B5–Text Editing for Data Troubleshooting 💻
Ted Green, *Greenview Data Inc.*

B6–Building Corporate Assets with Compliance 💻
Frank Mascarenhas, *eComplianz, LLC*

8:00 am – 5:00 pm Spouse & Guest Hospitality Suite
Sponsored by Noble Consulting Services, Inc. & Taylor-Walker & Associates, Inc.

8:30 – 10:00 am BREAKOUT SESSIONS
B7–Examinations – Who is the Customer and Are Their Needs Being Served?
William C. Harrington, Jr., CPA, CFE
Ohio Department of Insurance

Sponsored by Financial Examiners Educational Foundation
B8–Ethics Today
Thomas J. Phelan, CPA, CFE
Maryland Injured Workers Insurance Fund

💻 – **Qualifies as IT continuing education for the AES Designation.**

B9–Risk-Focused Surveillance – Prospective Risks to Identify
Patrick Tracy, CPA, CFE, *RSM McGladry*
Jan Moenck, CFE, CRP, CIA, CBA
RSM McGladry
Craig A. Moore, CPA, CFE, *RSM McGladry*

B10–Risk-Focused Surveillance – Prudential's View of the Process
TBD, *Prudential*

B11–NAIC's Annual Financial Reporting Model Regulation (Revised Model Audit Rule)
Doug Stolte, CPA, CFE, AES
Virginia Bureau of Insurance

B12–SOX Reporting Requirements – Property and Casualty Companies
Debra Kretchmar is invited.
Horace Mann Insurance Company

B13–Holistic Risk and Compliance Management 💻
Michael Wingate, *eComplianz, LLC*

10:00 – 10:30 am Break

10:30 am – 12:00 pm BREAKOUT SESSIONS
B14–P&C Actuarial Opinions: What Examiners Should Know
Charles Letourneau, FCAS, MAAA
American Actuarial Consulting Group, LLC
Joseph W. Pitts, FCAS, MAAA
American Actuarial Consulting Group, LLC

B15–New Platform for the Risk-Focused Surveillance
Dr. Robert S. Gottfried, *Cross Current Corp.*

B16–SAP Updates
Robin Marcotte, CFE, CPA, ARe, *NAIC*

B17–Commissioners' Panel
Commissioner Leslie Newman
TN Department of Commerce & Insurance
Commissioner Ralph S. Tyler
MD Insurance Administration
Superintendent Joseph Torti
State of Rhode Island, Division of Insurance
Commissioner Thomas E. Hampton
CFE, CPA
District of Columbia, Dept. of Insurance

B18–Lessons Learned – The Series Continues
TBD, *Invotex Group*

B19–SOX Reporting Requirements – Life and Health Companies
Charles Evers, *Protective Life Insurance*
Ed Lancaster
Tennessee Farmer Life Insurance Company
Charles Beam, *American General Life & Accident Insurance Company*

B20–Portable Electronic Devices – Issues and Answers 💻
Scott Greene, *Great Scott Enterprises, Inc.*

12:00 – 1:15 pm Luncheon and Annual Business Meeting
Sponsored by INS Regulatory Insurance Services, Inc. (InsRis)

1:30 – 3:00 pm GENERAL SESSION
B21–Computer Forensics 💻
John R. Mallery, *BKD, LLP*

3:00 – 3:30 pm Break
Sponsored by Examination Resources, LLC

3:30 – 5:00 pm BREAKOUT SESSIONS
B22–Introduction to Solvency
Sherry L. Flippo, CPA, *NAIC*

B23–Sampling – Linking Phase 3B to Phase 5 Testing
Lawrence R. Lentini, CPA
INS Regulatory Insurance Services, Inc.

B24–The IT Examination – The Risk-Focused Approach and Challenges 💻
Brad Myers, CISSP, CISA, CISM, PMP
Noble Consulting Services, Inc.
Jerry Ehlers, CISA, CITP, CPA, CFE (Fraud)
Noble Consulting Services, Inc.

B25–Specific Practitioners Guidance for Phases I to IV
Robert B. Kasinow, CFE, ARe
New Jersey Dept. of Banking & Insurance
LeeAnne Creevy, CISA, CITP
RSM McGladry
Patrick Tracy, CPA, CFE, *RSM McGladry*

B26–P&C Actuarial Issues
Mary D. Miller, FCAS, MAAA
Ohio Department of Insurance

💻 – **Qualifies as IT continuing education for the AES Designation.**

TUESDAY, AUGUST 5

7:00 am – 5:00 pm *Registration Desk Open*

7:15 – 8:15 am BREAKFAST ROUNDTABLES

C1–Accreditation Update and Changes to the Accreditation Standards
Julie Glaszczak, CPA, FLMI, ARA, *NAIC*
Sara Franson, NAIC

C2–Risk-Focused Surveillance – Taxes and Why You May Need to Know What to Examine
TBD
SMART Business Advisory & Consulting, LLC

C3–Principal Based Reserving – You Will Need to Know This!
Michael A. Mayberry, FSA, MAAA
Lewis & Ellis, Inc.

C4–I. T. Best Practices for Risk-Focused 💻
Tracy D. Gates, CPA, CISA, *Highland Clark*

C5–Using the Exam/Receivership Tool Box to Minimize Damage to Consumers-Instead of Increasing It
Douglas A. Hartz, JD, CIR-ML, MBA
Insurance Regulatory Consulting Group

C6–The Audit Automation Adventure 💻
Mark Sikorski, *eCompliance, LLC* is invited.

8:00 am – 5:00 pm Spouse & Guest Hospitality Suite
Sponsored by Noble Consulting Services, Inc. & Taylor-Walker & Associates, Inc.

8:30 – 10:00 am BREAKOUT SESSIONS
Sponsored by Financial Examiners Educational Foundation

C7–Fraud – Why Be Ethical?
John J. Hall, CPA
INS Regulatory Insurance Services, Inc.

C8–Risk-Focused Surveillance – Losses Cycle
Craig A. Moore, CPA, CFE, *RSM McGladrey*
Cathie A. Stewart, CPA, CFE, *RSM McGladrey*

C9–Going Below "C" Level
TBD, *Invotex Group*

C10–Underwriting & Pricing of Medical Malpractice Insurance
TBD, *PICA Group*

C11–Securing Email and Data with Encryption 💻
Tim Matthews
Pretty Good Protection Corp.

10:00 – 10:30 am Break

10:30 am – 12:00 pm BREAKOUT SESSIONS

C12–Integrating SOX Workpapers Into The Risk Matrix
TBD is invited.

C13–Risk-Focused Surveillance – IT for Small Companies
LeeAnne Creevy, CISA,CITP, *RSM McGladrey*
Adam M. Sarote, CISA, *RSM McGladrey*

C14–Beyond the Numbers: Risk-Focused Financial Analysis
Neil A. Miller, CPA, CFE
Maryland Insurance Administration

C15–The Subprime Future Landscape - What is Coming Down the Road?
TBD
SMART Business Advisory & Consulting, LLC

C16–Comprehensive End Point Security 💻
Jim Shaeffer, *JCS & Associates, Inc.*

C17–Navigating the Forensic Quicksand 💻
Steve Cummings, CHSP, CISSP, CISA, BCIP, NSA-Infosec, *eComplianz, LLC*

12:00 – 1:15 pm Luncheon
Sponsored by Invotex Group

12:00 – 1:15 pm State Chair Luncheon & Business Meeting
Sponsored by RSM McGladrey

1:30 – 3:00 pm GENERAL SESSION

C18–Clarity for the Analysis Viewpoint in the Risk-Focused Surveillance Process
Harold S. Horwich, CIR
Bingham McCutchen, LLP

3:00 – 3:30 pm Break

3:30 – 5:00 pm BREAKOUT SESSIONS

C19–Inadequate Internal Controls – Now What?
David G. DelBiondo, CPA
Pennsylvania Insurance Department

C20–Risk-Focused Surveillance – Premiums
Robert Rodack, CFE, CPA
INS Regulatory Insurance Services, Inc.

💻 – **Qualifies as IT continuing education for the AES Designation.**

C21–Steps to Receivership
Douglas A. Hartz, JD, CIR-ML, MBA
Insurance Regulatory Consulting Group

C22–Risk Retention Groups – What Should Examiners Know?
Judy R. D. Nako, CPA, CFE, *State of Hawaii Insurance Division, Captive Ins. Branch*
Sandra A. Bigglestone, CFE, CPA
Vermont Department of BISHCA
Julie Glaszczak, CPA, FLMI, ARA, *NAIC*
P. Sean O'Donnell, CFE, CPA
District of Columbia Dept. of Insurance

C23–Pursuing & Defending eDiscovery: Computer Forensics & the Discovery Process 💻
John R. Mallery, *BKD, LLP*

WEDNESDAY, AUGUST 6

7:00 am – 1:00 pm *Registration Desk Open*

7:15 – 8:15 am BREAKFAST ROUNDTABLES

D1–Reinsurance – What New Requirements Will You Need?
TBD, *Invotex Group*

D2–I.T. – Best Practices 💻
Tracy D. Gates, CPA, CISA, *Highland Clark*

D3–NAIC Model Audit Rule
Asst. Commissioner, Larry Knight, CFE
Tennessee Dept. of Commerce & Insurance

D4–Email Security
Jim Schaeffer, *JCS & Associates, Inc.*

D5–Reinsurance Attestation Documentation
TBD, *Zurich Financial* is invited.

D6–The Legal History of Insurance Regulation
William D. Latza, Esq.
Stroock & Stroock & Lavan LLP
Robins H. Ledyard, Esq.
Bass Berry & Sims

8:00 am – 12:00 pm Spouse & Guest Hospitality Suite
Sponsored by Noble Consulting Services, Inc. & Taylor-Walker & Associates, Inc.

8:30 – 10:00 am BREAKOUT SESSIONS

D7–Risk-Focused Surveillance – Small Companies
Donald Carbone, CFE, CIE, ARe, AIAF, ARC, *INS Regulatory Insurance Services*

D8–Investments – Why Do I Care?
Alex C. Hart
Maryland Insurance Administration

D9–Interviewing – Role Playing to Prepare the Examiner
TBD, *NAIC* is invited.

D10–P&C Enterprise Risk Management
TBD, *Zurich Financial* is invited.

D11–Data Mining 💻
Mike Urbonas, *Datawatch Corp.*

10:00 – 10:30 am Break

10:30 am – 12:00 pm BREAKOUT SESSIONS

D12–Preparing the Supervisory Plan
Annette Knief, CPA, CFE, *RSM McGladry*

D13–Risk-Focused Surveillance – Investments
TBD, *Invotex Group*

D14–SPAM and Email Security 💻
Ted Green, *Greenview Data Inc.*

D15–Protecting Personal Privacy 💻
Scott Greene, *Great Scott Enterprises, Inc.*

D16–Progression of Internal Controls – The History
Louise Booth, CPA, CFE
Examination Resources, LLC

12:00 – 3:00 pm Board of Governors Meeting
Sponsored by Huff, Thomas & Company

If you are running for the Board, please make your travel arrangements to allow attendance at this meeting.

3:00 – 5:00 pm Executive Committee Meeting

💻 – **Qualifies as IT continuing education for the AES Designation.**

SOFE CDS Post Conference Activity
NASHVILLE, TN • August 6, 2008

EXTRA! EXTRA! READ ALL ABOUT IT! SOFE MEMBERS SOLVE MURDER AFTER ATTENDING CDS! HOW DID THEY DO IT? IT'S A MYSTERY!

Sounds like an exciting adventure. It can happen to you. On Wednesday, August 6, SOFE has arranged for a Post Conference night at **Miss Marple's Dinner Theatre** located in downtown Nashville, TN.

It doesn't take long to figure out something's going on at Miss Marple's Dinner Theater. Acting, singing, laughter, and just plain fun spill onto the sidewalk on any given night while guests enjoy the antics. Always great family-style entertainment along with a superb gourmet dinner served to you as the comedy mystery unfolds and YOU become an integral part of exposing the culprit! The gourmet menus are courtesy of the The Standard at the Smith House. The Smith House, built in the 1840's, is situated across the street from Miss Marple's Dinner Theater. Its ballroom contains the actual fireplace mantel President Andrew Jackson stood in front of when he exchanged his marriage vows.

Cost

Cost for the Post Conference Activity is $42.61. Price includes dinner and the show. Beer and wine, which are available at the dinner theater, are not included in the price.

Transportation

Transportation is on your own. Miss Marple's Dinner Theater is a two block walk from the Renaissance Hotel.

Accommodations

Please fill out the "Miss Marple's Dinner Theater" form below to attend this post conference activity. The deadline to sign up for this Post Conference Activity is July 23.

Sign-up Form Miss Marple's Dinner Theater

Name:_____

Name:_____

Name:_____

Home Address:_____

Home Phone #: _____ Email Address: _____

Cost $42.61 x _____ = $ _____Checks, money orders & all major credit cards are accepted. Make all checks payable to SOFE.

For credit card payments, please complete the credit information below or call (800) 787-7633.

Name on Credit Card: _____

Credit Card #: _____ Expiration Date: _____

Billing Address: _____

Phone Number: _____ Amount to Charge: $ _____

Registration Form

Society of Financial Examiners (SOFE)

2008 Annual Career Development Seminar

Sunday–Wednesday, August 3–6, 2008

Nashville Renaissance, Nashville, TN

VERY IMPORTANT—PLEASE REGISTER ONLINE!

SOFE encourages you to register online at http://www.sofe.org/education/cds/. It will save time and ensure the accuracy of the information. You may use this option whether paying by credit card or check. There is a box indicating that payment will be coming via check soon and we will hold your registration until the check is received. All credit card payments will be processed within three working days. If you MUST mail the registration form, send to:
SOFE • 174 Grace Blvd. • Altamonte Springs, FL 32714
Make all checks payable to SOFE.

Please type or print:

Name: _____

Designation (s): _____ First name, city and state for badge: _____

Agency name or company: _____

Mailing Address: _____ ❑ Home ❑ Business

City / State / Zip: _____

Telephone: (_____)_____ Daytime Phone: (_____)_____

Email: _____

Spouse / Guest's name – if attending: _____

Youth's name (s) and age (s) – if attending: _____

Credit Card No.: _____ Exp. Date: _____

Signature: _____

In an effort to be socially conscience, to contain cost, to ensure that SOFE is able to maintain registration fees, and provide the most accurate count to the hotel for our meal functions, please advise us which of the following functions you plan to attend:

❑ Saturday, August 2, State Chair/First-Time Attendee Social *(This event is only for State Chairs and First-Time Attendees.)*

❑ Monday, August 4, Annual Business Luncheon

❑ Tuesday, August 5, General Luncheon OR

❑ State Chair Luncheon representing the state of _____

Please indicate your session attendance preference on reverse.
For the latest schedule of 2008 CDS events, including general sessions, online registration form, please refer to SOFE's website, www.sofe.org.

Please indicate if any of the persons registering need any of the following special considerations:

Name of person: _____

❑ hearing impaired (H)
❑ speech or language impairment (S)
❑ difficulty walking distances (D)
❑ other disability (describe) (X)
❑ wheelchair accessibility (W)
❑ visually impaired (V)
❑ learning disabled (L)

How can we best accommodate your needs? _____

_____

You will be contacted to confirm the auxiliary aid or services to be provided. Every reasonable effort will be made to accommodate special needs.

❑ Please send me information on joining SOFE.

Note: Registration fee is subject to forfeiture if SOFE is notified of a cancellation less than fifteen (15) days prior to the meeting date. A $50 administration charge will be applied to all cancellations after July 9. Please fax or e-mail SOFE for all cancellation/substitutions. For more information regarding administrative policies such as complaints and refunds, please contact **Paula Keyes**, Executive Director, at (800) 787-7633. All complaints will be addressed within 14 days of receipt.

Circle applicable fees:

	Received on/before 7/7	Received after 7/7
Members of SOFE *	$ 410	$ 460
Non-members Examiners*	$ 515	$ 565
Retired Members *	$ 270	$ 320
Spouse/Guest/Youth	$ 95	$115

First-Time Attendee ❑ $_____
50% off Applicable Rate Applies; *(See page 3 for information on qualifying for this discounted rate.)*

Spouse/guest(s) meal options. Please check the boxes & circle the days that you want to attend.

❑ Breakfast Roundtable	$27/ea	M, T, W
❑ Luncheons	$40/ea	M & T
❑ Breaks (each day)	$10	M & T
❑ Breaks (each day)	$ 5	Sun. & W

2008 CAREER DEVELOPMENT SEMINAR

Society of Financial Examiners (SOFE)
Sunday–Wednesday, August 3 – 6, 2008 • Nashville Renaissance, Nashville, TN

Please select the breakout sessions of your choice listed below. A description of each session is available on the online registration form at http://www.sofe.org/education/cds/. We encourage you to register online rather than mailing in this paper copy to ensure timeliness and accuracy of the information. You may register online whether paying by check or credit card.

SUNDAY, AUGUST 3

1:30-3:00 pm General Sessions:

- ❑ A1–Interviewing for Risk-Focused Surveillance

3:30–5:00 pm

- ❑ A2–Economic Update

MONDAY, AUGUST 4

7:15–8:15 am Breakfast Roundtables:

- ❑ B1–2008 Changes to the Financial Condition Examiners Handbook
- ❑ B2–Risk-Focused Surveillance – TeamMate Documentation
- ❑ B3–Insurance Company/Regulator Relations
- ❑ B4–SVO – What We Do for Investments
- ❑ B5–Text Editing for Data Troubleshooting 💻
- ❑ B6–Building Corporate Assets with Compliance 💻

8:30–10:00 am Breakout Sessions:

- ❑ B7–Examinations – Who is the Customer and Are Their Needs Being Served?
- ❑ B8–Ethics Today
- ❑ B9– Risk-Focused Surveillance – Prospective Risks to Identify
- ❑ B10–Risk-Focused Surveillance – Prudential's View of the Process
- ❑ B11–NAIC's Annual Financial Reporting Model Regulation (Revised Model Audit Rule)
- ❑ B12–SOX Reporting Requirements – Property & Casualty Companies
- ❑ B13–Holistic Risk and Compliance Management 💻

10:30 am–12:00 pm

- ❑ B14–P&C Actuarial Opinions: What Examiners Should Know
- ❑ B15–New Platform for the Risk-Focused Surveillance
- ❑ B16–SAP Updates
- ❑ B17–Commissioners' Panel
- ❑ B18–Lessons Learned – The Series Continues
- ❑ B19–SOX Reporting Requirements – Life and Health Companies
- ❑ B20–Portable Electronic Devices – Issues and Answers 💻

1:30–3:00 pm General Session

- ❑ B21–Computer Forensics 💻

3:30–5:00 pm Breakout Sessions

- ❑ B22–Introduction to Solvency
- ❑ B23–Sampling – Linking Phase 3B to Phase 5 Testing
- ❑ B24–The IT Examination–The Risk-Focused Approach & Challenges 💻
- ❑ B25–Specific Practitioners Guidance for Phases I to IV
- ❑ B26–P&C Actuarial Issues

TUESDAY, AUGUST 5

7:15–8:15 am Breakfast Roundtables:

- ❑ C1–Accreditation Update & Changes to the Accreditation Standards
- ❑ C2– Risk-Focused Surveillance – Taxes and Why You May Need to Know What to Examine
- ❑ C3–Principal Based Reserving – You Will Need to Know This!
- ❑ C4–I.T. Best Practices for Risk-Focused 💻
- ❑ C5–Using the Exam/Receivership Tool Box to Minimize Damage to Consumers-Instead of Increasing It
- ❑ C6–The Audit Automation Adventure 💻

8:30–10:00 am Breakout Sessions:

- ❑ C7–Fraud – Why Be Ethical?
- ❑ C8–Risk-Focused Surveillance – Losses Cycle
- ❑ C9–Going Below "C" Level
- ❑ C10–Underwriting & Pricing of Medical Malpractice Insurance
- ❑ C11–Securing Email and Data with Encryption 💻

10:30 am–12:00 pm

- ❑ C12–Integrating SOX Workpapers Into The Risk Matrix
- ❑ C13–Risk-Focused Surveillance – IT for Small Companies
- ❑ C14–Beyond the Numbers: Risk-Focused Financial Analysis
- ❑ C15–The Subprime Future Landscape - What is Coming Down the Road?
- ❑ C16–Comprehensive End Point Security 💻
- ❑ C17–Navigating the Forensic Quicksand 💻

1:30–3:00 pm General Session

- ❑ C18–Clarity for the Analysis Viewpoint in the Risk-Focused Surveillance Process

3:30–5:00 pm

- ❑ C19–Inadequate Internal Controls – Now What?
- ❑ C20–Risk-Focused Surveillance – Premiums
- ❑ C21–Steps to Receivership
- ❑ C22–Risk Retention Groups – What Should Examiners Know?
- ❑ C23–Pursuing & Defending eDiscovery: Computer Forensics & the Discovery Process 💻

WEDNESDAY, AUGUST 6

7:15–8:15 am Breakfast Roundtables:

- ❑ D1–Reinsurance – What New Requirements Will You Need?
- ❑ D2–I.T. – Best Practices 💻
- ❑ D3–NAIC Model Audit Rule
- ❑ D4–Email Security
- ❑ D5–Reinsurance Attestation Documentation
- ❑ D6–The Legal History of Insurance Regulation

8:30–10:00 am Breakout Sessions:

- ❑ D7–Risk-Focused Surveillance – Small Companies
- ❑ D8–Investments – Why Do I Care?
- ❑ D9–Interviewing – Role Playing to Prepare the Examiner
- ❑ D10–P&C Enterprise Risk Management
- ❑ D11–Data Mining 💻

10:30 am–12:00 pm

- ❑ D12–Preparing the Supervisory Plan
- ❑ D13–Risk-Focused Surveillance – Investments
- ❑ D14–SPAM and Email Security 💻
- ❑ D15–Protecting Personal Privacy 💻
- ❑ D16–Progression of Internal Controls – The History

Tear out when complete.

💻 – Qualifies as IT continuing education for the AES Designation.

Society of Financial Examiners
174 Grace Blvd.
Altamonte Springs, FL 32714

Future Sites:

July 24-29, 2009 • Sacramento, CA
Hyatt Regency Sacramento and Convention Center

August 1-4, 2010 • Providence, RI
The Westin Providence

July 17-20, 2011 • Jacksonville, FL
Hyatt Regency, Jacksonville Riverfront

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