



ST. JOHN'S  
UNIVERSITY

THE PETER J. TOBIN  
COLLEGE OF BUSINESS

School of Risk Management, Insurance and Actuarial Science

## Regulatory Risk in Uncertain Times

Organized by the Center for the Study of Insurance Regulation (CSIR), School of Risk Management, The Peter J. Tobin College of Business, St. John's University

Thursday, October 20, 2016

St. John's University Manhattan Campus – 101 Astor Place, New York, NY 10003

*Seating by invitation only*

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**11:00 AM – 12:00 PM**    **Registration and Lunch**

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**12:00 PM – 12:10 PM**    **Opening Remarks**

Brandon W. Sweitzer, Dean, School of Risk Management, Insurance and Actuarial Science

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**12:10 PM – 12:40 PM**    **Regulatory Outlook: Which Way Are Political Winds Blowing?**

Scott W. Reed, Senior Political Strategist, U.S. Chamber of Commerce

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**12:40 PM – 1:40 PM**    **Financial Regulation – What Is an International Insurer to Do?**

*Moderator: Fred E. Karlinsky, Shareholder, Co-Chair, Insurance Regulatory & Transactions Practice, Greenberg Traurig, P.A.*

John Finston, General Counsel and Deputy Commissioner, California Department of Insurance

Julie McPeak, Commissioner, Tennessee Department of Commerce and Insurance

David F. Snyder, Vice President, International Policy, Property Casualty Insurers Association of America (PCI)

Thomas Sullivan, Associate Director, Federal Reserve, Board of Governors

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**1:40 PM – 1:50 PM**    **Break**

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**1:50 PM – 2:50 PM**    **Who's in Charge? Developments in Regulation of Insurer Cybersecurity Practices**

*Moderator: John S. Pruitt, Partner, Sutherland Asbill & Brennan LLP*

Adam Hamm, North Dakota Insurance Commissioner and Chair of the NAIC Cybersecurity Task Force

Timothy Howard, Assistant United States Attorney and Cybercrime Coordinator for the U.S. Attorney's Office for the Southern District of New York

Cassandra Lentchner, Deputy Superintendent for Compliance, New York Department of Financial Services

Daniel E. Roffman, Managing Director – Technology, FTI Consulting

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**2:50 PM – 3:50 PM**

**Catastrophe Risk: Are We Ready?**

*Moderator: Costantino P. Suriano, Partner, Mound Cotton Wollan & Greengrass LLP*

Dane R. Austin, President, New York Property Insurance Underwriting Association

Frank Nutter, President, Reinsurance Association of America

Michael G. Wacek, Executive Vice President and Chief Risk Officer, Odyssey Re

**3:50 PM – 4:00 PM**

**Break**

**4:00 PM – 5:00 PM**

**One-on-One with Dan Glaser**

A conversation with Daniel S. Glaser, President and Chief Executive Officer, Marsh & McLennan Companies

*Introduction: Brandon W. Sweitzer, Dean, School of Risk Management, Insurance and Actuarial Science*

*Interviewer: Patricia A. Henry, Global Government Affairs Officer, Chubb Group*

**5:00 PM – 5:15 PM**

**Closing Remarks**

Brandon W. Sweitzer, Dean, School of Risk Management, Insurance and Actuarial Science

**5:15 PM – 6:30 PM**

**Cocktail Reception**

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**Opening Remarks  
(12:00pm – 12:10pm)**



**Brandon W. Sweitzer, Dean, School of Risk Management, Insurance and Actuarial Science**

Brandon W. Sweitzer joined United Educators' board in 2010 and serves on its Audit and Investment Committees. Mr. Sweitzer is Dean of the School of Risk Management of the Peter J. Tobin College of Business of St. John's University in New York City and past chairman of its board of overseers.

Mr. Sweitzer is a board member of Fairfax Financial Holdings (Toronto) and Odyssey Reinsurance (Stamford, Conn.), a director of Falcon Insurance Company Ltd. (Hong Kong) and First Capital Insurance (Singapore). Mr. Sweitzer is also Trustee Emeritus of the Kent School in Kent, Connecticut and past president of its board of trustees. Additionally, he is a board member of the U.S. Chamber of Commerce.

Mr. Sweitzer was president of Marsh Inc. from 1999 to 2000, and he served as president and CEO of Guy Carpenter & Company Inc. from 1996 to 1998. Previously, he held a number of senior positions in the operations of Marsh, having joined the firm in 1981 as chief financial officer.



**Regulatory Outlook: Which Way Are Political Winds Blowing?**  
**(12:10pm – 12:40pm)**



**Scott W. Reed, Senior Political Strategist, U.S. Chamber of Commerce**

Scott W. Reed is the senior political strategist at the U.S. Chamber of Commerce. He is responsible for overseeing the Chamber's federal voter education program.

The Chamber's goal in the 2014 elections was to elect pro-business candidates with the courage to govern. Mr. Reed created and implemented the blueprint for that strategy, helping recruit business-friendly candidates, overseeing traditional and digital advertising campaigns, and identifying credible messengers to showcase the importance of the free enterprise system.

Mr. Reed was named by *Politico Magazine* as one of the top "Politico 50" ideas changing politics and the people behind them and was featured as the *Fox News Sunday* "Power Player of the Week" in May 2014.

He is also founder and chairman of Chesapeake Enterprises, a Washington-based consulting firm specializing in federal and state legislative, regulatory, and governmental affairs for corporate clients.

Mr. Reed was campaign manager for Bob Dole's 1996 presidential campaign. He oversaw the national campaign, which included political strategy, policy development, communications, and advertising during the GOP primary and the general election. In addition, he directed preparations for the 1996 Republican National Convention in San Diego and the vice presidential selection process of Jack Kemp.

In 1993, Mr. Reed was appointed executive director of the Republican National Committee. He served as chief operating officer of the GOP during the historic elections in 1993 and 1994 when the Republicans gained control of both the House and the Senate for the first time in more than 40 years. Mr. Reed implemented a state-by-state effort that succeeded in electing 32 Republican governors.

During the Bush administration, Mr. Reed served as chief of staff to Secretary Jack Kemp at the Department of Housing and Urban Development. He directed personnel, political, and policy matters, employing a long-term empowerment and privatization program.

Mr. Reed has appeared on NBC's *Meet the Press*, CBS's *60 Minutes* and *Face the Nation*, ABC's *World News Tonight*, C-Span's *Washington Journal*, CNN's *John King USA*, National Public Radio, and other national broadcast programs. He is quoted extensively on national political trends in *The Washington Post*, *The New York Times*, *USA Today*, and *The Wall Street Journal*.



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**Financial Regulation – What Is an International Insurer to Do?  
(12:40pm – 1:40pm)**



**Moderator: Fred E. Karlinsky, Shareholder, Co-Chair, Insurance Regulatory & Transactions Practice, Greenberg Traurig, P.A.**

Fred E. Karlinsky is Co-Chair of Greenberg Traurig's Insurance Regulatory and Transactions Practice Group. Fred has nearly 25 years of experience representing the interests of insurers, reinsurers, and a wide variety of other insurance-related entities on their regulatory, transactional, corporate, and governmental affairs matters. Mr. Karlinsky is a recognized authority on national insurance regulatory and compliance issues and has taken a leadership position in many insurance trade organizations. He has led many industry-driven legislative and regulatory initiatives, and is a sought after thought leader who has spoken and presented papers to insurance executives and governmental officials, both nationally and internationally.

In addition to his role with Greenberg Traurig, Mr. Karlinsky has been an Adjunct Professor of Law at Florida State University College of Law since 2008, where he teaches a course on Insurance Law and Risk Management.



**John Finston, General Counsel and Deputy Commissioner, California Department of Insurance**

On July 6, 2015, John Finston was appointed by California Insurance Commissioner Dave Jones to the position of General Counsel and Deputy Commissioner. In this position, he supervises 160 attorneys and staff in nine Legal Bureaus, and is responsible for advising the Insurance Commissioner on all legal issues and litigation pending before the Department. Prior to being appointed General Counsel, he was Deputy Commissioner for Corporate and Regulatory Affairs since January 17, 2012. In this position, he was responsible for supervising the Corporate and Regulatory Affairs Branch of the California Department of Insurance, which evaluates regulatory applications, reinsurance agreements and trusts, holding company act filings required by insurers doing business in the state of California, the conservation and liquidation of insurers, and oversight of surplus lines insurance issues. He also represents California as the Chair of the NAIC Receivership and Reinsurance Task Forces.



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**Julie McPeak, Commissioner, Tennessee Department of Commerce and Insurance**

Commissioner Julie Mix McPeak was appointed by Governor Bill Haslam to lead the Tennessee Department of Commerce and Insurance in January 2011. Before being named to lead the department, she practiced as Counsel to the Insurance practice group of law firm Burr & Forman LLP. She also served as the Executive Director of the Kentucky Office of Insurance (KOI). Before her appointment as Executive Director, Ms. McPeak spent nine years as an attorney for KOI, the final five as general counsel. She also served as general counsel to the Kentucky Personnel Cabinet.

Ms. McPeak, who brings more than 20 years of legal and administrative experience in state government, is the first woman to serve as chief insurance regulator in more than one state. Her leadership as TDCI Commissioner garnered recognition from *Business Insurance Magazine* which honored her as one of the 2013 Women to Watch.

In February 2016, Ms. McPeak was elected as Vice President of the National Association of Insurance Commissioners (NAIC). An active NAIC participant for nearly 20 years, Ms. McPeak has served on the NAIC's Executive Committee since 2013. She was elected in November 2015 as NAIC Secretary-Treasurer. In addition to her leadership duties with the NAIC, Ms. McPeak is also an Executive Committee member of the International Association of Insurance Supervisors (IAIS.) In June 2016, she was elected by her fellow IAIS members to serve as Vice Chair of the group's Executive Committee. She also serves as a member of the Federal Advisory Committee on Insurance (FACI).



**David F. Snyder, Vice President, International Policy, Property Casualty Insurers Association of America (PCI)**

David F. Snyder is Vice President, International Policy, for the Property Casualty Insurers Association of America (PCI) in which capacity he covers international and domestic insurance regulatory and trade issues. He represents PCI members before numerous international, federal, and state legislative and regulatory bodies, having made presentations in Amman, Basel, Beijing, Buenos Aires, Paris, and Shanghai, among others. He is a member of the U.S. delegation to the OECD's Insurance and Private Pensions Committee and chairs the governance working group of the Global Federation of Insurance Associations.

Mr. Snyder graduated Magna Cum Laude from Dickinson College and earned his law degree from the George Washington University Law School. He is admitted to law practice in three jurisdictions and received the Chartered Property and Casualty Underwriter designation. His state and federal government experience includes appellate and civil litigation as well as administrative law. He worked for the Commonwealth of Pennsylvania in the Insurance Department as legislative liaison and hearing officer, later as a Deputy Attorney General in Torts Litigation, and finally as General Counsel of the Commerce Department.



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**Thomas Sullivan, Associate Director, Federal Reserve, Board of Governors**

Thomas Sullivan is an Associate Director of the Federal Reserve, Board of Governors. Mr. Sullivan, an insurance industry regulatory veteran, leads the Federal Reserve on regulatory matters presented by insurance firms within the responsibility of the Fed. The Fed is the consolidated regulator for one-quarter of the U.S. Insurance Industry, the world's largest insurance market.

Among his core responsibilities, Mr. Sullivan leads the insurance policy development activities of the Fed. Mr. Sullivan also represents the Fed at the International Association of Insurance Supervisors (IAIS) and leads the Federal Reserve's participation in IAIS committees, working groups, and projects. He is the Fed's point of contact with senior officials from the National Association of Insurance Commissioners (NAIC), state insurance commissioners, the Federal Insurance Office, and foreign insurance supervisory authorities. He briefs the Chair and other members of the Board, and senior officials on matters of relevance in insurance regulation. Mr. Sullivan has testified before Congress and is the Fed's key spokesperson on insurance industry matters having appeared in broadcast and print media, as well as at numerous industry events and forums.



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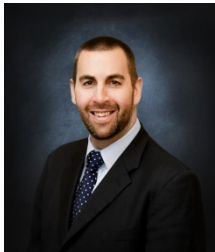
**Who's in Charge? Developments in Regulation of Insurer Cybersecurity Practices  
(1:50pm – 2:50pm)**



**Moderator: John S. Pruitt, Partner, Sutherland Asbill & Brennan LLP**

John Pruitt guides insurance companies in every aspect of their business—from responding to regulatory inquiries to developing new companies or buying and selling existing ones. In more than 25 years of private practice, Mr. Pruitt has advised property and casualty and life insurance clients on regulatory compliance, acquisitions, dispositions, and restructurings. He counsels clients with governance, licensing, cybersecurity, financial and market conduct examination, and Insurance Holding Company Act matters. He also drafts, advises, and negotiates reinsurance contracts and insurance policies.

Mr. Pruitt represents his clients in internal investigations and regulatory enforcement actions, including matters such as broker compensation practices, finite risk reinsurance, rating practices, and insurance sales and marketing practices. He is a recognized thought leader in insurance regulation and actively monitors emerging issues in U.S. domestic and international regulation of insurance.



**Adam Hamm, North Dakota Insurance Commissioner and Chair of the NAIC Cybersecurity Task Force**

Adam Hamm was appointed Insurance Commissioner of North Dakota by Governor John Hoeven in October 2007, was elected to a four-year term in November 2008, and was reelected to a second four-year term in November 2012. Mr. Hamm has a strong and varied background that includes experience both in public service and in the private sector.

Mr. Hamm's dedication to serve the public began with his work as a prosecutor at the Cass County State's Attorney's office. Mr. Hamm has also worked as an attorney in private practice advocating for North Dakota businesses and individuals.

Mr. Hamm is also very active in the National Association of Insurance Commissioners (NAIC). Mr. Hamm was an elected officer of the NAIC for four years and served as President in 2014. Since January 2015, he has served as Chair of the NAIC's new Cybersecurity Task Force. This task force is charged with putting in place the regulatory rules of the road on the single most important issue facing the insurance industry today.





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**Timothy Howard, Assistant United States Attorney and Cybercrime Coordinator for the U.S. Attorney's Office for the Southern District of New York**

Timothy Howard is an Assistant U.S. Attorney, and the Cybercrime Coordinator for the U.S. Attorney's Office for the Southern District of New York, where he has worked since 2010. Between June 2015 and May 2016, Mr. Howard was detailed to the Department of Justice's National Security Division, as Senior Litigation Counsel for Cyber Investigations where he worked to coordinate the national program of cyber national security prosecutions at U.S. Attorney's Offices across the country. Mr. Howard has been awarded the 2016 FBI Director's Award for Outstanding Cyber Investigation for his role as lead prosecutor in *United States v. Ahmad Fathi*, which charged seven Iranians with conducting state-sponsored cyberattacks against the U.S. financial sector, and the 2015 Attorney General's Distinguished Service Award for his involvement as trial counsel in the successful prosecution of Ross Ulbricht, the founder and chief administrator of the Silk Road underground website.

**Cassandra Lentchner, Deputy Superintendent for Compliance, New York Department of Financial Services**

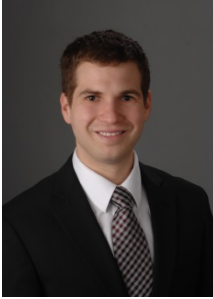
Cassandra Lentchner is the Deputy Superintendent for Compliance for the New York Department of Financial Services. In that role, Ms. Lentchner is the director of the Department's compliance efforts, setting standards for regulated entities as well as internal staff. Ms. Lentchner has taken a lead on the department's proposed cybersecurity regulations. Prior to joining DFS, Ms. Lentchner was an Executive Director in the Morgan Stanley Legal and Compliance Department as the Global Head of Anti-Corruption, Government and Political Activities Compliance with responsibility for the firm's global anti-corruption program and U.S. compliance coverage of political contribution, lobbying, and interactions with government officials. Prior to working at Morgan Stanley, Ms. Lentchner was in the UBS Investment Bank Legal Department as the head of Political and Governmental Law. Prior to joining UBS, Ms. Lentchner worked at Perkins Coie LLC in the Political Law Group, worked for the U.S. House of Representatives as the Chief Counsel to the Teamsters Investigation, and the U.S. Senate as Senior Counsel for an investigation into potential foreign influence during the 1996 U.S. elections.



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**Daniel E. Roffman, Managing Director – Technology, FTI Consulting**

Daniel Roffman is a Managing Director at FTI in the Computer Forensics practice of the Technology segment. Mr. Roffman is an expert in computer forensics, eDiscovery, and cyber investigations.

For the past 10 years, Mr. Roffman has provided computer forensic and eDiscovery consulting services to corporations around the globe in support of litigation and investigations. He has provided oral and written testimony in both civil and criminal matters in the U.S. and abroad. Mr. Roffman currently supervises FTI's computer forensic labs and staff in Chicago and New York. Prior to joining FTI, Mr. Roffman worked in the Criminal Division of the United States Department of Justice.

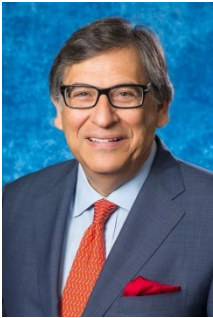


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**Catastrophe Risk: Are We Ready?**  
**(2:50pm – 3:50pm)**



**Moderator: Costantino P. Suriano, Partner, Mound Cotton Wollan & Greengrass LLP**

Costantino P. Suriano has more than 32 years of experience in domestic and international insurance coverage and litigation representing leading U.S., London, and Bermuda Market insurers. His experience includes first- and third-party coverage and claims defense, multi-layered policy defense of complex property and time element, business interruption loss, fire and property and casualty defense, allocation, exhaustion and occurrence analysis, all-risk and builder's risk policy analysis and defense, construction project sequence analysis, boiler and machinery, product recall, crane collapse accidents, onshore and offshore energy, utility and power generation loss, group retention risk defense, chemical plant loss, defense of oil company claims, refinery loss and related energy loss, coal mining loss, entertainment and contingency insurance policy defense, satellite loss, weather-related and terrorism catastrophes, hurricane-related lawsuit defense, advice to insurers regarding regulatory trends, employee-related issues, policy wording and forms, environmental and contamination, property and liability defense, land use, building code upgrade disputes, financial guaranty, retrospective premium, arson and fraud defense, defense of insurers against public transportation agency, first-party lawsuits, building collapses, products liability defense, reinsurance arbitration, captive reinsurer disputes, federal multi-district disaster litigations, defense of travel agents, tour operators, resort and camp operator defense and travel professionals, contingency insurer coverage disputes with artists, media, insurer defense in antitrust brokerage commission class actions, advertising liability coverage and defense, construction accident liability defense and coverage, transportation, commercial disputes, real estate, bankruptcy, secured transactions, lending and corporate securities litigation, and extensive mediation experience in complex multi-party cases.

**Dane R. Austin, President, New York Property Insurance Underwriting Association**

Dane R. Austin joined the New York Property Insurance Underwriting Association (NYPIUA) in August 2011 as its president. With more than 30 years of experience in the insurance industry, he has, in conjunction with the Association's Board of Directors, developed and effectively implemented strategies to address current and future operational needs. In addition, Mr. Austin serves as a Named Fiduciary for the Pension Plan for Insurance Organizations, a multiple employer pension plan serving approximately 70 member organizations.

Prior to heading NYPIUA, Mr. Austin was with Utica National Insurance Group as their Vice President, Director of Mergers/Acquisitions, Risk and Reinsurance; he also served on both of its Management and Operating Committees.



**Frank Nutter, President, Reinsurance Association of America**

Frank Nutter has been President of the Reinsurance Association of America since 1991. He held the same position from 1981-1984. In the interim, he was president of the Alliance of American Insurers and Property Loss Research Bureau, which have now merged as the Property Casualty Insurance Association of America (PCI). Mr. Nutter was the RAA's General Counsel from 1978-1981.

Mr. Nutter currently serves on the Advisory Board of the Center for Health and Global Environment, an adjunct to the Harvard University School of Public Health; the Advisory Board of the OECD's International Network for the Financial Management of Large-Scale Disasters and the RAND Center on Catastrophic Risk Management and Compensation. He has recently served on the Council of the American Meteorological Society and the Board of the University Center for Atmospheric Research, a consortium of universities managing the National Center for Atmospheric Research sponsored by the National Science Foundation. He has served as a member of the Board of Directors of the Advocates for Highway and Auto Safety, the Insurance Institute for Highway Safety and the Worker's Compensation Research Institute, the Board of Overseers of the Institute for Civil Justice, a subsidiary of the RAND corporation, and on the Board of the Bermuda Institute for Ocean Sciences.



**Michael G. Wacek, Executive Vice President and Chief Risk Officer, Odyssey Re**

Mike Wacek is Executive Vice President and Chief Risk Officer of Odyssey Re Holdings Corp., is a member of the board of directors of Odyssey Reinsurance Company, and is chairman of the board of directors of Newline Underwriting Management Limited (the managing agent of Lloyd's Syndicate 1218). He is based in Stamford, Connecticut.

Over the course of more than 35 years in the insurance industry, including nine years in the London Market, Mr. Wacek has seen the business from the vantage point of a primary insurer (St. Paul, now part of Travelers), a reinsurance broker (E.W. Blanch, now part of Aon Benfield Re), and a reinsurer (St. Paul Re, TIG Re and Odyssey Re) in actuarial, underwriting, and executive management roles.

He is the author of a number of actuarial papers on insurance, reinsurance, and enterprise risk management issues, and was a pioneer in the development of stochastic catastrophic modeling and the securitization of catastrophe risk.



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**One-on-One with Dan Glaser  
(4:00pm – 5:00pm)**



**Daniel S. Glaser, President and Chief Executive Officer, Marsh & McLennan Companies**

Daniel S. Glaser is President and Chief Executive Officer of Marsh & McLennan Companies, a \$13 billion global professional services firm offering advice and solutions in risk, strategy, and people. Through Marsh & McLennan Companies' market-leading brands — Marsh, Guy Carpenter, Mercer, and Oliver Wyman — approximately 60,000 colleagues provide services to clients in more than 100 countries.

Prior to becoming the President and CEO, Mr. Glaser served as the Company's Group President and Chief Operating Officer, with operational and strategic oversight of the Risk and Insurance Services and the Consulting segments of the Company. He rejoined Marsh in December 2007 as Chairman and Chief Executive Officer of Marsh Inc., returning to the firm where he had begun his career 25 years before, right out of university.

Mr. Glaser is an insurance industry veteran who has held senior positions in commercial insurance and insurance brokerage, working in the United States, Europe, and the Middle East.

Mr. Glaser was named Chairman of the Federal Advisory Committee on Insurance (FACI) in August 2014. FACI, which comprises experts from business, academia, and consumer advocacy groups, as well as state insurance regulators, was formed in 2011 to provide advice to the Federal Insurance Office. He also serves on the International Advisory Board of BritishAmerican Business and is a member of the Board of Trustees for The Institutes (American Institute for CPCU), the Insurance Information Institute, and Ohio Wesleyan University.



**Interviewer: Patricia A. Henry, Global Government Affairs Officer, Chubb Group**

Patricia A. Henry is currently the Global Government Affairs Officer for Chubb Group with global responsibility for government and industry affairs. In this role, Ms. Henry oversees the development and implementation of the public affairs agenda at the state, federal, and international level. In addition to managing Chubb's Washington, D.C. office, she is the company representative to various industry associations. Some representative issues Ms. Henry has worked on include asbestos litigation reform, the Terrorism Risk Insurance Act, and the current global efforts regarding insurance regulatory reform, including identification of systemically important insurers and the supervision of globally active firms. Prior to ACE's acquisition of Chubb, Ms. Henry has held numerous management positions, including serving as Chief Legal Officer for ACE's domestic operations. Prior to joining ACE, Ms. Henry was an associate at the Philadelphia law firm of White & Williams where she represented ACE's predecessor companies as national coverage counsel for environmental, asbestos, and other toxic tort exposures.



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The 2016 St. John's University School of Risk Management conference, *Regulatory Risk in Uncertain Times*, is organized by the Center for the Study of Insurance Regulation (CSIR), School of Risk Management, The Peter J. Tobin College of Business, St. John's University.

We gratefully acknowledge those without whose support this program would not have been possible:

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