Working with Business Partners – Sales/ Marketing & Producers

2:00 – 2:45 PM

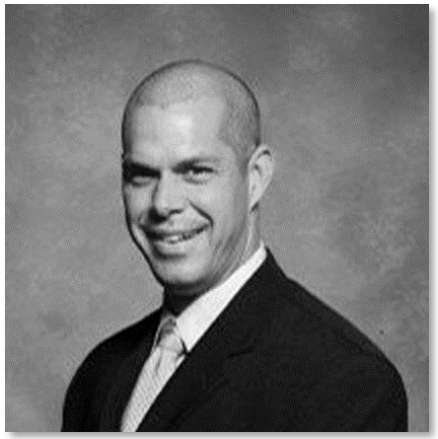
2021 Compliance Fundamentals Training Conference

Faculty

AUTUMN FORD

Director – Market Conduct Compliance

Pacific Life Insurance Company



PETE ROCK

Chief Compliance Officer

Oceanview Life and Annuity Company

Agenda

- Presenters.
- Compliance Competencies.
- Distribution Models.
- Communication Styles.
- Remote Work Environment.

Q&A

To submit a question during the presentation, click on the **“Q&A”** button to the right of the presentation content on your screen.

Compliance Competencies

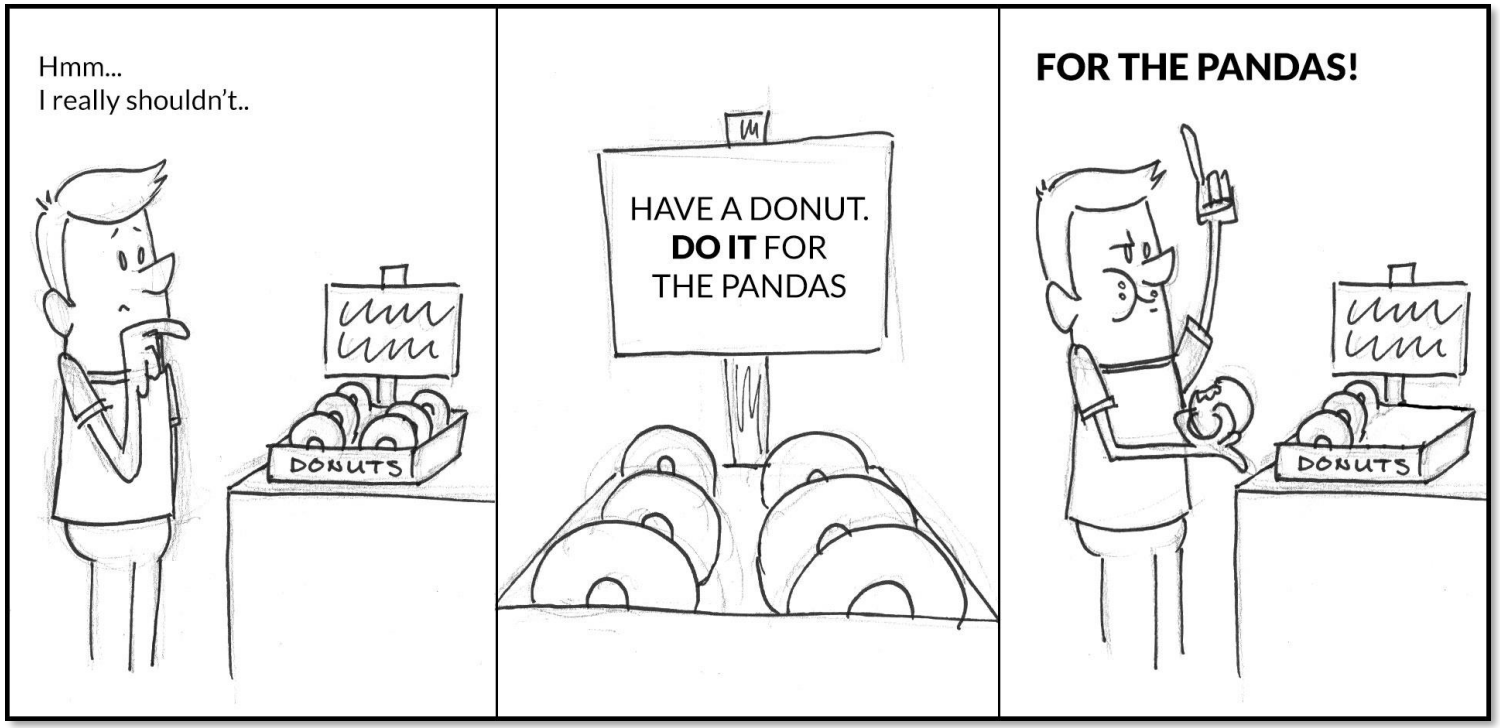
Courage

Compliance Competencies

R-E-S-P-E-C-T

Compliance Competencies

Persuasiveness



Compliance Competencies

Business Insight

Compliance Competencies

Effective Communications

Communications Differences: Distribution Models

- Compliance to Marketing and Sales Team.
- Compliance to Producers/Agents.
- Methods of communication.

Distribution Models

- Independent Producers:
  - Direct.
  - Broker Dealers.
  - Marketing Organizations.
- Captive.

Remote Work Environment

- Video Conferencing.
- Impromptu and Impersonal Connections.
- Efficiencies Versus Inefficiencies.

Questions

Questions?
Please Ask!

Q&A

To submit a question, please click on the Q&A button to the right of the presentation content on your screen.

Final Thoughts and Closing Remarks

2:45 – 3:00 PM

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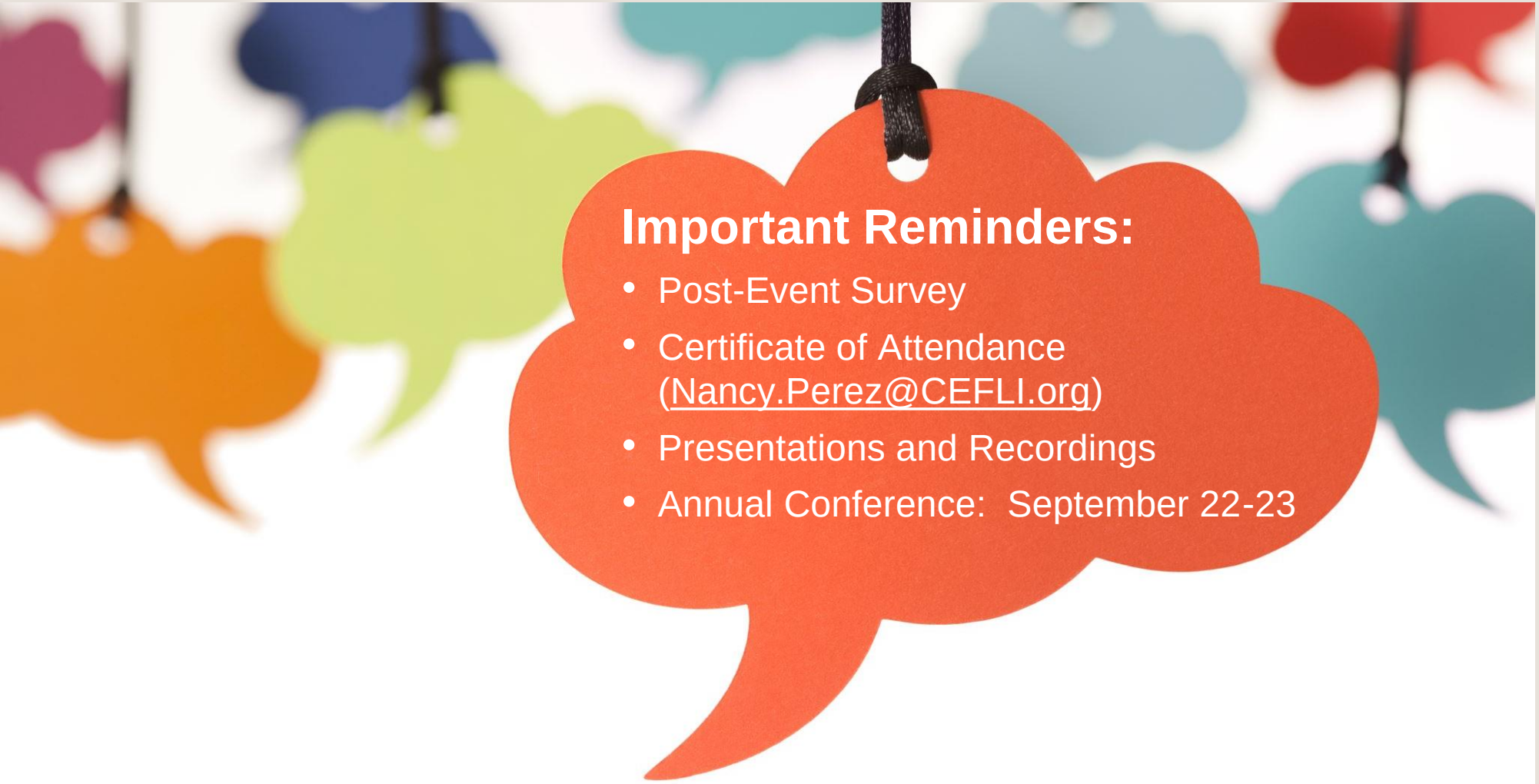
CARLA STRAUCH

Vice President, Compliance & Ethics

CEFLI

Closing Thoughts

Closing Thoughts



Important Reminders:

- Post-Event Survey
- Certificate of Attendance (Nancy.Perez@CEFLI.org)
- Presentations and Recordings
- Annual Conference: September 22-23

Closing Thoughts