

## PROFILE

Compliance Professional with 30+ year's management and carrier regulatory experience in various companies and insurance departments. Experience working in four insurance departments as an examiner and chief positions as well as working in carrier environments in various compliance positions. Dynamic leader with vision who authored the market conduct product called ComplianceWare and conducted national seminars for the insurance industry, teaching compliance and providing compliance manuals. Excellent personal and communication skills, organizational and leadership skills.

## AREAS OF STRENGTH

- Solid regulatory and carrier compliance experience
- Computer skills and knowledge of insurance compliance software products
- Compliance training skills for staff and senior management
- Compliance department development skills
- Auditing methods and skills applicable to all phases of company operations
- Expert knowledge of insurance compliance systems and technical details

## PROFESSIONAL EXPERIENCE

### **Senior Vice President Uniform Information Systems**

Authored and created Wolters Kluwer's ComplianceWare software product on line at <https://www.insurance.cch.com>. Started the insurance consulting business at Uniform in 1999. Trained Uniform staff and senior management on all phases of compliance and the consulting business. Conducted national seminars which trained customers and seminar attendees on how to develop compliance departments and perform audits for all phases of a company's internal operations.

### **President and Founder of Lou Penn & Associates, Inc., regulatory consulting and publishing business, Charlotte, North Carolina.**

Established consulting business to provide regulatory compliance services, such as, File Reviews, Seminars and Auditing to monitor a state's regulatory requirements, product development, Checklists, to assist insurance companies with their emerging compliance programs. Developed a software product ComplianceWare to provide insurance companies with a market conduct solution for conducting audits.

### **Carrier Compliance Experience**

Market Conduct Consultant, Auditing Manager, and Consulting Positions with various carriers to train staff in compliance procedures. Insurance producer for 8 years with MA, NH and ME.

### **Insurance Department Compliance Experience**

Examiner, Filing Analyst and Market Conduct positions with four insurance departments; NY, FL, VT, MS

## EDUCATION

BA, Penn State University, College of Insurance, NYC – 3 years completed for MBA, College of Insurance, Certified Insurance Examiner (NAIC Designation), CLTC Designation

## PROFESSIONAL AFFILIATIONS

CIE, MCM, CLTC designations, IRES, AICP, Producer licenses in MA, NH and ME