

Meeting Name: Compliance and Ethics Committee Meeting

Meeting Start Time: Immediately following the Legal Affairs & Governmental Committee Meeting

Meeting Start Date: 07/24/2019

Meeting Location: 1700 Northwest 49 Street, Suite 150, Ft. Lauderdale, FL 33309

Agenda:

1. Notice of Meeting
2. Call to Order (Presenter: Nancy W. Gregoire)
3. Roll Call (Presenter: Patricia Alfaro)
Nancy W. Gregoire/Chair
Andrew M. Klein
Christopher T. Ure
Ray T. Berry
Stacy L. Angier
Marie C. Waugh
4. Public Comments
5. Approval of Minutes
Approve minutes dated June 25, 2019
6. Topic of Discussion
 - 6.1.Chief Compliance Officer Report (Presenter: Brian Kozik)
 - 6.1.1. Compliance Updates
 - 6.1.2. OIG/CIA Update
 - 6.2.Policy Approval (Presenter: Brian Kozik)
 - 6.2.1. GA-001-015 Conflict of Interest
 - 6.2.2. GA-004-012 Gifts Gratuities and Business Courtesies
 - 6.2.3. Gifts and Gratuities Matrix
 - 6.3.Report from the Executive Compliance Group
 - 6.3.1. Training (Presenter: Melanie Hatcher)
 - 6.3.2. Sanction Screening (Presenter: Lee Ghezzi)

6.3.3. Disclosures (Presenter: Ana Calderon Randazzo)

6.3.4. Risk Assessment (Presenter: Alex Fernandez)

6.3.5. Policies & Code of Conduct (Presenter: Denise Moore)

6.4. Special Compliance Liaison (Presenter: Steve Forman)

7. Adjournment