

Meeting Name: Compliance and Ethics Committee Meeting

Meeting Start Time: 1:30 PM Eastern Daylight Time

Meeting Start Date: 06/25/2019

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 May 22, 2019
6. Topic of Discussion
 - 6.1.Chief Compliance Officer Report (Presenter: Brian Kozik)
 - 6.2.GA-004-001 Compliance Department and Human Resource Protocol - Draft
 - 6.3.GA-004-004 Duty to Report - Draft
 - 6.4.GA-004-305 Non-Retaliation or Retribution - Draft
7. Adjournment