

Meeting Name: Compliance Committee Meeting

Meeting Start Time: 12:30 PM Eastern Daylight Time

Meeting Start Date: 05/22/2019

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 April 17, 2019
6. Topic of Discussion
  - 6.1.Chief Compliance Officer Report (Presenter: Brian Kozik)
    - 6.1.1. Report from the Executive Compliance Group
      - 6.1.1.1. CIA Status (Presenter: Brian Kozik, SVP Chief Compliance & Privacy Officer)
      - 6.1.1.2. Training (Presenter: Melanie Hatcher)
      - 6.1.1.3. Sanction Screening (Presenter: Lee Ghezzi)
      - 6.1.1.4. Disclosures, COI, HIPAA (Presenter: Dr. Ana Calderon Randazzo)
      - 6.1.1.5. IRO Plan of Correction (Presenter: Beth Cherry)
      - 6.1.1.6. Policies/Code of Conduct (Presenter: Denise Moore)

6.1.1.7. Risk Assessment, Auditing and Monitoring (Presenter:  
Alex Fernandez)

6.1.2. Consultant to the Board of Commissioners (Presenter: Steve Forman)

6.1.3. Regulatory Environment Training

6.1.3.1. U.S. Department of Justice Criminal Division / Evaluation  
of Corporate Compliance Procedures

7. Adjournment