

Meeting Name: Compliance and Ethics Committee Meeting

Meeting Start Time: Immediately following Governance Committee Meeting

Meeting Start Date: 11/12/2019

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  
Christopher T. Ure/Vice  
Ray T. Berry  
Stacy L. Angier  
Andrew M. Klein  
Marie C. Waugh
4. Public Comments
5. Approval of Minutes  
Approve minutes dated September 11, 2019
6. Topic of Discussion
  - 6.1.Chief Compliance Officer Report (Presenter: Brian Kozik)
    - 6.1.1. Compliance Departmental Updates (Presenter: Brian Kozik)
    - 6.1.2. IRO Update (Presenter: Brian Kozik)
    - 6.1.3. CIA Update (Presenter: Brian Kozik)
    - 6.1.4. Annual Report Update (Presenters: Lucia Pizano-Urbina, Lauren Brown)
  - 6.2.Regulatory Environment Update (Presenter: Steve Forman, Board of Commissioners Compliance Consultant)
7. Adjournment