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