



OFFICE OF THE TREASURER-TAX COLLECTOR
 SHARI L. FREIDENRICH, CPA, CCMT, CPFA, ACPFI



TREASURY OVERSIGHT COMMITTEE (TOC) AGENDA

Wednesday October 22, 2014 at 3:00 p.m.
 12 Civic Center Plaza, Conference Room 300, Santa Ana

LAURA PARISI, Chair

WILLIAM “ANDY” DUNN, Vice Chair

MIKE GIANCOLA, Member

DR. AL MIJARES, Member

JAN GRIMES, Member

GARY CAPATA, Member

1. Call to Order
2. Welcome
3. Public Comments At this time, members of the public may address the Committee regarding any item within the subject matter jurisdiction of the Committee provided that <u>NO</u> action may be taken on off-agenda items unless authorized by law.
4. Minutes <ul style="list-style-type: none"> Approve July 23, 2014 Minutes
5. Old Business <ul style="list-style-type: none"> Annual Compliance Audit Update
6. New Business <ul style="list-style-type: none"> Receive and File the Treasurer’s Monthly Investment Report for July, August & September Receive and File the Second Follow-Up and Close-Out on Management Letter on Audit of the Statement of Assets Held by the County Treasury as of December 31, 2010 Receive and File the Initial Follow-up and Close-out of Management Letter on Audit of the Statement of Assets Held by the County Treasury as of December 15, 2013 Receive and File the Review of the Schedule of Assets Held By the County Treasury as of March 31, 2014 Receive and File Continuous Compliance Auditing of the Treasury Investment Portfolio for the Quarter Ended March 2014 Receive and File Final Close-Out First Follow Up: Annual Audit of Treasurer’s Investment Compliance for Year Ended December 31, 2011 Receive and File Final Close-Out First Follow Up: Required Annual Examination of the Treasurer’s Investment Compliance with Government Code and County Investment Policies for the Year Ended December 31, 2012 Receive and File the Required Annual Examination of the Treasurer’s Investment Compliance with Government Code and County Investment Policy for the Year Ended December 31, 2013 Receive and File September 2014 TOC Compliance Summary Review Bylaws and Rules of Procedures Review Investment Policy Statement Review Irregularity Policy Receive and File Treasurer Broker-Dealer / Financial Institution List Review AB 1234 Mandatory Ethics Training Requirements
7. Chair’s Report
8. Treasurer’s Report
9. Public Comments At this time, members of the public may address the Committee regarding any item within the subject matter jurisdiction of the Committee provided that <u>NO</u> action may be taken on off-agenda items unless authorized by law.
10. Committee Member Comments At this time, members of the Treasury Oversight Committee may comment on agenda or non-agenda matters and ask questions of or give directions to staff, provide travel or member committee reports; provided that <u>NO</u> action may be taken on off-agenda items unless authorized by law.
11. Adjournment to Wednesday, January 21, 2015 at 3:00 P.M., Auditor/Controller’s Conf. Room #300