



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



**TREASURY OVERSIGHT COMMITTEE (TOC) AGENDA**

Wednesday, October 28, 2015 at 3:00 p.m.  
12 Civic Center Plaza, Conference Room 300, Santa Ana

**LAURA PARISI**, Chair

**WILLIAM “ANDY” DUNN**, Vice Chair

**GARY CAPATA**, Member

**FRANK KIM**, Member

**DR. AL MIJARES**, Member

**RICHARD ROHM**, Member

**ERIC WOOLERY**, Member

<b>1. Call to Order</b>
<b>2. Welcome</b>
<b>3. Public Comments</b> 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.
<b>4. Minutes</b> <ul style="list-style-type: none"><li>• Approve July 29, 2015 Minutes</li><li>• Approve September 28, 2015 Minutes</li></ul>
<b>5. Old Business</b> <ul style="list-style-type: none"><li>• Receive and File Final PFM Report</li></ul>
<b>6. New Business</b> <ul style="list-style-type: none"><li>• Receive and File Treasurer’s Monthly Investment Report for July, August, September</li><li>• Receive and File the Report on Review of the Schedule of Assets Held by the County Treasury as of December 31, 2014</li><li>• Receive and File the Report on Review of the Schedule of Assets Held by the County Treasury as of March 31, 2015</li><li>• Receive and File the Required Annual Examination of the Treasurer’s Investment Compliance with Government Code and County Investment Policies for the Year Ended December 31, 2014</li><li>• Receive and File Continuous Compliance Auditing of the Treasury Investment Portfolio for the Quarter ended March 31, 2015</li><li>• Receive and File Continuous Compliance Auditing of the Treasury Investment Portfolio for the Quarter ended June 30, 2015</li><li>• Receive and File September 2015 TOC Compliance Summary</li><li>• Review Bylaws and Rules of Procedures</li><li>• Review Benchmarking of Investment Policy Statement with similar counties</li><li>• Review Investment Policy Statement</li><li>• Review Irregularity Procedures</li><li>• Receive and File Office of the Treasurer Broker-Dealer / Financial Institution List</li></ul>
<b>7. Chair’s Report</b>
<b>8. Treasurer’s Report</b>
<b>9. Public Comments</b> 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.
<b>10. Committee Member Comments</b> 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.
<b>11. Adjournment to Wednesday, January 27, 2016 at 3:00 P.M., Auditor/Controller’s Conf. Room #300</b>