

**COMPLIANCE COMMITTEE MEETING
January 22, 2019
Immediately Following Building Committee Meeting**

CALL TO ORDER

ROLL CALL

- _____ Commissioner Nancy W. Gregoire, Chairperson
- _____ Commissioner Andrew M. Klein
- _____ Commissioner Christopher T. Ure
- _____ Commissioner Ray T. Berry
- _____ Commissioner Stacy L. Angier
- _____ Commissioner Marie C. Waugh

PUBLIC COMMENTS

APPROVAL OF MINUTES

1. Approval of the Compliance Committee meeting minutes, Dated September 12, 2018
2. Approval of the Compliance Committee meeting minutes, Dated October 30, 2018
3. Approval of the Compliance Committee meeting minutes, Dated November 26, 2018

TOPIC OF DISCUSSION

4. Interim Chief Compliance Officer Report
 - a. Plan of Correction from the IRO Report
 - b. Status of the Corporate Integrity Agreement
 - Sanction Screening
 - Training
 - Reportable Events
 - Discussions with the OiG Monitor
 - Discussions with the IRO
 - c. Operation of the Executive Compliance Group
 - d. Auditing and Monitoring Activities
 - e. Training Plan for Year 4

AGENDA

- f. Disclosures Management
 - g. Focus Arrangements Processing
 - h. Conflicts of Interests Processing
5. Regulatory Environment Report

ADJOURNMENT

DRAFT