



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



**TREASURY OVERSIGHT COMMITTEE (TOC) AGENDA**

Wednesday, October 30, 2019 at 3:00 p.m.  
601 N. Ross Street, 2<sup>nd</sup> Floor Conference Room 200  
Santa Ana

**RICHARD ROHM**, Chair

**LAURA PARISI**, Vice Chair

**GARY CAPATA**, Member

**ALISA CUTCHEN**, Member

**DR. AL MIJARES**, Member

**FRANK KIM**, Member

**FRANK DAVIES**, 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 NO action may be taken on off-agenda items unless authorized by law.

**4. Minutes**

- Approve July 31, 2019 Minutes

**5. New Business**

- Receive and File Treasurer's Monthly Investment Report for July, August and September
- Receive and File September 2019 TOC Compliance Summary
- Receive and File Report on Compliance Monitoring of the Treasurer's Investment Portfolio for the Quarter Ended June 30, 2019
- Receive and File the Second & Final Follow-Up Internal Control Audit: Electronic Funds Transfer Process – Treasurer-Tax Collector as of May 2, 2019
- Review and Approve Bylaws and Rules of Procedures
- Review Investment Policy Statement
- Review Irregularity Procedures
- Receive and File Office of the Treasurer Broker-Dealer / Financial Institution List as of 9/30/19
- Review Annual Certificate of Compliance
- Review AB 1234 Mandatory Ethics Training Requirements

**6. Chair's Report**

**7. Treasurer's Report**

**8. 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 NO action may be taken on off-agenda items unless authorized by law.

**9. Adjournment to Wednesday, January 29, 2020 at 3:00 P.M., 601 N. Ross Street, 2<sup>nd</sup> Floor Conf. Room 200**