



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



**TREASURY OVERSIGHT COMMITTEE (TOC) AGENDA**

Wednesday, October 18, 2017 at 3:00 p.m.  
12 Civic Center Plaza, Conference Room 300, Santa Ana

**GARY CAPATA**, Chair

**RICHARD ROHM**, Vice Chair

**DR. ANDY DUNN**, Member

**FRANK KIM**, Member

**DR. AL MIJARES**, Member

**LAURA PARISI**, Member

**ERIC WOOLERY**, 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 19, 2017 Minutes

**5. Old Business**

- Update on Annual Treasury Compliance Audit for the Eighteen-Month Period Ended June 30, 2017.

**6. New Business**

- Receive and File Treasurer's Monthly Investment Report for July, August and September
- Receive and File September 2017 TOC Compliance Summary
- Receive and File Management Letter on Audit of the Schedule of Assets Held by the County Treasury as of June 30, 2016
- Receive and File Report on Compliance Monitoring of the Treasurer's Investment Portfolio for the Quarter Ended June 30, 2017
- Receive and File Report on Review of the Schedule of Assets Held by the County Treasury as of March 31, 2017
- Review DRAFT Bylaws and Rules of Procedures
- Review DRAFT Investment Policy Statement
- Review Irregularity Procedures
- Receive and File Office of the Treasurer Broker-Dealer / Financial Institution List as of 9/30/17

**7. Chair's Report**

**8. Treasurer's Report**

**9. 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.

**10. Adjournment to Wednesday, January 24, 2018 at 3:00 P.M., Auditor/Controller's Conf. Room #300**