



# **Unified Carrier Registration Plan**

## **Audit Subcommittee Meeting**

October 14, 2020  
Noon – 2:00 p.m. ET

Zoom Meeting and Screenshare

Meeting URL: <https://kellen.zoom.us/j/98876977934>

+1 929 205 6099

+1 669 900 6833

877 853 5247 (Toll Free)

888 788 0099 (Toll Free)

Meeting ID: 982 6960 3655

### **Subcommittee Members**

Mike Hoeme, Chair

Robert Pitcher

William Debord

Suzanne Stillwell

Eric Belford

Crystal Boies

Lydia Sahley

Amanda Shehane

Nicholas Wright

Verna Jackson

Rod Moser

Jessica Barnes

Kyle Larson

Ryan Nance

Jessica Kines

Kurt Grajkowski

Inga Johnson

**UNIFIED CARRIER REGISTRATION PLAN  
AUDIT SUBCOMMITTEE MEETING**

**PROPOSED AGENDA**

- I. Call to Order** – Subcommittee Chair  
The Subcommittee Chair will welcome attendees, call the meeting to order, call roll for the Subcommittee, confirm whether a quorum is present, and facilitate self-introductions.
- II. Verification of Publication of Meeting Notice** – UCR Executive Director  
The UCR Executive Director will verify the publication of the meeting notice on the UCR website and distribution to the UCR contact list via e-mail followed by the subsequent publication of the notice in the *Federal Register*.
- III. Review and Approval of Subcommittee Agenda and Setting of Ground Rules** - Subcommittee Chair  
*For Discussion and Possible Subcommittee Action*  
The Subcommittee Agenda will be reviewed, and the Subcommittee will consider adoption.
- Ground Rules
- Subcommittee action only to be taken in designated areas on agenda
- IV. Review and Approval of Subcommittee Minutes from the January 27, 2020 Meeting** – Subcommittee Chair  
*For Discussion and Possible Subcommittee Action*  
Draft minutes from the January 27, 2020 Subcommittee meeting will be reviewed. The Subcommittee will consider action to approve.
- V. Update from Williams Benator and Libby (Independent Auditors)** – UCR Depository Manager  
The Independent Auditors will address the Subcommittee and answer questions, with an emphasis on the financial statement audits of the UCR Depository for the 2017-2019 fiscal years and issues regarding internal controls over financial reporting.
- VI. State Compliance Reviews** – UCR Depository Manager  
*For Discussion and Possible Subcommittee Action*  
The UCR Depository Manager will discuss plans for completing state compliance reviews for 2020 and make recommendations for the eight state compliance reviews planned for 2021.
- VII. Unregistered Brokers** – Subcommittee Chair  
The Subcommittee Chair will discuss the challenges that unregistered brokers present to UCR enforcement. The discussion will highlight jurisdiction and other challenges, and may also include dialogue regarding successes and ideas for addressing broker registration enforcement.

- VIII. Tracking of Audit Data in the National Registration System (NRS) – Subcommittee Chair**  
*For Discussion and Possible Subcommittee Action*  
The Subcommittee Chair will discuss the merits of the Subcommittee having an oversight role in the audit notes on closed audits regarding the FARs and MCS-150 databases when there is an indication of an error or insufficient documentation to close the audit. The Subcommittee may take action to recommend to the Board adoption of an oversight role regarding audit notes.
- IX. Discuss the Effectiveness of Solicitation Programs at both the state level and in the NRS – Subcommittee Chair**  
*For Discussion and Possible Subcommittee Action*  
The Subcommittee Chair will lead a discussion regarding the various solicitation programs/policies deployed by the participating states and the NRS. The Subcommittee may take action to recommend to the Board adoption of a model solicitation program/policy.
- X. Search and Recommendation of a Vice-Chair for the Audit Subcommittee – Subcommittee Chair**  
*For Discussion and Possible Subcommittee Action*  
The Subcommittee Chair will seek nominations for a Vice-Chair of the Audit Subcommittee. Action may be taken to nominate and recommend to the Chair of the UCR Board a candidate for Vice-Chair of the Audit Subcommittee.
- XI. Other Items – Subcommittee Chair**  
The Subcommittee Chair will call for any other items Subcommittee members would like to discuss.
- XII. Adjournment – Subcommittee Chair**  
The Subcommittee Chair will adjourn the meeting.