

STATE OF CONNECTICUT
DEPARTMENT OF ADMINISTRATIVE SERVICES
STATE MARSHAL COMMISSION
450 Columbus Blvd., Suite 1504, Hartford, CT 06103
Tel. 860-713-5372 Fax. (860) 622-2938
Meeting is in North Plaza Meeting Room J at 4:30 p.m.

MINUTES
STATE MARSHAL COMMISSION MEETING
March 23, 2017

Members present: Chairperson W. Martyn Philpot, Jr., Esq., Vice-Chairperson Michael Cronin, Esq., Mildred Torres-Ferguson (via teleconference call), Honorable Elizabeth A. Bozzuto, Robert P. LaTorraca (via teleconference call), Tracy L. Dayton, Esq., and Michael Desmond. Also present were Ex-Officios Lisa Stevenson and H. Mark DeAngelis (non-voting members), Staff Director Jeffrey Beckham, and Staff Attorney Jennifer Y. Montgomery. Honorable Elizabeth A. Bozzuto entered the meeting prior to the discussion of agenda item 2 and Mildred Torres-Ferguson entered the meeting just after the Commission voted to enter executive session. Sarah Fryxell, Esq. was not present.

Chairperson W. Martyn Philpot, Jr., Esq. called the meeting to order at 4:38 p.m.

First Business

1. Minutes: February 23, 2017 meeting

The Commission, after a motion by Tracy Lee Dayton, Esq., seconded by Michael Desmond, voted 5-0 to adopt the minutes from the February 23, 2017 meeting.

New Business

2. Audit Policy

Honorable Elizabeth A. Bozzuto entered the meeting at this juncture.

Jeffrey Beckham introduced the topic of the Audit Policy adopted by the Commission in 2014. This policy imposed an annual year-end reconciliation filing submitted to the Commission in February of each year. This filing replaced the periodic audits previously conducted by the Auditors of Public Accounts. He noted that previous Commission staff had met with individuals from the Office of the Auditors of Public Accounts and the DAS Business Office to discuss the filing and had concluded that it had limitations. He further noted that there were funds available to hire an Accounting Firm to review the filings and to provide recommendations on how to best oversee the client fund accounts. He requested the Commission's authorization to do so. He noted that staff had a few initial recommendations. Under the current policy, marshals submit a year-end reconciliation report. He suggested that staff may recommend additional filings. In addition, he noted that staff may recommend requiring the marshals to obtain certification of the reconciliation by either an accountant or bookkeeper.

Vice-Chairperson Michael Cronin, Esq. inquired whether this would have to be competitively bid and Attorney Beckham responded that it would not as the firm had already gone through the bidding process and was a contractor with DAS. Commissioner Tracy Lee Dayton, Esq. asked about the quarterly

reconciliation required under the current policy. Attorney Beckham advised that they are kept internally by the marshal save for the December reconciliation submitted to the Commission. Upon inquiry, he noted that adding a July filing requirement would simply be a recommendation to the Accounting firm and that staff would be open to other recommendations.

Ex-Officio DeAngelis inquired whether or not there had been complaints regarding the trustee accounts. Attorney Beckham responded that the Commission has a statutory mandate to audit these accounts and does not currently fulfill this mandate. Attorney Montgomery noted that under the current policy, marshals are required to complete quarterly reconciliations, however they only submit the year-end filing to the Commission. Hon. Elizabeth A. Bozzuto inquired whether we were looking for recommendations to improve the current policy and Attorney Beckham responded affirmatively. Vice-Chairperson Cronin inquired whether the Auditors would take up the random audits again and Attorney Beckham noted that they had declined to do so. Ex-Officio Stevenson noted that the current filing is costly to create and recommended that the entire policy be reviewed. She noted that the Commission would already become aware of issues with a trustee account due to the nature of the filings and the oversight of the accounts by interested parties.

The Commission, after a motion by Tracy Lee Dayton, Esq., seconded by Vice-Chairperson Michael Cronin, Esq., voted 6-0 to allow Commission staff to consult with an accounting firm to discuss a viable Audit Policy for state marshals.

Deliberations were proposed for executive session pursuant to Sections 1-200 and 1-225 of the Connecticut General Statutes to discuss the appointment, performance, evaluation, health or dismissal of a public officer. The Commission, after a motion by Tracy Lee Dayton, Esq., seconded by Honorable Elizabeth A. Bozzuto, voted 6-0 to enter executive session. Mildred Torres-Ferguson entered the meeting at this juncture.

The Commission, after a motion by Honorable Elizabeth A. Bozzuto, seconded by Vice-Chairperson Michael Cronin, Esq., voted 7-0 to return to the public record. No votes were taken in executive session.

3. Complaints

The Commission, after a motion by Vice-Chairperson Michael Cronin, Esq., seconded by Tracy Lee Dayton, Esq., voted 7-0 to dismiss the following files:

File No.	Name
15-91	Jones/Hobart
15-93	Stoppeworth & Kloo/Poloski
16-01	Doherty/Ostop
16-02	LaMarre/DiNardi
16-05	Foy/Tasillo
16-06	Weisbrod/Dussault
16-08	Foltz/Vendetto
16-09	Tirella/Burgarella
16-13	Carlin/Rice
16-14	Hazeldine/Brown
16-15	Lambre/Laden

The Commission, after a motion by Vice-Chairperson Michael Cronin, Esq., seconded by Tracy Lee Dayton, Esq., voted 6-0 to find probable cause for a hearing in the following file:

File No.	Name
16-11	Emons/Barnes

Honorable Elizabeth A. Bozzuto abstained from the vote.

The Commission, after a motion by Vice-Chairperson Michael Cronin, Esq., seconded by Tracy Lee Dayton, Esq., voted 7-0 to find probable cause for a hearing in the following file:

File No.	Name
16-12	Davila/Allen, Jr.

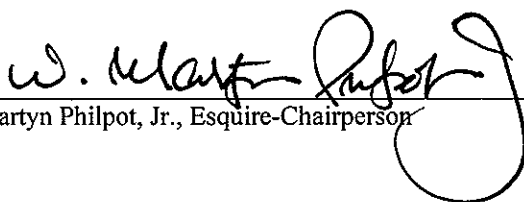
4. Stay

The Commission, after a motion by Vice-Chairperson Michael Cronin, Esq., seconded by Tracy Lee Dayton, Esq., voted 7-0 to stay the following file pending the Respondent's reinstatement from inactive status:

File No.	Name
15-04	Brainard-Mori/Vendetto

The Commission, after a motion by Honorable Elizabeth A. Bozzuto, seconded by Tracy Lee Dayton, Esq., voted 8-0 to adjourn the meeting at 5:38 p.m.

Minutes were approved by the Commission on April 27, 2017.



W. Martyn Philpot, Jr., Esquire-Chairperson