




Greater Portland Compliance Association

Introducing the Association

By Roberta Monroe and Dane Grouell

Basic Association Information



Name: Greater Portland Compliance Association

Location: Portland, Oregon

Purpose: To encourage and assist local area financial industry compliance professionals

Starting Point - Vision

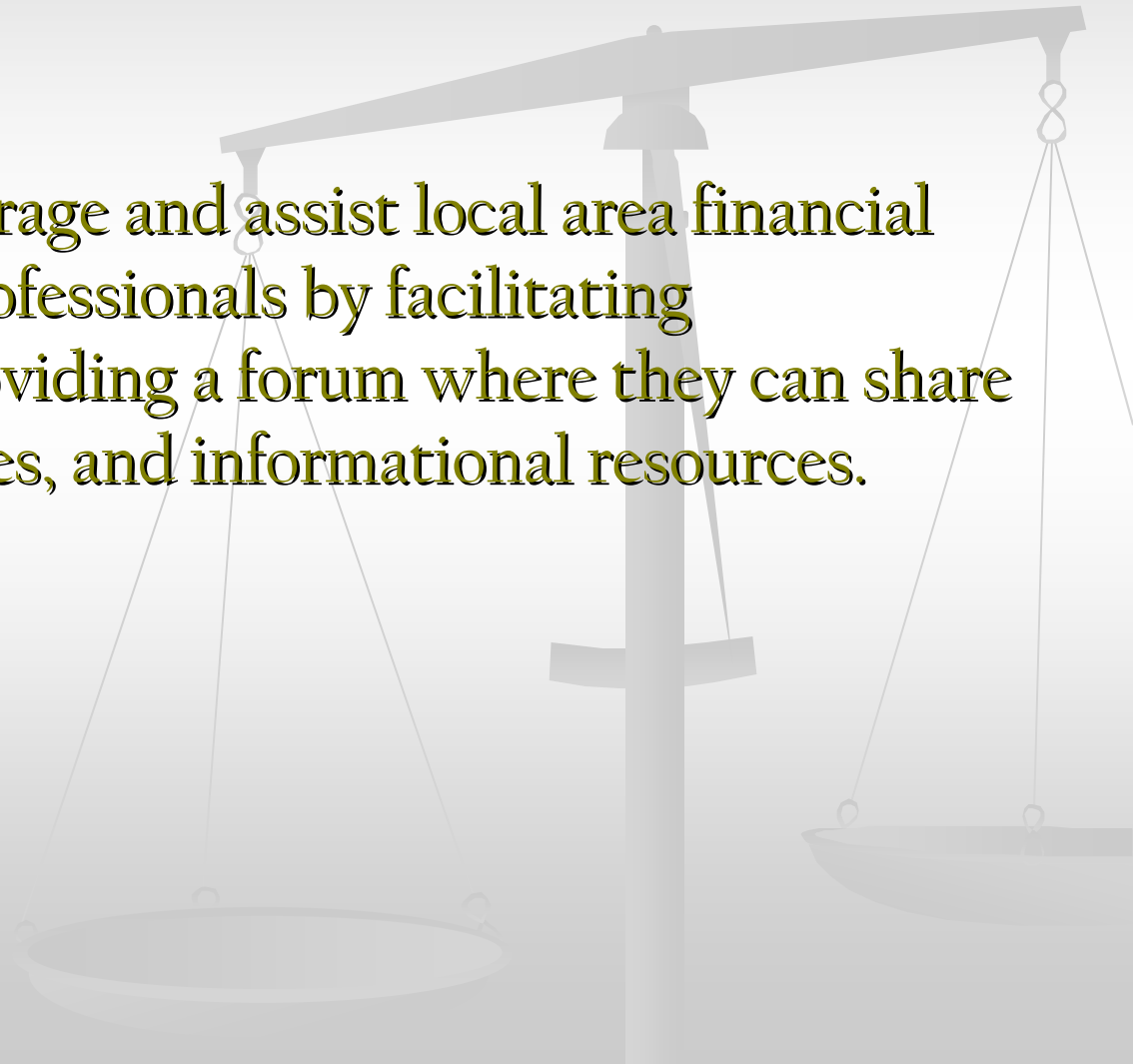
There is strength in community.

By sharing our diverse experiences, perspectives and informational resources, we are individually more prepared to contribute to the compliance programs of our employers and the protection of their clients.



Mission Statement

Our mission is to encourage and assist local area financial industry compliance professionals by facilitating communication and providing a forum where they can share experiences, perspectives, and informational resources.



Benefits of Membership



Members will receive:

- Access to no-cost or reduced cost educational resources;
- Information and support from a network of peers;
- Access to a website (see last page for details);
- Legal protections for confidentiality and privacy of discussions and contributions;
- Potential for influence with regulators, service providers and more.

Structure



Members

- Membership will be open to individuals with compliance responsibilities who are currently or were previously employed by an investment advisory or broker/dealer firm registered with the SEC or with the State of Oregon;
- Membership is contingent on adherence to the Association Code of Ethics.
- Membership will be initiated by application and payment of the initial membership fee.;
- Membership will commence on the Board's acceptance;
- Membership will expire each December 31; will renew on payment of the annual membership fee; and
- See bylaws for additional information.

Structure

Board

- The Board will consist of three members;
- The initial Board will be appointed by the incorporators and thereafter nominated and elected by the members;
- Initial Board and terms will be as follows:
 - Roberta Monroe, Chairperson – 12/31/2011;
 - Dean Grouell, Secretary – 12/31/2010;
 - Kerrie Young, Treasurer – 12/31/2009 (re-elected 12/09)
- After the initial term, Board Member terms of service will be for two years until the corresponding general membership meeting.
- See bylaws for additional information.

Membership Cost

Charter membership –

Initial membership if paid by 7/15/09: \$50

Membership renewal for 2010: \$50

Regular membership –

Initial membership if paid after 7/15/09 \$65

Membership renewal for 2010: \$65



Website



- The site is still in development but final version will include:
 - At the public level:
 - ❖ general marketing-oriented information;
 - ❖ the Code of Ethics; and
 - ❖ membership information and application.
 - Secured member-only access :
 - ❖ a message board;
 - ❖ member list (including their company's investment style/strategy);
 - ❖ meeting summaries;
 - ❖ resource information;
 - ❖ relevant site links;
 - ❖ association calendar;
 - ❖ Bylaws; and
 - ❖ other association information.

Bylaws

See attached.

