

**ENTERPRISE COMPLIANCE DIVISION**

**Current Status of Activities and Accomplishments**

	<b>Activities and Accomplishments</b>	<b>Status</b>
<b>1</b>	ECOM, in coordination with FCSD and PAOF, publishes Form 700 disclosure statements and the Travel Information Summaries on the CalPERS webpage for Board members and representatives, Executive Staff, and key investment staff.	Ongoing
<b>2</b>	The Personal Trading Regulation (PTR) Status:  The PTR was presented and approved by the Board in November. It is currently with the Office of Administrative Law with an early effective date of December 1, 2012.	In Process
<b>3</b>	The Personal Trading System Status:  <ul style="list-style-type: none"> <li>• Board Members received training in November.</li> <li>• ECOM continues to provide training for staff. In addition, ECOM will provide ongoing one-on-one training.</li> <li>• We will “go-live” on December 1, 2012</li> </ul>	In Process
<b>4</b>	ECOM and INVO will partner to help ensure that covered persons comply with the Personal Trading Regulation.	Ongoing
<b>5</b>	OERM/ECOM will develop and implement an enterprise-wide investigations process.	In Process
<b>6</b>	ECOM continues to monitor the CalPERS Ethics Helpline and reports to the Risk and Audit Committee.	Ongoing
<b>7</b>	ECOM, in partnership with OSSD, will monitor consultant disclosures as required in the CalPERS Contract-Related Disclosure Requirements Policy to improve transparency and identify potential conflicts of interest.	Ongoing
<b>8</b>	Fiduciary Training/Certifications  LEGO will be conducting, on December 7, 2012, an additional Fiduciary Training for Board Members and Designees who are required to obtain certification for Calendar Year 2012.	In Process
<b>10</b>	ECOM created and launched the Regulatory Compliance Library on the CalPERS <i>Insider</i> web page to help staff locate statutes, regulations and rules that govern the compliance activities conducted by CalPERS program areas.	Ongoing