



Consent

Agenda Item 4d

September 16, 2013

ITEM NAME: Total Fund Monthly Update – Investment Compliance

PROGRAM: Total Fund

ITEM TYPE: Organizational Systems & Controls – Consent Information

EXECUTIVE SUMMARY

Enclosed is the Total Fund Monthly Update - Investment Compliance for the month ended July 31, 2013. This report includes summary information on the following items:

- Items Completed Under Delegated Authority
- Disclosure of Placement Agent Fees
- Investment Proposal Activity Summary
- Policy Violations
- Disclosure of Closed Session Action Items

STRATEGIC PLAN

The agenda item supports CalPERS Strategic Plan goal to improve long-term pension and health benefit sustainability. This effort provides detailed information on certain areas of investment compliance across the Total Fund to effectively support the CalPERS Investment Committee in their oversight capacity.

BACKGROUND

The investment compliance information in this item was previously reported in the Total Fund Monthly Update. In an effort to continuously improve our reporting to the Investment Committee, the Total Fund Monthly Update was separated into two distinct reports. The Total Fund Monthly Update – Performance and Risk is provided as Agenda Item 4c. The Total Fund Monthly Update – Investment Compliance is provided as Attachment 1 to this agenda item.

The information presented in this report is provided to the Investment Committee in response to historical requests made to staff by Committee members and to fulfill certain policy requirements.

BUDGET AND FISCAL IMPACTS

Not Applicable

ATTACHMENT

Attachment 1 – Total Fund Monthly Update – Investment Compliance (Month Ended July 2013)

BRIAN MCQUADE
Portfolio Manager
Investment Compliance and Operational Risk

CAROL MOODY
Interim Chief Operating Investment Officer