



Consent

Agenda Item 4d

November 18, 2013

ITEM NAME: Total Fund Monthly Update – Investment Compliance

PROGRAM: Total Fund

ITEM TYPE: Organizational Systems & Controls – Information Consent

EXECUTIVE SUMMARY

Enclosed is the Total Fund Monthly Update - Investment Compliance for the month ended September 30, 2013. This report includes summary information on the following items:

- Items Completed Under Delegated Authority
- Disclosure of Placement Agent Fees
- Investment Proposal Activity
- Policy Violations
- Disclosure of Closed Session Action Items
- Spring-Fed Pool Contract Status
- Investment Policy Administrative Changes

STRATEGIC PLAN

The agenda item supports CalPERS Strategic Plan goal to cultivate a high-performing, risk-intelligent and innovative organization. This effort provides detailed information for investment compliance activities across the Total Fund to effectively support the CalPERS Investment Committee (IC) in their oversight capacity.

BACKGROUND

The information presented in this report is provided to the IC 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 September 30, 2013)

BRIAN MCQUADE
Portfolio Manager
Investment Compliance and Operational Risk

CAROL MOODY
Interim Chief Operating Investment Officer