



Consent

Agenda Item 4d

December 16, 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 October 31, 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

STRATEGIC PLAN

This item is not a specific product of the Strategic Plan, but is required by policy.

BACKGROUND

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 October 31, 2013)

BRIAN MCQUADE
Portfolio Manager
Investment Compliance and Operational Risk

CAROL MOODY
Interim Chief Operating Investment Officer