



## Consent

### Agenda Item 5d

February 18, 2014

**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 months ended November 30, 2013 and December 31, 2013. These reports include 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

For the month ended December 31, 2013, additional information is reported on the following items:

- Spring-Fed Pool Contract Status
- Investment Policy Administrative Changes

#### **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 November 30, 2013)

Attachment 2 – Total Fund Monthly Update – Investment Compliance (Month Ended December 31, 2013)

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BRIAN MCQUADE  
Portfolio Manager  
Investment Compliance and Operational Risk

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CAROL MOODY  
Interim Chief Operating Investment Officer