



Agenda Item 9b

September 15, 2014

ITEM NAME: Monthly Update – Investment Compliance

PROGRAM: Total Fund

ITEM TYPE: Organizational Systems & Controls – Information

EXECUTIVE SUMMARY

Enclosed is the Monthly Update - Investment Compliance for the month ended July 31, 2014. 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

Also enclosed is a revision to the policy violation report for the period ending March 31, 2013.

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

ATTACHMENTS

Attachment 1 – Monthly Update – Investment Compliance (Month Ended July 31, 2014)

Attachment 2 – Revision to Prior Policy Violation (Month Ended March 31, 2013)

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Investment Compliance and Operational Risk

WYLIE TOLLETTE
Chief Operating Investment Officer