



Consent

Agenda Item 4d

November 16, 2015

ITEM NAME: Monthly Update – Investment Compliance

PROGRAM: Total Fund

ITEM TYPE: Organizational Systems & Controls – Information Consent

EXECUTIVE SUMMARY

Enclosed is the Monthly Update - Investment Compliance for the month ended September 30, 2015. This report includes summary information on the following items:

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

STRATEGIC PLAN

This item is not a specific product of the CalPERS 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.

BENEFITS/RISKS

Not Applicable

BUDGET AND FISCAL IMPACTS

Not Applicable

ATTACHMENTS

Attachment 1 – Monthly Update – Investment Compliance (Month Ended
September 30, 2015)

KATHERINE H. CROCKER
Investment Director
Investment Compliance and Operational Risk

WYLIE TOLLETTE
Chief Operating Investment Officer