



## Consent

### Agenda Item 4d

December 14, 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 October 31, 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

#### **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 October 31, 2015)

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KATHERINE H. CROCKER  
Investment Director  
Investment Compliance and Operational Risk

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WYLIE TOLLETTE  
Chief Operating Investment Officer