



Consent

Agenda Item 5d

February 16, 2016

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 months ended November 30, 2015 and December 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

For the quarter ended December 31, 2015, 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 CalPERS Strategic Plan, but is required either by policy, regulation, delegated authority or Investment Committee request.

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
November 30, 2015)

Attachment 2 – Monthly Update – Investment Compliance (Month Ended
December 31, 2015)

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Investment Director
Investment Compliance and Operational Risk

WYLIE TOLLETTE
Chief Operating Investment Officer