



# Investment Committee Agenda Item 4d

November 14, 2016

**Item Name:** Monthly Update – Investment Compliance

**Program:** Total Fund

**Item Type:** Information Consent

### **Executive Summary**

Enclosed are the Monthly Update – Investment Compliance reports for the months ended August 31, 2016 and September 30, 2016. These reports include 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 September 30, 2016, additional information is included 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 (Committee) request.

### **Background**

The information presented in this report is provided to the Committee in response to historical requests made to staff by Committee members and to fulfill certain policy requirements.

### **Budget and Fiscal Impacts**

Not Applicable

### **Benefits and Risks**

Not Applicable

### **Attachments**

Attachment 1 – Monthly Update – Investment Compliance (Month Ended August 31, 2016)

Attachment 2 – Monthly Update – Investment Compliance (Month Ended September 30, 2016)

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**Katherine H. Crocker**  
Investment Director  
Investment Compliance and Operational Risk

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**Wylie Tollette**  
Chief Operating Investment Officer