
December 19, 2016

Item Name: Monthly Update – Investment Compliance

Program: Total Fund

Item Type: Information Consent

Executive Summary

Enclosed is the Monthly Update – Investment Compliance report for the month ended October 31, 2016. 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 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 October 31, 2016)

Katherine H. Crocker
Investment Director
Investment Compliance and Operational Risk

Wylie Tollette
Chief Operating Investment Officer