
February 12, 2018

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 November 30, 2017, and December 31, 2017. 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 December 31, 2017, 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 November 30, 2017)

Attachment 2 – Monthly Update – Investment Compliance (Month Ended December 31, 2017)

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Investment Compliance and Operational Risk

Matt Flynn
Interim Chief Operating Investment Officer