



# Investment Committee Agenda Item 4d

---

April 16, 2018

**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 February 28, 2018. 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

### **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 February 28, 2018)

---

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

---

**Matt Flynn**  
Interim Chief Operating Investment Officer