



Investment Committee

Agenda Item 5d

August 13, 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 May 31, 2018, and June 30, 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

For the quarter ended June 30, 2018, no material exceptions to the Placement Agent regulation were identified.

For the quarter ended June 30, 2018, additional information is included on the following items:

- Spring-Fed Pool Contract Status
- Investment Policy Administrative Changes

For the fiscal year ended June 30, 2018, additional information is included on the following item:

- External Investment Resource Conflict of Interest Disclosures

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 May 31, 2018)

Attachment 2 – Monthly Update – Investment Compliance (Month Ended June 30, 2018)

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