CALSTRS
HOW WILL YOU SPEND YOUR FUTURE?

Form 600-J

For Internal Use Only

DISCLOSURE OF PLACEMENT AGENT RELATIONSHIPS

California Government Code section 7513.85 and CalSTRS Board Policy Manual Section 600 J requires the disclosure of Placement Agent relationships and payments. See Government Code section 7513.8 for the definitions of Placement Agent and External Manager/Firm, as well as other relevant terms.

Please complete the form below on behalf of your Firm:

☐ Prospective Investment ☐ Amendment to an existing investment
☐ New Investment ☐ PA Termination

Notification Date:

Firm/External Manager: Contact Person:

Address:
Number Street City/Locality State/Province Zip

Telephone: E-mail Address:

Investment Transaction (if applicable): Name of CalSTRS Contact (if applicable):

Have you, your firm or your firm's principals, employees, agents, or affiliates compensated or agreed to compensate, directly or indirectly, any person or any entity (including third parties), to act as a Placement Agent in connection with the sale of investment management services or ownership interest in an investment fund to CalSTRS or an Investment Vehicle? ☐ Yes ☐ No

For a Substantive Amendment to an existing investment relationship, will a Placement Agent receive compensation? ☐ Yes ☐ No

If you answered YES to one of the questions above relating to the use of a Placement Agent, you are required to answer all of the questions in this form.
If you answered NO to both questions above relating to the use of Placement Agents, please sign and date the bottom of this page. You are not required to complete the remaining pages of this form.

If you relied on the exception found in Government Code section 82047.3, subdivision (c), check the YES box here and sign and date below if you are in full compliance. You are not required to complete the remaining pages of this form. ☐ Yes ☐ No

If you relied on any of the exceptions found in Government Code section 7513.8, subdivision (f)(2), or section 82047.3, subdivision (b), check the YES box to affirm that you are in full compliance with the applicable exceptions and sign and date below. You are not required to complete the remaining pages of this form. ☐ Yes ☐ No

I certify under penalty of perjury under the laws of California that the foregoing is true and correct.

Printed Name & Title: Date:

Signature of Authorized Representative:

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DISCLOSURE OF PLACEMENT AGENT RELATIONSHIPS (page 2)

If you answered YES to one or both of the questions on the previous page relating to the use of Placement Agents on the the CalSTRS Form 600 J, you are required to complete these additional questions.

Please complete the form below (if space below does not allow for adequate response, please include attachments as necessary):

External Manager: Contact Person:

Name of Placement Agent (s) (if External Third Party, list name of firm): Primary Contact (if External Third Party, list contact):

☐ By checking this box, External Partner and/or Placement Agent(s) confirm that no contingent fees have been paid or agreed to be paid to the placement agent(s) identified above with regard to this investment transaction with CalSTRS. (Gov. Code §§ 86205, 82002(a)).

Please provide a description of compensation of any kind paid, or agreed to be provided, to the placement agent(s) identified above. For internal placement agents, this includes, but is not limited to, salary, benefits, fees and bonus/incentive pay. The amount of compensation may be reflected by providing a monetary range (e.g., $50,000 - $100,000). For external placement agents, please be sure to include the term of payment(s), frequency (quarterly, annually, or other), the amount and/or percentage, and total to be paid, if available.

Please describe the services that will be performed by the Placement Agent, which includes whether the Placement Agent is utilized by you for all prospective clients or by a subset of your prospective clients.

Please identify the names of any current / former CalSTRS Board members, employees or Consultants who suggested using this Placement Agent. If this question does not apply, use the check box below and state No referral used. If it does, please use the drop down boxes to identify the individual's relationship background or if there was no referral. The list of CalSTRS Key Personnel can be found on the CalSTRS Board Policy, the link is on page 3 of this document.

☐ No Referral

Name: Name:

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DISCLOSURE OF PLACEMENT AGENT RELATIONSHIPS (page 3)

For **External** Placement Agents, please list below the names and relationship of each officer, partner or principal of the Placement Agent firm (including any employee providing similar services), in connection with the investments for CalSTRS.

For **Internal** staff who are Placement Agents in connection with the investments for CalSTRS, please list their names below and provide the information requested.

For each individual listed, please attach their resume detailing their (i) education, (ii) professional designations, (iii) regulatory licenses [Series 7, 63 Licenses and Blue Sky Registration] and (iv) investment and work experience. Please check the boxes to identify the individual's relationship background.

Name: _____ _____ If Other, please specify: _____

Name: _____ _____ If Other, please specify: _____

Name: _____ _____ If Other, please specify: _____

Is the Placement Agent or any of its affiliates registered with either the Securities Exchange Commission (SEC), Financial Industry Regulatory Authority (FINRA), Commodities Futures Trading Commission (CFTC), or other U.S. or Non-U.S. regulatory authority? ☐ Yes ☐ No

If **YES**, please provide the name of the Firm or Affiliate that are registered and identify who they are registered with.

Firm / Affiliate: _____ Registered with: _____

If other, please specify: _____

Firm / Affiliate: _____ Registered with: _____

If other, please specify: _____

If **NO**, please explain why no registration is required. _____

Is Firm Registered as "Lobbying Firm" to CalSTRS pursuant to Gvt. Code 86103 ☐ Yes ☐ No

Is the Placement Agent / Affiliate(s) a registered lobbyist with any of the following: _____

Individual / Firm: _____ Jurisdiction: _____

Individual / Firm: _____ Jurisdiction: _____

Individual / Firm: _____ Jurisdiction: _____

☐ **By checking this box, External Partners and/or Placement Agent confirms they are in full compliance with the requirements of the Political Reform Act as it relates to lobbyists in the State of California.**

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DISCLOSURE OF PLACEMENT AGENT RELATIONSHIPS (page 4)

Please review the CalSTRS Board Disclosure Policy. URL's are listed below:

CalSTRS Board Disclosure Policy:
http://www.calstrs.com/post/required-disclosure-filings

Jurisdiction: _____

CalSTRS Regulations:
http://www.calstrs.com/campaign-contribution-regulations

In the past **24 months**, has the Placement Agent made any campaign contributions, charitable contribution, or gifts to a member of the Teachers' Retirement Board or any other CalSTRS Key Personnel? ☐ Yes ☐ No

If YES, please disclose the following:

Giver Name: _____ Type: _____ Date Given: _____

Recipient Name: _____ Amount: _____

Description (if non-monetary): _____

Giver Name: _____ Type: _____ Date Given: _____

Recipient Name: _____ Amount: _____

Description (if non-monetary): _____

External Manager/Firm: _____

Certification:

I, _____ certify that the information stated in this Disclosure of Placement Agent Relationships (Form 600-J) is true and correct. Until a final agreement with CalSTRS is executed, or there are discussions regarding termination of a prospective agreement, I agree to update this information within 30 days of any changes.

Signature _____ Date _____