

San Joaquin County Employees' Retirement Association

6 South El Dorado Street Suite 400 * Stockton, CA * 95202 * Phone: 209-468-2163 * Fax: 209-468-0480 * www.SJCERA.org

Disclosure of Placement Agent – Form 1

Placement Agent means an individual or firm retained by an External Manager or on behalf of another Placement Agent who is compensated to act as an intermediary in connection with the offer or sale of the securities, assets, or services of an External Manager to SJCERA, either directly or indirectly. Notwithstanding the statutory exclusions from the definition of Placement Agent, SJCERA shall apply its Placement Agent Information Disclosure Policy to all External Managers being considered by SJCERA for an investment management engagement, and to existing agreements with External Managers if, after the date this Policy is adopted, the term of the agreement is extended, there is any increased commitment of funds by SJCERA pursuant to the existing agreement or there is an amendment to the substantive terms of an existing agreement, including the fees or compensation payable to the External Manager.

SJCERA Board Policy requires the disclosure of Placement Agent relationships and payments. The Policy provides: Prior to SJCERA entering into any investment transaction or investment management contract, any person or entity who would be a party to that investment transaction or investment management contract shall disclose to SJCERA in writing, all Placement Agent relationships with persons or entities that assisted the party with either the solicitation of SJCERA as a potential client or the retention of SJCERA as an existing client and any fees paid or payable to the Placement Agent as a result of such relationship.

The term “fees paid or payable to the Placement Agent” includes placement agent fees, solicitation fees, referral fees, promotion fees, introduction fees, or any similar fees.

Please complete the form below:

Notification Date: _____

Investment Management Firm: _____ Fund Name or Strategy: _____	(Check one) <input type="checkbox"/> Prospective / New Investment <input type="checkbox"/> Amendment to an existing investment (Check one) <input type="checkbox"/> Separate Account <input type="checkbox"/> Commingled
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Contact Person: _____	Title: _____			
Address: _____				
Number	Street	City	State	Zip
Country: _____	Phone No: _____	Email: _____		

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 to act as a Placement Agent in connection with the investment or the contract with SJCERA? Yes
 No

For disclosures required by a substantive amendment to an existing investment or contract, will a Placement Agent receive compensation? Yes
 No

Your response to the questions above determines what additional documentation is needed. Please check one box:

Answered **YES** to either question and will complete **Placement Agent Information Disclosure** and attach appropriate docs.

Answered **NO** to both questions – sign and submit just this form

Entity contracting with SJCERA hereby certifies that the foregoing is true and correct and will provide updates within 5 business days of any changes.

Printed Name and title: _____	
Signature of Authorized representative: _____	Date: _____