



City of Austin Employees' Retirement System

CONFLICT OF INTEREST QUESTIONNAIRE FOR CONTRACTORS

September 2017

Instructions:

- The disclosures requested in this document are to cover the period from July 1, 2016 to August 31, 2017. Please refer to COAERS Board Approved Policy C-3 Code of Ethics and Chapter 176 of the Texas Local Government Code as the governing policy/statute.
- Please complete this questionnaire in electronic form by answering the following questions in as **much detail as you can directly in this document**.
- If you contract with a third party in relation to the investment of COAERS funds (such as a fund manager, an investment platform, or a separate legal entity), please require the third party to respond to these questions.
- Send the completed document via e-mail to david.veal@coaers.org along with a copy to chris.hanson@coaers.org. If you have any questions; please do not hesitate to call David Veal at +1 (512) 458-2551 x125.
- We welcome and encourage your feedback on this document. We seek to continually improve our processes, so if there are best practices that you have encountered elsewhere but do not see here please do let us know.

SUMMARY

Firm Name: RVK, Inc.
Nature of Relationship with COAERS: Investment Consultant

Contact Details	
Firm: RVK, Inc.	Address: 1211 SW 5th Avenue, Suite 900
Contact: Marcia Beard	City: Portland
Tel: (503) 221 - 4200	State: OR
Tel (2):	Zip: 97204
Fax:	Country: United States
Email: Marcia.Beard@RVKinc.com	Website: https://www.rvkinc.com/

A. COAERS RELATIONSHIPS (see Exhibit A)

1. Does any person or entity listed on Exhibit A (i) have any interest in the Contractor and/or any of its affiliates, (ii) have any interest in the COAERS relationship with the Contractor, (iii) or become entitled to any fees, commissions, payments, dividends, distributions, equity or equity-linked interests, or any other benefit as a result of a COAERS decision to retain the Contractor? If yes, please explain.

No

2. Has any principal or employee of the Contractor or any of its affiliates who is involved in the COAERS account given or received a gift or benefit whose value exceeds \$50.00 to or from a person on Exhibit A? If yes, please explain.

No


3. To the best of your knowledge does the Contractor, any of its affiliates, or any principal or employee having authority to act on behalf of Contractor or any of its affiliates, have a personal, business, or private relationship with a person or entity listed on Exhibit A, or with an entity or affiliate that employs a person on Exhibit A? If one or more business relationships exists, please describe the nature of these relationships and provide the inception for each.

No

4. Does any principal or employee having authority to act on behalf of the Contractor or any of its affiliates, have any of the foregoing relationships with a family member of a person listed on Exhibit A, including a spouse, child, niece, nephew, brother, sister, or parent? If yes, please explain.

No

5. Please complete the Conflict of Interest Questionnaire attached as Exhibit B. The form and instructions for filling it out can also be found here: <https://www.ethics.state.tx.us/forms/CIQ.pdf>. The list of local government officers is set forth in Exhibit A below.
6. By my signature below, I certify that I have read and understand the Ethics Policy, the Disclosure of Certain Relationships Policy, and Chapter 176 of the Texas Local Government Code.

 Date: September 28, 2017

Name: Marcia Beard Title: Senior Consultant / Principal

Exhibit A - COAERS Persons
As of August 31, 2017

Board of Trustees			
Michael Benson	Eyna Canales-Zarate	Reagan David	Francine Gertz
Elizabeth S. Gonzales	Frank Merriman	Chris Noak	Leslie Pool
Anthony B. Ross, Sr.	Ed Van Eenoo	Jim Williams	

Executive Staff			
Donna Boykin	Chris Hanson	Russell Nash	David Veal

Investment Managers	
Firm or Individual's Name	Firm or Individual's Name
1607 Capital (Kirk Tattersall)	Legal & General Investment Management (Todd Bitzer)
Agincourt Capital Management (Patrick Kelly)	Mondrian Investment Partners (Todd Rittenhouse)
AQR Capital Management (Iwan Djanali)	Northern Trust Asset Management (Ashley Hartman Alson)
Baillie Gifford (Amy Atack, Tim Erskine-Murray)	Principal Global Investors (Doug Vander Beek)
CoreCommodity Management (Eliot Geller)	Sprucegrove Investment Management (Sebastien Roy)
Harvest Fund Advisors (Anthony Merhige)	Walter Scott & Partners (Francis Semphill, Steve Smith)
INTECH (Warren DeKinder, Nancy Holden)	

Legal Counsel	
Firm or Individual's Name	Function
Knight & Partners (Paige Saenz)	Legal counsel to Board of Trustees
Jackson Walker LLP (David Parrish, Scott Cheskiewicz)	Investment counsel to Board of Trustees