



*City of Austin Employees' Retirement System*

# CONFLICT OF INTEREST QUESTIONNAIRE

September 2021

## Instructions:

- The disclosures requested in this document are to cover the period from September 1, 2020, to September 15, 2021. 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**. **Please limit references to attachments** for information and clearly reference the filename for attachments in the applicable answer.
- Send the completed document via e-mail to [ty.sorrel@coaers.org](mailto:ty.sorrel@coaers.org) along with a copy to [david.stafford@coaers.org](mailto:david.stafford@coaers.org). If you have any questions; please do not hesitate to call Ty Sorrel at +1 (512) 458-2551 x102.
- 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

|   |
|---|
| <b>Firm Name:</b> Walter Scott & Partners Limited                         |
| <b>Name of Fund/Strategy:</b> City of Austin Employee's Retirement System |

| Manager Contact Details                      |                                      |
|--|--------------------------------------|
| <b>Firm:</b> Walter Scott & Partners Limited | <b>Address:</b> One Charlotte Square |
| <b>Contact:</b> Anna Nicholl                 | <b>City:</b> Edinburgh               |
| <b>Tel:</b> +44 (0)131 225 1357              | <b>State:</b>                        |
| <b>Fax:</b> +44 (0)131 225 7997              | <b>Zip:</b> EH2 4DR                  |
| <b>Email:</b> compliance@walterscott.com     | <b>Country:</b> UK                   |

### A. COAERS RELATIONSHIPS (see Exhibit A)

1. Does any person or entity listed on Exhibit A (i) have any interest in the Manager or (ii) have any interest in a COAERS investment in the applicable fund/strategy, (iii) have any interest in any affiliate of the Manager or (iv) become entitled to any fees, commissions, payments, dividends, distributions, equity or equity-linked interests, or any other benefit as a result of a COAERS investment in a fund or a contract to manage a COAERS separate account managed by the firm? If so, please explain.

No

2. To the best of your knowledge, does the Manager or any of its affiliates, or any principal or employee having authority to act on behalf of the Manager or any of its affiliates, have a personal or private relationship (including a commercial, investment, or business relationship) with a person or entity listed on Exhibit A, or with an entity or affiliate that employs a person on Exhibit A? Does any principal or employee having authority to act on behalf of the Manager 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

3. 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/data/forms/conflict/CIQ.pdf>. The list of local government officers is set forth in Exhibit A below.

**Exhibit A - COAERS Persons  
As of September 15, 2021**

| <b>Board of Trustees</b> |                      |               |                |
|--------------------------|----------------------|---------------|----------------|
| Michael Benson           | Anthony B. Ross, Sr. | Yuejiao Liu   | Chris Noak     |
| Amy Hunter               | Brad Sinclair        | Randy Spencer | Frank Merriman |
| Kelly Crook              | Diana Thomas         | Leslie Pool   |                |

| <b>Executive and Investment Staff</b> |                  |              |                |
|---------------------------------------|------------------|--------------|----------------|
| Chris Hanson                          | Donna Boykin     | Russell Nash | David Stafford |
| Ty Sorrel                             | Kelly Doggett    | Amy Kelly    | Mehrin Rahman  |
| Teresa Cantu                          | Michelle Mahaini |              |                |

| <b>Investment Consultants and Advisors</b>              |  |
|---|--|
| <b>Firm or Individual's Name</b>                        | <b>Function</b>                            |
| RVK, Inc. (Spencer Hunter, Ian Bray, Janelle Booth)     | Investment consultant to Board of Trustees |
| Gabriel Roeder Smith & Company (Lewis Ward, Ryan Falls) | Actuarial consultant to Board of Trustees  |

| <b>Legal Counsel</b>                   |   |
|--|---|
| <b>Firm or Individual's Name</b>       | <b>Function</b>                         |
| Knight & Partners (Paige Saenz)        | Legal counsel to Board of Trustees      |
| DLA Piper LLP (David Parrish)          | Investment counsel to Board of Trustees |
| Jackson Walker LLP (Scott Cheskiewicz) | Investment counsel to Board of Trustees |