



*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> NISA Investment Advisors, LLC
<b>Name of Fund/Strategy:</b> City of Austin Employees' Retirement System Beta Overlay Program

Manager Contact Details	
<b>Firm:</b> NISA Investment Advisors, LLC	<b>Address:</b> 101 South Hanley Road, Suite 1700
<b>Contact:</b> Ann-Marie Gehring	<b>City:</b> St. Louis
<b>Tel:</b> 314-721-1900	<b>State:</b> MO
<b>Fax:</b> 314-721-3041	<b>Zip:</b> 63105
<b>Email:</b> Ann-Marie.Gehring@nisa.com	<b>Country:</b> USA

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

- 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.

With respect to (i) and (iii), NISA's answer is No, and with respect to (ii) and (iv), NISA is not aware of any interest, fees, payments, etc. described herein.

- 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; however, please note that while NISA has not directly contracted with any of the investment consultants or legal counsel on Exhibit A, NISA has and may in the future interact with these entities on its own behalf or on behalf of our clients who have business relationships with these entities.

- 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