



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 along with a copy to 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

Firm Name: Principal Global Investors
Name of Fund/Strategy: US Property Account

Manager Contact Details	
Firm: Principal Global Investors	Address: 711 High Street
Contact: Bill Grayson	City: Des Moines
Tel: 314 518 4575	State: IA
Fax:	Zip: 50392
Email: grayson.bill@principal.com	Country: USA

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**

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

Executive and Investment Staff			
Chris Hanson	Donna Boykin	Russell Nash	David Stafford
Ty Sorrel	Kelly Doggett	Amy Kelly	Mehrin Rahman
Teresa Cantu	Michelle Mahaini		

Investment Consultants and Advisors	
Firm or Individual's Name	Function
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

Legal Counsel	
Firm or Individual's Name	Function
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