

**SAN DIEGO CITY EMPLOYEES' RETIREMENT SYSTEM
 CONFLICT OF INTEREST CODE
APPENDIX A
Designated Positions**

<u>Position</u>	<u>Duties</u>	<u>Category</u>
1. <u>Members of the Retirement Board</u>	Board Members exercise responsibility for the management of public Investments, and are identified in SDMC §§27.3503, 27.3510 as statutory filers subject to Government Code §87200)	Form 700 (Gov't Code § 87200)
2. <u>Retirement Administrator/CEO</u>	Under policy direction of the Retirement Board, manages the routine affairs of Retirement Office and staff; directs SDCERS Staff, sets policy direction for Staff; counsels and informs employees regarding Options and benefits; has primary responsibility to deal with actuaries, provides assistance and recommendations to the Board and its committees.	1 – Form 700 (Local Code Filer Under SDMC §27.3503; Gov't Code §87300)
3. <u>General Counsel</u>	Under the direction of the Retirement Administrator/CEO, provides legal representation, advice, and recommendations to the Board and staff; directs and reviews the work of SDCERS' Legal Division and outside legal firms.	1
4. <u>Chief Financial Officer</u>	Under the direction of the Retirement Administrator/CEO, directs, manages and coordinates finance, accounting and budget operations; develops and administers department budget; prepares reports for the Board as assigned; directs and coordinates preparation of annual financial report (CAFR) and all interactions with the independent auditor; develops staff policy direction, goals and schedules to provide information as requested by the independent actuary for completion of annual actuarial valuations; develops and implements department goals, objectives, policies and procedures.	1
5. <u>Chief Investment Officer</u>	Under the direction of the Retirement Administrator/CEO, prepares recommendations regarding investment policy, practices, allocations, and instruments; coordinates and participates in the review, selection, evaluation, and termination of investment managers; negotiates contracts for investment managers and other investment-related activities.	1

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| 6. | <u>Chief Compliance Officer</u> | Under the direction of the Board, develops and maintains procedures to prevent illegal, unethical or improper conduct; develops and updates ethics standards for Board and staff; ensures compliance with federal tax laws; and monitors compliance with local, state and federal laws. | 1 |
| 7. | <u>Assistant to Retirement Administrator/Chief of Staff</u> | Under the direction of the Retirement Administrator/CEO, oversees the status and completion of cross-divisional projects; directs internal human resource activities, programs and strategies; directs public and media relations projects; and assists the Administrator/CEO in developing organizational goals, objectives, policies and procedures. | 1 |
| 8. | <u>Associate General Counsel</u> | Under the direction of the General Counsel, acts on behalf of the General Counsel when necessary, and provides legal representation, advice, and recommendations to the Board and staff. | 1 |
| 9. | <u>Deputy Chief Investment Officer</u> | Under the direction of the Chief Investment Officer, advises and makes recommendations to the Chief Investment Officer, Retirement Administrator, and the Board by conducting research and investigations, preparing or presenting reports and/or analysis. Shares select responsibilities with the Chief Investment Officer and fulfills all responsibilities of the Chief Investment Officer in his or her absence. | 1 |
| 10. | <u>Benefit Administration Division Director</u> | Under the direction of the Retirement Administrator/CEO, directs and manages benefits administration staff in the delivery of services and benefits to SDCERS' members, including calculating and preparing pension payments; administering health benefits processing enrollments and terminations; tracking service credit and member contributions; reconciling deceased member accounts; and processing beneficiary payments. | 1 |
| 11. | <u>Member Services Division Director</u> | Under the direction of the Retirement Administrator/CEO, oversees all customer service functions, and all communications to members, including SDCERS web page, publications, public information Call Center, and direct correspondence and meetings with members. Resolves complex member benefit issues, and directs all counseling, education and outreach activities | 1 |

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| 12. | <u>Information Technology
Division Director</u> | Under the direction of the Retirement Administrator/CEO, directs and manages Information Technology staff, contractors, consultants, vendors and contracts; manages technical infrastructure, desktops and applications; develops and manages division budget to support business operations; develops and implements IT Strategic Plan and initiatives to support SDCERS' business objectives; develops, implements and enforces departmental IT policies and procedures. | 1 |
| 13. | <u>Assistant
Investment Officer</u> | Under the direction of the Assistant Chief Investment Officer, advises and makes recommendations to the Chief Investment Officer, Assistant Chief Investment Officer, Retirement Administrator, and the Board by conducting research and investigations, preparing or presenting reports and/or analysis. | 1 |
| 14. | <u>Internal Auditor</u> | Under the direction of the Board Audit Committee, plans, conducts, and reports on internal audit projects; evaluates SDCERS' internal control procedures and processes; evaluates compliance with governing laws, policies and procedures; coordinates audit efforts with external auditors; assists the Audit Committee in its review of the Comprehensive Annual Financial Report (CAFR); and performs investigations or other duties as requested by SDCERS' CEO or the Audit Committee. | 1 |
| 15. | <u>Medical Review
Officer</u> | Under the direction of the Benefit Administration Division Director, reviews disability applications for compliance with medical and administrative requirements; makes recommendations to the Board of Administration and the Disability Committee regarding eligibility for disability retirements by preparing or presenting reports and analysis. | 1 |
| 16. | <u>Principal Accountant</u> | Under the direction of the CFO, directs and manages accounting staff; prepares monthly financial reports for the Board; prepares financial analyses for management, actuaries, plan sponsors, and consultants as directed; reviews and approves departmental budgetary expenditures; implements department goals, objectives, policies and procedures. | 1 |
| 17. | <u>Consultant</u> | An individual who, pursuant to a contract with SDCERS: (1) authorizes SDCERS to enter into, modify or renew a contract requiring agency approval, (2) grants agency approval to a contract requiring agency approval, or (3) serves in a staff capacity and, in that capacity, | 1 |

performs duties that would otherwise be performed by a designated position without supervision of that designated position.

SAN DIEGO CITY EMPLOYEES' RETIREMENT SYSTEM
CONFLICT OF INTEREST CODE
APPENDIX B
Disclosure Categories

Category 1:

Investments and business positions in any business entity that supplies goods or services to SDCERS, and in any security which was or is held by any fund administered by Board of Administration wherein the reporting party's interest in said security amounts to 1% or more of the issue of that security.

Income and gifts from any person or business entity that supplies goods or services to SDCERS.

Interests in real property.

For the purposes of this Appendix, "goods or services" means goods or services supplied by any actuarial, accounting, banking, financial, investment, or consulting firm.

For the purposes of this Appendix, an "interest in real property" is any real property located in or within two miles of the City of San Diego, or within two miles of any land owned by SDCERS as set forth in the Attachment to this Appendix, which lists the real properties owned by SDCERS in its Direct and Co-Investment Real Estate Portfolio. A copy of this Attachment is also on file in SDCERS' Office.