

NYSCRF Compliance Questionnaire

Responder:

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NYSCRF Compliance

This questionnaire should be completed for December 31 of the previous calendar year.

Please provide the following demographic information for your Firm.

1. Firm Name:

2. Address 1

2.a. Address 2

2.b. City/Town

2.c. Country and State

2.d. Zip/Postal Code

3. Email Address

4. Phone Number

5. Is your Firm a SEC registered investment adviser?

5.a. Does the Firm have a Code of Ethics?

5.b. Please explain.

5.c. Does the Firm have an Insider Trading Policy?

5.d. Please explain.

5.e. Has the Firm adopted written compliance procedures, reviewed the adequacy of the procedures at least annually, and designated a chief compliance officer responsible for their administration?

5.f. Please explain.

5.g. Is an affiliate of the Firm a SEC registered investment adviser?

5.h. Please identify:

6. Does the Firm file reports with the SEC as an Exempt Reporting Adviser?

6.a. Please identify the basis for exemption:

6.b. Please identify the Chief Compliance Officer (CCO)

6.c. Please provide the CCO's email address

6.d. Please explain.

7. Is your Firm or an affiliate registered with a foreign financial regulatory authority?

7.a. Name of Foreign Financial Regulatory Authority:

7.b. Country

7.c. Name of registrant:	
8. If an ERA, does the Firm maintain operational policies, procedures and protocols which are designed to prevent violations of applicable federal, state or foreign laws and regulations, including but not limited to those relating to anti-money laundering, anti-fraud, anti-bribery, terrorist financing activities?	
8.a. Please explain.	
9. If an ERA, does the Firm maintain operational policies, procedures and protocols which are designed to address ethical and compliance matters, including but not limited to conflicts of interest, permitted outside business activities, privacy, transactions with Affiliates, and insider trading?	
9.a. Please explain.	

10. During the previous calendar year, did any federal, state, or regulatory body issue a final report of any examination or investigation that resulted in a material findings, fine, or censure of your Firm or any current employee?

10.a. Please explain.

11. During the previous calendar year, has your Firm, or any employee of your Firm, been subject to a civil suit regarding investment-related services, or related to the professional services described in our agreement?

11.a. Please explain.

12. Is your Firm a party to any material pending litigation or investigation that could have a material impact on the Firm?

12.a. Please explain.

13. During the previous calendar year, did the Firm pay penalties or otherwise compensate any clients upon termination of services with your Firm?

13.a. Please explain.

14. As required by 11 NYCRR 136-2.5(b), your Firm acknowledges that (a) the NYSCRF or its designee shall have the right to access the books and records of the Firm (or the investment vehicle in which the NYSCRF is invested, as applicable), which records shall include, records pertaining to the fees paid by the NYSCRF and the services rendered to the NYSCRF, (b) the Firm must submit to a review by the New York State Department of Financial Services (DFS) regarding such fees and services, and (c) the Firm must respond in writing to any inquiry or request for information from DFS for such fees and services.

15. Are you a Global Equity or Fixed Income Separate Account Manager of the CRF?

15.a. With respect to the assets that your Firm manages on behalf of the NYSCRF, has your Firm executed securities transactions through your Firm or through any affiliated entity such as a broker-dealer in violation of the Agreement governing the relationship between your investment fund and the CRF?

15.b. Please explain.

15.c. During the period, have there been any material violations of the Investment Guidelines set forth in the Agreement?	
15.d. Please explain.	
16. For separate account managers, all investments made by the Manager on behalf of the NYSCRF during the previous year ended December 31 were made in compliance with the Investment Guidelines incorporated in the Agreement at the time each investment was made.	
16.a. Please explain.	
17. For separate account managers, all current investment holdings in the NYSCRF portfolio managed by the Manager are in compliance with Investment Guidelines currently applicable under the Agreement.	

17.a. Please explain.

18. Is your Firm a Private Fund Manager of the CRF?

19. If a private fund manager, during the period, have there been any material violations of CRF's side letter provisions between your Firm and the CRF?

19.a. Please explain.

20. During the past year, have there been any material changes in the Firm's equity ownership or business model?

20.a. Please explain.

21. Is the Firm managing an open-ended private fund which CRF is invested?

21.a. Has the Firm had any changes in redemption/subsription policies?

21.b. Please explain.

22. In the past two years, as defined in Rule 206(4)-5 of the Investment Advisers Act of 1940, has the Firm or any “covered associate” made a “contribution” to the State Comptroller of the State of New York, to any candidate for the office of State Comptroller of the State of New York, or successful candidate for the office of State Comptroller of the State of New York that was not (a) within the de minimus limits set forth in the Rule, (b) cured, or (c) exempted by the Securities and Exchange Commission?

22.a. Please explain.

23. In the past two years, as defined in Rule 206(4)-5 of the Investment Advisers Act of 1940, has any “covered associate” of the Firm “coordinated” or “solicited” “contributions” for the State Comptroller of the State of New York, any candidate for the office of State Comptroller of the State of New York, or the successful candidate for the office of State Comptroller of the State of New York?

23.a. Please explain.

Gift Restrictions

Any non-compliance with the below requirements pursuant to the Gift Restrictions which your Firm becomes aware should promptly be reported to the CRF. Notifications should be reported to CRFCompliance@osc.ny.gov.

New York State Public Officers Law provides that:

i. No statewide elected official, state officer or employee, individual whose name has been submitted by the governor to the senate for confirmation to become a state officer or employee, member of the legislature or legislative employee shall, directly indirectly solicit, accept or receive any gift having more than a nominal value, whether in the form of money, service, loan, travel, lodging, meals, refreshments, entertainment, discount, forbearance or promise, or in any other form, under circumstances in which it could reasonably be inferred that his official duties or was intended as a reward for any official action on his part; and

ii. No person shall, directly or indirectly, offer or make any such gift to a statewide elected official, or any state officer or employee, member of the legislature or legislative employee under such circumstances.

24. Please confirm your review of the two foregoing paragraphs.

25. Does the Firm have a process for determining compliance with gift and entertainment policies applicable to State of New York employees?

26. Is your Firm aware of any instances that the Firm or any Firm employees offered, made, or provided any gift or hospitality to a New York State employee in violation of the Gift Restrictions described above?

26.a. Please explain.

27. Has the Firm implemented an Anti-Money Laundering

program, including policies and procedures to establish customer identity, to check consumer names against certain government prepared lists (e.g. OFAC) and to detect transactions that raise suspicion of money laundering and/or terrorist financing activity?

27.a. Please explain.

28. Has the Firm implemented policies to be in compliance with the Foreign Corrupt Practices Act?

28.a. Please explain.

29. Does your Firm have a cybersecurity program?

29.a. Please explain.

30. Does your Firm regularly test and update its cybersecurity protocols to address emerging cyber threats?

30.a. Please explain.

31. Has the Firm been a victim of a material cyber-breach during the reporting period?

31.a. Please explain.

32. Does your Firm have a business continuity plan?

32.a. Please explain.

33. Does your firm engage in practices aimed at weakening the economy of Israel by participating in so-called "Boycott, Divest and Sanctions" (BDS) activities?

33.a. Please explain.

34. Has your Firm identified any material deficiencies to its business continuity plan that have not been remediated over the past calendar year?

34.a. Please describe.

Contact Information

35. Who should receive this questionnaire going forward on an annual basis?

36. Who should we contact if we have questions regarding the responses to this questionnaire?

Certification: Part I

As the designated Chief Compliance Officer, or other authorized officer, I hereby certify that I am familiar with the Investment Management Agreement, Investment Advisory Agreement, or similar agreement (the "Agreement") between the New York State Common Retirement Fund (NYSCRF) and the Manager relating to investment of NYSCRF funds by the Manager, and I have reviewed the Firm's responses to this Annual Compliance Questionnaire (the "Questionnaire").

Except as disclosed in the responses to the Questionnaire and to the best of my knowledge after diligent inquiry, I hereby certify that:

37. All of the attached responses to the Questionnaire are true and correct for the previous calendar year ended December 31, unless otherwise indicated.

37.a. Please explain.

38. In connection with any investment that may involve sharing material non-public information (“MNPI”) with CRF staff, the Firm agrees to provide advance notice to the CRF’s Director of Compliance when practicable, or promptly notify the Director once it becomes aware that MNPI has been shared. Email notifications should be sent to CRFCompliance@osc.ny.gov. Please confirm by clicking “Yes”.

39. The Firm is in compliance with all representations, warranties, covenants, and acknowledgements in the Agreement that apply to the Firm, including, but not limited to compliance with the conflicts of interest provision, specifically that the Firm is in compliance with the following statement as set forth in Section 136-2.4(c)(1) (ii) of the New York State Department of Financial Services regulations: “ALL INVESTMENT MANAGERS, AND CONSULTANTS OR ADVISORS OWE THE COMPTROLLER AND THE COMMON RETIREMENT FUND A FIDUCIARY DUTY. THIS MEANS THAT THE INVESTMENT MANAGERS, OR CONSULTANTS OR ADVISORS MUST DISCLOSE TO THE COMPTROLLER INFORMATION ABOUT MATERIAL CONFLICTS OF INTEREST. FAILURE TO TRUTHFULLY COMPLETE THIS STATEMENT MAY RESULT IN CRIMINAL OR CIVIL LIABILITIES.”

40. Use this space for any comments related to Part I of the Certification.

Certification: Part II

41. I agree, and it is my intent, to sign this document on behalf of the Firm by typing my name below and by electronically submitting this document to the New York State Common Retirement Fund. I understand that my signing and submitting this document in this fashion is the legal equivalent of having placed my handwritten signature on the submitted document. I understand and agree that by electronically signing and submitting this document I am certifying as to the truth of the information contained herein and my authority to sign and submit this document. I acknowledge that failure to truthfully complete this document may result in criminal or civil liability.