

CalPERS Personal Trading

Quick Reference Guide

System Login

Personal Trading Platform:

To access the personal trading platform, go to MyComplianceOffice (MCO) (<https://www.mycomplianceoffice.com/customer/portal/>) or use the MCO shortcut when on-site or connected to CalPERS VPN.

Logging in:

For first time users, you will receive two emails from MCO. The first email contains instructions on how to activate your account, including your registered username (CalPERS email address, all lowercase), and the second email contains your temporary password.

If you forgot your password, click on the Forgotten Password link.

Email the [Personal Trading Mailbox](#) for further assistance.

Home Page

The home page is what you see when you first log into the personal trading platform. Click the CalPERS logo in the upper left-hand corner at any time to return to this page.

Navigation Pane:

Use the left Navigation Pane to view items related to Personal Trading and Affirmations, including previously submitted pre-clearances, brokerage accounts on file, and completed affirmations.

To Do Items:

Notifications of questionnaires/attestations to be completed and/or open cases (e.g., a disclosure that needs more information from you).

Create a Submission:

Forms to submit pre-clearance for Equities/ETFs/Funds, Fixed Income, Options, Non-Public Securities, and Reconsideration Requests.



Brokerage Accounts

Disclosing Brokerage Accounts:

To disclose a brokerage account, from the “MY” tab, under “Personal Trading”, click “Accounts”, navigate to the green “Add New Account” button, and click.

Complete the “Add Account” form as instructed. Enterprise Compliance, Risk & Governance (ECRG) will reach out to you with any questions.

Non-Designated Brokerage Accounts:

If your account is not held at one of the Designated Brokers, you will need to select “Other” in the “Brokerage” section of the “Add Account” form. You will then need to enter the name of the brokerage firm in the “Account Description”. Lastly you will need to provide an exemption reason for the non-designated brokerage account in the “Any other Information relevant to this Account.”

ECRG will review your exemption request and reach out with any questions.

Please email the [Personal Trading Mailbox](#) for a copy of the Designated Brokerage list.

Managed Accounts:

If you have a Managed Account as defined by the [Personal Trading Regulations \(PDF\)](#), then check the “Managed Account” box and submit a Managed Account Certification Letter to the [Personal Trading Mailbox](#). A sample Managed Account Certification Letter can be downloaded from the “Policies and Procedures” screen within [MyComplianceOffice](#) or email the [Personal Trading Mailbox](#) for a copy.

ECRG will review the Managed Account Certification Letter for completeness and reach out with any questions.

Pre-Clearance Requests

Public Securities:

To submit pre-clearance for publicly traded securities (stocks, bonds, Exchange Traded Funds, etc.), from the Home Page, click “Personal Trade Pre-Clearance” under the “Create a Submission” section. Select the type of security to pre-clear and complete the form as instructed and hit “Submit”. You should receive approval/denial instantaneously.

Reconsideration Requests:

Personal trading requests may be denied for Blackout Period violations, Holding Period violations, or Restricted List violations. Reconsideration requests may be submitted for any denied transaction.

Use the appropriate reconsideration request under “Create a Submission” on the Home Page. You will be asked to provide information and explain why an exception should be granted. Each denial requires a separate reconsideration request. All requests are evaluated on a case-by-case basis.



Affirmations & Attestations

Initial Personal Trading Affirmations

For Covered Persons new to the system, you will have 30-days to complete your Initial Personal Trading Affirmation. The affirmation consists of three sections:

- Personal Trading Regulation Attestation: confirmation that you have read and understand the regulation.
- Covered Account Validation: confirmation that you have disclosed all your brokerage accounts.
- Account Statement & Confirmation Authorization: confirmation that you allow your broker to send duplicate statements and trade confirmations to CalPERS.

Quarterly Transaction Affirmations

For Covered Persons with non-designated brokerage accounts, on a quarterly basis, you will be required to upload monthly/quarterly statements for the reporting period to the personal trading platform. Prior to submission of the affirmation, you will also be required to confirm that your transactions have been manually entered and match your statements.

If your statements have not been received by ECRG, you can either upload the statements to the affirmation itself or email the statements to the [Personal Trading Mailbox](#). Per the regulation, your broker is required to transmit all transaction confirmations and monthly/quarterly statements directly to ECRG.

Annual Attestations

Annually, all Covered Persons will be required to attest to the Personal Trading Regulation Attestation, the Covered Account Validation, and the Account Statement & Confirmation Authorization.

For Managed Account holders, you will be required to provide an updated Managed Account Certification Letter.

Resources

Personal Trading Regulations (PDF)

<https://www.calpers.ca.gov/docs/personal-trading-regulation.pdf>

Personal Trading Mailbox

personaltrading@calpers.ca.gov

MyComplianceOffice

<https://www.mycomplianceoffice.com/customer/portal/>

