

**University of Houston System  
Office of the Treasurer**

**Annual Investment Information Disclosure**

**Fiscal Year 2013**

Investment questions should be directed to:  
Raymond S. Bartlett, Treasurer  
Phone: 713-743-8781  
Fax: 713-743-8795  
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Mail Code: TREAS 2009  
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P.O. Box 988  
Houston, Texas 77001-0988

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Annual Investment Information Disclosure  
Fiscal Year 2013**

In accordance with Chapter 2.3 of the State Auditor's Office Report No. 02-058 and as further clarified in procedures adopted in 2012, the following information is submitted:

1. Does the institution employ outside investment advisors or managers and, if so, who are they (provide individual or firm name and address)? Do the outside investment advisors or managers have the authority to make investment decisions without obtaining prior approval? Yes, the institution contracts with an investment consultant, Cambridge Associates in Dallas, Texas, to provide investment consulting advice, but they do not have discretionary authority. Yes, the institution contracts with outside investment managers and they have authority to make investment decisions within the investment policy guidelines without obtaining prior approval. The investment managers with whom the institution has funds invested as of fiscal year end 2013 are as follows:

**Separately Managed Accounts:**

Columbia Management  
One Financial Center  
Boston, MA 02111-2621

Institutional Capital LLC  
225 West Wacker Drive, Suite 2400  
Chicago, IL 60606

JPMorgan Asset Management  
522 Fifth Avenue  
New York, NY 10036

Luther King Capital Management  
301 Commerce Street, Suite 1600  
Ft. Worth, TX 76102

Mayo Investment Advisers LLC  
30 Rowes Wharf, Suite 500  
Boston, MA 02110

Smith Graham & Company  
6900 Chase Tower  
600 Travis Street  
Houston, TX 77002-3007

State Street Global Advisors  
One Lincoln Street, SFC/33  
Boston, MA 02111-2900

**Commingled Funds:**

Aberdeen Funds  
3435 Stelzer Road, Suite 1000  
Columbus, OH 43219

Advent International Corporation  
75 State Street  
Boston, MA 02109

AllBlue Limited  
c/o GlobeOp Financial Services (Cayman) Limited  
45 Market Street, Suite 3205, 2<sup>nd</sup> floor  
Gardenia Court, Camana Bay  
Grand Cayman, Cayman Islands  
KY1-9003

Anchorage Capital Partners Offshore, Ltd.  
c/o International Fund Services (Ireland) Limited  
78 Sir John Rogerson's Quay  
Dublin 2  
Ireland

Asian Century Quest Offshore Fund, Ltd.  
c/o Morgan Stanley Fund Services (Bermuda) Ltd.  
P.O. Box 15000  
The Observatory  
7-11 Sir John Rogerson's Quay  
Dublin 2  
Ireland

Berwind Property Group  
770 Township Line Road, Suite 150  
Yardley, PA 19067

Coatue Offshore Fund, Ltd.  
c/o Morgan Stanley Fund Services (Ireland) Limited  
P.O. Box 15000  
The Observatory  
7-11 Sir John Rogerson's Quay  
Dublin 2  
Ireland

Bank of America Corporation  
100 Federal Street  
Boston, MA 02110

Commonfund Capital  
15 Old Danbury Road  
Wilton, CT 06897-0812

Cougar Investment Fund  
Department of Finance  
C.T. Bauer College of Business  
University of Houston  
Houston, TX 77204-6021

Covalent Capital Partners (Offshore), L.P.  
c/o AlphaMetrix360, LLC (Cayman)  
Piccadilly Center, 3<sup>rd</sup> Floor  
P.O. Box 10243  
Grand Cayman, Cayman Islands KY1-003

Davidson Kempner Institutional Partners, L.P.  
885 Third Avenue, Suite 3300  
New York, NY 10022

Denham Commodity Partners Fund VI-A L.P.  
c/o Latham & Watkins LLP  
555 Eleventh Street, NW, Suite 1000  
Washington, DC 20004

Dover VIII Associates L.P.  
c/o HarbourVest Partners, LLC  
One Financial Center  
Boston, Massachusetts 02111

Dreyfus  
144 Glenn Curtis Boulevard  
Uniondale, NY 11556-0144

EnCap Energy Capital Fund VII-B, L.P.  
1100 Louisiana Street, Suite 3150  
Houston, Texas 77002

EnCap Flatrock Midstream Fund II-C Cayman GP, LLC  
1826 N. Loop 1604 W., Suite 200  
San Antonio, Texas 78248

Fisher Lynch  
One International Place  
Boston, MA 02110  
HarbourVest Partners  
One Financial Center, 44<sup>th</sup> Floor  
Boston, MA 02111

HBK Offshore Fund II L.P.  
c/o Citco (Canada) Inc.  
2 Bloor Street East, Suite 2700  
Toronto, Ontario M4W 1A8  
Canada

Highline Capital International, Ltd.  
c/o Goldman Sachs (Cayman) Trust, Limited  
P.O. Box 896  
Gardenia Court, Suite 3307  
45 Market Street, Camana Bay  
Grand Cayman KY1-1103  
Cayman Islands, B.W.I.

Indus Europe Fund, Ltd.  
c/o Goldman Sachs Administration Services Co.  
Hardwicke House, 2<sup>nd</sup> Floor  
Hatch Street  
Dublin 2  
Ireland

Invesco Aim  
11 Greenway Plaza, Suite 100  
Houston, TX 77046

J.H. Whitney VII, L.P.  
c/o J.H. Whitney Capital Partners, LLC  
130 Main Street  
New Canaan, CT 06840

LiveOak Venture Partners  
3209 Lating Stream Lane  
Austin, TX 78746

Mason Capital Management, LLC.  
110 East 59<sup>th</sup> Street, 30<sup>th</sup> Floor  
New York, NY 10022

Maverick Fund, Ltd.  
c/o Citco (Canada) Inc.  
2 Bloor Street East, Suite 2700  
Toronto, Ontario M4W 1A8  
Canada

Mondrian Investment Group (U.S.), Inc.  
Mondrian Global Fixed Income Fund, L.P.  
General Partner  
1105 N. Market Street  
Suite 1118  
Wilmington, Delaware 19801

Morgan Stanley Investment Management  
One Tower Bridge  
100 Front Street, Suite 1100  
West Conshohocken, PA 19428

Newlin Realty Partners, LP  
44 Nassau Street, Suite 365  
Princeton, NJ 08542

OZ Overseas Fund II  
c/o Goldman Sachs Administration Services  
P.O. Box 896  
Gardenia Court, Suite 3307  
45 market Street, Camana Bay  
Grand Cayman, KY1-1103  
Cayman Islands

PFM Diversified Offshore Fund, Ltd.  
c/o Goldman Sachs Administration Services (Canada) Co.  
Royal Trust Tower  
77 King Street West, Suite 3400  
P.O. Box 38, Toronto – Dominion Centre  
Toronto, Ontario M5K 1B7  
Canada

Samlyn Offshore, Ltd.  
c/o Goldman Sachs (Cayman) Trust, Limited  
P.O. Box 896, Suite 3307, Gardenia Court  
45 Market Street  
Camana Bay, Grand Cayman KY1-1103  
Cayman Islands

Senator Global Opportunity Offshore Fund Ltd.  
Citco Fund Services (Cayman Islands) Limited  
89 Nexus Way  
Camana Bay  
P.O. Box 31106  
Grand Cayman KY1-1205  
Cayman Islands

Scout Capital  
c/o Citigroup Fund Services Canada, Inc.  
2920 Matheson Blvd. East  
Mississauga, Ontario L4W 5J4  
Canada

Silchester International Investors  
780 Third Avenue, 42<sup>nd</sup> Floor  
New York, NY 10017

Sustainable Woodlands Fund, LP  
4265 San Felipe, Suite 900  
Houston, TX 77027

TrueBridge-Kauffman  
33 Arch Street, 26<sup>th</sup> Floor  
Boston, MA 02110-1447

Wellington Trust Company, NA  
75 State Street  
Boston, MA 02109

Whippoorwill  
c/o Citco Fund Services (Cayman Islands) Limited  
89 Nexus Way  
Camana Bay  
PO Box 31106  
Grand Cayman KY1-1205  
Cayman Islands

William Blair Funds  
222 West Adams Street  
Chicago, IL 60606

York Institutional Partners  
390 Park Avenue, 15<sup>th</sup> Floor  
New York, NY 10022

2. Does the institution use soft dollar, directed brokerage or directed commission, commission recapture or similar arrangements (these arrangements typically involve using brokerage commissions as a means of paying for other related investment services through credits of a portion of brokerage commissions paid rather than through direct payments, or using selected brokers who will rebate a portion of commissions they receive on trades for the investor)? If the answer to this question is yes, the institution must summarize briefly the guidelines that govern the use of arrangements. Yes, the institution has a commission recapture program that includes a network of equity brokers. Managers of separately managed equity accounts are requested, to the extent possible and on a best efforts basis, to direct up to 25% of the annual trades through the network of equity brokers. The commission rate paid on a commission recapture transaction shall, to the extent practical, be no different than the rate an investment manager would normally pay on transactions done via a similar execution venue. Block trading orders shall not be precluded from trading in the commission recapture program.
  
3. Is the institution associated with an independent endowment or foundation? If the answer to this question is yes, the institution must provide contact information (name and address) for the individual(s) who manage the independent endowment or foundation. The institution must also provide, if available, the market value of the endowment's or foundation's investments. Following is the name and contact at each foundation and the market value of its investments as of August 31, 2013, unless otherwise noted:

Association for Community Broadcasting [ltshumat@Central.UH.EDU](mailto:ltshumat@Central.UH.EDU)  
Attn: Lisa Shumate #832-842-5867  
Houston PBS  
4343 Elgin  
Houston, Texas 77204-0008  
Market Value of Endowment/Investments: \$1,041,281

Cullen Engineering Research Foundation [Gjmorris@tstar.net](mailto:Gjmorris@tstar.net)  
Attn: Gregory Morris #830-598-4094  
P.O. Box 8425  
Horseshoe Bay, TX 78657  
Market Value of Endowment/Investments: None



Foundation for Education and Research in Vision      [emaury@optometry.uh.edu](mailto:emaury@optometry.uh.edu)  
Attn: Elizabeth Mauzy #713-743-1795  
College of Optometry  
Houston, TX 77204-2020  
Market Value of Endowment/Investments: \$2,846,584

Houston Alumni Association      [jmdrummo@Central.UH.EDU](mailto:jmdrummo@Central.UH.EDU)  
Attn: Judith Drummond # 713-743-9550  
P.O. Box 230345  
Houston, TX 77223-0345  
Market Value of Endowment/Investments: \$6,732,280

Houston Athletics Foundation      [Darryls@lonestar-usa.net](mailto:Darryls@lonestar-usa.net)  
Attn: Darryl Schroeder #713-799-1001  
Address: 3100 Cullen, Suite 2004  
Houston, Texas 77204-6004  
Market Value of Endowment/Investments: \$3,127,127  
([Matthew Houston](#) is the contact for investment reporting)

UH College of Business Foundation      [avillalpando@uh.edu](mailto:avillalpando@uh.edu)  
Attn: Aracely Villalpando #713-743-4633  
334 Melcher Hall  
Houston, TX 77204-6021  
Market Value of Endowment/Investments: \$21,946,610

UH Foundation      [TGNeale@aol.com](mailto:TGNeale@aol.com)  
Attn: Terrylin G. Neale #713-622-6061  
P.O. Box 27405  
Houston, TX 77227-7405  
Market Value of Endowment/Investments: \$91,514,161

UH Law Foundation      [klkrenek@Central.UH.EDU](mailto:klkrenek@Central.UH.EDU)  
Attn: Karen Krenek #713-743-3742  
100 Law Center  
Houston, TX 77204-6371  
Market Value of Endowment/Investments: \$20,565,261