

**IDENTIFICATION OF CONTRACTORS & RELATED PERSONNEL
2015
West Mead Township**

Q.1	<p>Please provide the names and titles of <u>all individuals</u> providing professional services to the Requesting Municipality's pension plan(s) identified above. Also include the names and titles of <u>any advisors and subcontractors</u> of the Contractor, identifying them as such. After each name provide a description of the responsibilities of that person with regard to the professional services being provided to each designated pension plan.</p> <p><i>Stephen Motzer, Account Administrator:</i></p> <ul style="list-style-type: none"> • <i>Provides daily contact with client regarding administration of account</i> • <i>Facilitates pension disbursements</i> • <i>Coordinates in-flows and out-flows of cash</i> • <i>Provides audit support</i> <p><i>Joyce Frydryck, Client Services Group Team Lead:</i></p> <ul style="list-style-type: none"> • <i>Leadership oversight of Account Administrator including problem resolution, product development, and project management.</i> <p><i>Travis Lang, Institutional Client Advisor:</i></p> <ul style="list-style-type: none"> • <i>Meets with clients to ensure their needs are being met</i> • <i>Introduces new products and services that will add value for client</i> <p><i>The following individuals provide managerial oversight of the individuals listed above:</i></p> <ul style="list-style-type: none"> • <i>Anthony Martinelli, PNC Institutional Asset Management, Director of Administration</i> • <i>Brian Zagorac, PNC Institutional Asset Management, Portfolio Manager</i>
Q.2	<p>Please list the name and title of any Affiliated Entity and their Executive-level Employee(s) that require disclosure; after each name, include a brief description of their duties.</p> <p><i>PNC Capital Advisors. The individual below has managerial oversight over the services provided by PNC Bank, N.A. for the Plan:</i></p> <ul style="list-style-type: none"> • <i>Mark McGlone, President and Chief Investment Officer of PNC Capital Advisors</i>
Q.3 & 4	<p>According to our records, no individuals named in Item 1 or Item 2 above are current or former officials or employees of West Mead Township.</p>
Q.5 & 6	<p>According to our records, no individuals named in Item 1 or Item 2 above are current or former registered State or Federal lobbyists.</p>
Q.5	<p>PNC has not employed or paid compensation to a third party intermediary, agent or lobbyist to directly or indirectly communicate with any official or employee of West Mead Township's Pension Plan or in connection with any transaction or investment involving PNC and the municipal pension system.</p> <p>PNC does engage legal counsel from time to time to represent it in discussions with legal counsel to the municipal pension system.</p>

Q.6	According to our records, since December 17, 2009 no PNC officer, director or employee of PNC has solicited a contribution to any municipal official or candidate for municipal office in West Mead Township or to the political party or political action committee of an official or candidate.
Q.7	According to our records, since December 17, 2009, neither PNC nor any Affiliated Entity has made a contribution to a municipal official or candidate for municipal office in West Mead Township.
Q.8	<p>Neither PNC nor any Affiliated Entity has any direct financial, commercial or business relationship with any official identified on the “List of Municipal Officials”, of West Mead Township.</p> <p>PNC may potentially have customary banking relationships (checking and savings accounts, investment accounts, loans, trust accounts, etc.) with officials identified on the “List of Municipal Officials” of West Mead Township.</p>
Q.9	According to our records, neither PNC nor any Affiliated Entity has given any gifts having more than a nominal value to any official listed on the “List of Municipal Officials” of West Mead Township.
Q.10	<p>In compliance with the provisions of Act 44, requiring the reporting of certain political contributions made within the last five years, PNC is providing the following reports:</p> <p><i>Refer to the attached report entitled <u>PA Political Contributions 2010-2014</u>. This report reflects all contributions of at least \$500 (singly or in the aggregate) made from 2010-2014 by an officer, director, Executive-Level Employee or owner of at least 5% of the firm or an Affiliate Entity to any candidates for public office or the holders of such offices in the Commonwealth and to any political committees of such candidates or office holders. Note that PNC officer is defined as designated under Regulation O of the Board of Governors of the Federal Reserve System (12 C.F.R. 215).</i></p>
Q.11	According to our records, we are not aware of any apparent, potential or actual conflict of interest with respect to any officer, director or employee of PNC and officials or employees of West Mead Township.
Q.12	No additional information to disclose.

Please provide the name(s) and position(s) of the person(s) participating in the completion of this Disclosure. **One of the individuals** identified by the **Contractor in Item #1** above must participate in completing this Disclosure and must sign the below verification attesting to the participation of those individuals named below.

Name: Jacqueline D. Bindyke

Name:

Position: Compliance Program Grp Mng

Position:

Name:

Name:

Position:

Position:



SIGNATURE

Client Services Group Team Lead , PNC Bank Institutional Asset Management

TITLE

TITLE

1-11-16

DATE

DATE

PA Political Contributions (2010 - 2014) - Officer/Director/Executive Employee

Note: PNC Officer is defined as designated under Regulation O of the Board of Governors of the Federal Reserve System (12.C.F.R.215).

Contributor Name	Contributor's Relationship	Contributor Is	Contributor Address	Date of Contribution	Name of Recipient	Recipient Is A	State Title Of Office	Amount of Contribution
Donald Shepard	PNC Director	Self	18 Starlight Farm Drive Phoenix, MD	4/8/2014	CSX Corp. Good Government Fund PAC	Political Action Committee (PAC) Other Than a Candidate's Committee	PAC	\$5,000
James E Rohr	Chairman & CEO	Self	613 Dorseyville Rd. Pittsburgh, PA	2/1/2010	Dan Onorato	Candidate (or Candidate's Committee) for State or Local Office	Governor	\$10,000
Charles Bunch	PNC Director	Self	1414 Beechwood Blvd Pittsburgh, PA	3/8/2010	Dan Onorato	Candidate (or Candidate's Committee) for State or Local Office	Governor	\$1,000
James E Rohr	Chairman & CEO	Self	613 Dorseyville Rd. Pittsburgh, PA	10/20/2010	Dan Onorato	Candidate (or Candidate's Committee) for State or Local Office	Governor	\$1,000
Jane Pepper	PNC Director	Self	128 Springton Lake Road Media, PA	4/28/2010	Dominic Pileggi	Candidate (or Candidate's Committee) for State or Local Office	PA Senator	\$1,000
James E Rohr	Chairman & CEO	Self	613 Dorseyville Rd. Pittsburgh, PA	7/22/2011	Eagle Forum PAC	Political Action Committee (PAC) Other Than a Candidate's Committee	PAC	\$500
James E Rohr	Chairman & CEO	Self	613 Dorseyville Rd. Pittsburgh, PA	3/1/2010	Frank Dermody	Candidate (or Candidate's Committee) for State or Local Office	PA House of Representatives	\$1,000
James E Rohr	Chairman & CEO	Self	613 Dorseyville Rd. Pittsburgh, PA	11/1/2011	Frank Dermody	Candidate (or Candidate's Committee) for State or Local Office	PA House of Representatives	\$350
James E Rohr	Chairman & CEO	Self	613 Dorseyville Rd. Pittsburgh, PA	10/9/2012	Frank Dermody	Candidate (or Candidate's Committee) for State or Local Office	PA House of Representative	\$1,000
Thomas Usher	PNC Director	Self	26124 Fawn Wood Ct. Bonita Springs, FL	4/23/2013	Jack Wagner	Candidate (or Candidate's Committee) for State or Local Office	Mayor	\$5,000
Bruce Lindsay	PNC Director	Self	1820 Rittenhouse Square Philadelphia, PA	5/7/2013	John Callahan	Candidate (or Candidate's Committee) for State or Local Office	Northampton County Executive	\$500
Jane Pepper	PNC Director	Self	128 Springton Lake Road Media, PA	2/21/2014	Leanne Krueger-Braneky	Candidate (or Candidate's Committee) for State or Local Office	PA House of Representative	\$250
Jane Pepper	PNC Director	Self	128 Springton Lake Road Media, PA	4/17/2014	Leanne Krueger-Braneky	Candidate (or Candidate's Committee) for State or Local Office	PA House of Representative	\$250
Jane Pepper	PNC Director	Self	128 Springton Lake Road Media, PA	8/4/2014	Leanne Krueger-Braneky	Candidate (or Candidate's Committee) for State or Local Office	PA House of Representative	\$250
James E Rohr	Chairman & CEO	Self	613 Dorseyville Rd. Pittsburgh, PA	10/2/2012	Luke Ravenstahl	Candidate (or Candidate's Committee) for State or Local Office	Mayor	\$2,000
James E Rohr	Chairman & CEO	Self	613 Dorseyville Rd. Pittsburgh, PA	10/20/2010	Michael Lamb	Candidate (or Candidate's Committee) for State or Local Office	City of Pittsburgh Controller	\$1,000
Thomas Usher	PNC Director	Self	26124 Fawn Wood Ct. Bonita Springs, FL	7/27/2010	Mike Turzai	Candidate (or Candidate's Committee) for State or Local Office	PA House of Representative	\$15,000
Charles Bunch	PNC Director	Self	1414 Beechwood Blvd Pittsburgh, PA	4/8/2010	Tom Corbett	Candidate (or Candidate's Committee) for State or Local Office	Governor	\$1,000
James E Rohr	Chairman & CEO	Self	613 Dorseyville Rd. Pittsburgh, PA	10/14/2010	Tom Corbett	Candidate (or Candidate's Committee) for State or Local Office	Governor	\$10,000
Thomas Usher	PNC Director	Self	26124 Fawn Wood Ct. Bonita Springs, FL	4/30/2014	Tom Corbett	Candidate (or Candidate's Committee) for State or Local Office	Governor	\$1,000
Charles Bunch	PNC Director	Self	1414 Beechwood Blvd Pittsburgh, PA	9/4/2014	Tom Corbett	Candidate (or Candidate's Committee) for State or Local Office	Governor	\$2,500
Thomas Usher	PNC Director	Self	26124 Fawn Wood Ct. Bonita Springs, FL	6/28/2012	Marathon Petroleum Corporation Employee	Political Action Committee (PAC) Other Than a Candidate's Committee	PAC	\$5,000
Thomas Usher	PNC Director	Self	26124 Fawn Wood Ct. Bonita Springs, FL	6/18/2014	Marathon Petroleum Corporation Employee	Political Action Committee (PAC) Other Than a Candidate's Committee	PAC	\$5,000

IDENTIFICATION OF CONTRACTORS & RELATED PERSONNEL

Contractors: (See "Definitions" -- page 2) Any entity who currently provides service(s) by means of a Professional Services Contract to the Municipal Pension System of the Requesting Municipality, please complete all the following: *Use a separate page if needed.*

- * 1. Please provide the names and titles of all individuals providing professional services to the **Requesting Municipality's** pension plan(s) identified above. Also include the names and titles of any advisors and subcontractors of the Contractor, identifying them as such. After each name provide a description of the responsibilities of that person with regard to the professional services being provided to each designated pension plan.

Don Boetger (Actuary) and Amy LaRocca (Retirement Plan Specialist) of Northwest Retirement Services administer a Defined Contribution Plan for the Requesting Municipality. Our administrative services and responsibilities include, but are not limited to, the completion of annual recordkeeping reports, participant statements, financial reconciliation, compliance testing and government reporting.

- * 2. Please list the name and title of any *Affiliated Entity* and their *Executive-level Employee(s)* that require disclosure; after each name, include a brief description of their duties. (See: **Definitions**)

- * 3. Are any of the individuals named in **Item 1** or **Item 2** above, a current or former official or employee of the **Requesting Municipality**?

No.

- * 4. **IF "YES"**, provide the names of the person employed, their position with the municipality, and dates of employment.

- * 5. Are any of the individuals named in **Item 1** or **Item 2** above a current or former registered Federal or State lobbyist?

No.

- * 6. **IF "Yes"**, provide the name of the individual, specify whether they are a state or federal lobbyist, and the date of their most recent registration/ renewal.

*Where noted with an *, information in this form must be updated in writing as changes occur.*

9. Since December 17th, 2009: Has the *Contractor* or an *Affiliated Entity* given any gifts having more than a nominal value to any official, employee or fiduciary – specifically, those on the *List of Municipal Officials of the Requesting Municipality*?

➔ IF “YES”, Provide the name of the person conferring the gift, the person receiving the gift, the office or position of the person receiving the gift, specify what the gift was, and the date conferred.

No .

10. Disclosure of contributions to any political entity in the Commonwealth of Pennsylvania

Applicability: A “yes” response is required and full disclosure is required **ONLY WHEN ALL** of the following applies:

- a) The contribution was made within the last 5 years (specifically since: December 18th 2004)
- b) The contribution was made by an officer, director, executive-level employee or owner of at least 5% of the *Contractor* or *Affiliated Entity*.
- c) The amount of the contribution was at least \$500 and in the form of:
 1. A single contribution by a person in (b.) above, **OR**
 2. The aggregate of all contributions all persons in (b.) above;
- d) The contribution was for
 1. Any candidate for any public office or any person who holds an office in the Commonwealth of Pennsylvania;
 2. The political committee of a candidate for public office or any person that holds an office in the Commonwealth of Pennsylvania.

➔ IF “YES”, provide the name and address of the person(s) making the contribution, the contributor’s relationship to the *Contractor*, The name and office or position of the person receiving the contribution (or the political entity / party receiving the contribution), the date of the contribution, and the amount of the contribution.

11. With respect to your provision of professional services to the Municipal Pension System of the Requesting Municipality:

Are you aware of any apparent, potential or actual conflicts of interest with respect to any officer, director or employee of the *Contractor* and officials or employees of the Requesting Municipality?

NOTE: If, in the future, you become aware of any apparent, potential, or actual conflict of interest, you are expected to update this Disclosure Form immediately in writing by:

- Providing a brief synopsis of the conflict of interest (and);
- An explanation of the steps taken to address this apparent, potential, or actual conflict of interest.

➔ IF “YES”, Provide a detailed explanation of the circumstances which provide you with a basis to conclude that an apparent, potential, or actual conflict of interest may exist.

No .

12. To the extent that you believe that Chapter 7-A of Act 44 of 2009 requires you to disclose any additional information beyond what has been requested above, please provide that information below or on a separate piece of paper.

Please provide the name(s) and position(s) of the person(s) participating in the completion of this Disclosure. One of the individuals identified by the Contractor in Item #1 above must participate in completing this Disclosure and must sign the below verification attesting to the participation of those individuals named below.

Name:

Amy LaRocca, QKA

Position:

Retirement Plan Specialist

Name:

Position:

Name:

Position:

Name:

Position:

Name:

Position:

Name:

Position:

Amy LaRocca

SIGNATURE

Retirement Plan Specialist

TITLE

12/31/15

DATE