

**2018**

**2018 ACT 44 DISCLOSURE FORM FOR ENTITIES PROVIDING  
PROFESSIONAL SERVICES TO THE  
MERCER COUNTY REGIONAL COUNCIL OF GOVERNMENT 'S PENSION SYSTEM**

CHAPTER 7-A OF ACT 44 OF 2009 MANDATES the annual disclosure of certain information by every entity (hereinafter “**Contractor**”) which is a party to a professional services contract with one of the pension funds of Mercer County Regional Council of Governments (hereinafter the “**Requesting Municipality**”). Act 44 disclosure requirements apply to *Contractors* who provide professional pension services and receive payment of any kind from the **Requesting Municipality**’s pension fund. The **Requesting Municipality** has determined that your company falls under the requirements of Act 44 and must complete this disclosure form. You are expected to submit this completed form, to the Requesting Municipality below, by **December 15, 2018**. If, for any reason you believe that Act 44 does not require you to complete this disclosure form, please provide a written explanation of your reason(s) by **December 15, 2018**.

**RETURN COMPLETED**

**DISCLOSURE TO:** Mercer County Regional Council of Governments  
**Attn: Kim A. DiCintio (CAO)**  
**2495 Highland Road**  
**Hermitage, Pa 16148**  
**724-981-1561**  
**kimd@mrcrcog.com**

**REQUIRED UPDATES:**

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

## List of Municipal Officials for the Requesting Municipality

**CONTRACTORS:** Certain requests for information in this form will refer to a “List of Municipal Officials.” To assist you in preparing your answers, you should consider the following names to be a complete list of pension system and municipal officials and employees. Throughout this Disclosure Form, the below names will be referred to as the “List of Municipal Officials.”

**MUNICIPALITY:** Enter below, a list of municipal officials that have any involvement in the administration or management of the pension system – Elected Officials, Appointed Officials and Employees, Board Members, or other Pension Committee Members (if applicable). Do not include employees that are not in a management position or serve on a pension committee or in a decision-making position relative to this pension system. If a category listed below is not applicable, so state.

<b>Elected Officials:</b>			
<b>Name:</b>	<b>Title:</b>	<b>Name:</b>	<b>Title:</b>
See list of elected officials marked as	Exhibit A & attached hereto		
<b>Employees or Appointed Officials:</b>			
<b>Name:</b>	<b>Title:</b>	<b>Name:</b>	<b>Title:</b>
Kim A. DiCintio	Pension CAO		
Beth Mason	Board Secretary		
James Nevant II, Esquire	Solicitor		
<b>Others: Pension Committee Members (if applicable) (persons not already listed above):</b>			
<b>Name:</b>	<b>Title:</b>	<b>Name:</b>	<b>Title:</b>

## 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 of the following:

Identify the Municipal Pension System(s) for which you are providing information:

Indicate all that apply with an “X”:

Non- Uniform Plan

Police Plan

Fire Plan

**\*\*NOTE:** For all that follow, you may answer the questions / items on a separate sheet of paper and attach it to this Disclosure if the space provided is not sufficient. Please reference each question / item you are responding to by the appropriate number. (example: REF – Item #1.)

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.

SEE ATTACHED

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)

NO

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**?

➔ IF “YES”, provide the name of the person employed, their position with the municipality, and dates of employment.

NO

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

➔ 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.

YES-SEE ATTACHED

**NOTICE:** All information provided for items 1- 4 above must be updated as changes occur.

5. Since December 17<sup>th</sup> 2009, has the *Contractor* or an *Affiliated Entity* paid compensation to or employed any third party intermediary, agent, or lobbyist that is to directly or indirectly communicate with an official or employee of the *Municipal Pension System* of the **Requesting Municipality** (OR), any municipal official or employee of the **Requesting Municipality** in connection with any transaction or investment involving the *Contractor* and the Municipal Pension System of the **Requesting Municipality**?

This question does not apply to an officer or employee of the *Contractor* who is acting within the scope of the firm’s standard professional duties on behalf of the firm, including the actual provision of legal,

NO

accounting, engineering, real estate, or other professional advice, services, or assistance pursuant to the professional services contact with municipality's pension system.

➔ IF "YES", identify: (1) whom (the third party intermediary, agent, or lobbyist) was paid the compensation or employed by the *Contractor* or *Affiliated Entity*, (2) their specific duties to directly or indirectly communicate with an official or employee of the *Municipal Pension System* of the **Requesting Municipality** (OR), any municipal official or employee of the **Requesting Municipality**, (3) the official they communicated with, and (4) the dates of this service.

6. Since December 17<sup>th</sup> 2009, has the *Contractor*, or any agent, officer, director or employee of the *Contractor* solicited a contribution to any municipal officer or candidate for municipal office in the **Requesting Municipality**, or to the political party or political action committee of that official or candidate?

➔ IF "YES", identify the agent, officer, director or employee who made the solicitation and the municipal officials, candidates, political party or political committee who were solicited (to whom the solicitation was made).  
NO

7. Within the past two years: Has the *Contractor* or an *Affiliated Entity* made any contributions to a municipal official or any candidate for municipal office in the **Requesting Municipality**?

➔ 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, the date of the contribution, and the amount of the contribution.  
NO

8. Does the *Contractor* or an *Affiliated Entity* have any direct financial, commercial or business relationship with any official identified on the *List of Municipal Officials*, of the **Requesting Municipality**?

➔ IF "YES", identify the individual with whom the relationship exists and give a detailed description of that relationship.

**\*\*NOTE:** A written letter is required from the **Requesting Municipality** acknowledging the relationship and consenting to its existence. The letter must be attached to this disclosure. Contact the **Requesting Municipality** to obtain this letter and attach it to this disclosure before submission.  
NO

9. Since December 17<sup>th</sup>, 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 18<sup>th</sup> 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.

YES - SEE ATTACHED  
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➔ **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

### VERIFICATION

I, LINDA COSTA, hereby state that I am MRT-COO for  
(Name) (Position)  
PSAB-MRT and I am authorized to make this verification.  
(Contractor)

I hereby verify that the facts set forth in the foregoing Act 44 Disclosure Form for Entities Providing Professional Services to Mercer County Regional Council of Governments Pension System are true and correct to the best of my knowledge, information and belief. I also understand that knowingly making material misstatements or omissions in this form could subject the responding Contractor to the penalties in Section 705-A(e) of Act 44.

I understand that false statements herein are made subject to the penalties of 18 P.A.C.S. § 4904 relating to unsworn falsification to authorities.

Linda Costa Signature  
11/27/18 Date

# 2018 Addendum - Required Disclosure Form Statements

(Reference Question #1) List of MRT Personnel

## **PSAB Municipal Retirement Trust (MRT) – State Association and Pension Operations Contractor**

The Municipal Retirement Trust is wholly owned and operated by the PSAB and is the primary contractor. The MRT employs several sub-contracted firms to provide specific and unique services to the Trust. The principal PSAB-MRT team members are listed first, followed by those of each sub-contractor.

### **Contractor Team Listing**

#### ***PSAB Municipal Retirement Trust (MRT)***

#### ***The PA State Association of Boroughs and Principal Pension Operations Contractor***

Chris Cap, PSAB Executive Director – Serves as MRT Treasurer

Jeffrey Heishman, Deputy Executive Director – Serves as MRT Secretary

Linda Costa, Chief Operations Officer – Inside/Outside pension services and CAO

Joseph Scott, Chief Field Operations Officer – Inside/Outside pension service liaison

### **Sub-Contractor and Advising Team Listing**

#### ***Administrative, Accounting, Custodial, and Actuarial Companies***

#### **Thomas J. Anderson & Associates – Trust Administrator**

James Kennedy, President – Manages Act 205 administrative compliance efforts.

#### **Brown, Schultz, Sheridan & Fritz – Trust Auditor**

John W. Bonawitz, Jr., Principal – Supervises annual audit functions for the Trust.

#### **Hamilton & Musser – Accounting Sub-contractor**

Robert Mast, Shareholder – Manages account reporting, tax filings and fund disbursements.

#### **Fulton Bank – Fund Depository**

Tammy Snyder, VP of Corporate Development – Manages checking and disbursement accounts.

#### **Morgan Stanley – Investment Market Monitor**

H. Jeffrey Herb, Senior Vice President, Investments – Serves as investment monitor of MRT.

Thomas J. Schatzman, CIMA, Senior Vice President, Investments – Serves as investment monitor of MRT.

#### **Mette Evans & Woodside – Law firm providing legal counsel**

Mary Alice Busby, Shareholder – Serves as the MRT Solicitor.

#### ***Investment Management – Style-Specific Companies***

#### **Robeco/Boston Partners - Large Cap Value Manager**

Mark Donovan, CFA, Co-CEO – Portfolio Manager

Kerry Ann James – Head of Institutional Distribution

#### **ISHARES RUSSELL 1000 VALUE ETF - Large Cap Value Manager**

Diane Hsiung - Portfolio Manager

#### **SPDR S&P 500 - Large Cap Core Manager**

John Tucker - Senior Managing Director

#### **Winslow Capital Management – Large Cap Growth Manager**

Justin H. Kelly, CFA, CIO - Portfolio Manager

Megan Anderson, President - Managing Director, Client Service

COG Representatives

City of Farrell

Robert Burich  
407 Lunn Blvd.  
Farrell, Pa 16121

Borough of Clark

Patricia LaRocca  
P.O. Box 81  
75 Milton Street  
Clark, Pa 16113

Township of Findley

Andrew Tomson  
49 Silver Brook Drive  
Mercer, PA 16137

Township of Greene

Paul Csonka  
59 sherbondy Road  
Greenville, Pa 16125

Borough of Greenville

Paul Hamil  
226 East Avenue  
Greenville, Pa 16125

Township of Hempfield

Gary Hittle  
5 Hamilton Avenue  
Greenville, Pa 16125

City of Hermitage

Bill Moder  
3406 Basil Drive  
Hermitage, Pa 16148

Township of Jefferson

Garth Falkner  
7900 Lamor Road  
Mercer, Pa 16137

Township of Lackawannock  
Richard Schuller  
218 Reiber Road  
Hermitage, PA 16148

Borough of Mercer  
Beth Hilmar  
410 Vogan Drive  
Mercer, Pa 16137

Township of Pymatuning  
John Miller  
256 Edgewood Drive Ext.  
Transfer, Pa 16145

City of Sharon  
Frank Connelly  
1671 Hannah Court  
Sharon, Pa 16146

Borough of Sharpsville  
Alex Kovach  
1136 Ridge Avenue  
Sharpsville, Pa 16150

Township of Shenango  
Dale Perry  
18 Oak Tree Court  
West Middlesex, Pa 16159

Township of South Pymatuning  
Bill Klumph  
4105 Wynwood Drive  
Sharpsville, Pa 16150

Borough of West Middlesex  
Jerrod Palmer  
6 Oak Hill Drive  
West Middlesex, Pa 16159

Township of Wilmington  
Dick Wilson  
24 D & D Lane  
New Wilmington, Pa 16142



Township of Coolspring  
Corwin Masson  
105 Franklin Road  
Mercer, Pa 16137

Township of East Lackawannock  
Jim Ammer  
245 S. Stonebase Road  
New Wilmington, Pa 16142

Borough of Fredonia  
Ron Mead  
7 water Street  
Fredonia, Pa 16124

Otter Creek Township  
Carl Swartz  
225 Linn-Tyro Road  
Greenville, Pa 16125

Wolf Creek Township  
Charles Weber  
109 Perrine Road  
Grove City, Pa 16127

County of Mercer  
Timothy McGonigle  
Mercer County Courthouse  
Mercer, Pa 16137

Township of Delaware  
Doug Cadman  
175 Beil Hill Road  
Greenville, Pa 16125

Township of Fairview  
Fairview Township Building  
1578 N. Perry Road  
P.O. Box 183  
Fredonia, Pa 16124

Township of West Salem

West Salem Township Building  
610 Vernon Road  
Greenville, Pa 16125

Borough of Jackson Center  
Jackson Center Borough Building  
1229 Franklin Road  
Jackson Center, Pa 16133

New Vernon Township  
New Vernon Township Building  
905 Borland Road  
Sandy Lake, Pa 16145

Jackson Township  
Jackson Township Building  
51 N. Foster Road  
P.O. Box 92  
Jackson Center, Pa 16133

Perry Township  
Perry Township Building  
P.O. Box 69  
Hadley, Pa 16130

Jamestown Borough  
Jamestown Borough Building  
P.O. Box 188  
Jamestown, Pa 16134

Borough of Wheatland  
Wheatland Borough Building  
P.O. Box 366  
Wheatland, Pa 16161

Township of Lake  
Lake Township Building  
339 Strausser Road  
Stoneboro, Pa 16153