

IDENTIFICATION OF CONTRACTORS & RELATED PERSONNEL
2018
North East Borough

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

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| 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>Lori Kinzler, Fiduciary Advisor:</p> <ul style="list-style-type: none"> • Provides daily contact with client regarding administration of account • Facilitates pension disbursements • Coordinates in-flows and out-flows of cash • Provides audit support <p>Joyce Frydryck, Fiduciary Manager:</p> <ul style="list-style-type: none"> • Leadership oversight of Account Administrator including problem resolution, product development, and project management. <p>Anthony Keim, Investment Advisor:</p> <ul style="list-style-type: none"> • Meets with clients to ensure their needs are being met • Introduces new products and services that will add value for client <p>The following individuals provide managerial oversight of the individuals listed above:</p> <ul style="list-style-type: none"> • Melissa Casazza, PNC Institutional Asset Management, Fiduciary Director • Todd Swanson, PNC Institutional Asset Management, Senior Investment Manager • Stephen Strayer, PNC Institutional Asset Management, Senior Investment Advisor |
| Q.2 | <p>PNC Capital Advisors. The individual below has managerial oversight over the services provided by PNC Bank, N.A. for the Plan:</p> <p>William Mennonna, President and Chief Executive Officer of PNC Capital Advisors</p> |
| Q.3 | <p>According to our records, no individuals named in Item 1 or Item 2 above are current or former officials or employees of North East Borough.</p> |
| Q.4 | <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> |

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| 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 North East Borough'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 | <p>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 the North East Borough or to the political party or political action committee of an official or candidate.</p> |
| Q.7 | <p>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 North East Borough.</p> |
| 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 the North East Borough.</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 North East Borough.</p> |
| Q.9 | <p>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 North East Borough.</p> |
| Q.10 | <p>Refer to the attached report entitled <u>PA Political Contributions 2013-2017</u>. This report reflects all contributions of at least \$500 (singly or in the aggregate) made from 2013-2017 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).</p> |
| Q.11 | <p>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 North East Borough.</p> |
| Q.12 | <p>No additional information to disclose.</p> |

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: Michelle Calderone

Name:

Position: Compliance Program Advisor

Position:

Name:

Name:

Position:

Position:

Michelle Calderone
SIGNATURE

Compliance Program Advisor

TITLE

1/17/19
DATE

VERIFICATION

I, Joyce Frydryck, hereby state that I am a Fiduciary Manager for
(Name) (Position)
PNC Institutional Asset Management 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 the North East Borough's 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 70S-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.


Signature

1-18-2019

Date