

ACT 44 DISCLOSURE FORM FOR ENTITIES PROVIDING PROFESSIONAL SERVICES TO THE CLAIRTON MUNICIPAL AUTHORITY'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 **CLAIRTON MUNICIPAL AUTHORITY** (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 November 30, 2016**. 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 November 22, 2016**.

RETURN COMPLETED DISCLOSURE TO:

Clairton Municipal Authority
Attn: James P. Hannan, Finance Director
1 North State Street
Clairton, PA 15025
e-mail address: jimhannan@comcast.net

REQUIRED UPDATES:

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

DEFINITIONS FOR DISCLOSURE

TERM:	DEFINITION:
CONTRACTOR	Any person, company, or other entity that receives payments, fees, or any other form of compensation from a municipal pension fund in exchange for rendering professional services for the benefit of the municipal pension fund.
SUBCONTRACTOR OR ADVISOR	Anyone who is paid a fee or receives compensation from a municipal pension system – directly or indirectly from or through a contractor.
AFFILIATED ENTITY	Any of the following: <ol style="list-style-type: none"> 1. A subsidiary or holding company of a lobbying firm or other business entity owned in whole or in part by a lobbying firm. 2. An organization recognized by the Internal Revenue Service as a tax-exempt organization under section 501(c) of the Internal Revenue Code of 1986 (Public Law 99-514, 26 U.S.C. § 501 (c)) established by a lobbyist or lobbying firm or an affiliated entity.
CONTRIBUTIONS	As defined in section 1621 of the act of June 3 rd , 1937 (P.L. 1333, No. 320), known as the Pennsylvania Election Code
POLITICAL COMMITTEE	As defined in section 1621 of the act of June 3 rd , 1937 (P.L. 1333, No. 320), known as the Pennsylvania Election Code
EXECUTIVE LEVEL EMPLOYEE	Any employee or person or the person's affiliated entity who: <ol style="list-style-type: none"> 1. Can affect or influence the outcome of the person's or affiliated entity's actions, policies, or decisions relating to pensions and the conduct of business with a municipality or a municipal pension system; or 2. Is directly involved in the implementation or development policies relating to pensions, investments, contracts or procurement or the conduct of business with a municipality or municipal pension system.
MUNICIPAL PENSION SYSTEM	Any qualifying pension plan, under Pennsylvania state law, for any municipality within the Commonwealth of Pennsylvania; includes the Pennsylvania Municipal Retirement System. <i>Example: the Police Pension Plan for the Borough of Winchesterville</i>
MUNICIPAL PENSION SYSTEM OFFICIALS AND EMPLOYEES; MUNICIPAL OFFICIALS AND EMPLOYEES	Specifically, those listed in TABLE 2 titled: <i>"List of Pension System and Municipal Officials and Employees"</i> on the next page. Where applicable, includes any employee of the Requesting Municipality .

PROFESSIONAL SERVICES CONTRACT	A contract to which the municipal pension system is a party that is: (1) for the purchase of professional services including investment services, legal services, real estate services, and other consulting services; and, (2) not subject to a requirement that the lowest bid be accepted.
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List of Municipal Officials for the Requesting Municipality

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.”***

Board of Directors

Nick Nickolich, Chairman
Delwyn Peterson, Vice Chairman
Perry Ohm, Treasurer
James Cerqua, Secretary
Susan Vigliotti, Assistant Secretary

Appointed Officials or Employees

Brian Secrest, Superintendent
James Hannan, Finance Director
Marissa Zajicek, Secretary
Gary Matta, Solicitor

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.

Response:

**James G. Wisniewski, Asst. Vice President, Trust Administrator
Wilmington Trust, NA, an Affiliate of M&T Bank**

Mr. Wisniewski is the Administrative Officer of the account and his responsibilities include handling any transactions that go through the account (contributions, pension payments, and fees) and monitoring of transaction reporting to the trust. He also reviews legal documents to keep current with any changes required by Compliance and the IRS qualified plan laws.

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)

Response: Not applicable.

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 and of the person employed, their position with the municipality, and dates of employment.

Response: None of the above-named individuals is a current or former official or employee of the Clairton Municipal Authority.

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.

Response: None of the above-named individuals is currently, or has ever been, registered as a Federal or Pennsylvania State lobbyist.

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

5. Since December 17th 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, accounting, engineering, real estate, or other professional advice, services, or assistance pursuant to the professional services contract 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.

Response: Since December 17, 2009, to the best of our knowledge and based on data collected, no agent, officer, director or employee of M&T Bank has employed or paid compensation to a third party intermediary, agent or lobbyist to directly or indirectly communicate with any individual on the List of Municipal Officials in connection with any transaction or investment involving M&T Bank and the Municipal Pension System.

6. Since December 17th 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).

Response: Since December 17, 2009, to the best of our knowledge and based on data collected, no agent, officer, director or employee of M&T Bank has solicited a contribution to any municipal officer or candidate for municipal office in the Clairton Municipal Authority, or to a political party or political action committee of that official or candidate, nor has any person listed in Item #1 of this questionnaire.

7. Since December 17th, 2009: 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.

Response: Since December 17, 2009, to the best of our knowledge and based on data collected, no agent, officer, director or employee of M&T Bank has made any contributions to a municipal official or candidate for municipal office in the Clairton Municipality.

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.

Response: No relationships have been found.

9. 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.

Response: To the best of our knowledge and based on data collected, no agent, officer, director or employee of M&T Bank has conferred any gifts having more than a nominal value to any official, employee, or fiduciary; more specifically, no such gift has been provided to those included on the List of Municipal Officials of the Clairton Municipal Authority.

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.

Response: Other than listed below, in the last 5 years, to the best of our knowledge and based in data collected, no contributions have been made by an officer, director, executive level employee or owner of at least 5% of M&T since December 18, 2009 to any political entity in the Commonwealth of Pennsylvania, specifically, those on the List of Municipal Officials.

The following contributions meet the criteria set forth above:

1.	Person making contribution:	James J. Donovan
	Address of person making contribution:	17 Red Tail Drive, Orwigsburg, PA 17961
	Contributor's relationship to Contractor:	Officer, M&T Bank
	Name of Person/Political Party/Entity Receiving the Contributions:	James A. Barton
	Office or Position of Person/Political Party/Entity Receiving the Contribution:	Principal Campaign Committee of a Candidate for State Representative
	Date and amount of Contribution:	May, 2014 (\$500)
2.	Person making contribution:	Robert J Crosswhite
	Address of person making contribution:	800 Castlebridge Court, Monkton, MD 21111
	Contributor's relationship to Contractor:	Executive, M&T Bank
	Name of Person/Political Party/Entity Receiving the Contributions:	Tom Wolf For Governor
	Office or Position of Person/Political Party/Entity Receiving the Contribution:	Principal Campaign Committee of a Candidate for U.S. Senate
	Date and amount of Contribution:	July 1, 2013 (\$2,500); September 3, 2014 (\$2,500)
	Name of Person/Political Party/Entity Receiving the Contributions:	Friends of Pat Toomey
	Office or Position of Person/Political Party/Entity Receiving the Contribution:	Principal Campaign Committee of a Candidate for U.S. Senate
	Date and amount of Contribution:	June 6, 2012 (\$500) October 7, 2013 (\$1,000) August 12, 2016 (\$2,000)

3	Person making contribution:	Eric Rebert
	Address of person making contribution:	2265 Seitz Drive, Lancaster, PA 17601
	Contributor's relationship to Contractor:	Office, M&T Bank
	Name of Person/Political Party/Entity Receiving the Contributions:	Tom Wolf for Governor
	Office or Position of Person/Political Party/Entity Receiving the Contribution:	Principal Campaign Committee of a Candidate for Governor
	Date and amount of Contribution:	October 30, 2014 \$500
4	Person making contribution:	Richard G. King
	Address of person making contribution:	2596 Hanover Pike, Hanover, PA 17331
	Contributor's relationship to Contractor:	Director, M&T Bank
	Name of Person/Political Party/Entity Receiving the Contributions:	Tom Corbett
	Office or Position of Person/Political Party/Entity Receiving the Contribution:	Governor
	Date and amount of Contribution:	May 9, 2010 (\$5,000); February 20, 2014 (\$1,000) October 9, 2014 (\$1,000)
5	Person making contribution:	Robert Wilmers
	Address of person making contribution:	350 Park Avenue, 6 th Floor, New York, NY 10022
	Contributor's relationship to Contractor:	Chairman and CEO, M&T Bank
	Name of Person/Political Party/Entity Receiving the Contributions:	Bob Casey
	Office or Position of Person/Political Party/Entity Receiving the Contribution:	U. S. Senator
	Date and amount of Contribution:	September 17, 2012 (\$2,500)
6	Person making contribution:	Robert Wilmers
	Address of person making contribution:	350 Park Avenue, 6 th Floor, New York, NY 10022
	Contributor's relationship to Contractor:	Chairman and CEO, M&T Bank
	Name of Person/Political Party/Entity Receiving the Contributions:	Keith Rothfus Rothfus Victory Committee
	Office or Position of Person/Political Party/Entity Receiving the Contribution:	U. S. Rep for PA 12 th District
	Date and amount of Contribution:	March 15, 2016 (\$1,000)
7	Person making contribution:	Donald J Dicarlo
	Address of person making contribution:	365 Yorkshire Rd, Rosemont, PA 19010
	Contributor's relationship to Contractor:	GVP, Wilmington Trust, N.A.
	Name of Person/Political Party/Entity Receiving the Contributions:	Pat Toomey
	Office or Position of Person/Political Party/Entity Receiving the Contribution:	U.S. Senator
	Date and amount of Contribution:	May 1, 2014 (\$500)
	Name of Person/Political Party/Entity Receiving the Contributions:	Friends of Pat Toomey
	Office or Position of Person/Political Party/Entity Receiving the Contribution:	Senator
	Date and amount of 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.

Response: To the best of our knowledge, information and belief, no agent, officer, director or employee of M&T Bank, with respect to the provision of professional services to the Clairton Municipality, has any apparent, potential or actual conflict of interest with respect to officials or employees of the Clairton Municipal Authority.

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.

Response: To the best of our knowledge, information and belief, M&T Bank does not have any additional information to disclose above and beyond what is requested within the Clairton Municipal Authority disclosure request.

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: James G. Wisniewski
Position: Asst. Vice President, Trust Account Officer


SIGNATURE

ASST. VICE-PRESIDENT
TITLE

DECEMBER 20, 2016
DATE

VERIFICATION

I, James G. Wisniewski, hereby state that I am a Asst. Vice President for Manufacturers and Traders Trust Company ("M&T Bank"), and I am authorized to make this verification. I hereby verify that the facts set forth in the foregoing Act 44 Disclosure Form for Entities Providing Professional Services to Clairton Municipal Authority'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 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.



Signature *ASST. V.P.*

12-20-2016

Date

