

# Act 44 Disclosure

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- 1. List the names and titles of all individuals who will provide services relative to this contract including advisors and subcontractors.**

Craig Caldwell, Edward Jones, 125 Franklin Street, Slippery Rock, PA 16057

Nick Barcelona, John Hancock, Cell: 724-759-8645, Email: NBarcelona@jhancock.com

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- 2. Are any of the individuals named in question 1 above, a current or former official or employee of Slippery Rock Borough?**

No.

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

No.

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- 3. Has your firm (including any advisors or subcontractors of your firm) 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 Slippery Rock Borough in connection with any transaction or investment involving your firm and the retirement plans of Slippery Rock Borough?**

No.

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**4. In the past two years, has your firm, or any agent, officer, director, or employee of your firm solicited a contribution to any municipal officer or candidate for municipal office in Slippery Rock Borough, or to the political party or political action committee of that official or candidate?**

No.

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**5. In the past two years, has your Firm (including advisors or subcontractors) made any contributions to a municipal official or any candidate for municipal office in Slippery Rock Borough?**

No.

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**6. Does your Firm (including advisors or subcontractors) have any direct financial, commercial, or business relationship with any officials of Slippery Rock Borough?**

No.

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**7. Has your Firm (including advisors or subcontractors) given any gifts having more than a nominal value to any official, employee or fiduciary of Slippery Rock Borough?**

No.

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**8. Disclosure of contributions to any political entity in the Commonwealth of Pennsylvania:**

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**A full disclosure is required ONLY WHEN ALL of the following apply:**

- a) The contribution was made within the last 5 years**
- b) The contribution was made by an officer, director, executive-level employee or owner of at least 5% of your firm.**

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.

This is not applicable.

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**10. With respect to your provision of professional services to the retirement plans of Slippery Rock Borough: Are you aware of any apparent, potential or actual conflicts of interest with respect to any officer, director or employee of your firm and officials or employees of Slippery Rock Borough?**

No.

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**11. 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**

This is not applicable.