

Act 44 Disclosure Form for Entities Providing Professional Services to Stroudsburg Borough Pension Plans

Introduction

Chapter 7-A of Act 44 of 2009 mandates the disclosure of certain information by every entity (hereinafter “Contractor”) which is party to a professional services contract with one of Stroudsburg Borough’s pension funds. This disclosure form is being submitted in compliance with this mandate.

Definitions for Disclosure Questions

The following definitions apply for answering the questions in this disclosure form:

Affiliated Entity: Any of the following: (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.

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. The term Contractor shall also include an Affiliated entity of the Contractor.

Contributions: As defined in section 1621 of the act of June 3, 1937 (P.L. 1333, No. 320), known as the Pennsylvania Election Code.

Executive Level Employee: An employee of a contractor or the contractor’s affiliated entity who: (1) can affect or influence the outcome of the contractor’s or affiliated entity’s actions, policies or decision related to pension and the conduct of business with a municipality or a municipal pension systems; or (2) is directly involved in

the implementation or development of policies relating to pensions, investments, contracts or procurement or to the conduct of business with a municipality or a municipal pension system.

Political Committee: As defined in section 1621 of the act of June 3, 1937 (P.L. 1333, No. 320), known as the Pennsylvania Election Code.

Professional Services Contract: A contract to which the municipal pension system is a party that is: (1) for the purchase or provision 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.

List of Municipal Officials

Certain disclosures refer to municipal pension system officials and employees as well as municipal officials and employees. We have considered the following names to be the list of pension system and municipal officials and employees for this purpose. Throughout this Disclosure Form, the below names will be referred to as the List of Municipal Officials.

Charles Baughman	Mayor / Executive
Kim M. Diddio	President / Chairperson
Boyd Weiss	Council Member
Eric Scelza	Council Member
Jeff Ewen	Council Member
Joanne Kochanski	Council Member
Matthew Abell	Council Member
Neil Allen	Council Member
Barbara K. Quarantello	Manager / Chief Administrator

Disclosures by Current Contractors

1. The following information is being provided for the Stroudsburg Borough Non-Uniformed Pension Plan(s).

2. Provide the names and titles of all individuals providing professional services to Stroudsburg Borough pension plan or plans identified above.

Steven M. Trollinger, Senior Vice President, Univest/Trollinger Consulting Group

Ronald H. Bittner, Vice President, Univest/Trollinger Consulting Group

(a) There are no current or former officials or employees of Stroudsburg Borough listed above or any others employed by the Contractor.

(b) There are no individuals listed above, or any others employed by the Contractor, who have been registered Federal or Pennsylvania State lobbyists.

The information in this section will be updated in writing as changes occur.

3. Since December 17, 2009, the effective date of Chapter 7-A of Act 44, none of the individuals identified in paragraph 2 above have been employed by Stroudsburg Borough.

4. Since December 17, 2009, the Contractor has not 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 the Contractor and the municipal pension system. This question does not apply to any officer or employee of the Contractor who is acting within the scope of the Contractor's standard professional duties including the actual provision of professional advice, services or assistance pursuant to its professional services contract with the municipal pension system.

5. Since December 17, 2009, no agent, officer, director or employee of the Contractor has solicited a third party to make a political contribution to any municipal official or candidate for municipal office in Stroudsburg Borough or to the political party or political action committee of that official or candidate.

6. Since December 17, 2009, the Contractor has made no contribution to a municipal official or candidate for municipal office in Stroudsburg Borough.

7. The Contractor does not have a direct financial, commercial or business relationship with any individual on the List of Municipal Officials.

8. Since December 17, 2009, the Contractor has not conferred any gift of more than nominal value to any individual on the List of Municipal Officials. A gift includes money, services, loans, travel, lodging, entertainment, discount, or other thing of value.

9. The Contractor has not made any political contributions that meet all of the following four criteria: (i) The contribution was made in the last five years, specifically, since December 18, 2004; (ii) The contribution was made by an officer, director, executive-level employee or owner of at least five percent (5%) of the Contractor; (iii) The amount of the contribution was at least \$500 in the form of either a single contribution by an officer, director, executive-level employee, or owner of at least five percent (5%) or the aggregate of all contributions by all officers, directors, executive-level employees, and owners of at least five percent (5%); and (iv) The contribution was made to a candidate for any public office in the Commonwealth or to an individual who holds that office, or to a political committee of a candidate for public office in the Commonwealth or of an individual who holds that office.

10. With respect to the provision of professional services to Stroudsburg Borough, we are not aware of any apparent, potential or actual conflict of interest with respect to any officer, director or employee of the Contractor and officials or employees of Stroudsburg Borough.

NOTE: If, in the future, we become aware of any apparent, potential or actual conflict of interest, we will update this Disclosure Form immediately and provide an explanation of the steps taken to address this apparent, potential or actual conflict.

VERIFICATION

I, Steven M. Trollinger, hereby state that I am Senior Vice President for Univest/Trollinger Consulting Group, 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 Stroudsburg Borough Pension System are true and correct to the best of my knowledge, information and belief.



Signature
8/17/2010

Date