

IDENTIFICATION OF CONTRACTORS & RELATED PERSONNEL
2016
City of Erie

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

<p>Q.1</p>	<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><i>Lori Kinzler, Fiduciary Advisory:</i></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><i>Joyce Frydryck, Fiduciary Manager:</i></p> <ul style="list-style-type: none"> • Leadership oversight of Account Administrator including problem resolution, product development, and project management. <p><i>James Kubaney, Senior Client Advisor:</i></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><i>The following individuals provide managerial oversight of the individuals listed above:</i></p> <ul style="list-style-type: none"> • Melissa Casazza, PNC Institutional Asset Management, Fiduciary Director • John Grazioli, PNC Institutional Asset Management, Managing Director • Sylvia Diez, PNC Institutional Asset Management, Regional Managing Director
<p>Q.2</p>	<p>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.</p> <p><i>PNC Capital Advisors. The individual below has managerial oversight over the services provided by PNC Bank, N.A. for the Plan:</i></p> <ul style="list-style-type: none"> • Mark McGlone, President and Chief Investment Officer of PNC Capital Advisors
<p>Q.3</p>	<p>According to our records, no individuals named in Item 1 or Item 2 above are current or former officials or employees of the City of Erie.</p>
<p>Q.4</p>	<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>

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 the City of Erie’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, 2011 no PNC officer, director or employee of PNC has solicited a contribution to any municipal official or candidate for municipal office in the City of Erie 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, 2011, neither PNC nor any Affiliated Entity has made a contribution to a municipal official or candidate for municipal office in the City of Erie.</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 City of Erie.</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 the City of Erie.</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 the City of Erie</p>
Q.10	<p>Refer to the attached report entitled <u>PA Political Contributions 2011-2015</u>. This report reflects all contributions of at least \$500 (singly or in the aggregate) made from 2011-2015 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 the City of Erie.</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: Jacqueline D. Bindyke

Name:

Position: Compliance Program Grp Mng

Position:

Name:

Name:

Position:

Position:



SIGNATURE

Compliance Program Group Manager

TITLE

12-15-2014

DATE

VERIFICATION

I, Joyce Frydryck, hereby state that I am a Fiduciary Manager for
(Name) (Position)
PNC Bank 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 City of Erie'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.

Joyce Frydryck
Signature

12-15-16

Date

PA Political Contributions (2011 - 2015) - Officer/Director/Executive Employee

Note: PNC Officer is defined as designated under Regulation O of the Board of Governors of the Federal Reserve System (12.C.F.R.215).

Contributor Name	Contributor's Relationship	Contributor Is	Contributor Address	Date of Contribution	Name of Recipient	Recipient Is A	State Title Of Office	Amount of Contribution
Bill S Demchak	Chairman, President & CEO	Self	5564 Aylesboro Avenue Pittsburgh, PA	11/10/2015	Bill Peduto	Candidate (or Candidate's Committee) for State or Local Office	Mayor of Pittsburgh	\$700
Gregory Jordan	General Counsel	Self	601 West Drive Sewickley, PA	11/10/2015	Bill Peduto	Candidate (or Candidate's Committee) for State or Local Office	Mayor of Pittsburgh	\$300
Thomas Usher	PNC Director	Self	26124 Fawn Wood Ct. Bonita Springs, FL	7/2/2015	Citizens Alliance of PA-PAC	Political Action Committee (PAC) Other Than a Candidate's Committee	PAC	\$7,500
Donald Shepard	PNC Director	Self	18 Starlight Farm Drive Phoenix, MD	4/8/2014	CSX Corp. Good Government Fund PAC	Political Action Committee (PAC) Other Than a Candidate's Committee	PAC	\$5,000
Donald Shepard	PNC Director	Self	18 Starlight Farm Drive Phoenix, MD	2/11/2015	CSX Corp. Good Government Fund PAC	Political Action Committee (PAC) Other Than a Candidate's Committee	PAC	\$5,000
James E Rohr	Chairman & CEO	Self	613 Dorseyville Rd. Pittsburgh, PA	7/22/2011	Eagle Forum PAC	Political Action Committee (PAC) Other Than a Candidate's Committee	PAC	\$500
James E Rohr	Chairman & CEO	Self	613 Dorseyville Rd. Pittsburgh, PA	11/1/2011	Frank Dermody	Candidate (or Candidate's Committee) for State or Local Office	PA House of Representatives	\$350
James E Rohr	Chairman & CEO	Self	613 Dorseyville Rd. Pittsburgh, PA	10/9/2012	Frank Dermody	Candidate (or Candidate's Committee) for State or Local Office	PA House of Representative	\$1,000
Gregory Jordan	General Counsel	Self	601 West Drive Sewickley, PA	4/7/2015	Hugh McGough	Candidate (or Candidate's Committee) for State or Local Office	Court of Common Pleas, Judge	\$1,000
Thomas Usher	PNC Director	Self	26124 Fawn Wood Ct. Bonita Springs, FL	4/23/2013	Jack Wagner	Candidate (or Candidate's Committee) for State or Local Office	Mayor	\$5,000
Bruce Lindsay	PNC Director	Self	1820 Rittenhouse Square Philadelphia, PA	5/7/2013	John Callahan	Candidate (or Candidate's Committee) for State or Local Office	Northampton County Executive	\$500
Thomas Usher	PNC Director	Self	26124 Fawn Wood Ct. Bonita Springs, FL	7/2/2015	Keystone State Right to Work Committee	Political Action Committee (PAC) Other Than a Candidate's Committee	PAC	\$5,000
Jane Pepper	PNC Director	Self	128 Springton Lake Road Media, PA	2/21/2014	Leanne Krueger-Braneky	Candidate (or Candidate's Committee) for State or Local Office	PA House of Representatives	\$250
Jane Pepper	PNC Director	Self	128 Springton Lake Road Media, PA	4/17/2014	Leanne Krueger-Braneky	Candidate (or Candidate's Committee) for State or Local Office	PA House of Representatives	\$250
Jane Pepper	PNC Director	Self	128 Springton Lake Road Media, PA	8/4/2014	Leanne Krueger-Braneky	Candidate (or Candidate's Committee) for State or Local Office	PA House of Representatives	\$250
Jane Pepper	PNC Director	Self	128 Springton Lake Road Media, PA	6/27/2015	Leanne Krueger-Braneky	Candidate (or Candidate's Committee) for State or Local Office	PA House of Representatives	\$250
Thomas Usher	PNC Director	Self	26124 Fawn Wood Ct. Bonita Springs, FL	10/14/2015	LifePAC	Political Action Committee (PAC) Other Than a Candidate's Committee	PAC	\$500
James E Rohr	Chairman & CEO	Self	613 Dorseyville Rd. Pittsburgh, PA	10/2/2012	Luke Ravenstahl	Candidate (or Candidate's Committee) for State or Local Office	Mayor of Pittsburgh	\$2,000
Thomas Usher	PNC Director	Self	26124 Fawn Wood Ct. Bonita Springs, FL	6/18/2014	Marathon Petroleum Corporation Employee PAC	Political Action Committee (PAC) Other Than a Candidate's Committee	PAC	\$5,000
Thomas Usher	PNC Director	Self	26124 Fawn Wood Ct. Bonita Springs, FL	6/28/2012	Marathon Petroleum Corporation Employee PAC	Political Action Committee (PAC) Other Than a Candidate's Committee	PAC	\$5,000
Thomas Usher	PNC Director	Self	26124 Fawn Wood Ct. Bonita Springs, FL	7/21/2015	Mike George	Candidate (or Candidate's Committee) for State or Local Office	PA Supreme Court	\$1,000
Thomas Usher	PNC Director	Self	26124 Fawn Wood Ct. Bonita Springs, FL	4/30/2014	Tom Corbett	Candidate (or Candidate's Committee) for State or Local Office	Governor	\$1,000
Charles Bunch	PNC Director	Self	1414 Beechwood Blvd Pittsburgh, PA	9/4/2014	Tom Corbett	Candidate (or Candidate's Committee) for State or Local Office	Governor	\$2,500