

Dunbar, Bender & Zapf, Inc.

Consulting Actuaries and Employee Benefit Consultants

Frick Building, Suite 1100, 437 Grant Street, Pittsburgh, PA 15219

Phone: (412) 263-0102 Fax: (412) 263-0138 www.dbzinc.com

Thomas D. Rockovich
Executive Director
Butler Area Sewer Authority
100 Litman Road
Butler, PA 16001

January 19, 2012

Re: **Butler Area Sewer Authority Pension Plans**

Dear Mr. Rockovich:

Thank you for the opportunity to quote on the administrative services for the above Plans.
Enclosed are the following:

- Completed RFP
- Disclosure Form
- Service Provider Agreement for each Plan

In reviewing the materials, please note the following:

- Where the RFP items requested a response, we inserted the response within the Word document provided, italicized for your ease in reviewing.
- The Service Provider Agreement for the Money Purchase Plan illustrates a \$2,000 annual fee for the core services outlined. Normally we would invoice this amount for a two year Act 205 reporting cycle, but as we've been on hiatus, the bulk of the services will be completed in 2012. Going forward, the annual fee will be \$1,000 for this Plan.
- As we relayed in our April 28, 2011 memo to Ronata, there is little ongoing work to be completed for the 457 Plan. The \$500 annual fee is a retainer for the services outlined. Should the time incurred for the year based on our hourly rates fall below \$500, we will bill the lesser amount.
- The primary contact assigned to your Plan, Joe Siktar, has been preparing Act 205 filings since Act 205 was passed in 1984; averaging almost 50 per cycle for the last few cycles. He has focused on municipal plans since beginning his career in 1978 and has almost exclusively dealt with municipal plan administration since 1988.

Thomas D. Rockovich
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January 19, 2012

Mr. Rockovich, please don't hesitate to call if you have any questions. I've enjoyed working with the Authority in the past and look forward to continuing to do so.

Sincerely,

A handwritten signature in black ink, appearing to read "Nicholas Zapf". The signature is fluid and cursive, with a large initial "N" and "Z".

Nicholas Zapf, C.F.C.;Q.P.A.
Consultant

A handwritten signature in black ink, appearing to read "Joe Siktar". The signature is cursive and somewhat stylized.

Joe Siktar, C.E.B.S.
Senior Consultant

Enclosures

Cc: Ronata Lavorini

Service Provider Agreement
BUTLER AREA SEWER AUTHORITY
PENSION PLAN

In order to formalize the services for the above plan, *Dunbar, Bender & Zapf, Inc.* provides the following fee schedule and list of actuarial services for 2012:

Fee for the plan: \$2,000

The fee includes the following services:

- Completion of Act 205 filing
- Annual preparation of the Minimum Municipal Obligation (MMO) form
- Annual updating of Government Accounting Standards Board Statement #s 25 and 40 (includes the annual reconciliation of assets)
- Benefit Certification preparation
- One meeting within the cycle to discuss any concern of the Authority
- Routine correspondence and phone calls regarding the plan

Fees for services not listed above such as assisting with audit compliance, plan design changes, plan document drafting and amendments, special meetings, etc. will be quoted in advance of the project and billed at our normal hourly rates shown below:

- | | | |
|--------------|---------------------------------|-------|
| • Nick Zapf | <i>Special Plans Consultant</i> | \$150 |
| • Joe Siktar | <i>Senior Consultant</i> | \$150 |

We agree to retain *Dunbar, Bender & Zapf, Inc.* for the services described above. During the term of its engagement, *Dunbar, Bender & Zapf, Inc.* will not be considered as the Plan Administrator, fiduciary or legal counsel to the Plan. *Dunbar, Bender & Zapf, Inc.* will rely on information submitted to them to be complete, accurate and compliant with the terms of the plan. Finally, either party may terminate this agreement at any time with 30 days notice. Should such termination occur, the Employer would be responsible for fees associated with services rendered to the date the contract is terminated.

Employer Authorization:

Date

Service Provider Agreement
BUTLER AREA SEWER AUTHORITY
457 PENSION PLAN

In order to formalize the services for the above plan, *Dunbar, Bender & Zapf, Inc.* provides the following fee schedule and list of actuarial services for 2012:

Fee for the plan: \$500

The fee includes the following services:

- Benefit Certification preparation
- One meeting within the cycle to discuss any concern of the Authority
- Routine correspondence and phone calls regarding the plan

Fees for services not listed above such as assisting with audit compliance, plan design changes, plan document drafting and amendments, special meetings, etc. will be quoted in advance of the project and billed at our normal hourly rates shown below:

- | | | |
|--------------|---------------------------------|-------|
| • Nick Zapf | <i>Special Plans Consultant</i> | \$150 |
| • Joe Siktar | <i>Senior Consultant</i> | \$150 |

We agree to retain *Dunbar, Bender & Zapf, Inc.* for the services described above. During the term of its engagement, *Dunbar, Bender & Zapf, Inc.* will not be considered as the Plan Administrator, fiduciary or legal counsel to the Plan. *Dunbar, Bender & Zapf, Inc.* will rely on information submitted to them to be complete, accurate and compliant with the terms of the plan. Finally, either party may terminate this agreement at any time with 30 days notice. Should such termination occur, the Employer would be responsible for fees associated with services rendered to the date the contract is terminated.

Employer Authorization:

Date

REQUEST FOR PROPOSALS AND QUALIFICATIONS
FOR
ADMINISTRATIVE PENSION SERVICES

January 11, 2012

Butler Area Sewer Authority
100 Litman Road
Butler PA 16001
724-282-1978
724-282-7656 (FAX)

REQUEST FOR PROPOSALS FOR ADMINISTRATIVE PENSION SERVICES

GENERAL PROVISIONS

Note: Where responses are requested all such responses are in italics:

1. GENERAL

- 1.1 Notice is hereby given that the Butler Area Sewer Authority (BASA) will receive proposals until 12:00 p.m. noon on January 23, 2012 in the administrative offices of the Butler Area Sewer Authority, 100 Litman Road, Butler PA 16001 for providing administrative pension services, as outlined herein under Scope of Services.
- 1.2 Proposals must be received in the BASA Office by the time and date specified. Proposals received after the specified time and date will not be considered.
- 1.3 Proposers should mail or deliver an original of the entire written proposal to BASA at the address listed in **Section 1.1**. Electronically-submitted copies of the proposals will be accepted.
- 1.4 All proposals must respond to all the requirements contained in this Request for Proposals (RFP) and signed by a proper official of the proposing firm.
- 1.5 No proposals will be considered which modifies any of the conditions, provisions or specifications as contained in this RFP.
- 1.6 By submitting this proposal, the Proposer certifies that he/she has not acted in collusion with any other Proposer or potential Proposer. Following the award of any professional services contract or agreement, all proposals and associated documents will be considered to be public information and will be available for public inspection to all interested parties, except for proprietary information or other information protected by law.
- 1.7 The costs of developing proposals are entirely the responsibility of the Proposer and shall not be chargeable to BASA under any circumstances. The Proposer must certify that the proposal and pricing will remain in effect for a minimum of sixty (60) days after the proposal submission date.

2. PREPARATION OF PROPOSALS

- 2.1 It is the responsibility of the Proposer to carefully examine the specifications and proposal documents and to be familiar with all of the requirements, stipulations, provisions, and conditions surrounding the proposed services being requested.

- 2.2 No oral or telephone interpretations of the specifications shall be binding upon BASA. All changes or interpretations of the specifications shall be made by written addendum, which shall be electronically transmitted to all parties of record

3. REVIEW OF PROPOSALS

- 3.1 It is absolutely essential that Proposers carefully review all elements in their final proposals to assure compliance with all the attached specifications.

4. EEOC COMPLIANCE

- 4.1 All parties making submissions under this RFP must fully comply with all the requirements of the Equal Employment Opportunity Commission (EEOC), and as such, shall assure that no person shall be excluded from participation in, denied the benefits of, or otherwise discriminated against, in connection with the award and performance of any agreement that may result from the proposal on the grounds of race, color, disability, national origin or gender. The parties further assure that it will include the language of this paragraph in all agreements or contracts associated or connected in any way with a BASA agreement.

In submitting the RFP, Dunbar, Bender & Zap, Inc. stipulate we will fully comply with all the requirements of the Equal Employment Opportunity Commission (EEOC), and as such, shall assure that no person shall be excluded from participation in, denied the benefits of, or otherwise discriminated against, in connection with the award and performance of any agreement that may result from the proposal on the grounds of race, color, disability, national origin or gender. We further assure that it will include the language of this paragraph in all agreements or contracts associated or connected in any way with a BASA agreement.

5. CONTRACT AWARD

- 5.1 All qualified consultants will be afforded the full opportunity to contract with BASA for the services being requested and will not be subject to discrimination on the grounds of race, creed, color, national origin, gender, or handicap in consideration for an award.
- 5.2 A signed professional services authorization will be furnished to the successful Proposer upon Board award of the services requested herein and that will create a binding contract between both parties.
- 5.3 BASA reserves the right to accept any proposal and to reject any and all proposals and to disapprove of any and all subcontractors, if any, as may be in the best interests of BASA. The selection of the successful proposal shall not be required to be the lowest quotation submitted, but shall be awarded to the professional service provider that is deemed by BASA to be the most qualified Proposer.

SPECIAL PROVISIONS

6. CONTRACT REQUIREMENTS

- 6.1 The contract period shall commence upon the BASA Board's authorization of the contract. The contract period shall extend at the discretion of both parties on a year-to-year basis or until the Authority's Act 44 Professional Service Compliance Policy procedures require a new RFP.
- 6.2 The Proposer that is awarded the contract is prohibited from subcontracting, assigning, transferring or otherwise disposing of the agreement or its rights, title or interest therein to any other party without the prior written consent of BASA. All approved assignments or other transfers referred to herein must abide by the provisions of this RFP and any authorization agreement.

7. PAYMENT FOR SERVICES

- 7.1 BASA will make payment for any services rendered in accordance with this Proposal within thirty (30) days of receipt of an invoice.

8. REQUIRED SUBMITTALS

- 8.1 Qualifications and Experience: Describe the proposer's qualifications and experience in meeting the requirements identified in the Scope of Work.

Dunbar, Bender & Zapf, Inc. is a regional benefit consulting firm located in downtown Pittsburgh that has been providing full-service employer sponsored retirement plan administration since 1991. The firm assists employers in the design, implementation, administration and communication of a wide range of retirement plans. It has over 50 employees, including six principals, (three with over 30 years of experience), three enrolled actuaries, ten Certified Pension Consultants, six Qualified Pension Administrators, three members of the Society of Pension Actuaries and one Certified Employee Benefit Specialist. The company has over 2,000 clients ranging in size from one to over 1,000 participants.

Your Plans will be assigned to Joe Siktar and Nick Zapf. All calculations and correspondence will pass through these individuals before presentation to the Authority. Mr. Siktar will prepare the forms, allocations and other calculations subject to the review of Mr. Zapf.

Nicholas Zapf, C.P.C., Q.P.A.

Mr. Zapf is a consultant within the Special Plans Unit of Dunbar, Bender & Zapf, Inc. He has been active in the administration of retirement plans for eleven years. His responsibilities include all aspects of plan administration/consulting including plan design, implementation and ongoing administration with a focus on 401(k) plans of small employers. He is also active in marketing to prospective clients and providing analysis on design studies for both 401(k) and cash balance plan options.

Joseph Siktar, C.E.B.S.

Mr. Siktar is a Senior Consultant who joined Dunbar, Bender & Zapf, Inc. in 2010. His employee benefits career began in 1978 and his primary expertise is in governmental plans. He provides consulting, administrative and recordkeeping services to various Western Pennsylvania municipalities. These services include plan installation and re-design, benefit certifications, arbitration testimony, GASB disclosure and Act 205 form preparation.

- 8.2 Managing Risk: Describe the proposer's approach to managing risk related to any assumptions that you recommend in your provision of actuarial services, if any are required as a part of the Scope of Services

As neither of the two Plans in question are defined benefit plans, this question is not applicable.

- 8.3 Act 205 Knowledge: Describe the proposer's knowledge of Act 205 and its requirements for a defined contribution plan, along with any other pertinent current or prospective Pennsylvania laws and regulations relating to such a plan.

The firm has been completing Act 205 forms since its inception. Mr. Siktar has been preparing Act 205 forms since the passage of Act 205 in 1984; in the last Act 205 cycle (for forms due March 31, 2010) he completed 45 filings (subject to review) for both defined benefit and defined contribution plans.

- 8.4 Compensation: Describe the Proposer's fee(s) that will be in effect for the service(s) that will be rendered under the contract.

See attached Service Agreements

- 8.5 Meetings with BASA: Describe the Proposer's availability to periodically meet with the Authority staff, Board or Pension Committee for periodic review of the services being provided for pension plan.

We are available at the request of the Authority. Note that our service Agreement includes one meeting as part of our core services offered.

- 8.6 References: The Proposer shall submit a minimum of five (5) professional references that are or have been clients of the Proposer, preferably with defined contribution pension plans.

*Mary McGinley
Manager/Secretary
Baldwin Township
10 Community Park Drive
Pittsburgh, PA 15234
(412) 341-9597*

*Debra Rush
Secretary/Treasurer
Cumberland Township
100 Municipal Road
Carmichaels, PA 15320
(724) 966-5805*

*Gerald Orsini
Township Manager
Kennedy Township
340 Forest Grove Road
Coraopolis, PA 15108
(412) 771-6680*

*Nellie Gagliano
Township Secretary
North Beaver Township
861 Mt. Jackson Road
New Castle, PA 16102
(724) 667-7956*

*Susan Filicky
Clerk
North Union Township
7 South Evans Station
Lemont Furnace, PA 15456
(724) 438-6316*

- 8.7 Act 44 Disclosure Form: Each Proposer shall complete the attached Act 44 Disclosure Form with their submission. Failure to complete the form will result in your proposal being eliminated from consideration for the services being requested in this RFP.

Enclosed

9. EVALUATION CRITERIA

- 9.1 Proposals will be evaluated on their response to BASA's Scope of Work and will be assessed based on their experience, qualifications and expertise in meeting the parameters identified in this RFP. Although important in the evaluation process, pricing will not be the sole determining factor in the selection process.

10. BASIS FOR AWARD

- 10.1 All proposals submitted in response to this RFP that meet the criteria contained herein will be reviewed and evaluated. The evaluation of all proposals will be made on the basis of price, understanding of the work to be performed, the technical ability of the proposer, past performance, and the primary personnel assigned to the project.
- 10.2 Based on the results of this evaluation and the number of proposals submitted, the highest rated proposers may be invited to make oral presentations to the BASA Board.

11. CONFLICT OF INTEREST

- 11.1 All proposers should be aware that the provisions of Act 44 of 2009 requires the following:

A minimum one (1) year restriction on all RFP proceedings for:

- Participation of a former employee of a proposer or potential proposer in the review (or negotiation) of a proposal submitted by that proposer;
- Participation by a former employee of the Authority in the submission of a proposal or the performance of any responsibilities under the contract.; and

A permanent disqualification for:

- Any entity that currently holds a professional services contract, responds to, applies for or otherwise solicits, a professional services contract, that has conveyed a gift having more than nominal value, including money, services, loans, travel, lodging, entertainment, discount or other things of value, to any Authority official or employee since December 17, 2009; or
- Any entity that currently holds a professional services contract, responds to, applies for or otherwise solicits, a professional services contract that has made a political contribution to any candidates, current officials, political party or

political action committee of any candidate or official of the Authority since December 17, 2009.

12. QUESTIONS

- 12.1 All questions concerning this RFP shall be directed to the Finance Director Ronata Lavorini in writing, by facsimile or email no later than 4:00 p.m., January 18, 2012.

SCOPE OF SERVICES

13. STATEMENT OF WORK

13.1 The intent of this RFP is to engage a qualified firm to provide the following services to the Authority for its defined contribution 401(a) and 457 pension plans:

- Completion of the Act 205 filing in accordance within the State's deadline
- Annual preparation of the Minimum Municipal Obligation (MMO) form, if required
- Annual updating of the GASB Statements #25 and #40, including the annual reconciliation of assets
- Preparation of benefit certifications, if necessary
- Routine correspondence and phone calls regarding the plans, including assistance with interpretation of and compliance with the plan document
- Recommend plan amendments that may be required to maintain compliance with federal or state laws/regulations

13.2 The proposer shall also submit an hourly rate schedule for services that are not listed above but desired by the Authority during the contract period.

14. TIME FRAME SCHEDULE

- Issue Request for Proposal: January 11, 2012
- Deadline for Proposers to submit written questions: 4:00 p.m. on January 18, 2012
- Deadline for BASA to respond to questions: January 20, 2012
- Proposals due from Proposers: Not later than 12 Noon, January 23, 2012
- Estimated Date for BASA Board to award contract: January 25, 2012

**ACT 44 DISCLOSURE FORM FOR ENTITIES PROVIDING
PROFESSIONAL SERVICES TO THE
BUTLER AREA SEWER 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 the pension fund of the Butler Area Sewer Authority (hereinafter the "**Authority**"). Act 44 disclosure requirements apply to contractors who provide professional pension services and receive payment of any kind from the **Authority's** pension fund. The **Authority** 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 **Authority** with the other requested information in the Request for Proposals dated January 9, 2012. 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).

**RETURN COMPLETED
DISCLOSURE TO:**

Butler Area Sewer Authority
Attn: Thomas D. Rockovich, Executive Director
100 Litman Road
Butler PA 16001
724-282-1978
trockovich@basapa.org

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.

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 names listed below will be referred to as the “*List of Municipal Officials.*”

BASA Board of Directors

Gerald S. Patterson, Jr., Chairman
Van Peterson, Vice Chairman
Michael English, Secretary
Joseph F. Lucas, Treasurer
George E. Shockey, Assistant Secretary/Treasurer

BASA Staff

Thomas D. Rockovich, Executive Director
M. John Schon, Operations Director
Ronata Lavorini, Finance Director

BASA Legal

Michael D. Hnath, Solicitor (Dillon McCandless King Coulter & Graham, LLP)

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 Authority, 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.

See attached

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)

None

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.

No

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.

No

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 contact 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.

No

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).

No

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.

No

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.

No

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.

No

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.

No

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.

None

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.

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: *Joe Siktar*

Name:

Position: *Senior Consultant*

Position:

Name:

Name:

Position:


Position:

Name:

Name:

Position:

Position:



SIGNATURE

SENIOR CONSULTANT

TITLE

1/12/12

DATE

VERIFICATION

I, Joe Siktar, hereby state that I am a Senior Consultant for
(Name) (Position)

Dunbar, Bender & Zapf, Inc. 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 Butler Area Sewer Authority 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.

Joe Siktar
Signature

1/12/12
Date

IDENTIFICATION OF CONTRACTORS & RELATED PERSONNEL

Attachment: Item 1

Names and Titles:

Nicholas Zapf, C.P.C., Q.P.A. - Consultant

Joseph Siktar, C.E.B.S. -Senior Consultant

Description of Responsibilities:

The Non-Uniformed Plan will be assigned to Nick Zapf and Joe Siktar. All calculations and correspondence will pass through these individuals before presentation to the Borough/Township/Authority/City. Mr. Siktar will prepare the forms, allocations and other calculations subject to the review of Mr.Zapf.