2016
Disclosure of Information for Professional Service Provider to Lower Paxton Township's Municipal Pension System
Professional Service Provider: Principal Financial Group

Act 44 of 2009 requires annual disclosure of certain information by individuals or entities that hold contracts with and provide professional services to a municipal pension system. Please complete and return this disclosure to the department as soon as possible. If you feel you are not obligated to complete the disclosure, please provide written explanation. Responses should be directed to:

Mr. Timothy J. Houck
Finance Director
Lower Paxton Township
425 Prince Street
Harrisburg, PA 17109

Section 1 - Definitions:

The following terms are defined within Section 701-A of Act 44 of 2009.

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: A person or an affiliated entity that has a professional services contract with a municipal pension system

Contributions: As defined in section 1621 of the act of June 3, 1927 (P.L. 1333, No. 320), known as the Pennsylvania Election Code.

Executive Level Employee: An employee of a person or the person's affiliated entity who:

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 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 is accepted.

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Section 2 - Municipal Officials:

The following individuals are identified as pension system officials and employees to be considered as you complete the disclosure.

William L. Hornung, Chairman, Lower Paxton Township Supervisors
William B. Hawk, Lower Paxton Township Supervisor
William C. Seeds, Sr., Lower Paxton Township Supervisor
Gary A. Crissman, Lower Paxton Township Supervisor
Robin L. Lindsey, Lower Paxton Township Supervisor

Section 3 – Individuals Providing Professional Services and Affiliated Entities:

A. Please provide names and titles of all individuals who provide professional services to the municipal pension plan.

   Chris Gray – acting solely in his capacity as Sr. Client Service Associate with Principal Life

B. Please identify any Affiliated Entity (name and title) of your company.

   N/A

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Section 4 – Disclosure:

Regarding individuals who will provide services under the contract:		**Yes**	**No**
1.	Are any current or former officials or employees of the municipality?		X
2.	Are any a registered federal or state lobbyist?		X
3.	Have any made a contribution in the past two years to a municipal official or candidate for office at municipality?		X

Regarding your firm and Affiliated Entities:		**Yes**	**No**
1.	Have you or an Affiliated Entity made any contributions to which all of the following apply: a. The contribution was made within the last five years. b. The contribution was made by an officer, director, Executive-Level employee or owner of at least 5% of the firm or Affiliated Entity. c. The amount of the contribution was at least $500 in the form of i. a single contribution by a person in subparagraph (b) above; or ii. the aggregate of all contributions by all persons in subparagraph (b) above. d. The contribution was made to: i. a candidate for any public office in the Commonwealth or to an individual who holds that office; or ii. a political committee of a candidate for public office in the Commonwealth or of an individual who holds that office.		X
2.	Have you or an Affiliated Entity given any gifts to an official or employee of the municipal pension system or the municipality which controls the municipal pension system?		X
3.	Do you or an Affiliated Entity employ or retain any third-party intermediary, agent or lobbyist? If "Yes", describe the duties of that person.		X
4.	a. Do you or an Affiliated Entity have a direct financial, commercial or business relationship with any official of the municipal pension system or the municipality which controls the municipal pension system?		X
	b. Answer only if the answer to 4a. was "Yes": Has the municipal pension system consented in writing to the relationship following full disclosure?		X
5.	Do any additional potential or actual conflicts of interest exist relative to contracting of services with the municipality?		X

6. For the contribution(s) disclosed in your answer to No. 1 above, provide the following information: (attach additional pages if necessary):

   Name and address of the contributor:
   Contributor's relationship to the Contractor:
   Name and office or position of each person receiving a contribution:
   Amount of the contribution:
   Date of the contribution:

We understand that knowingly making a material misstatement or omission on this form may cause the municipal pension system to void our professional services contract.

Authorized Signature

5/17/2016
Date