

REQUEST FOR PROPOSAL

Tionesta Borough

Proposal For: Investment, Consulting, Custodial, Administrative and Actuarial Services

Services Provided For: Defined Contribution Municipal Pension Plan

RFP NOTICE NUMBER: 2026-1P

RFP OPENING DATE: February 18, 2026

RFP CLOSING DATE: March 10, 2026

GENERAL

COMMUNICATION RESTRICTION, EXCEPT AS SPECIFICALLY AUTHORIZED IN THIS RFP: EFFECTIVE, AS OF THE **RFP OPENING DATE** ABOVE AND PRIOR TO THE TIME OF A DECISION BY THE **SELECTION PROCESS BODY** & THE SUBSEQUENT CLOSING OF THIS **RFP PROCEEDING**, there shall be no communication of any type regarding this RFP, any aspect of a response to this RFP, or the awarding of a contract related in any way to this RFP between any **Applicant** or **Perspective Applicant** and any:

- (1) Elected Official of Tionesta Borough;
- (2) Employee of Borough;
- (3) Any consultant or adviser currently engaged in assisting the Borough with the RFP process or employee or other person affiliated with or providing services to or on behalf of such consultant's staff; or
- (4) Any other persons in a position to influence the Selection Process Body's decision at any time during the RFP Process in regards to this RFP, a proposal, or the awarding of the contract until the award is announced, except as requested by the Borough or at the time specified for oral presentations by those selected Applicants appearing for interviews.

FURTHER, Applicants may not cause or allow any employee of their firm, or third party to directly or indirectly violate any of the aforementioned communications restrictions. Any communication by any applicant or third party on behalf of an applicant or potential applicant, in violation of the forgoing terms shall be considered grounds for **AUTOMATIC DISQUALIFICATION OF THAT APPLICANT**.

THEREFORE, Applicants may only make inquiries for clarification of technical or administrative information**. No other questions or forms of communication are authorized between the Borough, its officials or employees and any entity associated with or representing the Applicant or potential Applicant after the RFP Notice posting date. This does not preclude the designated Point of Contact from contacting the Applicant and requesting additional information – by whatever means deemed necessary – in order to effectively manage the RFP Process.

****SEE... “*Procedure for Requesting Clarification*” in Part B of this Request for Proposal**

REQUEST FOR PROPOSAL CONTENTS:

PART A..... DETAILED RFP REQUIREMENTS

PART B.....RFP GENERAL POLICY GUIDELINES FOR APPLICANTS

PART C.....RFP APPLICATION AND STANDARD QUESTIONS

PART D.....RFP STANDARD DISCLOSURE FORM

PART E.....APPLICANT STATUS NOTIFICATION FORM

PART A: DETAILED RFP REQUIREMENTS

All applicants responding to this RFP must be capable of providing the following minimum general specifications related to the services desired:

A comprehensive menu of pension administrative services

Services must include but are not limited to:

1. Preparation of financial statements, annually or as needed
2. Preparation of all related pension forms required by Pennsylvania and federal statutes
3. Preparation of the Minimum Municipal Obligation (MMO) as required by ACT 205, if requested by the Borough
4. Maintaining accurate records of all active, vested, and retired members of the plan and other related data as may be applicable
5. Assistance and notification to the Borough regarding its obligations in complying with ACT 205's annual calendar of events
6. Provide information and assistance through the audit process conducted by the Auditor General (AG), if needed
7. Monitor and provide notification to the Borough regarding changing legislation and regulations relevant to pension plan administration
8. Additional Administrative Services that include, document services, accounting and asset allocations, retiree payments and tax related accounting functions, and monthly transactions and periodic account statements.

Actuarial Services for a Defined Contribution Municipal Pension Plan

Preparation of the bi-annual Act 205 Report, including the Actuarial Valuation Report if requested by the Borough

Comprehensive Investment Services and Investment Strategy

Investment Services must include:

1. Products that are managed by Investment professionals that are SEC registered and demonstrate competitive GIPS returns
2. Diversity in the investment portfolio
3. Policy design that is commensurate with contemporary investment strategies for municipal pension plans
4. Provision of periodical reviews with municipal leadership on investment strategy and return on investments

Investments may not include:

1. Any product prohibited under PA Municipal Pension Law

2. Any product that does not comply with the requirements of the general municipal pension system state aid program
3. Investments of any type generally prohibited for municipal pensions

The ability to provide additional administrative or advisory services

The service provider must be willing to provide additional administrative services relevant to the administration of a Defined Contribution Municipal Pension Plan when requested to do so by the Borough.

Offer periodical meetings with the municipal leadership to review pension plan

The service provider must be willing to attend periodic meetings with municipal leadership to discuss topics related to any of the three major areas of pension administration – Investment, Actuarial, or Administrative and any other matters as are necessary to administer and manage the pension plan, or employees for advice.

PART B
RFP GENERAL POLICY GUIDELINES FOR APPLICANTS

The RFP application documents in Parts C - E provide the majority of the necessary documentation and information required by the RFP Selection Process Body to adequately evaluate each applicant’s potential to fulfill the professional services contract obligations desired by this Request for Proposal. Other necessary information and related policy are presented here to assist the applicant and for clarification of the process and related Policy.

PROCEDURES FOR RFP APPLICATION

See – **Request for Proposal Notice**

DOCUMENTS REQUIRED TO APPLY

See – **Request for Proposal Notice**

REMINDER: These documents must be received by the Borough not later than **3 pm of the closing date: March 10, 2026**. Applications received after this date will not be considered for selection under this RFP. Applicants that do not meet this deadline will have documents returned and be notified by mail that their applications were not received by the specified closing date. Application documents must be mailed to the designated Point of Contact at the address listed below or emailed to the Point of Contact at cindycrytzer@tionestaboro.org with the email subject line to read “Pension RFD Services”. Once applications have been received and processed, the designated Point of Contact will send an e-mail response to confirm that the application has been received by the Borough and will be considered during the RFP Process.

ADDITIONAL DOCUMENTATION REQUESTED

Schedule of fees and costs that may apply to the investment product(s) presented. See Application Section D.

DESIGNATED POINT OF CONTACT

Designated point of contact is listed on the Request for Proposal Notice

RFP PROCESS OVERVIEW

The RFP Process will commence with the posting of the RFP Notice. The following is a brief overview of the steps the Borough will take in conducting this process and subsequent determination of the most qualified applicant to receive award of the professional services contract:

1. The Chief Administrative Officer (CAO) receives Requests for Proposals – Parts C - E and any additional related material from perspective firms.
2. The CAO will conduct an initial Applicant Pre-Screening to ensure compliance with the RFP Policy and determine applicant eligibility to compete. A status will be assigned to each applicant, said status being either Active Applicant or Disqualified Applicant.
3. The CAO will notify all applicants of their respective status. Only those Applicants with an Active Applicant Status will be forwarded to the Selection Process Body for the next step.
4. The Selection Process Body will conduct a Detailed Applicant Review and rank each Applicant in accordance with procedural instructions. A score and ranking from this process will be determined and **only** the top three (3) ranked Applicants will continue to the next step. Applicants that do not rank in the top 3 will be notified of their status and that they are no longer eligible to compete under this RFP Process.
5. The three highest-ranked applicants will be notified of their status. If the Selection Body chooses to conduct interviews, all three applicants will be interviewed and interview appointments will be scheduled accordingly. The Selection Body may also decide not to conduct interviews, in which case no applicant will be interviewed. Partial interviews will not be conducted—either all three applicants will be interviewed, or none will.
6. The Selection Process Body will conduct Applicant Interviews (if applicable) and rank each Applicant in accordance with procedural instructions. A Final RFP Composite Score is determined in accordance with procedural instructions. The Applicant with the highest Final RFP Composite Score will be considered the winner and the **tentative selectee** for award of the Professional Services Contract under this RFP Proceeding.
7. All Applicants, following the **RFP Interview** process, will be notified of their respective status in accordance with the RFP Policy. This will conclude the **RFP Selection Process**.

DETAILED APPLICANT REVIEW & INTERVIEW RATING CRITERIA

The Selection Process Body will review, all Active Applicants’ applications, rank, and score them based on the following criteria:

Detailed Applicant Review – 5 Categories:

- | | |
|---------------------------------|--|
| 1: EXPERIENCE AND EXPERTISE | 2: QUALITY OF SERVICES PROPOSED / CUSTOMER SERVICE |
| 3: REPORTING AND ACCOUNTABILITY | 4: INVESTMENT PERFORMANCE MANAGEMENT & SERVICE |
| 5: COST OF SERVICES | |

Once all Applicants have been reviewed and the corresponding scores assigned, the top three scoring applicants from the Detailed Applicant Review Phase will be tendered an invitation to interview. Interviewees will be ranked and scored on the following criteria:

Applicant Interview (only the top 3 applicants from the Detailed Applicant Review)

Applicants are ranked based on the quality of information presented during the interview and their perceived ability to best meet the Borough’s pension needs as outlined in the RFP.

TIME TABLE OF EVENTS AND SPECIFIC CLOSING DATES *

EVENT	OPENING DATE*	CLOSING DATE*
REQUEST FOR PROPOSAL RESPONSE PERIOD – RFP’S ACCEPTED	February 18, 2026	March 10, 2026
RFP PRE-SCREEN PROCESS	March 10, 2026	March 13, 2026
RFP DETAILED APPLICANT REVIEW AND RANKING	March 13, 2026	March 15, 2026
APPLICANT INTERVIEW AND SELECTION PROCESS	March 15, 2026	March 17, 2026
MANDATORY WAITING PERIOD FOLLOWING INTERVIEW AND SELECTION & REQUIRED POSTING PERIOD	March 17, 2026	March 30, 2026

* Dates are subject to adjustment / changes, if necessary but not without notification to all applicants

STATUS NOTIFICATION FROM THE BOROUGH TO APPLICANTS

Applicant Status Type	Means of Notification	Response Required by Applicant
Acknowledgement of Receipt of RFP from an Applicant	E-mail to Applicant from the Borough's POC	None
<i>Active Applicant</i> – following Pre-Screening	Applicant Status Notification Form – by email	None
<i>Disqualified Applicant</i> – following Pre-Screening (or other disqualifying circumstance)	Applicant Status Notification Form – by email	None
Selected Applicant – following Detailed Review Process	Applicant Status Notification Form – by email	E-mail response *see below
Non-Selected Applicant – following Detailed Review Process	Applicant Status Notification Form – by email	E-mail response *see below
Non-Selected Applicant – following Interviews, if Interviews were conducted	Applicant Status Notification Form and other required documents – via email	None – except under “right to appeal”
Selected Applicant as <i>tentative selectee</i> – Following Interviews, if Interviews were conducted	Summary of Award Notice and Selectee Letter	E-mail response *see below
<p>* Applicants must: E-mail response to the Borough's designated <i>Point of Contact</i> confirming receipt of Applicant Status Notice for either: <i>Non-Select Status</i> or <i>Selected Status</i> Selected Status Applicants must also confirm interview appointment and request Interview Prep Instructions. <i>Tentative Selectee</i> – send e-mail response confirming receipt of official notice of selection.</p>		

A Mandatory Notification Period will commence the day following the Council's date of decision, which is scheduled for March 17, 2026. The Borough has 10 consecutive days from this date to forward all documents related to the proceedings to unsuccessful applicants. From the date these notices are mailed, the Mandatory Waiting Period will begin. The Borough will wait 7 consecutive days before entering into contract negotiations with the newly selected professional service provider as mandated by Act 44, Chapter 7-A, 2009.

COMMUNICATION: PROCEDURE FOR REQUESTING CLARIFICATION OF RFP PROCESS

In accordance with the previously stated communications policy (See Request for Proposal – “General”), the only permissible inquiries by an Applicant to the Borough, are for clarification or explanation of technical or administrative information. Applicants will adhere to the following procedure to communicate their questions or requests for clarification to the designated POC and may expect to have them responded to via email or regular US mail.

WAITING PERIOD & PROCEDURE FOR APPEAL TO NON-SELECTION

Waiting period and objection resolution procedure following a tentative selectee decision:

The waiting period between the time a tentative selectee and all other unsuccessful Applicants have been notified of their respective statuses and the expiration date of this period shall be 8 consecutive days. This period will commence when all notices have been mailed out and the same information has been simultaneously posted on the municipal website as prescribed in this Policy. The waiting period will expire at 3:00 pm on the 10th consecutive day following its commencement. After the expiration of this waiting period, the Borough may pursue the execution of the professional services contract with the tentative selectee, without further impedance, provided no objection to the selection has been made by any unsuccessful Applicant under the criteria set forth below.

Appeal of Non-Selection Instructions: If an unsuccessful Applicant, having received notification of their non-selection status following the completion of the RFP Interview process, objects to the decision and wishes to submit an appeal they must notify the Borough:

1. In writing and request confirmation of receipt by the Borough;

2. Clearly state the details supporting their objection and the specific reason(s) they believe the selection is/ was not in compliance with applicable laws and this Policy; and
3. Ensure that the written objection is received by the Borough **prior to 3:00 pm on the expiration date of the waiting period** as stipulated above – the **appeal deadline** date.

It is the responsibility of the unsuccessful Applicant raising the objection to ensure that the preceding criteria are met. The Borough is not obligated to review or respond to any objection that does not conform to these criteria. If an objection is made, and all of the stated criteria are met, the Borough will notify **via e-mail** the unsuccessful Applicant and all other concerned parties that the criteria has been met, the objection is under review, and the RFP process has been suspended indefinitely until a determination of validity and a subsequent course of action has been made. The Borough will then forward all relevant documentation, including the original letter of objection provided by the unsuccessful Applicant to the Borough's Solicitor for determination of the objection's validity and further action(s). Once this review of an objection has begun the Borough **will not, under any circumstances**, provide any details or respond to any type of communication regarding these proceedings to any interested party. All inquiries made to the designated **point of contact** for the **RFP Process** will be unanswered and immediately forwarded to the Borough's Solicitor. Until otherwise directed by the Borough's Solicitor, all communications regarding the objection and the RFP process will come from the office of the Borough's Solicitor.

Acceptance by the Borough of a proposal/application is anticipated to be completed by March 18, 2026. The acceptance of a proposal must be approved by a majority of the Tionesta Borough Council at a regularly scheduled council meeting.

APPLICANT STATEMENT OF RESPONSIBILITIES

It shall be the responsibility of any incumbent or perspective Contractor or Applicant; applying for, entering into contract for, submitting a bid or offer for, responding to a Request for Proposal on, or otherwise soliciting, a Professional Services Contract, to:

- (1) **Thoroughly familiarize** themselves with the RFP General Policy Guidelines and agree to abide by all guidelines and requirements stated herein;
- (2) **Thoroughly familiarize** themselves with all applicable statues of the Commonwealth of Pennsylvania – most especially, Act 44 of 2009, Chapter 7-A;
- (3) **Inform all** subordinates of the company, subcontractors and advisors of the policies and laws in effect during the **Request for Proposal Process**;
- (4) **Maintain overall control** of subordinates of the company, subcontractors and advisors, ensuring that they do not violate this Policy and thereby cause the Applicant to be placed in a “Disqualified Applicant” status;
- (5) **Acknowledge by participation** that any breach or lack of compliance with such, whether intentional or otherwise, will result in immediate disqualification and debarment from the Request for Proposal process for up to a period of three years.

For the Applicant, the RFP Process **begins** when an Applicant submits a completed RFP Packet in response to the Posted RFP Notice. Submission of this will constitute an acknowledgement on the part of the Applicant of a thorough understanding of the rules governing the RFP Process and an agreement to abide by the same. Furthermore, all employees of the Contractor (the Applicant), subcontractors, advisors, and other applicable third parties are considered subject to the same terms of agreement as stated above.

Reminder: It is the responsibility of the Applicant to submit these documents and any additional requested information by the **application closing date**. Further, all applicants are expected to respond to correspondences and other directives published in this RFP or as directed on those correspondences. Failure to comply with any of the preceding will result in the application being placed in the **“Disqualified Applicant” status** and the Applicant will not be permitted to compete for the Professional Services Contract under the current Request for Proposal Notice.

PART C: REQUEST FOR PROPOSAL – APPLICATION

TIONESTA BOROUGH

RFP NOTICE NUMBER: 2026-1P

APPLICANT INFORMATION:

Company Name and Address:	Company's Principal Point of Contact:
Point of Contact's Phone Number:	
Point of Contact's E-Mail Address:	
Point of Contact's Mailing Address:	

STATEMENT OF CONFIDENTIALITY ON INFORMATION PROVIDED:

All Applicants to this RFP – be advised that; this application and its contents shall be held in a confidential status until the conclusion of the Request for Proposal process, after which, all information provided on this application will become public accessible and may be disseminated in accordance with the other previously established policies of the Borough and the specific disclosure requirements of Act 44 of 2009, Chapter 7-A, except, information that is considered proprietary in nature and / or otherwise protected by law.

APPLICATION QUESTIONS & INSTRUCTIONS:

INSTRUCTIONS: This Application is presented in **WORD format** to allow you to insert your responses without transposing the questions to a separate document. **Applicants must** submit their response to each question below that question and preface each one with the word ***Response:*** in bold Italic.

APPLICATION QUESTIONS:

A. Narrative Response to RFP

B. Applicant's History, Ownership and Organization

1. List your organization's complete name, address and telephone number(s). Briefly describe the organization, the year it was founded, location of its headquarters and other offices, its ownership structure and affiliation with other companies.
2. Provide a brief history of your organization and affiliated entities, if any.
 - a. What is the total asset base of the municipal pension funds on which you consult?
 - b. Please state the number of Pennsylvania municipal clients for which you currently provide a platform of products and services(s) similar to the one you are proposing.
 - c. Describe your organization's level of experience and knowledge of the particular elements of the Borough's pension program.
 - d. Describe your level of experience in advising Boroughs on defined contribution and defined benefit programs.
3. Describe the range of activities of your organization and any affiliated entities.
4. Within the last five (5) years has your organization or an officer or principal been involved in any business litigation or other legal proceedings relating to your professional activities? If so, provide an explanation and indicate the current status or disposition.
5. Identify the consultants and other key staff who would be involved in serving our account. Provide resumes for these individuals.
6. Does your firm contract with a third party to provide any pension related services? If so, name of company and its contracted services

7. Describe your firm's errors and omissions insurance and commercial general liability insurance and specific coverage.

C. Services.

1. Describe your proposal regarding custodial services.
2. Describe your proposal regarding investment services.
3. Describe your proposal regarding administrative and consultative services.
4. Please state the number of Pennsylvania municipal clients for which you currently provide a platform of products and services(s) similar to the one you are proposing.
5. In general terms, describe the make-up of your current municipal client base:
 - a. How many of your current public clients are **Pennsylvania municipal clients** at the Borough, borough, or municipal authority level (commonly referred to as *local government entities*)?
 - b. What are the percentages of those that are defined benefit vs. those that are defined contribution plans?
 - c. What are the total assets of those Pennsylvania municipalities that your firm has under direct financial management?

D. Fees

1. Identify all fees that would be incurred if you were managing the pension plans. These fees should include both direct and indirect fees, whether paid to you or to another entity, including mutual fund costs and expenses (expense ratios, etc.) proprietary platform earnings **or any additional cost of any nature whatsoever**. Please specify in terms of both dollar amounts or if applicable, the percent of asset fees, and provide a description as to how the fee will be calculated.
 - a. Identify the limits, if any, of services provided under your proposed fees and your fee schedule for other services included in your proposal.
 - b. Do you receive any direct or indirect compensation from investment product providers? If yes, provide explanation.
 - c. Please provide an itemization of separate charges for separate services where appropriate.

- d. Provide an hourly fee schedule for any additional services not included in the basic scope of services.
2. Specify any fees associated with initial set-up or asset-transfer. Specify any fees that would be levied should the Borough withdraw or terminate the professional services contract with your firm. If early termination fees are applicable, what time restrictions apply to these fees?

E. Investment Policy, Research and Reporting

1. Describe your approach to investment research.
2. How are investment managers evaluated?
3. Describe your asset allocation process for pension investments, if the plan's investments are directed by the governing authority. Be sure to address the development of investment policies, portfolio structure, and guidelines for investment managers.
4. What is your firm's process for establishing the client's investment objectives?
5. Describe the due diligence process utilized in the selection and monitoring of investment products.
 - a. Do you receive any direct or indirect compensation from investment product providers?
6. Comment on your philosophy regarding portfolio structure for municipal pension plans.
7. Describe the educational services to participants and the governing authority which you expect to provide or make available within the quoted fee.
8. Describe your reporting procedures.
9. What methods and sources of data do you use in calculating investment performance of a pension portfolio? How often are performance reports produced and delivered to participants and to the governing authority? Include a sample performance evaluation report.
10. Describe how participants, in a participant directed plan, can change investment allocations. Describe how the governing authority can change the plan's investment allocation in a plan that does not allow participant investment elections.

11. Briefly describe the asset classes and allocation mix your firm proposes to employ if selected to provide investment services. Further, if you will be utilizing mutual funds, provide a sample mutual fund selection for each of the asset classes you would invest in and the corresponding allocation by % to each fund. If using ETFs or Separately Managed Accounts, provide the same information. THEN...describe why you feel your firm’s overall approach to asset management is best suited to meet the needs of the Tionesta Borough Pension Plan.

12. Past Investment Performance History:

Based on your response to Questions 11 and 12, provide the NET rate of return for a client your firm manages and with the same (or essentially the same) asset allocation mix as you have proposed in response to Questions 11 and 12. Respond for each of the timeframes indicated below and the index (or indexes) your firm uses or will use as a benchmark to measure performance.

Be sure the sample client you select has at least 10 years under your management. If not, you may use a composite of your clients, so long as they meet the criteria of the RFP and the allocation closely resembles the one you used to respond to Questions 11 and 12. If using composite data, you must clearly indicate that in responding to all Questions that follow.

Investment Returns Chart

Timeframe	Net Rate of Return
YTD 2025 if available – if not, enter “Not Avail”	
3-year Average (time-weighted ending 12/31/25)	
5-year Average (time-weighted ending 12/31/25)	
7-year Average (time-weighted ending 12/31/25)	
10-year Average (time-weighted ending 12/31/25) * If date of inception is used, please indicate the specific date of inception	
Index(es) used as a performance benchmark:	

13. If accurate data for Questions 11 and 12 are not available for time periods requested in the tables, indicate and provide a detailed explanation. If not applicable, so state in response to this question.

F. Scope of Services: Please Indicate Whether Your Firm Proposes to Provide the Following Services Within the Quoted Fee.

1. Attendance at and participation in Board meetings upon request.
2. All benefit calculations & confirmed with Borough Manager/Pension Trustee.
3. Annual benefit statements for all active participants.
4. Maintenance of relevant records for all active, retired and terminated vested members of each plan.
5. Timely updates on any changing legislation and regulations that are relevant to the administration of the pension plans.
6. Copies of all files, correspondence, and records, at no cost to the Borough, within thirty (30) days upon termination of services.
7. Consultative and participant communication services as needed.
8. Plan documents (457, 401a, etc) as required along with restatements as required.

PART D: REQUEST FOR PROPOSAL – STANDARD DISCLOSURE FORM

Tionesta Borough, Pennsylvania

LIST OF MUNICIPAL OFFICIALS & EMPLOYEES OF THE REQUESTING MUNICIPALITY

APPLICANTS: Certain questions on this Disclosure 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.

MUNICIPALITY/BOROUGH: Enter below, a list of municipal officials that have any involvement in the administration or management of the pension system – Elected Officials, Appointed Officials and Employees, or other Pension Committee Members (if applicable)

Elected Officials:			
Name:	Title:	Name:	Title:
Dennis W. O’Toole	Council President	Melissa Hale	Council Member
Bernadette K. Holzer	Council V. President	Vacant Seat	Council Member
Christine A. Hendryx	Council Member		
Jamie L. Say	Council Member		
Clifford Custer	Council Member		
Appointed Officials:			
Name:	Title:	Name:	Title:
Cynthia S. Crytzer	Borough Manager/Pension Co-Trustee		
Richard Johnson	Pension Co-Trustee		
Vaughn Ralston	Pension Co-Trustee		
Employees/ Others: Pension Committee Members (not listed above):			
Name:	Title:	Name:	Title:

APPLICANT STANDARD DISCLOSURE QUESTIONS

APPLICANT INSTRUCTIONS: In accordance with Chapter 7-A of Act 44, 2009, ALL applicants responding to this RFP must complete the following Standard Disclosure Form Questions.

1. Initial each question (except Q1:) to provide your response in the space provided to the right of each question.
2. **THEN:** provide explanations for all “Yes” or “Applies” responses AND, the information requested in Q1 on a separate sheet(s) of paper with the question you are responding to clearly noted. Attach your response sheet(s) to this Disclosure Form.

DISCLOSURE QUESTIONS		RESPONSES	
Questions	If your answer is “Yes” or “Applies” — — Please provide this information as instructed above	Initial Here for: “Yes” or “Applies”	Initial Here: for: “No” or “Does not Apply”
<p>Q1. Please provide the names and titles of <u>all individuals</u> who will be providing professional services to the Requesting Municipality’s pension plan(s) identified. 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.</p>	<p>**ALL Applicants: Provide all information as stated in the question.</p>	NA	NA
<p>Q2. Please list the name and title of any <i>Affiliated Entity</i> and their <i>Executive-level Employee(s)</i> that require disclosure; after each name, include a brief description of their duties. (See: Definitions)</p>	<p>Provide all information as stated in the question.</p>		
<p>Q3. Are any of the individuals named in Question #1 or #2 above, a current or former official or employee of the Requesting Municipality/Borough?</p>	<p>IF “YES”, provide the name and of the person employed, their position with the Borough, and dates of employment.</p>		
<p>Q4. Are any of the individuals named in Question 1 of the Application or Item #1 above, a current or former registered Federal or State lobbyist?</p>	<p>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.</p>		
<p>Q5. Disclose the terms of employment / compensation of any third-party intermediary, agent, or lobbyist that is to directly or indirectly communicate with an official or employee of the <i>Municipal Pension System</i> of the Requesting Municipality (OR), any municipal official or employee of the Requesting Municipality in connection with any transaction or investment involving the</p>	<p>IF “YES”, identify:</p> <p>(1) the third-party intermediary, agent, or lobbyist whom will be paid the compensation or employed by the <i>Applicant</i> or <i>Affiliated Entity</i>,</p> <p>(2) their specific duties to directly or indirectly communicate with an official or employee of the <i>Municipal Pension System</i> of the</p>		

DISCLOSURE QUESTIONS (CONTINUED)		RESPONSES	
Questions	If your answer is “Yes” or “Applies” — — Please provide this information as instructed above	Initial Here for: “Yes” or “Applies”	Initial Here: for: “No” or “Does not Apply”
<p><i>Applicant (or an Affiliated Entity)</i> and the Municipal Pension System of the Requesting Municipality?</p> <p><u>This question does not apply</u> to an officer or employee of the <i>Applicant</i> who is acting within the scope of the firm’s standard professional duties on behalf of the firm, pursuant to the professional services contract with municipality’s pension system.</p>	<p>(3) Municipality (OR), any municipal official or employee of the Requesting Municipality, and</p> <p>(4) The official with whom they will communicate.</p>		
<p>Q6. Since December 17th 2009, has the <i>Applicant</i>, or any agent, officer, director or employee of the <i>Applicant</i> 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?</p>	<p>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).</p>		
<p>Q7. Since December 17th, 2009, has the <i>Applicant</i> or an <i>Affiliated Entity</i> made any contributions to a municipal official or any candidate for municipal office in the Requesting Municipality?</p>	<p>IF “YES”, provide the name and address of the person(s) making the contribution, the contributor’s relationship to the Applicant, the name and office or position of the person receiving the contribution, the date of the contribution, and the amount of the contribution.</p>		
<p>Q8. Does the <i>Applicant</i> or an <i>Affiliated Entity</i> have any direct financial, commercial or business relationship with any official identified on the <i>List of Municipal Officials</i>, of the Requesting Municipality?</p>	<p>IF “YES”, identify the individual with whom the relationship exists and give a detailed description of that relationship.</p>		
<p>Q9. Since December 17th, 2009, Has the <i>Applicant</i> or an <i>Affiliated Entity</i> given any gifts having more than a nominal value to any official, employee or fiduciary – specifically, those on the <i>List of Municipal Officials</i> of the Requesting Municipality?</p>	<p>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.</p>		

<p>Q10. Disclosure of contributions to any political entity in the Commonwealth of Pennsylvania.</p> <p>Applicability: A “yes” response <u>is required</u> and full disclosure is required <u>ONLY WHEN ALL</u> of the following applies:</p> <p>(1) The contribution was made within the last 5 years</p> <p>(2) The contribution was made by an officer, director, executive-level employee or owner of at least 5% of the <i>Applicant</i> or <i>Affiliated Entity</i></p> <p>(3) The amount of the contribution was at least \$500 and in the form of: A single contribution by a person in (2) above <u>OR</u>, the aggregate of all contributions by all persons in (2) above;</p> <p>The contribution was made to: A candidate for any public office in the Commonwealth or any person who holds that office <u>OR</u> A political committee of a candidate for public office in the Commonwealth or of an individual that holds that office.</p>	<p>IF “YES”, provide the name and address of the person(s) making the contribution, the contributor’s relationship to the <i>Applicant</i>. 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.</p>		
<p>Q11. With respect to your provision of professional services to the Municipal Pension System of the Requesting Municipality:</p> <p>Are you aware of any apparent, potential or actual conflicts of interest with respect to any officer, director or employee of the <i>Applicant</i> (includes: subcontractors, advisors, or any Affiliated Entity of or for the Applicant) and any of the officials or employees of the Requesting Municipality?</p>	<p>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.</p>		

APPLICANT VERIFICATION

I, _____, hereby state that I am _____ for
(Name) (Position)

_____ 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 RFP Applicants seeking to provide Professional Services to **The Tionesta Borough Employee'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 *Applicant* 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.

Signature

Date

DEFINITIONS FOR PART D: DISCLOSURE FORM

THIS PAGE is for the benefit of the Applicant in completing this Disclosure Form

DO NOT include this page as part of the **RFP documents**. **DISCARD THIS PAGE** after completing the Disclosure Form.

TERM:	DEFINITION:
CONTRACTOR (ALSO – “APPLICANT”)	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. <u>This term shall also apply</u> to any Applicant who solicits, applies for, or responds to an RFP for the purpose of gaining a professional services contract.
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 of 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	<u>Specifically</u> , those listed in PART D titled: “ <i>List of Municipal Officials & Employees for the Requesting Municipality:</i> ” on the next page. Where applicable, includes <u>any</u> employee of the Requesting Municipality .
PROFESSIONAL SERVICES CONTRACT	A contract to which the municipal pension system is a party to 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.

PART E

APPLICANT STATUS NOTIFICATION FORM

All applicants will complete the following **header information only**.

This notification will be sent to you, when applicable, to advise you of your firm's status throughout the **RFP Process**. In most cases, **it will be sent via email** to the company's designated point of contact listed below. It is the responsibility of this individual to acknowledge receipt of this notice by e-mail to the Borough's designated **RFP point of contact**.

COMPANY NAME AND ADDRESS:	COMPANY'S PRINCIPAL POINT OF CONTACT:
	POC'S NAME: PHONE NUMBER(S): E-MAIL ADDRESS:

FOR OFFICIAL USE ONLY:

The Chief Administrative Officer: Initial the appropriate lines to indicate the status being conveyed and sign and date the page(s) where provided. **If only the first page** is used for a particular notification, then only sign and send that page.

STATUS NOTICE FOLLOWING THE RFP INITIAL PRE-SCREENING _____

_____ Your Application has been placed in **Active Applicant Status** and will be processed for the next phase of the **RFP Process**. It will continue in this status until you are notified otherwise.

_____ Your Application has been placed in a **Disqualified Applicant Status** for the reason(s) stated below. Your Application will not be reviewed further and your firm is no longer in consideration for the remainder of **this RFP Process**. Any additional disqualifications or provisions that may apply are also provided below.

Reason for disqualification: _____
If Applicable, additional
Disqualifications / Provisions: _____

**SPECIAL NOTICE – STATUS CHANGE DUE TO A POLICY

VIOLATION OR PREVIOUSLY UNDISCOVERED DISQUALIFICATION _____

_____ Your Application has been placed in a **Disqualified Applicant Status** for the reason(s) stated below. Your Application will not be reviewed further and your firm is no longer in consideration for the remainder of **this RFP Process**. Any additional disqualifications or provisions that may apply are also provided below.

Reason for disqualification: _____
If Applicable, additional
Disqualifications / Provisions: _____

STATUS NOTICE FOLLOWING THE RFP DETAILED APPLICANT REVIEW _____

_____ In accordance with the **RFP Detailed Applicant Review Process**, your firm was not selected to participate further in the **RFP Process** because your firm did not rank in the **Top Three (3) Applicants** at the conclusion of this review. In accordance with this municipality’s established **RFP Policy and selection standards**, only the top three ranking applicants will move to the **interview portion** of selection process. The Borough thanks you for your participation and encourages your firm to apply to future RFPs posted by the Borough.

_____ Following the **RFP Detailed Applicant Review Process**, your firm was ranked as one of the **Top Three (3) Applicants**. As one of 3 finalists your firm will participate further in the **RFP Process with the next step being the interview**. Your firm is scheduled to appear for an interview on the date and time specified below. Please read the **Status Notification from Municipality... section in Part B of the RFP** and follow the instructions presented. **YOU MUST** confirm receipt of this notice by sending an e-mail to the Borough’s **designated Point of Contact**, as soon as possible. Failure to do so will result in disqualification from the process. Please state in the e-mail that you agree to appear for an interview at the appointed place, date, and time.

Interview Date: _____ **Time:** _____

Place: _____

**STATUS NOTICE FOLLOWING
THE RFP INTERVIEW – UNSUCCESSFUL APPLICANT _____**

_____ Your firm did not achieve the highest ranking Following the **RFP Detailed Review and RFP Interview Proceedings**. Your application has therefore been placed in a **Non-Selected Status** following the interview. A summary of the selection proceedings and the additional required documentation are provided for your review. In accordance with the stated **RFP Policy** of the Borough, you have the right to appeal this decision but only for a limited time – see **“Appeal”** below for instructions.

Official Date of Notice: _____ **Appeal Deadline: 3p.m. on** _____

Instructions for Appeal

See Note, **“Instructions for Appeal”** under **Part B RFP - General Policy Guidelines for Applicants – Waiting Period & Procedure for Appeal to Non-Selection**

Signature of Chief Administrative Officer

Date