

 **NATIONAL PENN**  
INVESTORS TRUST COMPANY

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ROBESON TOWNSHIP  
ROBESON TOWNSHIP

Raymond T. Kase, Jr., CRSP  
Vice President  
Corporate Services  
610.371.2079  
Ray.Kase@npitc.com

November 5, 2010

Ms. Kathy Farrell  
Robeson Township  
2689 Main Street  
Birdsboro, PA 19508

Re: Robeson Township Non-Uniformed Employees' and Police Pension Plans  
Act 44 Disclosure Form Response

Dear Kathy:

Attached is our Response to the Act 44 Disclosure Form that I have completed to the best of my ability and based on my understanding of the Definitions and Questions.

We appreciate doing business with you and your confidence in our ability to serve your investment needs.

Please call with any questions.

Sincerely,



RTK  
Enclosures

## 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 Requesting Municipality, 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

**\*\*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.)

*SEE ATTACHED RESPONSE*

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.
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)
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.
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.

**NOTICE:** All information provided for items 1- 4 above must be updated as changes occur.

5. Since December 17<sup>th</sup> 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.

6. Since December 17<sup>th</sup> 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).

7. Since December 17<sup>th</sup>, 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.

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.

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.

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 18<sup>th</sup> 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 by 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.

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.

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: RAYMOND T. KASE, JR. Name:

Position: VICE PRESIDENT Position:

Name: Name:

Position: Position:

Name: Name:

Position: Position:

R. T. Kase, Jr.  
SIGNATURE

VICE PRESIDENT  
TITLE

11/5/2010  
DATE

VERIFICATION

I, RAYMOND T. KASE, JR. hereby state that I am VICE PRESIDENT for  
(Name) (Position)

NATIONAL PENN INVESTORS TRUST and I am authorized to make this verification.  
(Contractor) CO.

I hereby verify that the facts set forth in the foregoing Act 44 Disclosure Form for Entities Providing Professional Services to the Township of Robeson'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 705-A(e) of Act 44.

I understand that false statements herein are made subject to the penalties of 18 Pa.C.S. § 4904 relating to unsworn falsification to authorities.

R. T. Kase, Jr.  
Signature  
11/5/2010  
Date

## ACT 44 Disclosure Form Response

This response has been prepared based on the interpretation that the term Contractor applies solely to NPITC, the trust division of National Penn Bank (NPB).

### **REF – Item 1**

○ Contractors

National Penn Investors Trust Company (NPITC) - Raymond T. Kase, Jr. CRSP, Vice President

- NPITC serves as Trustee for the **Robeson Township Non-Uniformed Employees and Police Pension** plans and in that capacity provides investment management and custodial services for assets of each plan. NPITC also issues monthly pension payments and process other payments from the plans as directed by the Plan Administrator.

○ Subcontractors

Artisan International Inv (ARTIX) fund – Mark Yockey, Fund Manager

Conestoga Small Cap (CCASX) fund – William C. Martindale & Robert M. Mitchell, Fund Managers

- NPITC subcontracts a portion of the Plan’s investment management with the above listed mutual funds to provide broad diversification across domestic equities of varying market caps as well as international equities.

### **REF – Item 2**

- None.

### **REF – Item 3**

- None that we are aware of.

### **REF – Item 4**

- None that we are aware of.

### **REF – Item 5**

- None that we are aware of.

### **REF – Item 6**

- None that we are aware of.

### **REF – Item 7**

- None that we are aware of.

**REF – Item 8**

- NPITC does not have any business relationships with any of the officials on the List of Municipal Officials.

**REF – Item 9**

- No.

**REF – Item 10**

- No.

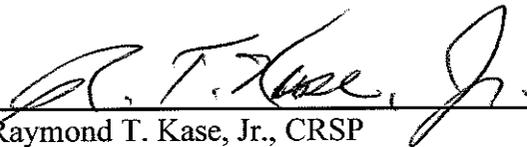
**REF – Item 11**

- No.

**REF – Item 12**

- None that we are aware of.

Respectfully submitted by Raymond T. Kase, Jr., CRSP, Vice President on behalf of National Penn Investors Trust Company.

  
\_\_\_\_\_  
Raymond T. Kase, Jr., CRSP  
Vice President

11/5/10  
Date

## 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 below names will be referred to as the "List of Municipal Officials."

### List of Municipal Officials:

#### Elected Officials

- ✓ Roger K. Feeg – Chairman, Board of Supervisors
- ✓ R. Douglas Love – Vice Chairman, Board of Supervisors
- ✓ Galen L. Brown – Secretary, Board of Supervisors
- ✓ Armin Rhanda – Member, Board of Supervisors
- ✓ Robert L. Deeds, Jr. – Member, Board of Supervisors

#### Appointed Officials or Employees

- ✓ Thomas C. Keim - Township Manager
- ✓ Kathleen C. Farrell – Township Secretary / Benefits Coordinator / Chief Administrative Officer
- ✓ Mark Elliott – Pension Committee Member
- ✓ James Bare – Pension Committee Member
- ✓ Christopher J. Hartman, Esq. – Township Solicitor

*No relationships with NPITC.*

*R. T. Glase, Jr.  
11/5/2010*