

CITY of Harrisburg

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received
9-15-14

City Treasurer

APPLICATION FORM

Name: Karen M. Balaban

Address: Cumberland Street, Harrisburg, PA 17102

How long have you resided at this address? 23 years, 5 months

Occupation: Attorney

Place of Employment & Address:

Karen M. Balaban LLC
223 State Street, Suite 200
Harrisburg, PA 17101

Location: 5 years, 4 months

How long have you been at your current place of employment? Employer (self-employed): 12 years

Telephone Number: _____

E Mail Address: _____

If you need more space to answer any of the questions below, please use additional paper and include the number of the question you are addressing. In addition, please attach a current resume to the completed application.

1. Why are you interested in serving as the City Treasurer?

I am at the point in my professional career where I have the time to dedicate my talents to serve the citizens of Harrisburg. I believe that the interim Treasurer-appointee should focus on the responsibilities of the position, and not political aspirations. I have never held public office and, if appointed, will not seek election to the position. Harrisburg is at an important crossroads in its financial recovery. I believe that I can maintain the public's confidence in the integrity of the office while competently performing the duties of the Treasurer.

2. In your opinion, what is the City Treasurer's primary function?

The City Treasurer oversees the administrative functions of collecting revenue, safeguarding it by promptly depositing funds and investing them, where appropriate, making timely disposition of funds for budgeted expenses, and ensuring transparency by providing accurate financial reports. As a steward of Harrisburg's treasury, this office must be prudent in the exercise of its function, responsive to the financial requests made by the branches of city government, and not obstruct government operations. The Treasurer's cooperation with the branches of city government is a keystone to successfully completing the tasks under the Strong Plan. Disagreements should be for legal reasons, not for personal or political gain.

3. Do you have a background in Accounting? If yes, please explain:

During twenty five of my 35-year legal career, I have been responsible for the financial operations of the office, both as a partner, and as a solo practitioner, including computerizing check writing and accounting. I have served as treasurer of the Dauphin County Bar Association. I have actively managed my own apartment rentals for 33 years. I have served as power of attorney for individuals where I managed money and investments in excess of \$1 million dollars. As a member of the board of directors of a publicly traded company, Old Guard Group, Inc., I participated in decision-making for the solvency of the company. (See attached)

4. Please describe your previous work experience with governmental entities (If Any).

Past experience includes:

2003 to present East Pennsboro Township Zoning Hearing Board – Solicitor

2000 to present Carroll Township Zoning Hearing Board – Solicitor

(See attached)

5. Please list your volunteer experience with community organizations (ex: youth organizations, professional organizations, church, boards etc.) and describe your role/type of service you provided in those organizations.

Working part-time over the past eight years has allowed me to provide voluntary service as a caregiver for my mother and a fellow church parishioner. In prior years, I have also provided caregiving services to several other parishioners such as driving to doctor appointments, scheduling other caregivers, annually re-analyzing medical and prescription drug insurance coverages, managing finances and investments. I also volunteer through the Cathedral Parish of St. Patrick with the Susquehanna Safe Haven winter shelter for the homeless, staying overnight and supervising the residents. For three years, I also assisted with the winter homeless shelter hosted by the center city churches. Taking this responsibility seriously, twice I slept on the floor with women guests to protect them from the threat of sexual assault from the male guests. (See attached)

6. Have you ever been employed by the City of Harrisburg? If so, please list position(s) you held and dates of employment.

No

7. Do you now or have you ever had a business relationship with the City, involving the exchange of goods or services with the City? If so, please describe?

In the period between 1982 and June 1986, I reviewed contracts for the Department of Community and Economic Development while at the law firm of Balaban and Balaban (I was not a named partner.)

8. Do you now or have you ever served on any City of Harrisburg Board, Authority, or Commission or in any other advisory capacity? If yes, please list the position and date(s) of service.

June 1986 through December 1991 Harrisburg Zoning Hearing Board - Solicitor

September 1987 The Harrisburg Authority - Special Counsel
to November 1995

(See attached)

9. Have you ever been convicted of a felony or misdemeanor? Yes ___ No X If you answered "Yes" to this question, you must provide the following information for each offense. Use additional sheets of paper if necessary.

Offense:

Date of offense:

City and State in which offense occurred:

Name of court having jurisdiction:

Disposition or sentence for offense:

Additional information:

10. Do you own any properties or businesses in the City? If yes, please list the names and addresses of each.

Properties owned:

_____ and _____ Cumberland Street

Business owned:

Karen M. Balaban LLC, 600 State Street, Suite _____, Harrisburg, Pa 17101

I verify that the statements made in this application are true and correct. I understand that any false statements herein are made subject to penalties of 18 PA.C.S. 4904, relating to unsworn falsification of authorities.

Signature *Karen M. Balaban* Date 9-15-14

**** REQUIRED** Attach your resume, include three references and please return the completed form to:
The Office of the City Clerk - 10 North 2nd Street (Suite One) Harrisburg, PA 17101**

**Applications are due in the City Clerk's office no later than the close of business (5PM) on
Monday, September 15, 2014. Please note that applications will only be accepted by the City Clerk
Via Hard Copy.**

Question 3

I am currently in the 4th year as a director of the Loyal Christian Benefit Association (LCBA), a fraternal benefit society with \$183 million in assets. I am chair of its Governance Committee. As a director, I review and comment on financial statements and tax forms; approve investment purchases and sales; and review and revise the investment policy on an annual basis, a statutory requirement. Our Board is advised by Wellington Management Company, one of the top asset management groups in the country, globally managing \$904 billion of client assets in 50 countries.

Old Guard and LCBA are regulated by the Pennsylvania Insurance Department. Therefore, the actions of the company, as well as its directors, are highly scrutinized. Both required background clearances from the Pennsylvania State Police.

On a smaller scale, as president of the Susquehanna Appalachian Trail Club, in 2009, I implemented a financial review process which occurs every quarter before the Board's meeting. As chair of the financial review committee, I oversee this process which entails the reconciliation of the checkbook, a review of all receipts and disbursements, and confirmation whether these items are within budget. This occurs with the treasurer present and at least one other board member, on a rotating basis to keep a fresh set of eyes on the process thereby reducing the opportunity for misconduct or collaboration on misuse of funds.

The focus of my law practice has been with insurance companies, particularly with issues involving market conduct review and financial examinations, solvency issues involving statutory minimum capital and surplus requirements, eligible investments and admitted assets, surplus notes, and Insurance Holding Company "control" issues.

Question 4

2004

Department of Banking – Presiding Officer

Applications of Cory Jamestown Credit Union, Freedom Credit Union, and TruMark Financial Credit Union for Community Charters

2003

Department of State – Arbitrator

*Section 8 of the Institutions of Purely Public Charity Act (10 P.S. § 378)
Club 2000 Health and Fitness Center, Inc. v. Hanover Area YMCA*

1991 to 1993

Professional Practices and Standard Commission - Hearing Officer

1989 to 1992

Pa. Department of Education, Special Audits - Hearing Officer

Matters: Community Country Day School
The Abraxas Foundation, Inc.

June 1986 to
December 31, 1991

Harrisburg Zoning Hearing Board - Solicitor

January 1980 to
December 31, 1991

East Pennsboro Township Zoning Hearing Board - Solicitor

Balaban, Karen M.

Application for City Treasurer(supplement p. 2 of 5)

June 1979 to **Local Government Commission, Commonwealth of Pennsylvania**
September 1980 Legal Counsel

Question 5

In March 2012, I organized a task force of the Dauphin County Bar Association to provide pro bono efforts to assist City Solicitor Jason Hess with his case load. Due to budget constraints, he had no assistant at that time. I believe in leading by example, so I took the first case which was favorably resolved for the City. However, due to the solicitor's work load, he did not have time to pursue this relationship since briefing a lawyer on each case file averages 30 to 60 minutes.

In January 1996, a month before beginning my term as president of the Dauphin County Bar Association, I organized a team of lawyers, insurance professionals, and representatives from FEMA to assist south Harrisburg flood victims with legal and property issues.

For the past 2 years, I have participated in "Two Minute Tuesday" and always pick up trash in front of the Cathedral of St. Patrick on my daily walk into work.

My volunteer work consists of the following:

St. Patrick's Cathedral, Harrisburg

1981 - 2002 *Lector*
1981 - 1985; 1996 - 1999 Parish Advisory Council, *Member*
1984 - 1985 *Secretary*
1996 to 1999 Finance Committee, *Member*
1998-1999 *Chair*
2009 to Present Volunteer for Winter homeless shelter

Croatian Fraternal Union of America

1978-1988 Coach of Lodge 13 Girl's Basketball Team
1990-1991 Coach of Lodge 13 Girl's Basketball Team

St. Thomas More Society

1990 - Present *Member*
1990 - 1993 *Member*, Red Mass Committee
1996 *Member*, Lenten Series Committee

Project Mercy (Used furniture bank serving Harrisburg and Dauphin County)

1992 to 2004 *Volunteer*
1993 to 2004 *Advisory Board*
(Personally raised \$30,000 to assist with the operation expense, also picked up and delivered furniture to recipients)

Catholic Diocese of Harrisburg

1998 to 2002 *Pastoral Council*

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Bishop McDevitt High School

2000 to 2006 *Member*, Board of Education (representative of Cathedral Parish of St Patrick)
2002 to 2004 *Chair*, Long Range Planning Committee,

Susquehanna Appalachian Trail Club

1990 to Present *Member*
2001 to 2003 *Director*
2008 - 2012 *President*
2006 - 2008 *Vice-President*
2002 *Member*, Computer Task Force,
2009 to Present *Chair*, Financial Review Committee
2001 to Present *Hike Leader*
2008 to Present *Trail Work Volunteer*

Duquesne University, School of Leadership and Professional Advancement

2002 to 2005 *Member*, Central Pennsylvania Advisory Board, October

Appalachian Trail Conservancy

2009 *Hike Leader*, Biennial Conference (Castleton College, VT)
2011 *Hike Leader*, Biennial Conference (Emory and Henry College, VA)
2013 *Hike Leader*, Biennial Conference (Western Caroline University, NC)

Central Pennsylvania Conservancy

2010 to Present Organizer and Trail Logistics Co-ordinator for the Ironmaster's Challenge
(Annual fundraiser for the Ironmaster's Mansion, Pine Grove Furnace State Park)

The Disciplinary Board of the Supreme Court of Pennsylvania

1999 - 2004 *Member*, Hearing Committee 3.02
2002 - 2004 *Chair*, Hearing Committee 3.02

Dauphin County Young Lawyers

1979 *Treasurer*
1980 *Secretary*
1981 *Vice-Chairperson*
1982 *Chairperson* 1982

Dauphin County Bar Association

1982; 1985 - 1986 *Director*
1990 – 1992 *Treasurer*
1994 *Vice President*
1995 *President-Elect*
1996 *President*
1997 *Immediate Past President*
1984 - 1996 Memorial Committee: *Chairman*
1991 - 2009 Court Relations Committee, *Member*
1997 - 1999 Court Relations Committee, *Chair*
1999 - 2000 Court Relations Committee, *Co-Chair*
1992 - 1994 Long Range Planning Committee, *Member*
1993 - 1994 Bylaws Committee, *Member*

Dauphin County Bar Foundation

1984 - 1999 *Director*
1999 - 2003 *Vice President*
2003 - 2009 *President*

Pennsylvania Bar Association - Young Lawyers Division

1980 - 1981 *County Delegate*
1981 - 1982 *Zone 3 Chairman*
1982 - 1985 *Division Delegate*
1985 - 1990 *Pennsylvania Bar Institute Liaison*
1987 - 1990 By-Laws Committee, *Chairman*

Pennsylvania Bar Association

1996 - 2006 Bar/Press Committee, *Member*
2002 - 2004 *Co-Chair*
2001 - 2002 *Vice-Chair*
2003 - 2006 Board of Governors - *Zone 3 Governor*
1993 - Present Editorial Committee, *Member*
1999 - 2004 *Chair*
1994 *Co-Vice Chair*
1998 *Vice-Chair 1*
1985 - 2012 House of Delegates. *Member*
1988 - 1990 Membership Committee, *Member*
1997 Membership Services Committee, *Member*
1992- 1996 Long Range Planning Committee, *Member*
1994-1996 *Chair*
1990 - 1991; 1992 - 1993 Rules and Calendar Committee, *Member*
2003 - 2004 Public Relations Task Force: *Tri-Chair*
2004 - 2005 Public Relations Implementation Committee: *Tri-Chair*

Pennsylvania Bar Foundation

1993 - 1999	<i>Zone Director (Zone 3)</i>
1999 - 2000, 2002-2005	<i>Vice-President</i>
2005 - 2008	<i>President</i>
2009 - 2011	<i>Immediate Past President</i>
2013 - 2014	<i>Scholarship Committee, Member</i>
2013 - 2014	<i>Events, Co-chair</i>
2011 - 2013	<i>Bylaws & Governance Committee</i>
2010	<i>LRAP Document Review Committee, Chair</i>
2009 - 2011	<i>Nominating Committee, Chair</i>
2008 - 2009	<i>Promotions/Recognition Committee, Member</i>
2005, 2007, 2008 - 2009	<i>Finance Committee, Member</i>
2005	<i>Investment Committee, Member</i>
2001, 2007	<i>PBF/PBA-YLD Pro Bono Grants Committee, Member; 2005 Chair</i>
2000 - 2001	<i>Silent Auction Committee Chair</i>

Question 8

Capital Area Regional Solid Waste Authority - Solicitor (Harrisburg)

February 1987 - March 1988

SETCO Private Industry Council (JTPA)

1983 - July 1988	<i>Member</i>
1984 - 1985	<i>Secretary</i>
1985 - 1987	<i>Vice Chairperson</i>
1988	<i>Operations/Evaluation Committee, Chairperson</i>

Karen M. Balaban, Esquire

Cumberland Street
Harrisburg, PA 17102
Home: (717) 653-1111

Karen M. Balaban LLC
100 State Street, Suite 200
Harrisburg, PA 17101
Office (717) 653-1111

Education

B.A., Indiana University of Pennsylvania, 1974
Major: Political Science; Minor: Spanish
Universidad de Valladolid, Spain, January 1974 - June 1974
J.D., Duquesne University Law School, June 1978

Bar Admissions

Pennsylvania Supreme Court, October 20, 1978
U.S. District Court, Middle District of Pennsylvania, November 6, 1978
U.S. Supreme Court, May 23, 1983
U.S. Court of Appeals, Third Circuit, December 26, 1984

Awards

2004 - Pennsylvania Bar Association President's Distinguished Service Award (Public Relations Task Force)
2003 - Pennsylvania Bar Association President's Outstanding Service Award (Editorial Committee)
1990 - Dauphin County Bar Association Young Lawyers' Angelo Skarlatos Outstanding Lawyer of the Year -
1990 - Democratic Women of the West Shore's Outstanding Woman of the Year
1986 - Outstanding Young Woman from the State of Pennsylvania
1982, 1983, 1987 - Outstanding Young Women in America
1973-1974 Who's Who Among Students in American Colleges and Universities

Professional Memberships

Pennsylvania Bar Association
Dauphin County Bar Association
American Inns of Court, James S. Bowman AIC (Harrisburg, PA) - Emeritus since Fall 2008

Areas of Practice

Administrative Law, Election Law, Insurance: Transactional and Regulatory Work, Zoning, Wills, and Small Estates

Special Appointments

1987 to 1988 Dauphin County Court of Common Pleas, Board of Arbitrators
Chairman of Panel

1985 to 1986 Dauphin County Court of Common Pleas, Board of Arbitrators
Member of Panel

Employment

2001 to Present	Karen M. Balaban, LLC 200 State St., Ste. 200 Harrisburg, PA 17101
March 1999 to July 2001	Balaban & Lucas LLP - Partner 115 Pine Street, Harrisburg, PA 17101
November 1997 to March 1999	Saul, Ewing, Remick & Saul LLP - Special Counsel 2 North Second Street, 7 th Floor, Harrisburg, PA 17101
January 1992 to November 1997	Schnader Harrison Segal & Lewis - Counsel 30 North Third Street, Suite 700, Harrisburg, PA 17101
June 1986 to December 1991	Karen M. Balaban, Esquire - Sole Practitioner 204 State Street, Harrisburg, PA 17101
January 1980 to June 1986	Balaban and Balaban - Partner 27 North Front Street, Harrisburg, PA 17101
August 1978 to December 1979	Shaffer, Calkins and Balaban - Associate 223 North Front St., Harrisburg, PA 17101
January 1978 to July 1978	Dr. Joshua Perper, Deputy Coroner, Allegheny County 542 Fourth Avenue, Pittsburgh, PA 15219 - Research Assistant
Summer 1977	Medical Professional Liability Catastrophe Loss Fund Harrisburg, PA 17120 - Legal Assistant
September 1974 to September 1975	Department of Military Affairs, Adjutant General's Office Annville, PA 17003 - Education Counselor Regional Office, 900 Market Street, Harrisburg, PA