

Procurement-Information:

Question	Response	URL (if applicable)
1. Does the Authority have procurement guidelines?	Yes	http://www1.nyc.gov/site/nyw/policies/procurement.page
2. Are the procurement guidelines reviewed annually, amended if needed, and approved by the Board?	Yes	
3. Does the Authority allow for exceptions to the procurement guidelines?	No	
4. Does the Authority assign credit cards to employees for travel and/or business purchases?	No	
5. Does the Authority require prospective bidders to sign a non-collusion agreement?	Yes	
6. Does the Authority incorporate a summary of its procurement policies and prohibitions in its solicitation of proposals, bid documents or specifications for procurement contracts?.	Yes	
7. Did the Authority designate a person or persons to serve as the authorized contact on a specific procurement, in accordance with Section 139-j(2)(a) of the State Finance Law, "The Procurement Lobbying Act"?	Yes	
8. Did the Authority determine that a vendor had impermissible contact during a procurement or attempted to influence the procurement during the reporting period, in accordance with Section 139-j(10) of the State Finance Law?	No	
8a If Yes, was a record made of this impermissible contact?		
9. Does the Authority have a process to review and investigate allegations of impermissible contact during a procurement, and to impose sanctions in instances where violations have occurred, in accordance with Section 139-j(9) of the State Finance Law?	Yes	

Procurement Transactions Listing:

1. Vendor Name: AECOM USA inc.

Type of Procurement: Other Professional Services
 Award Process: Authority Contract - Competitive Bid
 Award Date: 07/01/2014
 End Date: 06/30/2019
 Amount: \$111,689.02
 Amount Expended for Fiscal Year: \$111,689.02
 Fair market value:

Explain why the fair market value is less than the amount:

Address Line1: 605 3rd Ave
 Address Line2:
 City: NEW YORK
 State: NY
 Postal Code: 10158
 Plus 4:
 Province Region:
 Country: USA
 Procurement Description: Consulting Engineer

2. Vendor Name: Academy Securities Inc.

Type of Procurement: Other Professional Services
 Award Process: Authority Contract - Competitive Bid
 Award Date: 05/05/2016
 End Date:
 Amount: \$18,667.87
 Amount Expended for Fiscal Year: \$18,667.87
 Fair market value:

Explain why the fair market value is less than the amount:

Address Line1: 277 Park Ave
 Address Line2:
 City: NEW YORK
 State: NY
 Postal Code: 10172
 Plus 4:
 Province Region:
 Country: USA
 Procurement Description: Underwriters

Procurement Transactions Listing:

3. Vendor Name: Amawalk Consulting Group LLC

Type of Procurement: Other Professional Services
Award Process: Authority Contract - Competitive Bid
Award Date: 10/01/2016
End Date: 09/30/2021
Amount: \$135,885.2
Amount Expended for Fiscal Year: \$135,885.2
Fair market value:
Explain why the fair market value is less than the amount:

Address Line1: 26 Broadway
Address Line2:
City: NEW YORK
State: NY
Postal Code: 10004
Plus 4:
Province Region:
Country: USA
Procurement Description: Rate Consultant

4. Vendor Name: BLX Group LLC

Type of Procurement: Other Professional Services
Award Process: Authority Contract - Competitive Bid
Award Date: 07/01/2015
End Date: 06/30/2020
Amount: \$56,750
Amount Expended for Fiscal Year: \$56,750
Fair market value:
Explain why the fair market value is less than the amount:

Address Line1: 51 W 52nd St
Address Line2:
City: NEW YORK
State: NY
Postal Code: 10019
Plus 4:
Province Region:
Country: USA
Procurement Description: Arbitrage Rebate

Procurement Transactions Listing:

5. Vendor Name: Bank of America N.A.

6. Vendor Name: Bank of Montreal

Type of Procurement: Other Professional Services
 Award Process: Authority Contract - Competitive Bid
 Award Date: 10/24/2007
 End Date: 03/17/2020
 Amount: \$3,495,908.22
 Amount Expended for Fiscal Year: \$3,495,908.22
 Fair market value:

Explain why the fair market value is less than the amount:

Address Line1: PO Box 660576
 Address Line2:
 City: DALLAS
 State: TX
 Postal Code: 75266
 Plus 4:
 Province Region:
 Country: USA
 Procurement Description: Liquidity Provider

Type of Procurement: Other Professional Services
 Award Process: Authority Contract - Competitive Bid
 Award Date: 09/27/2013
 End Date: 08/11/2020
 Amount: \$795,535.94
 Amount Expended for Fiscal Year: \$795,535.94
 Fair market value:

Explain why the fair market value is less than the amount:

Address Line1: 360 Madison Ave
 Address Line2:
 City: NEW YORK
 State: NY
 Postal Code: 10017
 Plus 4:
 Province Region:
 Country: USA
 Procurement Description: Liquidity Provider

Procurement Transactions Listing:

7. Vendor Name: Bank of New York Mellon

8. Vendor Name: Bank of Nova Scotia

Type of Procurement: Other Professional Services
 Award Process: Authority Contract - Competitive Bid
 Award Date: 02/02/2008
 End Date:
 Amount: \$356,156
 Amount Expended for Fiscal Year: \$356,156
 Fair market value:

Explain why the fair market value is less than the amount:

Address Line1: 1 Wall St
 Address Line2:
 City: NEW YORK
 State: NY
 Postal Code: 10005
 Plus 4:
 Province Region:
 Country: USA
 Procurement Description: Trustee

Type of Procurement: Other Professional Services
 Award Process: Authority Contract - Competitive Bid
 Award Date: 11/30/2006
 End Date: 10/27/2017
 Amount: \$67,823.37
 Amount Expended for Fiscal Year: \$67,823.37
 Fair market value:

Explain why the fair market value is less than the amount:

Address Line1: One Liberty Plaza
 Address Line2:
 City: NEW YORK
 State: NY
 Postal Code: 10008
 Plus 4:
 Province Region:
 Country: USA
 Procurement Description: Liquidity Provider

Procurement Transactions Listing:

9. Vendor Name: Bank of Tokyo-Mitsubishi UFJ

Type of Procurement: Other Professional Services
Award Process: Authority Contract - Competitive Bid
Award Date: 10/04/2012
End Date: 09/04/2018
Amount: \$1,533,959.1
Amount Expended for Fiscal Year: \$1,533,959.1
Fair market value:
Explain why the fair market value is less than the amount:

Address Line1: 1251 6th Ave
Address Line2:
City: NEW YORK
State: NY
Postal Code: 10020
Plus 4:
Province Region:
Country: USA
Procurement Description: Liquidity Provider

10. Vendor Name: Barclays Bank PLC

Type of Procurement: Other Professional Services
Award Process: Authority Contract - Competitive Bid
Award Date: 12/16/2009
End Date: 12/14/2018
Amount: \$767,679.04
Amount Expended for Fiscal Year: \$767,679.04
Fair market value:
Explain why the fair market value is less than the amount:

Address Line1: 745 7th Avenue
Address Line2:
City: NEW YORK
State: NY
Postal Code: 10022
Plus 4:
Province Region:
Country: USA
Procurement Description: Liquidity Provider

Procurement Transactions Listing:

11. Vendor Name: Barclays Capital Inc.

12. Vendor Name:

Blaylock Beal Van LLC

Type of Procurement: Other Professional Services
 Award Process: Authority Contract - Competitive Bid
 Award Date: 05/05/2016
 End Date:
 Amount: \$1,912,478.89
 Amount Expended for Fiscal Year: \$1,912,478.89
 Fair market value:

Explain why the fair market value is less than the amount:

Address Line1: 745 7th Avenue
 Address Line2:
 City: NEW YORK
 State: NY
 Postal Code: 10022
 Plus 4:
 Province Region:
 Country: USA
 Procurement Description: Underwriters

Type of Procurement: Other Professional Services
 Award Process: Authority Contract - Competitive Bid
 Award Date: 05/05/2016
 End Date:
 Amount: \$30,546.67
 Amount Expended for Fiscal Year: \$30,546.67
 Fair market value:

Explain why the fair market value is less than the amount:

Address Line1: 600 Lexington Ave
 Address Line2:
 City: NEW YORK
 State: NY
 Postal Code: 10022
 Plus 4:
 Province Region:
 Country: USA
 Procurement Description: Underwriters

Procurement Transactions Listing:

13. Vendor Name: Cabrera Capital Markets

Type of Procurement: Other Professional Services
 Award Process: Authority Contract - Competitive Bid
 Award Date: 05/05/2016
 End Date:
 Amount: \$9,211.72
 Amount Expended for Fiscal Year: \$9,211.72
 Fair market value:

Explain why the fair market value is less than the amount:

Address Line1: 650 5th Ave
 Address Line2: #21
 City: NEW YORK
 State: NY
 Postal Code: 10019
 Plus 4:
 Province Region:
 Country: USA
 Procurement Description: Underwriters

14. Vendor Name: Citibank N.A.

Type of Procurement: Other Professional Services
 Award Process: Authority Contract - Competitive Bid
 Award Date: 10/29/2015
 End Date: 10/26/2018
 Amount: \$466,521.63
 Amount Expended for Fiscal Year: \$466,521.63
 Fair market value:

Explain why the fair market value is less than the amount:

Address Line1: 390 Greenwich St.
 Address Line2:
 City: NEW YORK
 State: NY
 Postal Code: 10013
 Plus 4:
 Province Region:
 Country: USA
 Procurement Description: Liquidity Provider

Procurement Transactions Listing:

15. Vendor Name: Citigroup Global Markets

Type of Procurement: Other Professional Services
Award Process: Authority Contract - Competitive Bid
Award Date: 05/05/2016
End Date:
Amount: \$340,441.03
Amount Expended for Fiscal Year: \$340,441.03
Fair market value:
Explain why the fair market value is less than the amount:

Address Line1: 390 Greenwich St.
Address Line2:
City: NEW YORK
State: NY
Postal Code: 10013
Plus 4:
Province Region:
Country: USA
Procurement Description: Underwriters

16. Vendor Name: Creative Source Inc.

Type of Procurement: Other Professional Services
Award Process: Authority Contract - Competitive Bid
Award Date: 09/23/2013
End Date: 02/24/2017
Amount: \$8,200
Amount Expended for Fiscal Year: \$8,200
Fair market value:
Explain why the fair market value is less than the amount:

Address Line1: 130 W 25th St
Address Line2: 5C
City: NEW YORK
State: NY
Postal Code: 10001
Plus 4:
Province Region:
Country: USA
Procurement Description: CAFR Designer

Procurement Transactions Listing:

<p>17. Vendor Name: Dexia Credit Locale</p> <p>Type of Procurement: Other Professional Services Award Process: Authority Contract - Competitive Bid Award Date: 10/27/2005 End Date: 10/27/2017 Amount: \$296,565.1 Amount Expended for Fiscal Year: \$296,565.1 Fair market value: Explain why the fair market value is less than the amount:</p> <p>Address Line1: 445 Park Avenue Address Line2: City: NEW YORK State: NY Postal Code: 10022 Plus 4: Province Region: Country: USA</p> <p>Procurement Description: Liquidity Provider</p>	<p>18. Vendor Name: Donnelly Financial LLC</p> <p>Type of Procurement: Other Professional Services Award Process: Authority Contract - Competitive Bid Award Date: 01/13/2013 End Date: Amount: \$109,651.39 Amount Expended for Fiscal Year: \$109,651.39 Fair market value: Explain why the fair market value is less than the amount:</p> <p>Address Line1: 255 Greenwich St Address Line2: 3rd floor City: NEW YORK State: NY Postal Code: 10007 Plus 4: Province Region: Country: USA</p> <p>Procurement Description: Printer for OS</p>
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Procurement Transactions Listing:

19. Vendor Name: Drexel Hamilton LLC

20. Vendor Name: Fidelity Capital Markets

Type of Procurement: Other Professional Services
 Award Process: Authority Contract - Competitive Bid
 Award Date: 07/01/2015
 End Date: 06/30/2018
 Amount: \$40,000
 Amount Expended for Fiscal Year: \$40,000
 Fair market value:

Explain why the fair market value is less than the amount:

Address Line1: 77 Water St
 Address Line2: Suite 201
 City: NEW YORK
 State: NY
 Postal Code: 10005
 Plus 4:
 Province Region:
 Country: USA
 Procurement Description: Financial Advisor

Type of Procurement: Other Professional Services
 Award Process: Authority Contract - Competitive Bid
 Award Date: 05/05/2016
 End Date:
 Amount: \$39,728.17
 Amount Expended for Fiscal Year: \$39,728.17
 Fair market value:

Explain why the fair market value is less than the amount:

Address Line1: 401 E 60th St
 Address Line2: #36B
 City: NEW YORK
 State: NY
 Postal Code: 10022
 Plus 4:
 Province Region:
 Country: USA
 Procurement Description: Underwriters

Procurement Transactions Listing:

21. Vendor Name: Goldman Sachs & Co.

Type of Procurement: Other Professional Services
Award Process: Authority Contract - Competitive Bid
Award Date: 05/05/2016
End Date:
Amount: \$219,682.44
Amount Expended for Fiscal Year: \$219,682.44
Fair market value:
Explain why the fair market value is less than the amount:

Address Line1: 85 Broad Street
Address Line2:
City: NEW YORK
State: NY
Postal Code: 10004
Plus 4:
Province Region:
Country: USA
Procurement Description: Underwriters

22. Vendor Name: Iron Mountain Inc.

Type of Procurement: Other Professional Services
Award Process: Authority Contract - Competitive Bid
Award Date: 04/12/2011
End Date:
Amount: \$222
Amount Expended for Fiscal Year: \$222
Fair market value:
Explain why the fair market value is less than the amount:

Address Line1: 317 Madison Ave
Address Line2:
City: NEW YORK
State: NY
Postal Code: 10017
Plus 4:
Province Region:
Country: USA
Procurement Description: Storage Service

Procurement Transactions Listing:

23. Vendor Name: JPMorgan Chase Bank N.A.

24. Vendor Name: JPMorgan Securities Inc.

Type of Procurement: Other Professional Services
 Award Process: Authority Contract - Competitive Bid
 Award Date: 09/17/2013
 End Date: 11/14/2018
 Amount: \$3,066,135.89
 Amount Expended for Fiscal Year: \$3,066,135.89
 Fair market value:

Explain why the fair market value is less than the amount:

Address Line1: 270 Park Avenue
 Address Line2:
 City: NEW YORK
 State: NY
 Postal Code: 10017
 Plus 4:
 Province Region:
 Country: USA
 Procurement Description: Liquidity Provider

Type of Procurement: Other Professional Services
 Award Process: Authority Contract - Competitive Bid
 Award Date: 05/05/2016
 End Date:
 Amount: \$2,899,564.81
 Amount Expended for Fiscal Year: \$2,899,564.81
 Fair market value:

Explain why the fair market value is less than the amount:

Address Line1: 270 Park Avenue
 Address Line2:
 City: NEW YORK
 State: NY
 Postal Code: 10017
 Plus 4:
 Province Region:
 Country: USA
 Procurement Description: Underwriters

Procurement Transactions Listing:

<p>25. Vendor Name: Jefferies LLC</p> <p>Type of Procurement: Other Professional Services Award Process: Authority Contract - Competitive Bid Award Date: 05/05/2016 End Date: Amount: \$152,045.02 Amount Expended for Fiscal Year: \$152,045.02 Fair market value: Explain why the fair market value is less than the amount:</p> <p>Address Line1: 520 Madison Avenue Address Line2: City: NEW YORK State: NY Postal Code: 10022 Plus 4: Province Region: Country: USA</p> <p>Procurement Description: Underwriters</p>	<p>26. Vendor Name: Lamont Financial Services Corporation</p> <p>Type of Procurement: Other Professional Services Award Process: Authority Contract - Competitive Bid Award Date: 07/09/2015 End Date: 06/30/2018 Amount: \$129,620.25 Amount Expended for Fiscal Year: \$129,620.25 Fair market value: Explain why the fair market value is less than the amount:</p> <p>Address Line1: 30 2 Bridges Rd Address Line2: City: FAIRFIELD State: NJ Postal Code: 07004 Plus 4: Province Region: Country: USA</p> <p>Procurement Description: Financial Advisor</p>
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Procurement Transactions Listing:

27. Vendor Name: Landesbank Hessen-Thuringen (Helaba)

28. Vendor Name: Lebenthal and Co. LLC

Type of Procurement: Other Professional Services
 Award Process: Authority Contract - Competitive Bid
 Award Date: 06/15/2016
 End Date: 06/15/2021
 Amount: \$1,258,121.93
 Amount Expended for Fiscal Year: \$1,258,121.93
 Fair market value:

Explain why the fair market value is less than the amount:

Address Line1: 420 5th Ave
 Address Line2:
 City: NEW YORK
 State: NY
 Postal Code: 10018
 Plus 4:
 Province Region:
 Country: USA
 Procurement Description: Liquidity Provider

Type of Procurement: Other Professional Services
 Award Process: Authority Contract - Competitive Bid
 Award Date: 05/05/2016
 End Date:
 Amount: \$32,302.5
 Amount Expended for Fiscal Year: \$32,302.5
 Fair market value:

Explain why the fair market value is less than the amount:

Address Line1: 521 Fifth Avenue
 Address Line2:
 City: NEW YORK
 State: NY
 Postal Code: 10175
 Plus 4:
 Province Region:
 Country: USA
 Procurement Description: Underwriters

Procurement Transactions Listing:

29. Vendor Name: Loop Capital Markets LLC

Type of Procurement: Other Professional Services
Award Process: Authority Contract - Competitive Bid
Award Date: 05/05/2016
End Date:
Amount: \$101,409.9
Amount Expended for Fiscal Year: \$101,409.9
Fair market value:
Explain why the fair market value is less than the amount:

Address Line1: 88 Pine Street
Address Line2: 24th fl
City: NEW YORK
State: NY
Postal Code: 10005
Plus 4:
Province Region:
Country: USA
Procurement Description: Underwriters

30. Vendor Name: Marks Paneth LLP

Type of Procurement: Other Professional Services
Award Process: Authority Contract - Competitive Bid
Award Date: 07/01/2016
End Date: 06/30/2018
Amount: \$100,000
Amount Expended for Fiscal Year: \$100,000
Fair market value:
Explain why the fair market value is less than the amount:

Address Line1: 685 3rd Ave
Address Line2:
City: NEW YORK
State: NY
Postal Code: 10017
Plus 4:
Province Region:
Country: USA
Procurement Description: Auditors

Procurement Transactions Listing:

31. Vendor Name: McGladrey LLP/RSM US LLP

32. Vendor Name: Merrill Lynch PF&S Inc.

Type of Procurement: Other Professional Services
 Award Process: Authority Contract - Competitive Bid
 Award Date: 05/01/2015
 End Date: 04/30/2018
 Amount: \$2,478.25
 Amount Expended for Fiscal Year: \$2,478.25
 Fair market value:

Explain why the fair market value is less than the amount:

Address Line1: 1185 6th Ave
 Address Line2:
 City: NEW YORK
 State: NY
 Postal Code: 10036
 Plus 4:
 Province Region:
 Country: USA
 Procurement Description: Computer Consultant

Type of Procurement: Other Professional Services
 Award Process: Authority Contract - Competitive Bid
 Award Date: 05/05/2016
 End Date:
 Amount: \$621,448.81
 Amount Expended for Fiscal Year: \$621,448.81
 Fair market value:

Explain why the fair market value is less than the amount:

Address Line1: 4 World Financial Ctr
 Address Line2: north
 City: NEW YORK
 State: NY
 Postal Code: 10080
 Plus 4:
 Province Region:
 Country: USA
 Procurement Description: Underwriters

Procurement Transactions Listing:

33. Vendor Name: Mesirow Financial Inc.

34. Vendor Name: Mischler Financial Group Inc.

Type of Procurement: Other Professional Services
 Award Process: Authority Contract - Competitive Bid
 Award Date: 05/05/2016
 End Date:
 Amount: \$38,492.16
 Amount Expended for Fiscal Year: \$38,492.16
 Fair market value:

Type of Procurement: Other Professional Services
 Award Process: Authority Contract - Competitive Bid
 Award Date: 05/05/2016
 End Date:
 Amount: \$6,182.54
 Amount Expended for Fiscal Year: \$6,182.54
 Fair market value:

Explain why the fair market value is less than the amount:

Explain why the fair market value is less than the amount:

Address Line1: 353 North Clark St.
 Address Line2:
 City: CHICAGO
 State: IL
 Postal Code: 60654
 Plus 4:
 Province Region:
 Country: USA

Address Line1: 299 Park Avenue
 Address Line2: 6th floor
 City: NEW YORK
 State: NY
 Postal Code: 10171
 Plus 4:
 Province Region:
 Country: USA

Procurement Description: Underwriters

Procurement Description: Underwriters

Procurement Transactions Listing:

35. Vendor Name: Mizuho Coporate Bank Ltd.

Type of Procurement: Other Professional Services
Award Process: Authority Contract - Competitive Bid
Award Date: 09/17/2013
End Date: 06/14/2019
Amount: \$3,582,054.07
Amount Expended for Fiscal Year: \$3,582,054.07
Fair market value:
Explain why the fair market value is less than the amount:

Address Line1: 1251 6th Ave
Address Line2:
City: NEW YORK
State: NY
Postal Code: 10012
Plus 4:
Province Region:
Country: USA
Procurement Description: Liquidity Provider

36. Vendor Name: Mizuho Securities USA Inc.

Type of Procurement: Other Professional Services
Award Process: Authority Contract - Competitive Bid
Award Date: 05/05/2016
End Date:
Amount: \$120,406.27
Amount Expended for Fiscal Year: \$120,406.27
Fair market value:
Explain why the fair market value is less than the amount:

Address Line1: 1251 6th Ave
Address Line2:
City: NEW YORK
State: NY
Postal Code: 10012
Plus 4:
Province Region:
Country: USA
Procurement Description: Underwriters

Procurement Transactions Listing:

37. Vendor Name: Mohanty Gargiulo LLC

Type of Procurement: Other Professional Services
 Award Process: Authority Contract - Competitive Bid
 Award Date: 07/01/2015
 End Date: 06/30/2018
 Amount: \$4,762.5
 Amount Expended for Fiscal Year: \$4,762.5
 Fair market value:

Explain why the fair market value is less than the amount:

Address Line1: 100 Park Ave
 Address Line2:
 City: NEW YORK
 State: NY
 Postal Code: 10017
 Plus 4:
 Province Region:
 Country: USA
 Procurement Description: Bond Counsel

38. Vendor Name: Morgan Stanley & Co.

Type of Procurement: Other Professional Services
 Award Process: Authority Contract - Competitive Bid
 Award Date: 05/05/2016
 End Date:
 Amount: \$281,748.4
 Amount Expended for Fiscal Year: \$281,748.4
 Fair market value:

Explain why the fair market value is less than the amount:

Address Line1: 1221 Avenue of the Americas
 Address Line2:
 City: NEW YORK
 State: NY
 Postal Code: 10020
 Plus 4:
 Province Region:
 Country: USA
 Procurement Description: Underwriters

Procurement Transactions Listing:

39. Vendor Name: National Captioning Institute end date

40. Vendor Name: Nixon Peabody LLP

Type of Procurement: Other Professional Services
 Award Process: Authority Contract - Competitive Bid
 Award Date: 09/12/2012
 End Date: 08/31/2017
 Amount: \$1,023.75
 Amount Expended for Fiscal Year: \$1,023.75
 Fair market value:

Explain why the fair market value is less than the amount:

Address Line1: 3725 Concorde Parkway
 Address Line2: Suite 100
 City: CHANTILLY
 State: VA
 Postal Code: 20151
 Plus 4:
 Province Region:
 Country: USA
 Procurement Description: Webcasting

Type of Procurement: Other Professional Services
 Award Process: Authority Contract - Competitive Bid
 Award Date: 01/01/2013
 End Date: 12/31/2016
 Amount: \$200,000
 Amount Expended for Fiscal Year: \$200,000
 Fair market value:

Explain why the fair market value is less than the amount:

Address Line1: 437 Madison Ave
 Address Line2:
 City: NEW YORK
 State: NY
 Postal Code: 10022
 Plus 4:
 Province Region:
 Country: USA
 Procurement Description: Bond Counsel Disclosure

Procurement Transactions Listing:

41. Vendor Name: Orrick Herrington & Sutcliffe LLP

Type of Procurement: Other Professional Services
 Award Process: Authority Contract - Competitive Bid
 Award Date: 01/01/2013
 End Date: 09/15/2017
 Amount: \$750,000
 Amount Expended for Fiscal Year: \$750,000
 Fair market value:

Explain why the fair market value is less than the amount:

Address Line1: 51 W 52nd St.
 Address Line2:
 City: NEW YORK
 State: NY
 Postal Code: 10019
 Plus 4:
 Province Region:
 Country: USA
 Procurement Description: Bond Counsel Disclosure

42. Vendor Name: PFM Asset Management LLC

Type of Procurement: Other Professional Services
 Award Process: Authority Contract - Competitive Bid
 Award Date: 05/05/2016
 End Date:
 Amount: \$190,035.71
 Amount Expended for Fiscal Year: \$190,035.71
 Fair market value:

Explain why the fair market value is less than the amount:

Address Line1: 60 Broad St.
 Address Line2:
 City: NEW YORK
 State: NY
 Postal Code: 10004
 Plus 4:
 Province Region:
 Country: USA
 Procurement Description: Financial Advisor

Procurement Transactions Listing:

43. Vendor Name: PNC Bank NA

Type of Procurement: Other Professional Services
Award Process: Authority Contract - Competitive Bid
Award Date: 10/04/2012
End Date: 10/02/2018
Amount: \$866,861.27
Amount Expended for Fiscal Year: \$866,861.27
Fair market value:
Explain why the fair market value is less than the amount:

Address Line1: 340 Madison Ave
Address Line2:
City: NEW YORK
State: NY
Postal Code: 10017
Plus 4:
Province Region:
Country: USA
Procurement Description: Liquidity Provider

44. Vendor Name: PNC Capital Markets LLC

Type of Procurement: Other Professional Services
Award Process: Authority Contract - Competitive Bid
Award Date: 05/05/2016
End Date:
Amount: \$119,753
Amount Expended for Fiscal Year: \$119,753
Fair market value:
Explain why the fair market value is less than the amount:

Address Line1: 340 Madison Ave
Address Line2:
City: NEW YORK
State: NY
Postal Code: 10017
Plus 4:
Province Region:
Country: USA
Procurement Description: Underwriters

Procurement Transactions Listing:

45. Vendor Name: PNC Capital Markets LLC/remarketing?

Type of Procurement: Other Professional Services
 Award Process: Authority Contract - Competitive Bid
 Award Date: 05/05/2016
 End Date:
 Amount: \$2,833.05
 Amount Expended for Fiscal Year: \$2,833.05
 Fair market value:

Explain why the fair market value is less than the amount:

Address Line1: 340 Madison Ave
 Address Line2:
 City: NEW YORK
 State: NY
 Postal Code: 10017
 Plus 4:
 Province Region:
 Country: USA

Procurement Description: Underwriters

46. Vendor Name: Piper Jaffrey & Co.

Type of Procurement: Other Professional Services
 Award Process: Authority Contract - Competitive Bid
 Award Date: 05/05/2016
 End Date:
 Amount: \$99,944.29
 Amount Expended for Fiscal Year: \$99,944.29
 Fair market value:

Explain why the fair market value is less than the amount:

Address Line1: 345 Park Ave
 Address Line2:
 City: NEW YORK
 State: NY
 Postal Code: 10154
 Plus 4:
 Province Region:
 Country: USA

Procurement Description: Underwriters

Procurement Transactions Listing:

47. Vendor Name: RBC Capital Markets

Type of Procurement: Other Professional Services
Award Process: Authority Contract - Competitive Bid
Award Date: 05/05/2016
End Date:
Amount: \$484,523.66
Amount Expended for Fiscal Year: \$484,523.66
Fair market value:
Explain why the fair market value is less than the amount:

Address Line1: One Liberty Plaza 165 Broadway
Address Line2:
City: NEW YORK
State: NY
Postal Code: 10006
Plus 4:
Province Region:
Country: USA
Procurement Description: Underwriters

48. Vendor Name: Ramirez & Co.

Type of Procurement: Other Professional Services
Award Process: Authority Contract - Competitive Bid
Award Date: 05/05/2016
End Date:
Amount: \$138,718.46
Amount Expended for Fiscal Year: \$138,718.46
Fair market value:
Explain why the fair market value is less than the amount:

Address Line1: 61 Broadway
Address Line2: New York
City: NEW YORK
State: NY
Postal Code: 10006
Plus 4:
Province Region:
Country: USA
Procurement Description: Underwriters

Procurement Transactions Listing:

49. Vendor Name: Raymond James & Associates Inc.

50. Vendor Name: Rice Financial Products Company

Type of Procurement: Other Professional Services
 Award Process: Authority Contract - Competitive Bid
 Award Date: 05/05/2016
 End Date:
 Amount: \$955,866.69
 Amount Expended for Fiscal Year: \$955,866.69
 Fair market value:

Explain why the fair market value is less than the amount:

Address Line1: 250 Park Avenue
 Address Line2: 2nd fl
 City: NEW YORK
 State: NY
 Postal Code: 10177
 Plus 4:
 Province Region:
 Country: USA

Procurement Description: Underwriters

Type of Procurement: Other Professional Services
 Award Process: Authority Contract - Competitive Bid
 Award Date: 05/05/2016
 End Date:
 Amount: \$52,484.53
 Amount Expended for Fiscal Year: \$52,484.53
 Fair market value:

Explain why the fair market value is less than the amount:

Address Line1: 17 State Street
 Address Line2:
 City: NEW YORK
 State: NY
 Postal Code: 10004
 Plus 4:
 Province Region:
 Country: USA

Procurement Description: Underwriters

Procurement Transactions Listing:

51. Vendor Name: Roosevelt and Cross Incorporated

Type of Procurement: Other Professional Services
Award Process: Authority Contract - Competitive Bid
Award Date: 05/05/2016
End Date:
Amount: \$7,436.54
Amount Expended for Fiscal Year: \$7,436.54
Fair market value:
Explain why the fair market value is less than the amount:

Address Line1: One Exchange Plaza
Address Line2:
City: NEW YORK
State: NY
Postal Code: 10006
Plus 4:
Province Region:
Country: USA
Procurement Description: Underwriters

52. Vendor Name: Royal Bank of Canada

Type of Procurement: Other Professional Services
Award Process: Authority Contract - Competitive Bid
Award Date: 03/01/2011
End Date: 03/04/2019
Amount: \$2,648,635.49
Amount Expended for Fiscal Year: \$2,648,635.49
Fair market value:
Explain why the fair market value is less than the amount:

Address Line1: 12 East 49th Stree
Address Line2:
City: NEW YORK
State: NY
Postal Code: 10017
Plus 4:
Province Region:
Country: USA
Procurement Description: Liquidity Provider

Procurement Transactions Listing:

53. Vendor Name: Siebert Brandford Shank & Co. LLC

Type of Procurement: Other Professional Services
 Award Process: Authority Contract - Competitive Bid
 Award Date: 05/05/2016
 End Date:
 Amount: \$881,265.16
 Amount Expended for Fiscal Year: \$881,265.16
 Fair market value:

Explain why the fair market value is less than the amount:

Address Line1: 100 Wall Street
 Address Line2:
 City: NEW YORK
 State: NY
 Postal Code: 10005
 Plus 4:
 Province Region:
 Country: USA

Procurement Description: Underwriters

54. Vendor Name: State Street Bank & Trust Company N.A.

Type of Procurement: Other Professional Services
 Award Process: Authority Contract - Competitive Bid
 Award Date: 03/27/2012
 End Date: 10/07/2020
 Amount: \$2,292,042.29
 Amount Expended for Fiscal Year: \$2,292,042.29
 Fair market value:

Explain why the fair market value is less than the amount:

Address Line1: 225 Franklin Street
 Address Line2:
 City: BOSTON
 State: MA
 Postal Code: 02110
 Plus 4:
 Province Region:
 Country: USA

Procurement Description: Liquidity Provider

Procurement Transactions Listing:

55. Vendor Name: Stifel Nicolaus & Co. Inc.

Type of Procurement: Other Professional Services
 Award Process: Authority Contract - Competitive Bid
 Award Date: 05/05/2016
 End Date:
 Amount: \$35,191.79
 Amount Expended for Fiscal Year: \$35,191.79
 Fair market value:
 Explain why the fair market value is less than the amount:

Address Line1: 237 Park Ave
 Address Line2:
 City: NEW YORK
 State: NY
 Postal Code: 10017
 Plus 4:
 Province Region:
 Country: USA
 Procurement Description: Underwriters

56. Vendor Name: Sumitomo Mitsui Banking Corp.

Type of Procurement: Other Professional Services
 Award Process: Authority Contract - Competitive Bid
 Award Date: 06/07/2012
 End Date: 06/04/2020
 Amount: \$2,623,924.28
 Amount Expended for Fiscal Year: \$2,623,924.28
 Fair market value:
 Explain why the fair market value is less than the amount:

Address Line1: 277 Park Avenue
 Address Line2:
 City: NEW YORK
 State: NY
 Postal Code: 10172
 Plus 4:
 Province Region:
 Country: USA
 Procurement Description: Liquidity Provider

Procurement Transactions Listing:

<p>57. Vendor Name: TD Bank NA</p> <p>Type of Procurement: Other Professional Services Award Process: Authority Contract - Competitive Bid Award Date: 11/18/2010 End Date: 09/17/2018 Amount: \$1,166,928.96 Amount Expended for Fiscal Year: \$1,166,928.96 Fair market value: Explain why the fair market value is less than the amount:</p> <p>Address Line1: 31 W 52nd St Address Line2: City: NEW YORK State: NY Postal Code: 10019 Plus 4: Province Region: Country: USA</p> <p>Procurement Description: Liquidity Provider</p>	<p>58. Vendor Name: TD Securities -</p> <p>Type of Procurement: Other Professional Services Award Process: Authority Contract - Competitive Bid Award Date: 05/05/2016 End Date: Amount: \$138,388.33 Amount Expended for Fiscal Year: \$138,388.33 Fair market value: Explain why the fair market value is less than the amount:</p> <p>Address Line1: 31 W 52nd St Address Line2: City: NEW YORK State: NY Postal Code: 10019 Plus 4: Province Region: Country: USA</p> <p>Procurement Description: Underwriters</p>
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Procurement Transactions Listing:

<p>59. Vendor Name: US Bank</p> <p>Type of Procurement: Other Professional Services Award Process: Authority Contract - Competitive Bid Award Date: 05/05/2016 End Date: Amount: \$2,302,207.49 Amount Expended for Fiscal Year: \$2,302,207.49 Fair market value: Explain why the fair market value is less than the amount:</p> <p>Address Line1: 461 5th Ave Address Line2: City: NEW YORK State: NY Postal Code: 10017 Plus 4: Province Region: Country: USA</p> <p>Procurement Description: Liquidity Provider</p>	<p>60. Vendor Name: US Bank</p> <p>Type of Procurement: Other Professional Services Award Process: Authority Contract - Competitive Bid Award Date: 05/05/2016 End Date: Amount: \$890,465.42 Amount Expended for Fiscal Year: \$890,465.42 Fair market value: Explain why the fair market value is less than the amount:</p> <p>Address Line1: 461 5th Ave Address Line2: City: NEW YORK State: NY Postal Code: 10017 Plus 4: Province Region: Country: USA</p> <p>Procurement Description: Underwriters</p>
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Procurement Transactions Listing:

<p>61. Vendor Name: Wells Fargo Bank NA (correct EIN)</p> <p>Type of Procurement: Other Professional Services Award Process: Authority Contract - Competitive Bid Award Date: 06/25/2009 End Date: 07/10/2018 Amount: \$766,338.31 Amount Expended for Fiscal Year: \$766,338.31 Fair market value: Explain why the fair market value is less than the amount:</p> <p>Address Line1: 463 Broadway Address Line2: City: NEW YORK State: NY Postal Code: 10013 Plus 4: Province Region: Country: USA</p> <p>Procurement Description: Liquidity Provider</p>	<p>62. Vendor Name: Wells Fargo Bank NA (correct EIN)</p> <p>Type of Procurement: Other Professional Services Award Process: Authority Contract - Competitive Bid Award Date: 05/05/2016 End Date: Amount: \$573,863.89 Amount Expended for Fiscal Year: \$573,863.89 Fair market value: Explain why the fair market value is less than the amount:</p> <p>Address Line1: 463 Broadway Address Line2: City: NEW YORK State: NY Postal Code: 10013 Plus 4: Province Region: Country: USA</p> <p>Procurement Description: Underwriters</p>
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Procurement Transactions Listing:

Additional Comments: