

Procurement Report for New York City Transitional Finance Authority

Fiscal Year Ending: 06/30/2023

Run Date: 09/20/2023

Status: CERTIFIED

Certified Date : 09/20/2023

Procurement Information:

| Question | Response | URL (If Applicable) |
|--|----------|---|
| 1. Does the Authority have procurement guidelines? | Yes | https://www.nyc.gov/site/transitionalfinance/governance/governance.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? | No | |
| 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 | |

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Procurement Transactions Listing:

| | | | |
|--|--------------------------------------|--------------------------------|---------------|
| 1. Vendor Name | Academy Securities Inc. | Address Line1 | 277 Park Ave |
| Type of Procurement | Other Professional Services | Address Line2 | |
| Award Process | Authority Contract - Competitive Bid | City | NEW YORK |
| Award Date | 5/5/2016 | State | NY |
| End Date | | Postal Code | 10172 |
| Fair Market Value | | Plus 4 | |
| Amount | \$480,080.19 | Province/Region | |
| Amount Expended For Fiscal Year | \$28,764.23 | Country | United States |
| Explain why the Fair Market Value is Less than the Amount | | Procurement Description | Underwriters |

| | | | |
|--|--------------------------------------|--------------------------------|---------------|
| 2. Vendor Name | BNY Mellon Capital Markets LLC | Address Line1 | 1 Wall St |
| Type of Procurement | Other Professional Services | Address Line2 | |
| Award Process | Authority Contract - Competitive Bid | City | NEW YORK |
| Award Date | 12/20/2012 | State | NY |
| End Date | | Postal Code | 10005 |
| Fair Market Value | | Plus 4 | |
| Amount | \$112,286.61 | Province/Region | |
| Amount Expended For Fiscal Year | \$112,286.61 | Country | United States |
| Explain why the Fair Market Value is Less than the Amount | | Procurement Description | Underwriters |

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| | | | |
|--|--------------------------------------|--------------------------------|--------------------------------|
| 3. Vendor Name | Bank of America Merrill Lynch | Address Line1 | 150 N. Wacker Dr. |
| Type of Procurement | Other Professional Services | Address Line2 | |
| Award Process | Authority Contract - Competitive Bid | City | CHICAGO |
| Award Date | 5/5/2016 | State | IL |
| End Date | | Postal Code | 60606 |
| Fair Market Value | | Plus 4 | |
| Amount | \$6,037,220.70 | Province/Region | |
| Amount Expended For Fiscal Year | \$6,037,220.70 | Country | United States |
| Explain why the Fair Market Value is Less than the Amount | | Procurement Description | Underwriters/Remarketing Agent |

| | | | |
|--|--------------------------------------|--------------------------------|--------------------|
| 4. Vendor Name | Bank of America NA | Address Line1 | 150 N. Wacker Dr. |
| Type of Procurement | Other Professional Services | Address Line2 | |
| Award Process | Authority Contract - Competitive Bid | City | CHICAGO |
| Award Date | 6/4/2010 | State | IL |
| End Date | | Postal Code | 60606 |
| Fair Market Value | | Plus 4 | |
| Amount | \$1,014,709.95 | Province/Region | |
| Amount Expended For Fiscal Year | \$1,014,709.95 | Country | United States |
| Explain why the Fair Market Value is Less than the Amount | | Procurement Description | Liquidity Provider |

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|--|--------------------------------------|--------------------------------|---------------|
| 5. Vendor Name | Bank of New York Mellon | Address Line1 | 101 Barclay |
| Type of Procurement | Other Professional Services | Address Line2 | |
| Award Process | Authority Contract - Competitive Bid | City | NEW YORK |
| Award Date | 2/2/2008 | State | NY |
| End Date | | Postal Code | 10286 |
| Fair Market Value | | Plus 4 | |
| Amount | \$267,151.03 | Province/Region | |
| Amount Expended For Fiscal Year | \$267,151.03 | Country | United States |
| Explain why the Fair Market Value is Less than the Amount | | Procurement Description | Trustee |

| | | | |
|--|--------------------------------------|--------------------------------|-------------------|
| 6. Vendor Name | Barclay's Capital Inc. | Address Line1 | One Liberty Plaza |
| Type of Procurement | Other Professional Services | Address Line2 | |
| Award Process | Authority Contract - Competitive Bid | City | NEW YORK |
| Award Date | 9/16/2008 | State | NY |
| End Date | | Postal Code | 10006 |
| Fair Market Value | | Plus 4 | |
| Amount | \$719,079.67 | Province/Region | |
| Amount Expended For Fiscal Year | \$719,079.67 | Country | United States |
| Explain why the Fair Market Value is Less than the Amount | | Procurement Description | Underwriters |

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| | | | |
|--|--------------------------------------|--------------------------------|--------------------|
| 7. Vendor Name | Barclays Bank PLC | Address Line1 | One Liberty Plaza |
| Type of Procurement | Other Professional Services | Address Line2 | |
| Award Process | Authority Contract - Competitive Bid | City | NEW YORK |
| Award Date | 6/4/2010 | State | NY |
| End Date | 1/7/2023 | Postal Code | 10006 |
| Fair Market Value | | Plus 4 | |
| Amount | \$2,543,466.56 | Province/Region | |
| Amount Expended For Fiscal Year | \$2,543,466.56 | Country | United States |
| Explain why the Fair Market Value is Less than the Amount | | Procurement Description | Liquidity Provider |

| | | | |
|--|--------------------------------------|--------------------------------|-------------------|
| 8. Vendor Name | Blaylock Beal Van LLC | Address Line1 | 600 Lexington Ave |
| Type of Procurement | Other Professional Services | Address Line2 | |
| Award Process | Authority Contract - Competitive Bid | City | NEW YORK |
| Award Date | 5/5/2016 | State | NY |
| End Date | | Postal Code | 10022 |
| Fair Market Value | | Plus 4 | |
| Amount | \$135,759.33 | Province/Region | |
| Amount Expended For Fiscal Year | \$135,759.33 | Country | United States |
| Explain why the Fair Market Value is Less than the Amount | | Procurement Description | Underwriters |

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|--|--------------------------------------|--------------------------------|---------------|
| 9. Vendor Name | Bryant Rabbino LLP | Address Line1 | 650 5th Ave |
| Type of Procurement | Other Professional Services | Address Line2 | |
| Award Process | Authority Contract - Competitive Bid | City | NEW YORK |
| Award Date | 9/1/2018 | State | NY |
| End Date | 9/1/2023 | Postal Code | 10019 |
| Fair Market Value | | Plus 4 | |
| Amount | \$360,000.00 | Province/Region | |
| Amount Expended For Fiscal Year | \$360,000.00 | Country | United States |
| Explain why the Fair Market Value is Less than the Amount | | Procurement Description | Bond Counsel |

| | | | |
|--|--------------------------------------|--------------------------------|---------------|
| 10. Vendor Name | Cabrera Capital Markets LLC | Address Line1 | 650 Fifth Ave |
| Type of Procurement | Other Professional Services | Address Line2 | |
| Award Process | Authority Contract - Competitive Bid | City | NEW YORK |
| Award Date | 12/20/2012 | State | NY |
| End Date | | Postal Code | 10019 |
| Fair Market Value | | Plus 4 | |
| Amount | \$381,618.94 | Province/Region | |
| Amount Expended For Fiscal Year | \$381,618.94 | Country | United States |
| Explain why the Fair Market Value is Less than the Amount | | Procurement Description | Underwriters |

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|--|--------------------------------------|--------------------------------|----------------------|
| 11. Vendor Name | Citigroup Global Markets | Address Line1 | 388 Greenwich Street |
| Type of Procurement | Other Professional Services | Address Line2 | |
| Award Process | Authority Contract - Competitive Bid | City | NEW YORK |
| Award Date | 2/2/2008 | State | NY |
| End Date | | Postal Code | 10013 |
| Fair Market Value | | Plus 4 | |
| Amount | \$971,209.54 | Province/Region | |
| Amount Expended For Fiscal Year | \$971,209.54 | Country | United States |
| Explain why the Fair Market Value is Less than the Amount | | Procurement Description | Underwriters |

| | | | |
|--|--|--------------------------------|---------------|
| 12. Vendor Name | Creative Source Inc. | Address Line1 | 27 W 24th St |
| Type of Procurement | Other Professional Services | Address Line2 | |
| Award Process | Authority Contract - Non-Competitive Bid | City | NEW YORK |
| Award Date | 6/30/2021 | State | NY |
| End Date | 6/30/2022 | Postal Code | 10010 |
| Fair Market Value | \$10,450.00 | Plus 4 | |
| Amount | \$10,450.00 | Province/Region | |
| Amount Expended For Fiscal Year | \$10,450.00 | Country | United States |
| Explain why the Fair Market Value is Less than the Amount | | Procurement Description | CAFR Designer |

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|--|--------------------------------------|--------------------------------|-----------------|
| 13. Vendor Name | Drexel Hamilton LLC | Address Line1 | 77 Water Street |
| Type of Procurement | Other Professional Services | Address Line2 | 201 |
| Award Process | Authority Contract - Competitive Bid | City | NEW YORK |
| Award Date | 5/5/2016 | State | NY |
| End Date | | Postal Code | 10005 |
| Fair Market Value | | Plus 4 | |
| Amount | \$85,444.61 | Province/Region | |
| Amount Expended For Fiscal Year | \$85,444.61 | Country | United States |
| Explain why the Fair Market Value is Less than the Amount | | Procurement Description | Underwriters |

| | | | |
|--|--------------------------------------|--------------------------------|---------------|
| 14. Vendor Name | Fidelity Capital Markets | Address Line1 | 401 E 60th St |
| Type of Procurement | Other Professional Services | Address Line2 | #36B |
| Award Process | Authority Contract - Competitive Bid | City | NEW YORK |
| Award Date | 9/17/2009 | State | NY |
| End Date | | Postal Code | 10022 |
| Fair Market Value | | Plus 4 | |
| Amount | \$211,179.48 | Province/Region | |
| Amount Expended For Fiscal Year | \$211,179.48 | Country | United States |
| Explain why the Fair Market Value is Less than the Amount | | Procurement Description | Underwriters |

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|--|--------------------------------------|--------------------------------|------------------------|
| 15. Vendor Name | Fitch Ratings, Inc. | Address Line1 | 33 Whitehall Street |
| Type of Procurement | Other Professional Services | Address Line2 | |
| Award Process | Authority Contract - Competitive Bid | City | NEW YORK |
| Award Date | 6/30/2022 | State | NY |
| End Date | | Postal Code | 10004 |
| Fair Market Value | | Plus 4 | |
| Amount | \$545,000.00 | Province/Region | |
| Amount Expended For Fiscal Year | \$545,000.00 | Country | United States |
| Explain why the Fair Market Value is Less than the Amount | | Procurement Description | Rating Agency Services |

| | | | |
|--|--------------------------------------|--------------------------------|-------------------|
| 16. Vendor Name | Frasca & Associates LLC | Address Line1 | 521 Madison Ave |
| Type of Procurement | Other Professional Services | Address Line2 | |
| Award Process | Authority Contract - Competitive Bid | City | NEW YORK |
| Award Date | 10/1/2019 | State | NY |
| End Date | 9/30/2024 | Postal Code | 10022 |
| Fair Market Value | | Plus 4 | |
| Amount | \$445,900.00 | Province/Region | |
| Amount Expended For Fiscal Year | \$445,900.00 | Country | United States |
| Explain why the Fair Market Value is Less than the Amount | | Procurement Description | Financial Advisor |

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|--|--------------------------------------|--------------------------------|----------------|
| 17. Vendor Name | Goldman Sachs & Co. | Address Line1 | 666 5th Avenue |
| Type of Procurement | Other Professional Services | Address Line2 | |
| Award Process | Authority Contract - Competitive Bid | City | NEW YORK |
| Award Date | 2/2/2008 | State | NY |
| End Date | | Postal Code | 10103 |
| Fair Market Value | | Plus 4 | |
| Amount | \$166,104.82 | Province/Region | |
| Amount Expended For Fiscal Year | \$166,104.82 | Country | United States |
| Explain why the Fair Market Value is Less than the Amount | | Procurement Description | Underwriters |

| | | | |
|--|--------------------------------------|--------------------------------|----------------|
| 18. Vendor Name | Great Pacific Securities | Address Line1 | 666 5th Avenue |
| Type of Procurement | Other Professional Services | Address Line2 | |
| Award Process | Authority Contract - Competitive Bid | City | NEW YORK |
| Award Date | 2/2/2008 | State | NY |
| End Date | | Postal Code | 10103 |
| Fair Market Value | | Plus 4 | |
| Amount | \$84,776.02 | Province/Region | |
| Amount Expended For Fiscal Year | \$84,776.02 | Country | United States |
| Explain why the Fair Market Value is Less than the Amount | | Procurement Description | Underwriters |

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|--|--------------------------------------|--------------------------------|---|
| 19. Vendor Name | Hardwick | Address Line1 | 14 WALL STREET |
| Type of Procurement | Other Professional Services | Address Line2 | 20TH FLOOR |
| Award Process | Authority Contract - Competitive Bid | City | NEW YORK |
| Award Date | 6/30/2021 | State | NY |
| End Date | 6/30/2024 | Postal Code | 10005 |
| Fair Market Value | | Plus 4 | |
| Amount | \$50,000.00 | Province/Region | |
| Amount Expended For Fiscal Year | \$50,000.00 | Country | United States |
| Explain why the Fair Market Value is Less than the Amount | | Procurement Description | Bond Counsel for Building Aid Revenue Bonds |

| | | | |
|--|--------------------------------------|--------------------------------|---------------|
| 20. Vendor Name | J.P. Morgan SecuritiesLLC | Address Line1 | 277 Park Ave |
| Type of Procurement | Other Professional Services | Address Line2 | |
| Award Process | Authority Contract - Competitive Bid | City | NEW YORK |
| Award Date | 2/2/2008 | State | NY |
| End Date | | Postal Code | 10172 |
| Fair Market Value | | Plus 4 | |
| Amount | \$1,835,177.45 | Province/Region | |
| Amount Expended For Fiscal Year | \$1,835,177.45 | Country | United States |
| Explain why the Fair Market Value is Less than the Amount | | Procurement Description | Underwriters |

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|--|--------------------------------------|--------------------------------|--------------------|
| 21. Vendor Name | JPMorgan Chase Bank N.A. | Address Line1 | 1111 Fannin |
| Type of Procurement | Other Professional Services | Address Line2 | |
| Award Process | Authority Contract - Competitive Bid | City | HOUSTON |
| Award Date | 4/1/2014 | State | TX |
| End Date | | Postal Code | 77002 |
| Fair Market Value | | Plus 4 | |
| Amount | \$4,546,449.71 | Province/Region | |
| Amount Expended For Fiscal Year | \$4,546,449.71 | Country | United States |
| Explain why the Fair Market Value is Less than the Amount | | Procurement Description | Liquidity Provider |

| | | | |
|--|--------------------------------------|--------------------------------|----------------------|
| 22. Vendor Name | Janney Montgomery Scott LLC | Address Line1 | 575 Lexington Avenue |
| Type of Procurement | Other Professional Services | Address Line2 | |
| Award Process | Authority Contract - Competitive Bid | City | NEW YORK |
| Award Date | 5/5/2016 | State | NY |
| End Date | | Postal Code | 10022 |
| Fair Market Value | | Plus 4 | |
| Amount | \$104,318.43 | Province/Region | |
| Amount Expended For Fiscal Year | \$104,318.43 | Country | United States |
| Explain why the Fair Market Value is Less than the Amount | | Procurement Description | Underwriters |

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|--|--------------------------------------|--------------------------------|-----------------|
| 23. Vendor Name | Jefferies LLC | Address Line1 | 520 Madison Ave |
| Type of Procurement | Other Professional Services | Address Line2 | |
| Award Process | Authority Contract - Competitive Bid | City | NEW YORK |
| Award Date | 4/1/2009 | State | NY |
| End Date | | Postal Code | 10022 |
| Fair Market Value | | Plus 4 | |
| Amount | \$755,182.82 | Province/Region | |
| Amount Expended For Fiscal Year | \$755,182.82 | Country | United States |
| Explain why the Fair Market Value is Less than the Amount | | Procurement Description | Underwriters |

| | | | |
|--|--------------------------------------|--------------------------------|-----------------|
| 24. Vendor Name | Katten Muchin Rosenman LLP | Address Line1 | 575 Madison Ave |
| Type of Procurement | Legal Services | Address Line2 | |
| Award Process | Authority Contract - Competitive Bid | City | NEW YORK |
| Award Date | 9/1/2018 | State | NY |
| End Date | 8/30/2023 | Postal Code | 10020 |
| Fair Market Value | | Plus 4 | |
| Amount | \$148,133.60 | Province/Region | |
| Amount Expended For Fiscal Year | \$148,133.60 | Country | United States |
| Explain why the Fair Market Value is Less than the Amount | | Procurement Description | Bond Counsel |

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|--|--------------------------------------|--------------------------------|----------------|
| 25. Vendor Name | Loop Capital Markets LLC | Address Line1 | 88 Pine Street |
| Type of Procurement | Other Professional Services | Address Line2 | |
| Award Process | Authority Contract - Competitive Bid | City | NEW YORK |
| Award Date | 2/2/2008 | State | NY |
| End Date | | Postal Code | 10005 |
| Fair Market Value | | Plus 4 | |
| Amount | \$91,636.80 | Province/Region | |
| Amount Expended For Fiscal Year | \$91,636.80 | Country | United States |
| Explain why the Fair Market Value is Less than the Amount | | Procurement Description | Underwriters |

| | | | |
|--|---------------------------------------|--------------------------------|---------------|
| 26. Vendor Name | Mayer Hoffman (formerly Marks Paneth) | Address Line1 | 685 3rd Ave |
| Type of Procurement | Other Professional Services | Address Line2 | |
| Award Process | Authority Contract - Competitive Bid | City | NEW YORK |
| Award Date | 7/1/2016 | State | NY |
| End Date | 6/30/2024 | Postal Code | 10017 |
| Fair Market Value | | Plus 4 | |
| Amount | \$32,000.00 | Province/Region | |
| Amount Expended For Fiscal Year | \$32,000.00 | Country | United States |
| Explain why the Fair Market Value is Less than the Amount | | Procurement Description | Auditors |

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|--|--------------------------------------|--------------------------------|-----------------------------|
| 27. Vendor Name | Mizuho Bank Ltd. | Address Line1 | 1251 Avenue of the Americas |
| Type of Procurement | Other Professional Services | Address Line2 | |
| Award Process | Authority Contract - Competitive Bid | City | NEW YORK |
| Award Date | 4/1/2014 | State | NY |
| End Date | | Postal Code | 10020 |
| Fair Market Value | | Plus 4 | |
| Amount | \$2,658,861.11 | Province/Region | |
| Amount Expended For Fiscal Year | \$2,658,861.11 | Country | United States |
| Explain why the Fair Market Value is Less than the Amount | | Procurement Description | Liquidity Provider |

| | | | |
|--|--------------------------------------|--------------------------------|---------------|
| 28. Vendor Name | Mizuho Securities USA LLC | Address Line1 | 1271 6th Ave |
| Type of Procurement | Other Professional Services | Address Line2 | |
| Award Process | Authority Contract - Competitive Bid | City | NEW YORK |
| Award Date | 5/5/2016 | State | NY |
| End Date | | Postal Code | 10020 |
| Fair Market Value | | Plus 4 | |
| Amount | \$42,024.15 | Province/Region | |
| Amount Expended For Fiscal Year | \$42,024.15 | Country | United States |
| Explain why the Fair Market Value is Less than the Amount | | Procurement Description | Underwriters |

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| 29. Vendor Name | Moody's | Address Line1 | 7 World Trade Center |
| Type of Procurement | Other | Address Line2 | |
| Award Process | Authority Contract - Competitive Bid | City | NEW YORK |
| Award Date | 6/30/2022 | State | NY |
| End Date | | Postal Code | 10007 |
| Fair Market Value | | Plus 4 | |
| Amount | \$482,000.00 | Province/Region | |
| Amount Expended For Fiscal Year | \$482,000.00 | Country | United States |
| Explain why the Fair Market Value is Less than the Amount | | Procurement Description | Rating Agency Services |

| | | | |
|--|--------------------------------------|--------------------------------|---------------|
| 30. Vendor Name | Morgan Stanley & Co. Inc. | Address Line1 | One NY Plaza |
| Type of Procurement | Other Professional Services | Address Line2 | |
| Award Process | Authority Contract - Competitive Bid | City | NEW YORK |
| Award Date | 2/2/2008 | State | NY |
| End Date | | Postal Code | 10004 |
| Fair Market Value | | Plus 4 | |
| Amount | \$1,968,202.99 | Province/Region | |
| Amount Expended For Fiscal Year | \$1,968,202.99 | Country | United States |
| Explain why the Fair Market Value is Less than the Amount | | Procurement Description | Underwriters |

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| 31. Vendor Name | New York City Municipal Water Finance Authority | Address Line1 | 255 Greenwich Street |
| Type of Procurement | Other Professional Services | Address Line2 | |
| Award Process | Authority Contract - Non-Competitive Bid | City | NEW YORK |
| Award Date | 10/1/2007 | State | NY |
| End Date | | Postal Code | 10007 |
| Fair Market Value | | Plus 4 | |
| Amount | \$721,456.00 | Province/Region | |
| Amount Expended For Fiscal Year | \$721,456.00 | Country | United States |
| Explain why the Fair Market Value is Less than the Amount | | Procurement Description | Public Authority |

| | | | |
|--|---|--------------------------------|----------------------|
| 32. Vendor Name | New York City Office of Management and Budget | Address Line1 | 255 Greenwich Street |
| Type of Procurement | Other Professional Services | Address Line2 | |
| Award Process | Authority Contract - Non-Competitive Bid | City | NEW YORK |
| Award Date | 10/1/2007 | State | NY |
| End Date | | Postal Code | 10007 |
| Fair Market Value | | Plus 4 | |
| Amount | \$2,003,461.00 | Province/Region | |
| Amount Expended For Fiscal Year | \$2,003,461.00 | Country | United States |
| Explain why the Fair Market Value is Less than the Amount | | Procurement Description | Public Authority |

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| 33. Vendor Name | Norton Rose Fulbright US LLP | Address Line1 | 1301 Ave of the Americas |
| Type of Procurement | Legal Services | Address Line2 | |
| Award Process | Authority Contract - Competitive Bid | City | NEW YORK |
| Award Date | 9/1/2018 | State | NY |
| End Date | 9/1/2024 | Postal Code | 10019 |
| Fair Market Value | | Plus 4 | |
| Amount | \$2,075,000.00 | Province/Region | |
| Amount Expended For Fiscal Year | \$2,075,000.00 | Country | United States |
| Explain why the Fair Market Value is Less than the Amount | | Procurement Description | Bond Counsel |

| | | | |
|--|--------------------------------------|--------------------------------|----------------------|
| 34. Vendor Name | Omnicap Group LLC | Address Line1 | 1325 6th Ave |
| Type of Procurement | Other Professional Services | Address Line2 | Suite 2302 |
| Award Process | Authority Contract - Competitive Bid | City | NEW YORK |
| Award Date | 7/1/2016 | State | NY |
| End Date | 4/12/2024 | Postal Code | 10019 |
| Fair Market Value | | Plus 4 | |
| Amount | \$107,500.00 | Province/Region | |
| Amount Expended For Fiscal Year | \$107,500.00 | Country | United States |
| Explain why the Fair Market Value is Less than the Amount | | Procurement Description | Arbitrage Consulting |

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| 35. Vendor Name | Oppenheimer & Co. Inc. | Address Line1 | 85 Broad Street |
| Type of Procurement | Other Professional Services | Address Line2 | |
| Award Process | Authority Contract - Competitive Bid | City | NEW YORK |
| Award Date | 9/17/2009 | State | NY |
| End Date | | Postal Code | 10004 |
| Fair Market Value | | Plus 4 | |
| Amount | \$75,168.73 | Province/Region | |
| Amount Expended For Fiscal Year | \$75,168.73 | Country | United States |
| Explain why the Fair Market Value is Less than the Amount | | Procurement Description | Underwriters |

| | | | |
|--|--------------------------------------|--------------------------------|-----------------|
| 36. Vendor Name | PNC Capital Markets LLC | Address Line1 | 340 Madison Ave |
| Type of Procurement | Other Professional Services | Address Line2 | |
| Award Process | Authority Contract - Competitive Bid | City | NEW YORK |
| Award Date | 2/2/2008 | State | NY |
| End Date | | Postal Code | 10017 |
| Fair Market Value | | Plus 4 | |
| Amount | \$79,999.99 | Province/Region | |
| Amount Expended For Fiscal Year | \$79,999.99 | Country | United States |
| Explain why the Fair Market Value is Less than the Amount | | Procurement Description | Underwriters |

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|--|--------------------------------------|--------------------------------|---------------|
| 37. Vendor Name | Piper Sandler | Address Line1 | 345 Park Ave |
| Type of Procurement | Other Professional Services | Address Line2 | |
| Award Process | Authority Contract - Competitive Bid | City | NEW YORK |
| Award Date | 7/1/2017 | State | NY |
| End Date | | Postal Code | 10020 |
| Fair Market Value | | Plus 4 | |
| Amount | \$25,361.11 | Province/Region | |
| Amount Expended For Fiscal Year | \$25,361.11 | Country | United States |
| Explain why the Fair Market Value is Less than the Amount | | Procurement Description | Underwriter |

| | | | |
|--|--------------------------------------|--------------------------------|-------------------|
| 38. Vendor Name | Public Resources Advisory Group | Address Line1 | 39 Broadway |
| Type of Procurement | Other Professional Services | Address Line2 | Suite 12010 |
| Award Process | Authority Contract - Competitive Bid | City | NEW YORK |
| Award Date | 10/1/2019 | State | NY |
| End Date | 9/30/2022 | Postal Code | 10006 |
| Fair Market Value | | Plus 4 | |
| Amount | \$774,820.00 | Province/Region | |
| Amount Expended For Fiscal Year | \$774,820.00 | Country | United States |
| Explain why the Fair Market Value is Less than the Amount | | Procurement Description | Financial Advisor |

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|--|--------------------------------------|--------------------------------|-------------------|
| 39. Vendor Name | RBC Capital Markets | Address Line1 | One Liberty Plaza |
| Type of Procurement | Other Professional Services | Address Line2 | |
| Award Process | Authority Contract - Competitive Bid | City | NEW YORK |
| Award Date | 2/2/2008 | State | NY |
| End Date | | Postal Code | 10006 |
| Fair Market Value | | Plus 4 | |
| Amount | \$2,544,547.83 | Province/Region | |
| Amount Expended For Fiscal Year | \$2,544,547.83 | Country | United States |
| Explain why the Fair Market Value is Less than the Amount | | Procurement Description | Underwriters |

| | | | |
|--|--------------------------------------|--------------------------------|---------------------------|
| 40. Vendor Name | Ramirez & Co. Inc. | Address Line1 | 61 Broadway New York NY ? |
| Type of Procurement | Other Professional Services | Address Line2 | |
| Award Process | Authority Contract - Competitive Bid | City | NEW YORK |
| Award Date | 2/2/2008 | State | NY |
| End Date | | Postal Code | 10006 |
| Fair Market Value | | Plus 4 | |
| Amount | \$5,163,975.65 | Province/Region | |
| Amount Expended For Fiscal Year | \$5,163,975.65 | Country | United States |
| Explain why the Fair Market Value is Less than the Amount | | Procurement Description | Underwriters |

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|--|--------------------------------------|--------------------------------|----------------------|
| 41. Vendor Name | Raymond James & Associates Inc. | Address Line1 | 1 Pennsylvania Plaza |
| Type of Procurement | Other Professional Services | Address Line2 | |
| Award Process | Authority Contract - Competitive Bid | City | NEW YORK |
| Award Date | 2/2/2008 | State | NY |
| End Date | | Postal Code | 10019 |
| Fair Market Value | | Plus 4 | |
| Amount | \$227,064.48 | Province/Region | |
| Amount Expended For Fiscal Year | \$227,064.48 | Country | United States |
| Explain why the Fair Market Value is Less than the Amount | | Procurement Description | Underwriters |

| | | | |
|--|--------------------------------------|--------------------------------|-----------------|
| 42. Vendor Name | Rice Financial Products | Address Line1 | 17 State Street |
| Type of Procurement | Other Professional Services | Address Line2 | |
| Award Process | Authority Contract - Competitive Bid | City | NEW YORK |
| Award Date | 9/17/2009 | State | NY |
| End Date | | Postal Code | 10004 |
| Fair Market Value | | Plus 4 | |
| Amount | \$59,856.53 | Province/Region | |
| Amount Expended For Fiscal Year | \$59,856.53 | Country | United States |
| Explain why the Fair Market Value is Less than the Amount | | Procurement Description | Underwriters |

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|--|--------------------------------------|--------------------------------|------------------|
| 43. Vendor Name | Roosevelt and Cross Incorporated | Address Line1 | 1 Exchange Plaza |
| Type of Procurement | Other Professional Services | Address Line2 | |
| Award Process | Authority Contract - Competitive Bid | City | NEW YORK |
| Award Date | 2/2/2008 | State | NY |
| End Date | | Postal Code | 10006 |
| Fair Market Value | | Plus 4 | |
| Amount | \$367,750.02 | Province/Region | |
| Amount Expended For Fiscal Year | \$367,750.02 | Country | United States |
| Explain why the Fair Market Value is Less than the Amount | | Procurement Description | Underwriters |

| | | | |
|--|--------------------------------------|--------------------------------|-----------------|
| 44. Vendor Name | Siebert Brandford Shank & Co. LLC | Address Line1 | 100 Wall Street |
| Type of Procurement | Other Professional Services | Address Line2 | |
| Award Process | Authority Contract - Competitive Bid | City | NEW YORK |
| Award Date | 2/2/2008 | State | NY |
| End Date | | Postal Code | 10005 |
| Fair Market Value | | Plus 4 | |
| Amount | \$3,393,484.22 | Province/Region | |
| Amount Expended For Fiscal Year | \$3,393,484.22 | Country | United States |
| Explain why the Fair Market Value is Less than the Amount | | Procurement Description | Underwriters |

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|--|--------------------------------------|--------------------------------|------------------------|
| 45. Vendor Name | Standard & Poor's | Address Line1 | 55 Water Street |
| Type of Procurement | Other | Address Line2 | |
| Award Process | Authority Contract - Competitive Bid | City | NEW YORK |
| Award Date | 6/30/2022 | State | NY |
| End Date | | Postal Code | 10041 |
| Fair Market Value | | Plus 4 | |
| Amount | \$186,721.00 | Province/Region | |
| Amount Expended For Fiscal Year | \$186,721.00 | Country | United States |
| Explain why the Fair Market Value is Less than the Amount | | Procurement Description | Rating Agency Services |

| | | | |
|--|--|--------------------------------|--------------------|
| 46. Vendor Name | State Street Bank & Trust Company N.A. | Address Line1 | 33 Maiden Lane |
| Type of Procurement | Other Professional Services | Address Line2 | |
| Award Process | Authority Contract - Competitive Bid | City | NEW YORK |
| Award Date | 8/1/2012 | State | NY |
| End Date | | Postal Code | 10038 |
| Fair Market Value | | Plus 4 | |
| Amount | \$600,437.66 | Province/Region | |
| Amount Expended For Fiscal Year | \$600,437.66 | Country | United States |
| Explain why the Fair Market Value is Less than the Amount | | Procurement Description | Liquidity Provider |

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|--|--|--------------------------------|----------------|
| 47. Vendor Name | State Street Bank & Trust Company N.A. | Address Line1 | 33 Maiden Lane |
| Type of Procurement | Other Professional Services | Address Line2 | |
| Award Process | Authority Contract - Competitive Bid | City | NEW YORK |
| Award Date | 1/1/2007 | State | NY |
| End Date | | Postal Code | 10038 |
| Fair Market Value | | Plus 4 | |
| Amount | \$15,239.00 | Province/Region | |
| Amount Expended For Fiscal Year | \$15,239.00 | Country | United States |
| Explain why the Fair Market Value is Less than the Amount | | Procurement Description | Investments |

| | | | |
|--|--------------------------------------|--------------------------------|-----------------|
| 48. Vendor Name | Stern Brothers | Address Line1 | 100 Wall Street |
| Type of Procurement | Other Professional Services | Address Line2 | |
| Award Process | Authority Contract - Competitive Bid | City | NEW YORK |
| Award Date | 2/2/2008 | State | NY |
| End Date | | Postal Code | 10005 |
| Fair Market Value | | Plus 4 | |
| Amount | \$53,426.29 | Province/Region | |
| Amount Expended For Fiscal Year | \$53,426.29 | Country | United States |
| Explain why the Fair Market Value is Less than the Amount | | Procurement Description | Underwriters |

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|--|--------------------------------------|--------------------------------|-----------------|
| 49. Vendor Name | Stifel Nicolaus & Co. Inc. | Address Line1 | 237 Park Avenue |
| Type of Procurement | Other Professional Services | Address Line2 | |
| Award Process | Authority Contract - Competitive Bid | City | NEW YORK |
| Award Date | 2/2/2008 | State | NY |
| End Date | | Postal Code | 10017 |
| Fair Market Value | | Plus 4 | |
| Amount | \$177,304.13 | Province/Region | |
| Amount Expended For Fiscal Year | \$177,304.13 | Country | United States |
| Explain why the Fair Market Value is Less than the Amount | | Procurement Description | Underwriters |

| | | | |
|--|--------------------------------------|--------------------------------|--------------------|
| 50. Vendor Name | Sumitomo Mitsui Banking Corp. | Address Line1 | 277 Park Ave |
| Type of Procurement | Other Professional Services | Address Line2 | |
| Award Process | Authority Contract - Competitive Bid | City | NEW YORK |
| Award Date | 3/3/2010 | State | NY |
| End Date | 10/15/2024 | Postal Code | 10017 |
| Fair Market Value | | Plus 4 | |
| Amount | \$1,708,215.99 | Province/Region | |
| Amount Expended For Fiscal Year | \$1,708,215.99 | Country | United States |
| Explain why the Fair Market Value is Less than the Amount | | Procurement Description | Liquidity Provider |

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|--|--------------------------------------|--------------------------------|--------------------|
| 51. Vendor Name | TD Bank NA | Address Line1 | 469 7th Avenue |
| Type of Procurement | Other Professional Services | Address Line2 | |
| Award Process | Authority Contract - Competitive Bid | City | NEW YORK |
| Award Date | 11/1/2011 | State | NY |
| End Date | 5/26/2023 | Postal Code | 10018 |
| Fair Market Value | | Plus 4 | |
| Amount | \$891,807.56 | Province/Region | |
| Amount Expended For Fiscal Year | \$891,807.56 | Country | United States |
| Explain why the Fair Market Value is Less than the Amount | | Procurement Description | Liquidity Provider |

| | | | |
|--|--------------------------------------|--------------------------------|---------------|
| 52. Vendor Name | TD Securities (USA) LLC | Address Line1 | 31 W 52nd St |
| Type of Procurement | Other Professional Services | Address Line2 | |
| Award Process | Authority Contract - Competitive Bid | City | NEW YORK |
| Award Date | 12/20/2012 | State | NY |
| End Date | | Postal Code | 10019 |
| Fair Market Value | | Plus 4 | |
| Amount | \$250,012.08 | Province/Region | |
| Amount Expended For Fiscal Year | \$250,012.08 | Country | United States |
| Explain why the Fair Market Value is Less than the Amount | | Procurement Description | Underwriters |

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|--|--------------------------------------|--------------------------------|----------------|
| 53. Vendor Name | UBS Financial Services Inc. | Address Line1 | 1285 Sixth Ave |
| Type of Procurement | Other Professional Services | Address Line2 | |
| Award Process | Authority Contract - Competitive Bid | City | NEW YORK |
| Award Date | 4/1/2014 | State | NY |
| End Date | | Postal Code | 10019 |
| Fair Market Value | | Plus 4 | |
| Amount | \$983,944.07 | Province/Region | |
| Amount Expended For Fiscal Year | \$983,944.07 | Country | United States |
| Explain why the Fair Market Value is Less than the Amount | | Procurement Description | Underwriters |

| | | | |
|--|--------------------------------------|--------------------------------|--------------------|
| 54. Vendor Name | US BANK | Address Line1 | 461 5th Ave |
| Type of Procurement | Other Professional Services | Address Line2 | |
| Award Process | Authority Contract - Competitive Bid | City | NEW YORK |
| Award Date | 8/1/2012 | State | NY |
| End Date | 5/26/2023 | Postal Code | 10017 |
| Fair Market Value | | Plus 4 | |
| Amount | \$528,514.63 | Province/Region | |
| Amount Expended For Fiscal Year | \$528,514.63 | Country | United States |
| Explain why the Fair Market Value is Less than the Amount | | Procurement Description | Liquidity Provider |

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|--|--------------------------------------|--------------------------------|---------------|
| 55. Vendor Name | Wells Fargo Bank NA | Address Line1 | 463 Broadway |
| Type of Procurement | Other Professional Services | Address Line2 | |
| Award Process | Authority Contract - Competitive Bid | City | NEW YORK |
| Award Date | 9/17/2009 | State | NY |
| End Date | | Postal Code | 10013 |
| Fair Market Value | | Plus 4 | |
| Amount | \$3,102,566.69 | Province/Region | |
| Amount Expended For Fiscal Year | \$3,102,566.69 | Country | United States |
| Explain why the Fair Market Value is Less than the Amount | | Procurement Description | Underwriters |

Additional Comments