

**Procurement-Information:**

Question	Response	URL (if applicable)
1. Does the Authority have procurement guidelines?	Yes	<a href="http://www.osc.state.ny.us/pension/lgac/reports/procurement/trpts/2013.pdf">http://www.osc.state.ny.us/pension/lgac/reports/procurement/trpts/2013.pdf</a>
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	
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	
10. As required by Section 2880 of the Public Authorities Law, has the Authority prepared a statement on its prompt payment policy?	Yes	Attachment Included
11. As required by Section 2880 of the Public Authorities Law, has the Authority prepared a report on the scope and implementation of its prompt payment policy?	Yes	Attachment Included
12. Is the Authority subject to Article 15-A of the Executive Law?	Yes	
13. Has the Authority designated a person or persons to oversee its MWBE program?	Yes	
14. Does the Authority maintain a current and updated list of qualified certified MWBEs?	Yes	
15. Does the Authority provide notices to professional and other organizations that serve MWBEs as to the types of services procured by the Authority?	Yes	

**Procurement-Information:**

Question	Response	URL (if applicable)
16. Did the Authority establish a goal for participation by MWBEs in its procurement contracts?	Yes	
a. If yes, what was the goal (percentage of total procurements) for the reporting period?	18%	
b. What was the actual percentage of total procurements awarded to MWBEs for the reporting period?	18%	

**Procurement Transactions Listing:**

1. Vendor Name:	Bank of America, N.A.	Type of Procurement:	Financial Services
Transaction Number:	LGAC149	Award Process:	Authority Contract - Competitive Bid
Procurement Description:	Standby Bond Purchase Agreement - 2003A-4V	Award Date:	11/15/2010
		Begin Date:	12/01/2010
		Renewal Date:	
Amount Expended for Fiscal Year:	\$916,292.36	End Date:	11/16/2015
Amount Expended for Life to Date:	\$2,086,030.22	Amount:	\$4,543,702.08
Does the contract have an end Date:	Yes	Fair Market value:	
Current or Outstanding Balance:	\$2,457,671.86	Explain why the fair market value is less than the contract amount:	
Number Of Bids Or Proposals Received Prior to Award of Contract:	1		
Is the Vendor a NYS or Foreign Business Enterprise?	NYS	Status:	OPEN
Is the Vendor a Minority or Woman-Owned Business Enterprise?	No	were MWBE firms solicited as part of this procurement proces	No
Exemption from the publication requirements of Article 4c of the economic-development law?		Number of bids and proposal received from MWBE firms:	
If Yes, basis for exemption:			
Address Line1:	777 Main Street		
Address Line2:			
City:	HARTFORD		
State:	CT		
Postal Code:	06115		
Plus 4:			
Province Region:			
Country:	USA		

**Procurement Transactions Listing:**

2. Vendor Name:	Fiduciary Communications Company	Type of Procurement:	Other
Transaction Number:	LGAC145	Award Process:	Authority Contract - Competitive Bid
Procurement Description:	Formatting and Placement of Notices of Sales	Award Date:	04/24/2009
		Begin Date:	05/01/2009
		Renewal Date:	
Amount Expended for Fiscal Year:	\$15,117.56	End Date:	04/30/2014
Amount Expended for Life to Date:	\$61,304.2	Amount:	\$69,845
Does the contract have an end Date:	Yes	Fair Market value:	
Current or Outstanding Balance:	\$8,540.8	Explain why the fair market value is less than the contract amount:	
Number Of Bids Or Proposals Received Prior to Award of Contract:	12		
Is the Vendor a NYS or Foreign Business Enterprise?	NYS	Status:	OPEN
Is the Vendor a Minority or Woman-Owned Business Enterprise?	No	were MWBE firms solicited as part of this procurement proces	Yes
Exemption from the publication requirements of Article 4c of the economic-development law?		Number of bids and proposal received from MWBE firms:	0
If Yes, basis for exemption:			
Address Line1:	One State Street Plaza		
Address Line2:	25th Floor		
City:	NEW YORK		
State:	NY		
Postal Code:	10004		
Plus 4:			
Province Region:			
Country:	USA		

**Procurement Transactions Listing:**

3. Vendor Name:	Goldman Sachs & Co.	Type of Procurement:	Financial Services
Transaction Number:	LGAC019	Award Process:	Authority Contract - Competitive Bid
Procurement Description:	Remarketing Agent -1995D & 1995E (1995D ended 7/1/2010)	Award Date:	07/06/1995
		Begin Date:	07/06/1995
		Renewal Date:	
Amount Expended for Fiscal Year:	\$13,459.02	End Date:	05/31/2012
Amount Expended for Life to Date:	\$1,315,544.72	Amount:	\$1,875,550.3
Does the contract have an end Date:	Yes	Fair Market value:	
Current or Outstanding Balance:	\$560,005.58	Explain why the fair market value is less than the contract amount:	
Number Of Bids Or Proposals Received Prior to Award of Contract:	18		
Is the Vendor a NYS or Foreign Business Enterprise?	NYS	Status:	COMPLETED
Is the Vendor a Minority or Woman-Owned Business Enterprise?	No	were MWBE firms solicited as part of this procurement proces	No
Exemption from the publication requirements of Article 4c of the economic-development law?		Number of bids and proposal received from MWBE firms:	
If Yes, basis for exemption:			
Address Line1:	200 West Street		
Address Line2:			
City:	NEW YORK		
State:	NY		
Postal Code:	10282		
Plus 4:			
Province Region:			
Country:	USA		

**Procurement Transactions Listing:**

<p>4. Vendor Name: Goldman Sachs &amp; Co.</p> <p>Transaction Number: LGAC133</p> <p>Procurement Description: Remarketing Agent - 2008B-AV-BV</p> <p>Amount Expended for Fiscal Year: \$52,742.5</p> <p>Amount Expended for Life to Date: \$231,813.75</p> <p>Does the contract have an end Date: Yes</p> <p>Current or Outstanding Balance: \$335,659.1</p> <p>Number Of Bids Or Proposals Received Prior to Award of Contract:</p> <p>Is the Vendor a NYS or Foreign Business Enterprise? NYS</p> <p>Is the Vendor a Minority or Woman-Owned Business Enterprise? No</p> <p>Exemption from the publication requirements of Article 4c of the economic-development law?</p> <p>If Yes, basis for exemption:</p> <p>Address Line1: 200 West Street</p> <p>Address Line2:</p> <p>City: NEW YORK</p> <p>State: NY</p> <p>Postal Code: 10282</p> <p>Plus 4:</p> <p>Province Region:</p> <p>Country: USA</p>	<p>Type of Procurement: Financial Services</p> <p>Award Process: Authority Contract - Non-Competitive Bid</p> <p>Award Date: 06/26/2008</p> <p>Begin Date: 06/26/2008</p> <p>Renewal Date:</p> <p>End Date: 04/01/2021</p> <p>Amount: \$567,472.85</p> <p>Fair Market value:</p> <p>Explain why the fair market value is less than the contract amount:</p> <p>Status: OPEN</p> <p>were MWBE firms solicited as part of this procurement proces No</p> <p>Number of bids and proposal received from MWBE firms:</p>
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**Procurement Transactions Listing:**

5. Vendor Name:	Goldman Sachs Mitsui Marine Derivative Products LP	Type of Procurement:	Financial Services
Transaction Number:	LGAC122	Award Process:	Authority Contract - Competitive Bid
Procurement Description:	Swap Counterparty - 2004A	Award Date:	02/18/2004
		Begin Date:	02/18/2004
		Renewal Date:	
Amount Expended for Fiscal Year:	\$3,333,407.36	End Date:	04/01/2021
Amount Expended for Life to Date:	\$26,687,235.77	Amount:	\$50,728,073
Does the contract have an end Date:	Yes	Fair Market value:	
Current or Outstanding Balance:	\$24,040,837.23	Explain why the fair market value is less than the contract amount:	
Number Of Bids Or Proposals Received Prior to Award of Contract:	10		
Is the Vendor a NYS or Foreign Business Enterprise?	NYS	Status:	OPEN
Is the Vendor a Minority or Woman-Owned Business Enterprise?	No	were MWBE firms solicited as part of this procurement proces	No
Exemption from the publication requirements of Article 4c of the economic-development law?		Number of bids and proposal received from MWBE firms:	
If Yes, basis for exemption:			
Address Line1:	200 West Street		
Address Line2:			
City:	NEW YORK		
State:	NY		
Postal Code:	10282		
Plus 4:			
Province Region:			
Country:	USA		

**Procurement Transactions Listing:**

<p>6. Vendor Name: HELABA, New York Branch (formerly The Bank of Nova Scotia)</p> <p>Transaction Number: LGAC022</p> <p>Procurement Description: Credit Facility - 1995B-G Bank of Nova Scotia Ended 7/01/2010; Credit Facility - 1995C &amp; 1995E - Helaba as of 7/01/2010</p> <p>Amount Expended for Fiscal Year: \$277,718.42</p> <p>Amount Expended for Life to Date: \$23,917,857.8</p> <p>Does the contract have an end Date: Yes</p> <p>Current or Outstanding Balance: \$9,642,886.95</p> <p>Number Of Bids Or Proposals Received Prior to Award of Contract: 1</p> <p>Is the Vendor a NYS or Foreign Business Enterprise? NYS</p> <p>Is the Vendor a Minority or Woman-Owned Business Enterprise? No</p> <p>Exemption from the publication requirements of Article 4c of the economic-development law? If Yes, basis for exemption:</p> <p>Address Line1: 420 Fifth Avenue</p> <p>Address Line2: 24th Floor</p> <p>City: NEW YORK</p> <p>State: NY</p> <p>Postal Code: 10018</p> <p>Plus 4:</p> <p>Province Region:</p> <p>Country: USA</p>	<p>Type of Procurement: Financial Services</p> <p>Award Process: Authority Contract - Non-Competitive Bid</p> <p>Award Date: 07/06/1995</p> <p>Begin Date: 07/06/1995</p> <p>Renewal Date: 06/03/2010</p> <p>End Date: 06/01/2012</p> <p>Amount: \$33,560,744.75</p> <p>Fair Market value: Explain why the fair market value is less than the contract amount:</p> <p>Status: COMPLETED</p> <p>were MWBE firms solicited as part of this procurement proces No</p> <p>Number of bids and proposal received from MWBE firms:</p>
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**Procurement Transactions Listing:**

<p>7. Vendor Name: Hawkins Delafield &amp; Wood LLP/Gonzalez Saggio &amp; Harlan LLP</p> <p>Transaction Number: C000905</p> <p>Procurement Description: Legal Services</p> <p>Amount Expended for Fiscal Year: \$62,462.8</p> <p>Amount Expended for Life to Date: \$62,462.8</p> <p>Does the contract have an end Date: Yes</p> <p>Current or Outstanding Balance: \$1,817,537.2</p> <p>Number Of Bids Or Proposals Received Prior to Award of Contract: 10</p> <p>Is the Vendor a NYS or Foreign Business Enterprise? NYS</p> <p>Is the Vendor a Minority or Woman-Owned Business Enterprise? Yes</p> <p>Exemption from the publication requirements of Article 4c of the economic-development law? If Yes, basis for exemption:</p>  <p>Address Line1: One Manhattan Plaza</p> <p>Address Line2:</p> <p>City: NEW YORK</p> <p>State: NY</p> <p>Postal Code: 10005</p> <p>Plus 4:</p> <p>Province Region:</p> <p>Country: USA</p>	<p>Type of Procurement: Legal Services</p> <p>Award Process: Authority Contract - Competitive Bid</p> <p>Award Date: 10/11/2012</p> <p>Begin Date: 02/28/2012</p> <p>Renewal Date:</p> <p>End Date: 02/27/2017</p> <p>Amount: \$1,880,000</p> <p>Fair Market value: Explain why the fair market value is less than the contract amount:</p> <p>Status: OPEN</p> <p>were MWBE firms solicited as part of this procurement proces Yes</p> <p>Number of bids and proposal received from MWBE firms: 2</p>
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**Procurement Transactions Listing:**

<p>8. Vendor Name: JPMorgan Chase Bank</p> <p>Transaction Number: LGAC103</p> <p>Procurement Description: Swap Counterparty - 2003A</p> <p>Amount Expended for Fiscal Year: \$6,755,202.58</p> <p>Amount Expended for Life to Date: \$83,697,839.97</p> <p>Does the contract have an end Date: Yes</p> <p>Current or Outstanding Balance: \$60,810,160.03</p> <p>Number Of Bids Or Proposals Received Prior to Award of Contract: 11</p> <p>Is the Vendor a NYS or Foreign Business Enterprise? NYS</p> <p>Is the Vendor a Minority or Woman-Owned Business Enterprise? No</p> <p>Exemption from the publication requirements of Article 4c of the economic-development law? If Yes, basis for exemption:</p> <p>Address Line1: 383 Madison Avenue</p> <p>Address Line2:</p> <p>City: NEW YORK</p> <p>State: NY</p> <p>Postal Code: 10179</p> <p>Plus 4:</p> <p>Province Region:</p> <p>Country: USA</p>	<p>Type of Procurement: Financial Services</p> <p>Award Process: Authority Contract - Competitive Bid</p> <p>Award Date: 02/20/2003</p> <p>Begin Date: 02/20/2003</p> <p>Renewal Date:</p> <p>End Date: 04/01/2022</p> <p>Amount: \$144,508,000</p> <p>Fair Market value: Explain why the fair market value is less than the contract amount:</p> <p>Status: OPEN</p> <p>were MWBE firms solicited as part of this procurement proces No</p> <p>Number of bids and proposal received from MWBE firms:</p>
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**Procurement Transactions Listing:**

<p>9. Vendor Name: JPMorgan Chase Bank</p> <p>Transaction Number: LGAC137</p> <p>Procurement Description: Standby Bond Purchase Agreement - 2008B-3V</p> <p>Amount Expended for Fiscal Year: \$885,166.86</p> <p>Amount Expended for Life to Date: \$4,275,284.15</p> <p>Does the contract have an end Date: Yes</p> <p>Current or Outstanding Balance: \$1,236,918.39</p> <p>Number Of Bids Or Proposals Received Prior to Award of Contract: 6</p> <p>Is the Vendor a NYS or Foreign Business Enterprise? NYS</p> <p>Is the Vendor a Minority or Woman-Owned Business Enterprise? No</p> <p>Exemption from the publication requirements of Article 4c of the economic-development law? If Yes, basis for exemption:</p> <p>Address Line1: 383 Madison Avenue</p> <p>Address Line2:</p> <p>City: NEW YORK</p> <p>State: NY</p> <p>Postal Code: 10179</p> <p>Plus 4:</p> <p>Province Region:</p> <p>Country: USA</p>	<p>Type of Procurement: Financial Services</p> <p>Award Process: Authority Contract - Competitive Bid</p> <p>Award Date: 06/01/2008</p> <p>Begin Date: 06/26/2008</p> <p>Renewal Date: 06/01/2010</p> <p>End Date: 06/24/2014</p> <p>Amount: \$5,512,202.54</p> <p>Fair Market value: Explain why the fair market value is less than the contract amount:</p> <p>Status: OPEN</p> <p>were MWBE firms solicited as part of this procurement proces No</p> <p>Number of bids and proposal received from MWBE firms:</p>
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**Procurement Transactions Listing:**

10. Vendor Name:	JPMorgan Chase Bank	Type of Procurement:	Financial Services
Transaction Number:	LGAC139	Award Process:	Authority Contract - Competitive Bid
Procurement Description:	Standby Bond Purchase Agreement - 2008B-AV & 2008B-BV	Award Date:	06/01/2008
		Begin Date:	06/26/2008
		Renewal Date:	06/01/2010
Amount Expended for Fiscal Year:	\$677,761.6	End Date:	06/24/2014
Amount Expended for Life to Date:	\$3,274,253.39	Amount:	\$4,220,258.05
Does the contract have an end Date:	Yes	Fair Market value:	
Current or Outstanding Balance:	\$946,004.66	Explain why the fair market value is less than the contract amount:	
Number Of Bids Or Proposals Received Prior to Award of Contract:	6		
Is the Vendor a NYS or Foreign Business Enterprise?	NYS	Status:	OPEN
Is the Vendor a Minority or Woman-Owned Business Enterprise?	No	were MWBE firms solicited as part of this procurement proces	No
Exemption from the publication requirements of Article 4c of the economic-development law?		Number of bids and proposal received from MWBE firms:	
If Yes, basis for exemption:			
Address Line1:	383 Madison Avenue		
Address Line2:			
City:	NEW YORK		
State:	NY		
Postal Code:	10179		
Plus 4:			
Province Region:			
Country:	USA		

**Procurement Transactions Listing:**

11. Vendor Name:	JPMorgan Chase Bank	Type of Procurement:	Financial Services
Transaction Number:	LGAC116	Award Process:	Authority Contract - Competitive Bid
Procurement Description:	Standby Bond Purchase Agreement - 2003A-8V	Award Date:	02/20/2003
		Begin Date:	02/20/2003
		Renewal Date:	06/01/2010
Amount Expended for Fiscal Year:	\$261,976.32	End Date:	07/16/2014
Amount Expended for Life to Date:	\$1,835,383.74	Amount:	\$2,253,633.37
Does the contract have an end Date:	Yes	Fair Market value:	
Current or Outstanding Balance:	\$418,249.63	Explain why the fair market value is less than the contract amount:	
Number Of Bids Or Proposals Received Prior to Award of Contract:	5		
Is the Vendor a NYS or Foreign Business Enterprise?	NYS	Status:	OPEN
Is the Vendor a Minority or Woman-Owned Business Enterprise?	No	were MWBE firms solicited as part of this procurement proces	No
Exemption from the publication requirements of Article 4c of the economic-development law?		Number of bids and proposal received from MWBE firms:	
If Yes, basis for exemption:			
Address Line1:	383 Madison Avenue		
Address Line2:			
City:	NEW YORK		
State:	NY		
Postal Code:	10179		
Plus 4:			
Province Region:			
Country:	USA		

**Procurement Transactions Listing:**

12. Vendor Name:	JPMorgan Chase Bank	Type of Procurement:	Financial Services
Transaction Number:	LGAC138	Award Process:	Authority Contract - Competitive Bid
Procurement Description:	Standby Bond Purchase Agreement - 2008B-7V	Award Date:	06/01/2008
		Begin Date:	06/26/2008
		Renewal Date:	06/01/2010
Amount Expended for Fiscal Year:	\$326,946	End Date:	06/24/2014
Amount Expended for Life to Date:	\$1,581,060.15	Amount:	\$2,036,102.87
Does the contract have an end Date:	Yes	Fair Market value:	
Current or Outstanding Balance:	\$455,042.72	Explain why the fair market value is less than the contract amount:	
Number Of Bids Or Proposals Received Prior to Award of Contract:	6		
Is the Vendor a NYS or Foreign Business Enterprise?	NYS	Status:	OPEN
Is the Vendor a Minority or Woman-Owned Business Enterprise?	No	were MWBE firms solicited as part of this procurement proces	No
Exemption from the publication requirements of Article 4c of the economic-development law?		Number of bids and proposal received from MWBE firms:	
If Yes, basis for exemption:			
Address Line1:	383 Madison Avenue		
Address Line2:			
City:	NEW YORK		
State:	NY		
Postal Code:	10179		
Plus 4:			
Province Region:			
Country:	USA		

**Procurement Transactions Listing:**

13. Vendor Name:	JPMorgan Securities Inc	Type of Procurement:	Financial Services
Transaction Number:	LGAC107	Award Process:	Authority Contract - Competitive Bid
Procurement Description:	Remarketing Agent - 2003A-4V, 8V	Award Date:	02/20/2003
		Begin Date:	02/20/2003
		Renewal Date:	
Amount Expended for Fiscal Year:	\$89,192.5	End Date:	04/01/2024
Amount Expended for Life to Date:	\$1,236,739.53	Amount:	\$2,936,909
Does the contract have an end Date:	Yes	Fair Market value:	
Current or Outstanding Balance:	\$1,700,169.47	Explain why the fair market value is less than the contract amount:	
Number Of Bids Or Proposals Received Prior to Award of Contract:	11		
Is the Vendor a NYS or Foreign Business Enterprise?	NYS	Status:	OPEN
Is the Vendor a Minority or Woman-Owned Business Enterprise?	No	were MWBE firms solicited as part of this procurement proces	No
Exemption from the publication requirements of Article 4c of the economic-development law?		Number of bids and proposal received from MWBE firms:	
If Yes, basis for exemption:			
Address Line1:	383 Madison Avenue		
Address Line2:			
City:	NEW YORK		
State:	NY		
Postal Code:	10179		
Plus 4:			
Province Region:			
Country:	USA		

**Procurement Transactions Listing:**

<p>14. Vendor Name: JPMorgan Securities Inc</p> <p>Transaction Number: LGAC132</p> <p>Procurement Description: Remarketing Agent - 2008B-3V, 7V</p> <p>Amount Expended for Fiscal Year: \$122,622.5</p> <p>Amount Expended for Life to Date: \$553,811.45</p> <p>Does the contract have an end Date: Yes</p> <p>Current or Outstanding Balance: \$1,135,140.08</p> <p>Number Of Bids Or Proposals Received Prior to Award of Contract:</p> <p>Is the Vendor a NYS or Foreign Business Enterprise? NYS</p> <p>Is the Vendor a Minority or Woman-Owned Business Enterprise? No</p> <p>Exemption from the publication requirements of Article 4c of the economic-development law?</p> <p>If Yes, basis for exemption:</p> <p>Address Line1: 383 Madison Avenue</p> <p>Address Line2:</p> <p>City: NEW YORK</p> <p>State: NY</p> <p>Postal Code: 10179</p> <p>Plus 4:</p> <p>Province Region:</p> <p>Country: USA</p>	<p>Type of Procurement: Financial Services</p> <p>Award Process: Authority Contract - Non-Competitive Bid</p> <p>Award Date: 06/26/2008</p> <p>Begin Date: 06/26/2008</p> <p>Renewal Date:</p> <p>End Date: 04/01/2024</p> <p>Amount: \$1,688,951.53</p> <p>Fair Market value:</p> <p>Explain why the fair market value is less than the contract amount:</p> <p>Status: OPEN</p> <p>were MWBE firms solicited as part of this procurement proces No</p> <p>Number of bids and proposal received from MWBE firms:</p>
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**Procurement Transactions Listing:**

<p>15. Vendor Name: Moody's Investor Services</p> <p>Transaction Number: NA</p> <p>Procurement Description: Rating Services</p> <p>Amount Expended for Fiscal Year: \$34,250</p> <p>Amount Expended for Life to Date:</p> <p>Does the contract have an end Date:</p> <p>Current or Outstanding Balance:</p> <p>Number Of Bids Or Proposals Received Prior to Award of Contract:</p> <p>Is the Vendor a NYS or Foreign Business Enterprise? NYS</p> <p>Is the Vendor a Minority or Woman-Owned Business Enterprise? No</p> <p>Exemption from the publication requirements of Article 4c of the economic-development law?</p> <p>If Yes, basis for exemption:</p> <p>Address Line1: 250 Greenwich Street</p> <p>Address Line2:</p> <p>City: NEW YORK</p> <p>State: NY</p> <p>Postal Code: 10007</p> <p>Plus 4:</p> <p>Province Region:</p> <p>Country: USA</p>	<p>Type of Procurement: Financial Services</p> <p>Award Process: Non Contract Procurement/Purchase Order</p> <p>Award Date:</p> <p>Begin Date:</p> <p>Renewal Date:</p> <p>End Date:</p> <p>Amount:</p> <p>Fair Market value:</p> <p>Explain why the fair market value is less than the contract amount:</p> <p>Status: COMPLETED</p> <p>were MWBE firms solicited as part of this procurement proces No</p> <p>Number of bids and proposal received from MWBE firms:</p>
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**Procurement Transactions Listing:**

16. Vendor Name:	Morgan Stanley & Co. Inc	Type of Procurement:	Financial Services
Transaction Number:	LGAC108	Award Process:	Authority Contract - Competitive Bid
Procurement Description:	Broker-Dealer - 2003A-9V,10V	Award Date:	02/20/2003
		Begin Date:	02/20/2003
		Renewal Date:	
Amount Expended for Fiscal Year:	\$79,302.02	End Date:	04/01/2021
Amount Expended for Life to Date:	\$3,435,668.92	Amount:	\$7,931,676.38
Does the contract have an end Date:	Yes	Fair Market value:	
Current or Outstanding Balance:	\$4,496,007.46	Explain why the fair market value is less than the contract amount:	
Number Of Bids Or Proposals Received Prior to Award of Contract:	11		
Is the Vendor a NYS or Foreign Business Enterprise?	NYS	Status:	OPEN
Is the Vendor a Minority or Woman-Owned Business Enterprise?	No	were MWBE firms solicited as part of this procurement proces	No
Exemption from the publication requirements of Article 4c of the economic-development law?		Number of bids and proposal received from MWBE firms:	
If Yes, basis for exemption:			
Address Line1:	1221 Avenue of the Americas		
Address Line2:			
City:	NEW YORK		
State:	NY		
Postal Code:	10020		
Plus 4:			
Province Region:			
Country:	USA		

**Procurement Transactions Listing:**

17. Vendor Name:	Morgan Stanley & Co. Inc	Type of Procurement:	Financial Services
Transaction Number:	LGAC018	Award Process:	Authority Contract - Competitive Bid
Procurement Description:	Remarketing Agent - 1995B & 1995C (1995B ended 7/1/2010)	Award Date:	07/06/1995
		Begin Date:	07/06/1995
		Renewal Date:	
Amount Expended for Fiscal Year:	\$13,454.92	End Date:	05/31/2012
Amount Expended for Life to Date:	\$1,307,496.46	Amount:	\$1,884,000.3
Does the contract have an end Date:	Yes	Fair Market value:	
Current or Outstanding Balance:	\$576,503.84	Explain why the fair market value is less than the contract amount:	
Number Of Bids Or Proposals Received Prior to Award of Contract:	18		
Is the Vendor a NYS or Foreign Business Enterprise?	NYS	Status:	COMPLETED
Is the Vendor a Minority or Woman-Owned Business Enterprise?	No	were MWBE firms solicited as part of this procurement proces	No
Exemption from the publication requirements of Article 4c of the economic-development law?		Number of bids and proposal received from MWBE firms:	
If Yes, basis for exemption:			
Address Line1:	1221 Avenue of the Americas		
Address Line2:			
City:	NEW YORK		
State:	NY		
Postal Code:	10020		
Plus 4:			
Province Region:			
Country:	USA		

**Procurement Transactions Listing:**

18. Vendor Name:	Morgan Stanley Capital Services Inc	Type of Procurement:	Financial Services
Transaction Number:	LGAC100	Award Process:	Authority Contract - Competitive Bid
Procurement Description:	Swap Counterparty - 2003A	Award Date:	02/20/2003
		Begin Date:	02/20/2003
		Renewal Date:	
Amount Expended for Fiscal Year:	\$6,744,625.06	End Date:	04/01/2022
Amount Expended for Life to Date:	\$106,289,595.91	Amount:	\$195,345,601.34
Does the contract have an end Date:	Yes	Fair Market value:	
Current or Outstanding Balance:	\$89,056,005.43	Explain why the fair market value is less than the contract amount:	
Number Of Bids Or Proposals Received Prior to Award of Contract:	10		
Is the Vendor a NYS or Foreign Business Enterprise?	NYS	Status:	OPEN
Is the Vendor a Minority or Woman-Owned Business Enterprise?	No	were MWBE firms solicited as part of this procurement proces	No
Exemption from the publication requirements of Article 4c of the economic-development law?		Number of bids and proposal received from MWBE firms:	
If Yes, basis for exemption:			
Address Line1:	1585 Broadway		
Address Line2:			
City:	NEW YORK		
State:	NY		
Postal Code:	10036		
Plus 4:			
Province Region:			
Country:	USA		

**Procurement Transactions Listing:**

<p>19. Vendor Name: Orrick, Herrington &amp; Sutcliffe LLP</p> <p>Transaction Number: C000839</p> <p>Procurement Description: Legal Services</p> <p>Amount Expended for Fiscal Year: \$71,422.27</p> <p>Amount Expended for Life to Date:</p> <p>Does the contract have an end Date:</p> <p>Current or Outstanding Balance:</p> <p>Number Of Bids Or Proposals Received Prior to Award of Contract:</p> <p>Is the Vendor a NYS or Foreign Business Enterprise? NYS</p> <p>Is the Vendor a Minority or Woman-Owned Business Enterprise? No</p> <p>Exemption from the publication requirements of Article 4c of the economic-development law?</p> <p>If Yes, basis for exemption:</p> <p>Address Line1: 51 West 52nd Street</p> <p>Address Line2:</p> <p>City: NEW YORK</p> <p>State: NY</p> <p>Postal Code: 10019</p> <p>Plus 4:</p> <p>Province Region:</p> <p>Country: USA</p>	<p>Type of Procurement: Legal Services</p> <p>Award Process: Purchased Under State Contract</p> <p>Award Date:</p> <p>Begin Date:</p> <p>Renewal Date:</p> <p>End Date:</p> <p>Amount:</p> <p>Fair Market value:</p> <p>Explain why the fair market value is less than the contract amount:</p> <p>Status: COMPLETED</p> <p>were MWBE firms solicited as part of this procurement proces No</p> <p>Number of bids and proposal received from MWBE firms:</p>
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Procurement Transactions Listing:

<p>20. Vendor Name: Public Resources Advisory Group</p> <p>Transaction Number: LGAC142</p> <p>Procurement Description: Financial Advisor</p> <p>Amount Expended for Fiscal Year: \$87,817.5</p> <p>Amount Expended for Life to Date: \$609,674.12</p> <p>Does the contract have an end Date: Yes</p> <p>Current or Outstanding Balance: \$4,054,075.88</p> <p>Number Of Bids Or Proposals Received Prior to Award of Contract: 5</p> <p>Is the Vendor a NYS or Foreign Business Enterprise? NYS</p> <p>Is the Vendor a Minority or Woman-Owned Business Enterprise? No</p> <p>Exemption from the publication requirements of Article 4c of the economic-development law?</p> <p>If Yes, basis for exemption:</p> <p>Address Line1: 40 Rector Street</p> <p>Address Line2: Suite 1600</p> <p>City: NEW YORK</p> <p>State: NY</p> <p>Postal Code: 10006</p> <p>Plus 4:</p> <p>Province Region:</p> <p>Country: USA</p>	<p>Type of Procurement: Other Professional Services</p> <p>Award Process: Authority Contract - Competitive Bid</p> <p>Award Date: 01/30/2009</p> <p>Begin Date: 02/01/2009</p> <p>Renewal Date:</p> <p>End Date: 01/31/2012</p> <p>Amount: \$4,663,750</p> <p>Fair Market value:</p> <p>Explain why the fair market value is less than the contract amount:</p> <p>Status: OPEN</p> <p>were MWBE firms solicited as part of this procurement proces Yes</p> <p>Number of bids and proposal received from MWBE firms: 2</p>
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**Procurement Transactions Listing:**

<p>21. Vendor Name: Societe Generale</p> <p>Transaction Number: LGAC102</p> <p>Procurement Description: Swap Counterparty - 2003A</p> <p>Amount Expended for Fiscal Year: \$3,045,643.84</p> <p>Amount Expended for Life to Date: \$65,286,242.56</p> <p>Does the contract have an end Date: Yes</p> <p>Current or Outstanding Balance: \$42,731,757.44</p> <p>Number Of Bids Or Proposals Received Prior to Award of Contract: 11</p> <p>Is the Vendor a NYS or Foreign Business Enterprise? NYS</p> <p>Is the Vendor a Minority or Woman-Owned Business Enterprise? No</p> <p>Exemption from the publication requirements of Article 4c of the economic-development law? If Yes, basis for exemption:</p>  <p>Address Line1: 1221 Avenue of the Americas</p> <p>Address Line2:</p> <p>City: NEW YORK</p> <p>State: NY</p> <p>Postal Code: 10020</p> <p>Plus 4:</p> <p>Province Region:</p> <p>Country: USA</p>	<p>Type of Procurement: Financial Services</p> <p>Award Process: Authority Contract - Competitive Bid</p> <p>Award Date: 02/20/2003</p> <p>Begin Date: 02/20/2003</p> <p>Renewal Date:</p> <p>End Date: 04/01/2024</p> <p>Amount: \$108,018,000</p> <p>Fair Market value: Explain why the fair market value is less than the contract amount:</p> <p>Status: OPEN</p> <p>were MWBE firms solicited as part of this procurement proces No</p> <p>Number of bids and proposal received from MWBE firms:</p>
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**Procurement Transactions Listing:**

<p>22. Vendor Name: Standard &amp; Poor's Financial Services, LLC</p> <p>Transaction Number: NA</p> <p>Procurement Description: Rating Services</p> <p>Amount Expended for Fiscal Year: \$40,000</p> <p>Amount Expended for Life to Date:</p> <p>Does the contract have an end Date:</p> <p>Current or Outstanding Balance:</p> <p>Number Of Bids Or Proposals Received Prior to Award of Contract:</p> <p>Is the Vendor a NYS or Foreign Business Enterprise? NYS</p> <p>Is the Vendor a Minority or Woman-Owned Business Enterprise? No</p> <p>Exemption from the publication requirements of Article 4c of the economic-development law?</p> <p>If Yes, basis for exemption:</p> <p>Address Line1: 55 Water Street</p> <p>Address Line2:</p> <p>City: NEW YORK</p> <p>State: NY</p> <p>Postal Code: 10041</p> <p>Plus 4:</p> <p>Province Region:</p> <p>Country: USA</p>	<p>Type of Procurement: Financial Services</p> <p>Award Process: Non Contract Procurement/Purchase Order</p> <p>Award Date:</p> <p>Begin Date:</p> <p>Renewal Date:</p> <p>End Date:</p> <p>Amount:</p> <p>Fair Market value:</p> <p>Explain why the fair market value is less than the contract amount:</p> <p>Status: COMPLETED</p> <p>were MWBE firms solicited as part of this procurement proces No</p> <p>Number of bids and proposal received from MWBE firms:</p>
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**Procurement Transactions Listing:**

23. Vendor Name:	The Bank of New York Mellon	Type of Procurement:	Financial Services
Transaction Number:	LGAC005	Award Process:	Authority Contract - Competitive Bid
Procurement Description:	Trustee/Tender Agent	Award Date:	01/22/1991
		Begin Date:	01/22/1991
		Renewal Date:	
Amount Expended for Fiscal Year:	\$232,945	End Date:	04/01/2025
Amount Expended for Life to Date:	\$4,684,618.38	Amount:	\$4,931,108.38
Does the contract have an end Date:	Yes	Fair Market value:	
Current or Outstanding Balance:	\$246,490	Explain why the fair market value is less than the contract amount:	
Number Of Bids Or Proposals Received Prior to Award of Contract:	10		
Is the Vendor a NYS or Foreign Business Enterprise?	NYS	Status:	OPEN
Is the Vendor a Minority or Woman-Owned Business Enterprise?	No	were MWBE firms solicited as part of this procurement proces	No
Exemption from the publication requirements of Article 4c of the economic-development law?		Number of bids and proposal received from MWBE firms:	
If Yes, basis for exemption:			
Address Line1:	101 Barclay Street		
Address Line2:	7W Floor		
City:	NEW YORK		
State:	NY		
Postal Code:	10286		
Plus 4:			
Province Region:			
Country:	USA		

**Procurement Transactions Listing:**

<p>24. Vendor Name: Toski &amp; Co., CPA, P.C.</p> <p>Transaction Number: LGAC144</p> <p>Procurement Description: Auditor</p> <p>Amount Expended for Fiscal Year: \$14,800</p> <p>Amount Expended for Life to Date: \$59,200</p> <p>Does the contract have an end Date: Yes</p> <p>Current or Outstanding Balance: \$14,800</p> <p>Number Of Bids Or Proposals Received Prior to Award of Contract: 2</p> <p>Is the Vendor a NYS or Foreign Business Enterprise? NYS</p> <p>Is the Vendor a Minority or Woman-Owned Business Enterprise? No</p> <p>Exemption from the publication requirements of Article 4c of the economic-development law?</p> <p>If Yes, basis for exemption:</p> <p>Address Line1: 300 Essjay Road</p> <p>Address Line2: Suite 115</p> <p>City: WILLIAMSVILLE</p> <p>State: NY</p> <p>Postal Code: 14221</p> <p>Plus 4:</p> <p>Province Region:</p> <p>Country: USA</p>	<p>Type of Procurement: Other Professional Services</p> <p>Award Process: Authority Contract - Competitive Bid</p> <p>Award Date: 02/02/2009</p> <p>Begin Date: 04/01/2009</p> <p>Renewal Date:</p> <p>End Date: 03/31/2014</p> <p>Amount: \$74,000</p> <p>Fair Market value:</p> <p>Explain why the fair market value is less than the contract amount:</p> <p>Status: OPEN</p> <p>were MWBE firms solicited as part of this procurement proces Yes</p> <p>Number of bids and proposal received from MWBE firms: 0</p>
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**Procurement Transactions Listing:**

25. Vendor Name:	UBS AG	Type of Procurement:	Financial Services
Transaction Number:	LGAC101	Award Process:	Authority Contract - Competitive Bid
Procurement Description:	Swap Counterparty - 2003A	Award Date:	02/20/2003
		Begin Date:	02/20/2003
		Renewal Date:	
Amount Expended for Fiscal Year:	\$3,048,672.2	End Date:	04/01/2024
Amount Expended for Life to Date:	\$65,269,136.17	Amount:	\$108,124,000
Does the contract have an end Date:	Yes	Fair Market value:	
Current or Outstanding Balance:	\$42,854,863.83	Explain why the fair market value is less than the contract amount:	
Number Of Bids Or Proposals Received Prior to Award of Contract:	11		
Is the Vendor a NYS or Foreign Business Enterprise?	NYS	Status:	OPEN
Is the Vendor a Minority or Woman-Owned Business Enterprise?	No	were MWBE firms solicited as part of this procurement proces	No
Exemption from the publication requirements of Article 4c of the economic-development law?		Number of bids and proposal received from MWBE firms:	
If Yes, basis for exemption:			
Address Line1:	677 Washington Boulevard		
Address Line2:			
City:	STAMFORD		
State:	CT		
Postal Code:	06901		
Plus 4:			
Province Region:			
Country:	USA		

**Procurement Transactions Listing:**

26. Vendor Name:	UBS Financial Services	Type of Procurement:	Financial Services
Transaction Number:	LGAC109	Award Process:	Authority Contract - Competitive Bid
Procurement Description:	Broker-Dealer - 2003A-11V,12V	Award Date:	02/20/2003
		Begin Date:	02/20/2003
		Renewal Date:	
Amount Expended for Fiscal Year:	\$316,687.5	End Date:	04/01/2017
Amount Expended for Life to Date:	\$3,088,787.6	Amount:	\$3,903,706
Does the contract have an end Date:	Yes	Fair Market value:	
Current or Outstanding Balance:	\$814,918.4	Explain why the fair market value is less than the contract amount:	
Number Of Bids Or Proposals Received Prior to Award of Contract:	11		
Is the Vendor a NYS or Foreign Business Enterprise?	NYS	Status:	OPEN
Is the Vendor a Minority or Woman-Owned Business Enterprise?	No	were MWBE firms solicited as part of this procurement proces	No
Exemption from the publication requirements of Article 4c of the economic-development law?		Number of bids and proposal received from MWBE firms:	
If Yes, basis for exemption:			
Address Line1:	1285 Avenue of the Americas		
Address Line2:			
City:	NEW YORK		
State:	NY		
Postal Code:	10019		
Plus 4:			
Province Region:			
Country:	USA		

**Additional Comments:**

Procurement Information Questions 16, 16a and 16b Question 16 and 16a: The Corporation has adopted the Executive Order No. 10 MWBE Task Forces Best Practices for applicable services procured by the Corporation. The Corporation establishes separate goals for each procurement based on the type of service being provided. Question 16b: During the reporting period, the Corporation entered into one new contract for bond counsel services. A goal of 18 percent of the total dollar value of the contract was established for M/WBE participation in the Request for Proposals. LGAC awarded a final contract to two bond counsel firms contracting as joint venturers, one of which is a M/WBE in satisfaction of this goal. The M/WBE will provide services resulting in compensation in an amount equal to at least 18 percent of the dollar value of the contract. Contract Listing: With the exception of contracts LGAC142, 144, 145, 149, and C000905 the Corporation is unable with certainty to determine the level of outreach regarding MWBE solicitation for contracts awarded in or prior to 2008. MWBE solicitation information has been provided for contracts awarded in and after 2009 which exceeds the March 1, 2010 statutory requirement for such information. C000905 is listed as a M/WBE firm. Hawkins Delafield & Wood LLP and Gonzalez Saggio & Harlan LLP are joint venturers to provide the Corporation with Primary Bond Counsel services. Gonzalez Saggio & Harlan LLP is a certified M/WBE, Hawkins Delafield & Wood LLP is not an M/WBE.