

**Procurement-Information:**

Question	Response	URL (if applicable)
1. Does the Authority have procurement guidelines?	Yes	<a href="http://ulstercountyny.gov/ulster-tobacco-asset-securitization-corporation">http://ulstercountyny.gov/ulster-tobacco-asset-securitization-corporation</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?	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?.	No	
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: Bank of New York Mellon

2. Vendor Name: County of Ulster

Type of Procurement: Financial Services  
 Award Process: Non Contract Procurement/Purchase Order  
 Award Date:  
 End Date:  
 Amount:  
 Amount Expended for Fiscal Year: \$10,080  
 Fair market value:

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

Address Line1: PO Box 19445A  
 Address Line2:  
 City: NEWARK  
 State: NJ  
 Postal Code: 07195  
 Plus 4: 0445  
 Province Region:  
 Country: USA  
 Procurement Description: Escrow agent and admin fee

Type of Procurement: Financial Services  
 Award Process: Non Contract Procurement/Purchase Order  
 Award Date:  
 End Date:  
 Amount:  
 Amount Expended for Fiscal Year: \$6,074  
 Fair market value:

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

Address Line1: PO Box 1800  
 Address Line2:  
 City: KINGSTON  
 State: NY  
 Postal Code: 12402  
 Plus 4:  
 Province Region:  
 Country: USA  
 Procurement Description: Admin Fee

Procurement Transactions Listing:

3. Vendor Name: Marshall & Sterling

Type of Procurement: Other Professional Services  
Award Process: Non Contract Procurement/Purchase Order  
Award Date:  
End Date:  
Amount:  
Amount Expended for Fiscal Year: \$12,840  
Fair market value:

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

Address Line1: 103 Executive Drive  
Address Line2: Suite 300  
City: NEW WINDSOR  
State: NY  
Postal Code: 12553  
Plus 4:  
Province Region:  
Country: USA  
Procurement Description: Annual Directors' Insurance

Procurement Transactions Listing:

Additional Comments: