

**Procurement-Information:**

Question	Response	URL (if applicable)
1. Does the Authority have procurement guidelines?	Yes	<a href="http://www.nyc.gov/html/nyw/pdf/nyw_procurement_policy_10_10_12.pdf">http://www.nyc.gov/html/nyw/pdf/nyw_procurement_policy_10_10_12.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?	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 Report for New York City Municipal Water Finance Authority****Run Date: 05/07/2014****Fiscal Year Ending: 06/30/2013****Status: CERTIFIED****Procurement Transactions Listing:****1. Vendor Name:** ACACIA Financial Group Inc.**2. Vendor Name:** Aecom (USA) Inc.

Type of Procurement: Financial Services  
Award Process: Authority Contract - Competitive Bid  
Award Date: 11/10/2011  
End Date: 06/30/2014  
Amount: \$82,495  
Amount Expended for Fiscal Year: \$82,495  
Fair market value:

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

Address Line1: 7 Times Sq # 20  
Address Line2:  
City: NEW YORK  
State: NY  
Postal Code: 10036  
Plus 4:  
Province Region:  
Country: USA  
Procurement Description: Financial Advisor

Type of Procurement: Consulting Services  
Award Process: Authority Contract - Competitive Bid  
Award Date: 07/01/2009  
End Date: 06/30/2012  
Amount: \$90,792  
Amount Expended for Fiscal Year: \$90,792  
Fair market value:

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

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

Procurement Report for New York City Municipal Water Finance Authority

Run Date: 05/07/2014

Fiscal Year Ending: 06/30/2013

Status: CERTIFIED

**Procurement Transactions Listing:**

3. Vendor Name: Amawalk Consulting Group LLC

Type of Procurement: Financial Services  
Award Process: Authority Contract - Competitive Bid  
Award Date: 07/01/2007  
End Date: 09/11/2014  
Amount: \$106,196  
Amount Expended for Fiscal Year: \$106,196  
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: BB&T Capital Markets a division of  
Scott & Stringfellow LLC

Type of Procurement: Financial Services  
Award Process: Authority Contract - Competitive Bid  
Award Date: 09/15/2009  
End Date:  
Amount: \$32,000  
Amount Expended for Fiscal Year: \$32,000  
Fair market value:

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

Address Line1: 1133 6 Avenue  
Address Line2:  
City: NEW YORK  
State: NY  
Postal Code: 10036  
Plus 4:  
Province Region:  
Country: USA  
Procurement Description: Underwriters

Procurement Report for New York City Municipal Water Finance Authority

Run Date: 05/07/2014

Fiscal Year Ending: 06/30/2013

Status: CERTIFIED

Procurement Transactions Listing:

5. Vendor Name: BNP Paribas

Type of Procurement: Financial Services  
Award Process: Authority Contract - Competitive Bid  
Award Date: 10/24/2007  
End Date: 10/24/2012  
Amount: \$147,932  
Amount Expended for Fiscal Year: \$147,932  
Fair market value:

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

Address Line1: 797 7th Avenue  
Address Line2:  
City: NEW YORK  
State: NY  
Postal Code: 10019  
Plus 4:  
Province Region:  
Country: USA  
Procurement Description: Liquidity Provider

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

Type of Procurement: Financial Services  
Award Process: Authority Contract - Competitive Bid  
Award Date: 03/19/2008  
End Date: 03/18/2013  
Amount: \$1,755,244  
Amount Expended for Fiscal Year: \$1,755,244  
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

Procurement Report for New York City Municipal Water Finance Authority

Run Date: 05/07/2014

Fiscal Year Ending: 06/30/2013

Status: CERTIFIED

Procurement Transactions Listing:

7. Vendor Name: Bank of New York Mellon

Type of Procurement: Financial Services  
Award Process: Authority Contract - Competitive Bid  
Award Date: 11/18/2010  
End Date: 11/18/2013  
Amount: \$579,106  
Amount Expended for Fiscal Year: \$579,106  
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: Liquidity Provider

8. Vendor Name: Bank of New York Mellon

Type of Procurement: Financial Services  
Award Process: Authority Contract - Competitive Bid  
Award Date: 02/02/2008  
End Date:  
Amount: \$383,137  
Amount Expended for Fiscal Year: \$383,137  
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

Procurement Report for New York City Municipal Water Finance Authority

Run Date: 05/07/2014

Fiscal Year Ending: 06/30/2013

Status: CERTIFIED

**Procurement Transactions Listing:**

9. Vendor Name: Bank of Nova Scotia

10. Vendor Name:

Bank of Tokyo-Mitsubishi UFJ

Type of Procurement: Financial Services  
Award Process: Authority Contract - Competitive Bid  
Award Date: 11/30/2006  
End Date: 11/01/2016  
Amount: \$269,081  
Amount Expended for Fiscal Year: \$269,081  
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

Type of Procurement: Financial Services  
Award Process: Authority Contract - Competitive Bid  
Award Date: 10/04/2012  
End Date: 10/02/2015  
Amount: \$483,302  
Amount Expended for Fiscal Year: \$483,302  
Fair market value:

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

Address Line1: 1251 Avenue of the Americas  
Address Line2:  
City: NEW YORK  
State: NY  
Postal Code: 10020  
Plus 4:  
Province Region:  
Country: USA  
Procurement Description: Liquidity Provider

**Procurement Transactions Listing:**

11. Vendor Name: Barclays Bank PLC

Type of Procurement: Financial Services  
Award Process: Authority Contract - Competitive Bid  
Award Date: 07/01/2009  
End Date:  
Amount: \$1,431,693  
Amount Expended for Fiscal Year: \$1,431,693  
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

12. Vendor Name: Barclays Capital Inc.

Type of Procurement: Financial Services  
Award Process: Authority Contract - Competitive Bid  
Award Date: 09/15/2009  
End Date:  
Amount: \$857,693  
Amount Expended for Fiscal Year: \$857,693  
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

Procurement Report for New York City Municipal Water Finance Authority

Run Date: 05/07/2014

Fiscal Year Ending: 06/30/2013

Status: CERTIFIED

**Procurement Transactions Listing:**

13. Vendor Name:	Bayern LB	14. Vendor Name:	Bond Logistix LLC
Type of Procurement:	Financial Services	Type of Procurement:	Financial Services
Award Process:	Authority Contract - Competitive Bid	Award Process:	Authority Contract - Competitive Bid
Award Date:	05/06/2003	Award Date:	07/01/2005
End Date:	11/30/2015	End Date:	06/30/2015
Amount:	\$223,506	Amount:	\$30,000
Amount Expended for Fiscal	\$223,506	Amount Expended for Fiscal	\$30,000
Year:		Year:	
Fair market value:		Fair market value:	
Explain why the fair market		Explain why the fair market	
value is less than the amount:		value is less than the amount:	
Address Line1:	560 Lexington	Address Line1:	666 Fifth Ave
Address Line2:		Address Line2:	
City:	NEW YORK	City:	NEW YORK
State:	NY	State:	NY
Postal Code:	10022	Postal Code:	10103
Plus 4:		Plus 4:	
Province Region:		Province Region:	
Country:	USA	Country:	USA
Procurement Description:	Liquidity Provider	Procurement Description:	Arbitrage Rebate



Procurement Report for New York City Municipal Water Finance Authority

Run Date: 05/07/2014

Fiscal Year Ending: 06/30/2013

Status: CERTIFIED

Procurement Transactions Listing:

15. Vendor Name: Castleoak Securities

Type of Procurement: Financial Services  
Award Process: Authority Contract - Competitive Bid  
Award Date: 12/20/2012  
End Date:  
Amount: \$8,125  
Amount Expended for Fiscal Year: \$8,125  
Fair market value:  
  
Explain why the fair market value is less than the amount:

Address Line1: 199 Water Street  
Address Line2:  
City: NEW YORK  
State: NY  
Postal Code: 10038  
Plus 4:  
Province Region:  
Country: USA  
  
Procurement Description: Underwriter

16. Vendor Name: Citigroup Global Markets

Type of Procurement: Financial Services  
Award Process: Authority Contract - Competitive Bid  
Award Date: 02/02/2008  
End Date:  
Amount: \$1,080,146  
Amount Expended for Fiscal Year: \$1,080,146  
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

**Procurement Transactions Listing:**

17. Vendor Name:		DeSantis	18. Vendor Name:		Deloitte & Touche LLP
Type of Procurement:		Technology - Consulting/Development or Sup	Type of Procurement:		Consulting Services
Award Process:		Authority Contract - Competitive Bid	Award Process:		Authority Contract - Competitive Bid
Award Date:		09/12/2011	Award Date:		06/30/2008
End Date:		02/28/2012	End Date:		06/30/2013
Amount:		\$19,050	Amount:		\$265,000
Amount Expended for Fiscal Year:		\$19,050	Amount Expended for Fiscal Year:		\$265,000
Fair market value:			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:		30 WEST 21ST STREET	Address Line1:		Two World Financial Center
Address Line2:			Address Line2:		
City:		NEW YORK	City:		NEW YORK
State:		NY	State:		NY
Postal Code:		10010	Postal Code:		10281
Plus 4:			Plus 4:		
Province Region:			Province Region:		
Country:		USA	Country:		USA
Procurement Description:		CAFR Design	Procurement Description:		Auditors

Procurement Transactions Listing:

19. Vendor Name: Dexia Credit Locale

Type of Procurement: Financial Services  
Award Process: Authority Contract - Competitive Bid  
Award Date: 05/15/2001  
End Date: 05/15/2004  
Amount: \$575,648  
Amount Expended for Fiscal Year: \$575,648  
Fair market value:

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

Address Line1: 445 Park Avenue  
Address Line2:  
City: NEW YORK  
State: NY  
Postal Code: 10022  
Plus 4:  
Province Region:  
Country: USA  
Procurement Description: Liquidity Provider

20. Vendor Name: Drexel Hamilton LLC

Type of Procurement: Financial Services  
Award Process: Authority Contract - Competitive Bid  
Award Date: 11/10/2011  
End Date: 06/30/2014  
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: 40 Wall Street  
Address Line2:  
City: NEW YORK  
State: NY  
Postal Code: 10005  
Plus 4:  
Province Region:  
Country: USA  
Procurement Description: Pricing Advisor

Procurement Report for New York City Municipal Water Finance Authority

Run Date: 05/07/2014

Fiscal Year Ending: 06/30/2013

Status: CERTIFIED

**Procurement Transactions Listing:****21. Vendor Name:** Fidelity Capital Markets

Type of Procurement: Financial Services  
Award Process: Authority Contract - Competitive Bid  
Award Date: 09/15/2009  
End Date:  
Amount: \$60,750  
Amount Expended for Fiscal Year: \$60,750  
Fair market value:

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

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

**22. Vendor Name:** Goldman Sachs & Co.

Type of Procurement: Financial Services  
Award Process: Authority Contract - Competitive Bid  
Award Date: 02/02/2008  
End Date:  
Amount: \$682,753  
Amount Expended for Fiscal Year: \$682,753  
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

**Procurement Transactions Listing:****23. Vendor Name:** JPMorgan Chase Bank N.A.

Type of Procurement: Financial Services  
Award Process: Authority Contract - Competitive Bid  
Award Date: 05/15/2001  
End Date: 05/15/2004  
Amount: \$3,770,720  
Amount Expended for Fiscal Year: \$3,770,720  
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

**24. Vendor Name:** JPMorgan Securities Inc.

Type of Procurement: Financial Services  
Award Process: Authority Contract - Competitive Bid  
Award Date: 02/02/2008  
End Date:  
Amount: \$399,652  
Amount Expended for Fiscal Year: \$399,652  
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 Report for New York City Municipal Water Finance Authority**
**Run Date: 05/07/2014**
**Fiscal Year Ending: 06/30/2013**
**Status: CERTIFIED**
**Procurement Transactions Listing:**
**25. Vendor Name:** Jefferies & Company

Type of Procurement: Financial Services  
 Award Process: Authority Contract - Competitive Bid  
 Award Date: 09/15/2009  
 End Date:  
 Amount: \$359,320  
 Amount Expended for Fiscal Year: \$359,320  
 Fair market value:

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

Address Line1: 520 Madison Avenue  
 Address Line2:  
 City: NEW YORK  
 State: NY  
 Postal Code: 10022  
 Plus 4:  
 Province Region:  
 Country: USA  
 Procurement Description: Underwriters

**26. Vendor Name:** KBC Bank N.V.

Type of Procurement: Financial Services  
 Award Process: Authority Contract - Competitive Bid  
 Award Date: 03/03/2011  
 End Date: 03/03/2014  
 Amount: \$745,476  
 Amount Expended for Fiscal Year: \$745,476  
 Fair market value:

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

Address Line1: Havenlaan 2  
 Address Line2:  
 City: Brussels  
 State:  
 Postal Code: 1080  
 Plus 4:  
 Province Region:  
 Country: Other  
 Procurement Description: Liquidity Provider

Procurement Report for New York City Municipal Water Finance Authority

Run Date: 05/07/2014

Fiscal Year Ending: 06/30/2013

Status: CERTIFIED

**Procurement Transactions Listing:****27. Vendor Name:** Lamont Financial Services Corporation

Type of Procurement: Financial Services  
Award Process: Authority Contract - Competitive Bid  
Award Date: 11/10/2011  
End Date:  
Amount: \$163,757  
Amount Expended for Fiscal Year: \$163,757  
Fair market value:

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

Address Line1: 201 Willowbrook Blvd.  
Address Line2:  
City: WAYNE  
State: NJ  
Postal Code: 07470  
Plus 4:  
Province Region:  
Country: USA  
Procurement Description: Financial Advisor

**28. Vendor Name:** Landesbank (Helaba)

Type of Procurement: Financial Services  
Award Process: Authority Contract - Competitive Bid  
Award Date: 08/07/2008  
End Date: 08/07/2013  
Amount: \$3,209,567  
Amount Expended for Fiscal Year: \$3,209,567  
Fair market value:

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

Address Line1: 420 Fifth Avenue  
Address Line2: 24th fl  
City: NEW YORK  
State: NY  
Postal Code: 10018  
Plus 4:  
Province Region:  
Country: USA  
Procurement Description: Liquidity Provider

Procurement Report for New York City Municipal Water Finance Authority

Run Date: 05/07/2014

Fiscal Year Ending: 06/30/2013

Status: CERTIFIED

**Procurement Transactions Listing:****29. Vendor Name:** Lebenthal and Co. LLC

Type of Procurement: Financial Services  
Award Process: Authority Contract - Competitive Bid  
Award Date: 09/15/2009  
End Date:  
Amount: \$124,925  
Amount Expended for Fiscal Year: \$124,925  
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

**30. Vendor Name:** Loop Capital Markets LLC

Type of Procurement: Financial Services  
Award Process: Authority Contract - Competitive Bid  
Award Date: 02/02/2008  
End Date:  
Amount: \$33,031  
Amount Expended for Fiscal Year: \$33,031  
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



Procurement Report for New York City Municipal Water Finance Authority

Run Date: 05/07/2014

Fiscal Year Ending: 06/30/2013

Status: CERTIFIED

**Procurement Transactions Listing:****31. Vendor Name:** M.R. Beal & Company

Type of Procurement: Financial Services  
Award Process: Authority Contract - Competitive Bid  
Award Date: 02/02/2008  
End Date:  
Amount: \$47,101  
Amount Expended for Fiscal Year: \$47,101  
Fair market value:  
  
Explain why the fair market value is less than the amount:

Address Line1: 110 Wall Street  
Address Line2:  
City: NEW YORK  
State: NY  
Postal Code: 10005  
Plus 4:  
Province Region:  
Country: USA  
  
Procurement Description: Underwriters

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

Type of Procurement: Financial Services  
Award Process: Authority Contract - Competitive Bid  
Award Date: 02/02/2008  
End Date:  
Amount: \$875,644  
Amount Expended for Fiscal Year: \$875,644  
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:** Mizuho Coporate Bank Ltd.

Type of Procurement: Financial Services  
Award Process: Authority Contract - Competitive Bid  
Award Date: 09/29/2011  
End Date: 09/29/2014  
Amount: \$1,329,430  
Amount Expended for Fiscal Year: \$1,329,430  
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

**34. Vendor Name:** Morgan Stanley & Co.

Type of Procurement: Financial Services  
Award Process: Authority Contract - Competitive Bid  
Award Date: 02/02/2008  
End Date:  
Amount: \$507,998  
Amount Expended for Fiscal Year: \$507,998  
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 Report for New York City Municipal Water Finance Authority

Run Date: 05/07/2014

Fiscal Year Ending: 06/30/2013

Status: CERTIFIED

**Procurement Transactions Listing:****35. Vendor Name:** Nixon Peabody LLP

Type of Procurement: Legal Services  
Award Process: Authority Contract - Competitive Bid  
Award Date: 01/01/2011  
End Date: 12/31/2012  
Amount: \$258,500  
Amount Expended for Fiscal Year: \$258,500  
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

**36. Vendor Name:** Oppenheimer & Co. Inc.

Type of Procurement: Financial Services  
Award Process: Authority Contract - Competitive Bid  
Award Date: 09/15/2009  
End Date:  
Amount: \$26,963  
Amount Expended for Fiscal Year: \$26,963  
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

**Procurement Transactions Listing:****37. Vendor Name:** Orrick Herrington & Sutcliffe LLP

Type of Procurement: Legal Services  
Award Process: Authority Contract - Competitive Bid  
Award Date: 07/01/2006  
End Date: 12/31/2012  
Amount: \$935,020  
Amount Expended for Fiscal Year: \$935,020  
Fair market value:

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

Address Line1: 666 Fifth Ave  
Address Line2:  
City: NEW YORK  
State: NY  
Postal Code: 10103  
Plus 4:  
Province Region:  
Country: USA  
Procurement Description: Bond Counsel

**38. Vendor Name:** PFM Asset Management LLC

Type of Procurement: Financial Services  
Award Process: Authority Contract - Competitive Bid  
Award Date: 05/10/2012  
End Date: 05/09/2015  
Amount: \$364,355  
Amount Expended for Fiscal Year: \$364,355  
Fair market value:

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

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

Procurement Report for New York City Municipal Water Finance Authority

Run Date: 05/07/2014

Fiscal Year Ending: 06/30/2013

Status: CERTIFIED

**Procurement Transactions Listing:****39. Vendor Name:** PNC Bank NA

Type of Procurement: Financial Services  
Award Process: Authority Contract - Competitive Bid  
Award Date: 05/10/2012  
End Date: 05/09/2015  
Amount: \$205,673  
Amount Expended for Fiscal Year: \$205,673  
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

**40. Vendor Name:** PNC Capital Markets LLC

Type of Procurement: Financial Services  
Award Process: Authority Contract - Competitive Bid  
Award Date: 12/20/2012  
End Date:  
Amount: \$19,590  
Amount Expended for Fiscal Year: \$19,590  
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: Underwriter

Procurement Report for New York City Municipal Water Finance Authority

Run Date: 05/07/2014

Fiscal Year Ending: 06/30/2013

Status: CERTIFIED

Procurement Transactions Listing:

41. Vendor Name: Piper Jaffray

Type of Procurement: Financial Services  
Award Process: Authority Contract - Competitive Bid  
Award Date: 02/02/2008  
End Date:  
Amount: \$36,788  
Amount Expended for Fiscal Year: \$36,788  
Fair market value:

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

Address Line1: 345 Park Avenue  
Address Line2:  
City: NEW YORK  
State: NY  
Postal Code: 10167  
Plus 4:  
Province Region:  
Country: USA  
Procurement Description: Underwriters

42. Vendor Name: RBC Capital Markets

Type of Procurement: Financial Services  
Award Process: Authority Contract - Competitive Bid  
Award Date: 02/02/2008  
End Date:  
Amount: \$287,022  
Amount Expended for Fiscal Year: \$287,022  
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

**Procurement Transactions Listing:****43. Vendor Name:** RR Donnelly

Type of Procurement: Other Professional Services  
Award Process: Authority Contract - Competitive Bid  
Award Date: 03/15/2011  
End Date:  
Amount: \$147,413  
Amount Expended for Fiscal Year: \$147,413  
Fair market value:

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

Address Line1: 255 Greenwich #B  
Address Line2:  
City: NEW YORK  
State: NY  
Postal Code: 10007  
Plus 4:  
Province Region:  
Country: USA  
Procurement Description: Printer for OS

**44. Vendor Name:** Raftelis Financial Consultants

Type of Procurement: Financial Services  
Award Process: Authority Contract - Competitive Bid  
Award Date: 09/12/2011  
End Date: 09/11/2014  
Amount: \$52,845  
Amount Expended for Fiscal Year: \$52,845  
Fair market value:

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

Address Line1: 201 S. Lake Avenue  
Address Line2:  
City: PASADENA  
State: CA  
Postal Code: 91101  
Plus 4:  
Province Region:  
Country: USA  
Procurement Description: Rate Consultant

Procurement Report for New York City Municipal Water Finance Authority

Run Date: 05/07/2014

Fiscal Year Ending: 06/30/2013

Status: CERTIFIED

**Procurement Transactions Listing:****45. Vendor Name:** Ramirez & Co.

Type of Procurement: Financial Services  
Award Process: Authority Contract - Competitive Bid  
Award Date: 09/15/2009  
End Date:  
Amount: \$581,416  
Amount Expended for Fiscal Year: \$581,416  
Fair market value:

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

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

**46. Vendor Name:** Raymond James & Associates Inc.

Type of Procurement: Financial Services  
Award Process: Authority Contract - Competitive Bid  
Award Date: 02/02/2008  
End Date:  
Amount: \$1,089,999  
Amount Expended for Fiscal Year: \$1,089,999  
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



Procurement Report for New York City Municipal Water Finance Authority

Run Date: 05/07/2014

Fiscal Year Ending: 06/30/2013

Status: CERTIFIED

**Procurement Transactions Listing:****47. Vendor Name:** Rice Financial Products Company

Type of Procurement: Financial Services  
Award Process: Authority Contract - Competitive Bid  
Award Date: 09/15/2009  
End Date:  
Amount: \$56,160  
Amount Expended for Fiscal Year: \$56,160  
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

**48. Vendor Name:** Roosevelt and Cross Incorporated

Type of Procurement: Financial Services  
Award Process: Authority Contract - Competitive Bid  
Award Date: 02/02/2008  
End Date:  
Amount: \$29,650  
Amount Expended for Fiscal Year: \$29,650  
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

Procurement Report for New York City Municipal Water Finance Authority

Run Date: 05/07/2014

Fiscal Year Ending: 06/30/2013

Status: CERTIFIED

**Procurement Transactions Listing:****49. Vendor Name:** Royal Bank of Canada

Type of Procurement: Financial Services  
Award Process: Authority Contract - Competitive Bid  
Award Date: 03/19/2008  
End Date: 03/18/2013  
Amount: \$2,143,339  
Amount Expended for Fiscal Year: \$2,143,339  
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

**50. Vendor Name:** SWAP Financial Group LLC

Type of Procurement: Financial Services  
Award Process: Authority Contract - Competitive Bid  
Award Date: 11/10/2011  
End Date: 06/30/2016  
Amount: \$163,902  
Amount Expended for Fiscal Year: \$163,902  
Fair market value:

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

Address Line1: 76 S Orange Ave #6  
Address Line2:  
City: SOUTH ORANGE  
State: NJ  
Postal Code: 07079  
Plus 4:  
Province Region:  
Country: USA  
Procurement Description: Swap Advisor

**Procurement Transactions Listing:**

51. Vendor Name: Siebert Brandford Shank &amp; Co. LLC

Type of Procurement: Financial Services  
Award Process: Authority Contract - Competitive Bid  
Award Date: 02/02/2008  
End Date:  
Amount: \$134,613  
Amount Expended for Fiscal Year: \$134,613  
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

52. Vendor Name: State Street Bank &amp; trust Company N.A.

Type of Procurement: Financial Services  
Award Process: Authority Contract - Competitive Bid  
Award Date: 10/27/2005  
End Date: 10/27/2012  
Amount: \$1,036,612  
Amount Expended for Fiscal Year: \$1,036,612  
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:****53. Vendor Name:** Stifel Nicolaus & Company

Type of Procurement: Financial Services  
Award Process: Authority Contract - Competitive Bid  
Award Date: 09/15/2009  
End Date:  
Amount: \$17,500  
Amount Expended for Fiscal Year: \$17,500  
Fair market value:

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

Address Line1: 237 Park Avenue  
Address Line2:  
City: NEW YORK  
State: NY  
Postal Code: 10175  
Plus 4:  
Province Region:  
Country: USA  
Procurement Description: Underwriters

**54. Vendor Name:** Sumitomo Mitsui Banking Corp.

Type of Procurement: Financial Services  
Award Process: Authority Contract - Competitive Bid  
Award Date: 06/20/2008  
End Date: 06/07/2015  
Amount: \$886,793  
Amount Expended for Fiscal Year: \$886,793  
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:

55. Vendor Name: TD Bank NA

Type of Procurement: Financial Services  
Award Process: Authority Contract - Competitive Bid  
Award Date: 11/18/2010  
End Date: 11/18/2013  
Amount: \$655,608  
Amount Expended for Fiscal Year: \$655,608  
Fair market value:

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

Address Line1: 31 W 52nd St  
Address Line2:  
City: NEW YORK  
State: NY  
Postal Code: 10019  
Plus 4:  
Province Region:  
Country: USA  
Procurement Description: Liquidity Provider

56. Vendor Name: TD Securities

Type of Procurement: Financial Services  
Award Process: Authority Contract - Competitive Bid  
Award Date: 09/15/2009  
End Date:  
Amount: \$84,454  
Amount Expended for Fiscal Year: \$84,454  
Fair market value:

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

Address Line1: 31 W 52nd St  
Address Line2:  
City: NEW YORK  
State: NY  
Postal Code: 10019  
Plus 4:  
Province Region:  
Country: USA  
Procurement Description: Underwriters

**Procurement Transactions Listing:**

57. Vendor Name: The Bank of Tokyo-Mitsubishi UFJ Ltd

Type of Procurement: Financial Services  
Award Process: Authority Contract - Competitive Bid  
Award Date: 11/10/2011  
End Date: 06/30/2012  
Amount: \$614,634  
Amount Expended for Fiscal Year: \$614,634  
Fair market value:

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

Address Line1: 1251 Avenue of the Americas  
Address Line2:  
City: NEW YORK  
State: NY  
Postal Code: 10020  
Plus 4:  
Province Region:  
Country: USA  
Procurement Description: Auditors

58. Vendor Name: US Bank

Type of Procurement: Financial Services  
Award Process: Authority Contract - Competitive Bid  
Award Date: 06/25/2009  
End Date: 06/25/2014  
Amount: \$2,940,220  
Amount Expended for Fiscal Year: \$2,940,220  
Fair market value:

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

Address Line1: 461 5th Avenue  
Address Line2:  
City: NEW YORK  
State: NY  
Postal Code: 10022  
Plus 4:  
Province Region:  
Country: USA  
Procurement Description: Liquidity Provider

Procurement Report for New York City Municipal Water Finance Authority

Run Date: 05/07/2014

Fiscal Year Ending: 06/30/2013

Status: CERTIFIED

**Procurement Transactions Listing:**

59. Vendor Name:	US Bank	60. Vendor Name:	Wells Fargo Bank NA
Type of Procurement:	Financial Services	Type of Procurement:	Financial Services
Award Process:	Authority Contract - Competitive Bid	Award Process:	Authority Contract - Competitive Bid
Award Date:	09/15/2009	Award Date:	06/25/2009
End Date:		End Date:	06/25/2014
Amount:	\$437,269	Amount:	\$395,076
Amount Expended for Fiscal	\$437,269	Amount Expended for Fiscal	\$395,076
Year:		Year:	
Fair market value:		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:	461 5th Avenue	Address Line1:	330 Madison Ave
Address Line2:		Address Line2:	
City:	NEW YORK	City:	NEW YORK
State:	NY	State:	NY
Postal Code:	10022	Postal Code:	10017
Plus 4:		Plus 4:	
Province Region:		Province Region:	
Country:	USA	Country:	USA
Procurement Description:	Underwriters	Procurement Description:	Liquidity Provider

Procurement Transactions Listing:

61. Vendor Name: Wells Fargo Bank NA

Type of Procurement: Financial Services  
Award Process: Authority Contract - Competitive Bid  
Award Date: 09/15/2009  
End Date:  
Amount: \$394,610  
Amount Expended for Fiscal Year: \$394,610  
Fair market value:

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

Address Line1: 330 Madison Ave  
Address Line2:  
City: NEW YORK  
State: NY  
Postal Code: 10017  
Plus 4:  
Province Region:  
Country: USA  
Procurement Description: Underwriters



Procurement Report for New York City Municipal Water Finance Authority

Run Date: 05/07/2014

Fiscal Year Ending: 06/30/2013

Status: CERTIFIED

Procurement Transactions Listing:

Additional Comments: