

**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 Transactions Listing:

1. Vendor Name: ACACIA Financial Group Inc.

Type of Procurement: Other Professional Services  
Award Process: Authority Contract - Competitive Bid  
Award Date: 11/10/2011  
End Date: 06/30/2016  
Amount: \$78,191  
Amount Expended for Fiscal Year: \$78,191  
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

2. Vendor Name: Aecom (USA) Inc.

Type of Procurement: Other Professional Services  
Award Process: Authority Contract - Competitive Bid  
Award Date: 07/01/2009  
End Date: 06/30/2014  
Amount: \$92,273  
Amount Expended for Fiscal Year: \$92,273  
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 Transactions Listing:

3. Vendor Name: Amawalk Consulting Group LLC

Type of Procurement: Other Professional Services  
Award Process: Authority Contract - Competitive Bid  
Award Date: 07/01/2007  
End Date: 06/30/2014  
Amount: \$92,305  
Amount Expended for Fiscal Year: \$92,305  
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: BMO Capital Markets GKST Inc.

Type of Procurement: Other Professional Services  
Award Process: Authority Contract - Competitive Bid  
Award Date: 12/20/2012  
End Date:  
Amount: \$42,959  
Amount Expended for Fiscal Year: \$42,959  
Fair market value:  
Explain why the fair market value is less than the amount:

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

Procurement Transactions Listing:

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

6. Vendor Name: Bank of Montreal

Type of Procurement: Other Professional Services  
 Award Process: Authority Contract - Competitive Bid  
 Award Date: 02/02/2008  
 End Date:  
 Amount: \$2,323,177  
 Amount Expended for Fiscal Year: \$2,323,177  
 Fair market value:

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

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

Procurement Description: Liquidity Provider

Type of Procurement: Other Professional Services  
 Award Process: Authority Contract - Competitive Bid  
 Award Date: 12/20/2012  
 End Date:  
 Amount: \$302,514  
 Amount Expended for Fiscal Year: \$302,514  
 Fair market value:

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

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

Procurement Description: Underwriters

Procurement Transactions Listing:

7. Vendor Name: Bank of New York Mellon

Type of Procurement: Other Professional Services  
Award Process: Authority Contract - Competitive Bid  
Award Date: 02/02/2008  
End Date:  
Amount: \$349,902  
Amount Expended for Fiscal Year: \$349,902  
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

8. Vendor Name: Bank of New York Mellon

Type of Procurement: Other Professional Services  
Award Process: Authority Contract - Competitive Bid  
Award Date: 02/02/2008  
End Date:  
Amount: \$305,741  
Amount Expended for Fiscal Year: \$305,741  
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

Procurement Transactions Listing:

9. Vendor Name: Bank of Nova Scotia

10. Vendor Name: Bank of Tokyo-Mitsubishi UFJ

Type of Procurement: Other Professional Services  
 Award Process: Authority Contract - Competitive Bid  
 Award Date: 02/02/2008  
 End Date:  
 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: Other Professional Services  
 Award Process: Authority Contract - Competitive Bid  
 Award Date: 10/04/2012  
 End Date: 10/02/2015  
 Amount: \$1,917,448  
 Amount Expended for Fiscal Year: \$1,917,448  
 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

12. Vendor Name: Barclays Capital Inc.

Type of Procurement: Other Professional Services  
 Award Process: Authority Contract - Competitive Bid  
 Award Date: 07/01/2009  
 End Date:  
 Amount: \$1,431,694  
 Amount Expended for Fiscal Year: \$1,431,694  
 Fair market value:

Type of Procurement: Other Professional Services  
 Award Process: Authority Contract - Competitive Bid  
 Award Date: 09/15/2009  
 End Date:  
 Amount: \$2,835,684  
 Amount Expended for Fiscal Year: \$2,835,684  
 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: 745 7th Avenue  
 Address Line2:  
 City: NEW YORK  
 State: NY  
 Postal Code: 10022  
 Plus 4:  
 Province Region:  
 Country: USA  
 Procurement Description: Liquidity Provider

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 Transactions Listing:

<p>13. Vendor Name: Bayern LB</p> <p>Type of Procurement: Other Professional Services  Award Process: Authority Contract - Competitive Bid  Award Date: 02/02/2008  End Date:  Amount: \$223,507  Amount Expended for Fiscal Year: \$223,507  Fair market value:  Explain why the fair market value is less than the amount:</p> <p>Address Line1: 560 Lexington  Address Line2:  City: NEW YORK  State: NY  Postal Code: 10022  Plus 4:  Province Region:  Country: USA</p> <p>Procurement Description: Liquidity Provider</p>	<p>14. Vendor Name: Bond Logistix LLC/BLX Group LLC</p> <p>Type of Procurement: Other Professional Services  Award Process: Authority Contract - Competitive Bid  Award Date: 07/01/2005  End Date: 06/30/2015  Amount: \$82,316  Amount Expended for Fiscal Year: \$82,316  Fair market value:  Explain why the fair market value is less than the amount:</p> <p>Address Line1: 51 West 52nd Street  Address Line2:  City: NEW YORK  State: NY  Postal Code: 10019  Plus 4:  Province Region:  Country: USA</p> <p>Procurement Description: Arbitrage Rebate</p>
---	--

Procurement Transactions Listing:

15. Vendor Name: Cabrera Capital Markets

Type of Procurement: Other Professional Services  
Award Process: Authority Contract - Competitive Bid  
Award Date: 12/20/2012  
End Date:  
Amount: \$5,250  
Amount Expended for Fiscal Year: \$5,250  
Fair market value:  
Explain why the fair market value is less than the amount:

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

16. Vendor Name: Citigroup Global Markets

Type of Procurement: Other Professional Services  
Award Process: Authority Contract - Competitive Bid  
Award Date: 02/02/2008  
End Date:  
Amount: \$349,198  
Amount Expended for Fiscal Year: \$349,198  
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 Brendel Inc.

18. Vendor Name: Dexia Credit Locale

Type of Procurement: Other Professional Services  
 Award Process: Authority Contract - Competitive Bid  
 Award Date: 09/30/2013  
 End Date: 02/28/2014  
 Amount: \$19,000  
 Amount Expended for Fiscal Year: \$19,000  
 Fair market value:

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

Type of Procurement: Other Professional Services  
 Award Process: Authority Contract - Competitive Bid  
 Award Date: 02/02/2008  
 End Date:  
 Amount: \$560,357  
 Amount Expended for Fiscal Year: \$560,357  
 Fair market value:

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

Address Line1: 30 WEST 21ST STREET  
 Address Line2:  
 City: NEW YORK  
 State: NY  
 Postal Code: 10010  
 Plus 4:  
 Province Region:  
 Country: USA  
 Procurement Description: CAFR Designer

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

Procurement Transactions Listing:

<p>19. Vendor Name: Drexel Hamilton LLC</p> <p>Type of Procurement: Other Professional 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:</p> <p>Address Line1: 40 Wall Street  Address Line2:  City: NEW YORK  State: NY  Postal Code: 10005  Plus 4:  Province Region:  Country: USA</p> <p>Procurement Description: Pricing Advisor</p>	<p>20. Vendor Name: Fidelity Capital Markets</p> <p>Type of Procurement: Other Professional Services  Award Process: Authority Contract - Competitive Bid  Award Date: 09/15/2009  End Date:  Amount: \$35,050  Amount Expended for Fiscal Year: \$35,050  Fair market value:    Explain why the fair market value is less than the amount:</p> <p>Address Line1: 61 Broadway??New York  Address Line2:  City: NEW YORK  State: NY  Postal Code: 10006  Plus 4:  Province Region:  Country: USA</p> <p>Procurement Description: Underwriters</p>
--	--

Procurement Transactions Listing:

21. Vendor Name: Goldman Sachs & Co.

Type of Procurement: Other Professional Services  
Award Process: Authority Contract - Competitive Bid  
Award Date: 02/02/2008  
End Date:  
Amount: \$381,388  
Amount Expended for Fiscal Year: \$381,388  
Fair market value:  
Explain why the fair market value is less than the amount:

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

22. Vendor Name: JPMorgan Securities Inc.

Type of Procurement: Other Professional Services  
Award Process: Authority Contract - Competitive Bid  
Award Date: 02/02/2008  
End Date:  
Amount: \$592,320  
Amount Expended for Fiscal Year: \$592,320  
Fair market value:  
Explain why the fair market value is less than the amount:

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

Procurement Transactions Listing:

23. Vendor Name: Jefferies & Company

Type of Procurement: Other Professional Services  
 Award Process: Authority Contract - Competitive Bid  
 Award Date: 09/15/2009  
 End Date:  
 Amount: \$52,900  
 Amount Expended for Fiscal Year: \$52,900  
 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

24. Vendor Name: Jeffries LLC

Type of Procurement: Other Professional Services  
 Award Process: Authority Contract - Competitive Bid  
 Award Date: 09/15/2009  
 End Date:  
 Amount: \$142,524  
 Amount Expended for Fiscal Year: \$142,524  
 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

Procurement Transactions Listing:

25. Vendor Name: Lamont Financial Services Corporation

26. Vendor Name: Landesbank (Helaba)

Type of Procurement: Other Professional Services  
 Award Process: Authority Contract - Competitive Bid  
 Award Date: 11/10/2011  
 End Date: 06/30/2016  
 Amount: \$77,988  
 Amount Expended for Fiscal Year: \$77,988  
 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

Type of Procurement: Other Professional Services  
 Award Process: Authority Contract - Competitive Bid  
 Award Date: 02/02/2008  
 End Date:  
 Amount: \$1,357,075  
 Amount Expended for Fiscal Year: \$1,357,075  
 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 Transactions Listing:

<p>27. Vendor Name: Lebenthal and Co. LLC</p> <p>Type of Procurement: Other Professional Services  Award Process: Authority Contract - Competitive Bid  Award Date: 09/15/2009  End Date:  Amount: \$53,400  Amount Expended for Fiscal Year: \$53,400  Fair market value:    Explain why the fair market value is less than the amount:</p> <p>Address Line1: 521 Fifth Avenue  Address Line2:  City: NEW YORK  State: NY  Postal Code: 10175  Plus 4:  Province Region:  Country: USA</p> <p>Procurement Description: Underwriters</p>	<p>28. Vendor Name: Loop Capital Markets LLC</p> <p>Type of Procurement: Other Professional Services  Award Process: Authority Contract - Competitive Bid  Award Date: 02/02/2008  End Date:  Amount: \$57,664  Amount Expended for Fiscal Year: \$57,664  Fair market value:    Explain why the fair market value is less than the amount:</p> <p>Address Line1: 88 Pine Street  Address Line2: 24th fl  City: NEW YORK  State: NY  Postal Code: 10005  Plus 4:  Province Region:  Country: USA</p> <p>Procurement Description: Underwriters</p>
--	---

Procurement Transactions Listing:

29. Vendor Name: M.R. Beal & Company

Type of Procurement: Other Professional Services  
Award Process: Authority Contract - Competitive Bid  
Award Date: 02/02/2008  
End Date:  
Amount: \$931,150  
Amount Expended for Fiscal Year: \$931,150  
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

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

Type of Procurement: Other Professional Services  
Award Process: Authority Contract - Competitive Bid  
Award Date: 02/02/2008  
End Date:  
Amount: \$743,779  
Amount Expended for Fiscal Year: \$743,779  
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:

31. Vendor Name: Mizuho Coporate Bank Ltd.

32. Vendor Name: Morgan Stanley & Co.

Type of Procurement: Other Professional Services  
 Award Process: Authority Contract - Competitive Bid  
 Award Date: 09/29/2011  
 End Date: 09/29/2014  
 Amount: \$1,953,351  
 Amount Expended for Fiscal Year: \$1,953,351  
 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

Type of Procurement: Other Professional Services  
 Award Process: Authority Contract - Competitive Bid  
 Award Date: 02/02/2008  
 End Date:  
 Amount: \$200,292  
 Amount Expended for Fiscal Year: \$200,292  
 Fair market value:

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

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

Procurement Description: Underwriters

Procurement Transactions Listing:

33. Vendor Name: Nixon Peabody LLP

Type of Procurement: Other Professional Services  
 Award Process: Authority Contract - Competitive Bid  
 Award Date: 01/01/2013  
 End Date: 12/31/2014  
 Amount: \$67,500  
 Amount Expended for Fiscal Year: \$67,500  
 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

34. Vendor Name: PFM Asset Management LLC

Type of Procurement: Other Professional Services  
 Award Process: Authority Contract - Competitive Bid  
 Award Date: 05/10/2012  
 End Date: 05/09/2015  
 Amount: \$420,648  
 Amount Expended for Fiscal Year: \$420,648  
 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 Transactions Listing:

35. Vendor Name: PNC Bank NA

Type of Procurement: Other Professional Services  
Award Process: Authority Contract - Competitive Bid  
Award Date: 05/10/2012  
End Date: 05/09/2015  
Amount: \$357,923  
Amount Expended for Fiscal Year: \$357,923  
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

36. Vendor Name: PNC Capital Markets LLC

Type of Procurement: Other Professional Services  
Award Process: Authority Contract - Competitive Bid  
Award Date: 12/20/2012  
End Date:  
Amount: \$40,000  
Amount Expended for Fiscal Year: \$40,000  
Fair market value:

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

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

Procurement Transactions Listing:

37. Vendor Name: RBC Capital Markets

Type of Procurement: Other Professional Services  
Award Process: Authority Contract - Competitive Bid  
Award Date: 02/02/2008  
End Date:  
Amount: \$462,327  
Amount Expended for Fiscal Year: \$462,327  
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

38. Vendor Name: RR Donnelly

Type of Procurement: Other Professional Services  
Award Process: Authority Contract - Competitive Bid  
Award Date: 03/15/2011  
End Date:  
Amount: \$105,708  
Amount Expended for Fiscal Year: \$105,708  
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

Procurement Transactions Listing:

39. Vendor Name: Raftelis Financial Consultants

Type of Procurement: Other Professional Services  
 Award Process: Authority Contract - Competitive Bid  
 Award Date: 09/12/2011  
 End Date: 09/11/2014  
 Amount: \$47,507  
 Amount Expended for Fiscal Year: \$47,507  
 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

40. Vendor Name: Ramirez & Co.

Type of Procurement: Other Professional Services  
 Award Process: Authority Contract - Competitive Bid  
 Award Date: 09/15/2009  
 End Date:  
 Amount: \$97,038  
 Amount Expended for Fiscal Year: \$97,038  
 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

Procurement Transactions Listing:

41. Vendor Name: Raymond James & Associates Inc.

Type of Procurement: Other Professional Services  
 Award Process: Authority Contract - Competitive Bid  
 Award Date: 02/02/2008  
 End Date:  
 Amount: \$994,218  
 Amount Expended for Fiscal Year: \$994,218  
 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

42. Vendor Name: Rice Financial Products Company

Type of Procurement: Other Professional Services  
 Award Process: Authority Contract - Competitive Bid  
 Award Date: 09/15/2009  
 End Date:  
 Amount: \$25,750  
 Amount Expended for Fiscal Year: \$25,750  
 Fair market value:

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

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

Procurement Description: Underwriters

Procurement Transactions Listing:

43. Vendor Name: Roosevelt and Cross Incorporated

Type of Procurement: Other Professional Services  
 Award Process: Authority Contract - Competitive Bid  
 Award Date: 02/02/2008  
 End Date:  
 Amount: \$18,219  
 Amount Expended for Fiscal Year: \$18,219  
 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

44. Vendor Name: Royal Bank of Canada

Type of Procurement: Other Professional Services  
 Award Process: Authority Contract - Competitive Bid  
 Award Date: 03/19/2008  
 End Date: 03/18/2013  
 Amount: \$3,251,992  
 Amount Expended for Fiscal Year: \$3,251,992  
 Fair market value:  
 Explain why the fair market value is less than the amount:

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

Procurement Transactions Listing:

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

Type of Procurement: Other Professional Services  
 Award Process: Authority Contract - Competitive Bid  
 Award Date: 02/02/2008  
 End Date:  
 Amount: \$64,675  
 Amount Expended for Fiscal Year: \$64,675  
 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

46. Vendor Name: State Street Bank & trust Company N.A.

Type of Procurement: Other Professional Services  
 Award Process: Authority Contract - Competitive Bid  
 Award Date: 02/02/2008  
 End Date:  
 Amount: \$1,753,196  
 Amount Expended for Fiscal Year: \$1,753,196  
 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:**

47. Vendor Name: Sumitomo Mitsui Banking Corp.

Type of Procurement: Other Professional Services  
 Award Process: Authority Contract - Competitive Bid  
 Award Date: 06/20/2008  
 End Date: 06/07/2015  
 Amount: \$1,356,403  
 Amount Expended for Fiscal Year: \$1,356,403  
 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

48. Vendor Name: TD Bank NA

Type of Procurement: Other Professional Services  
 Award Process: Authority Contract - Competitive Bid  
 Award Date: 11/18/2010  
 End Date: 11/18/2013  
 Amount: \$1,015,634  
 Amount Expended for Fiscal Year: \$1,015,634  
 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

Procurement Transactions Listing:

49. Vendor Name: TD Securities

Type of Procurement: Other Professional Services  
 Award Process: Authority Contract - Competitive Bid  
 Award Date: 09/15/2009  
 End Date:  
 Amount: \$149,757  
 Amount Expended for Fiscal Year: \$149,757  
 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

50. Vendor Name: US Bank

Type of Procurement: Other Professional Services  
 Award Process: Authority Contract - Competitive Bid  
 Award Date: 06/25/2009  
 End Date: 06/25/2014  
 Amount: \$2,989,482  
 Amount Expended for Fiscal Year: \$2,989,482  
 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 Transactions Listing:

51. Vendor Name: US Bank

Type of Procurement: Other Professional Services  
Award Process: Authority Contract - Competitive Bid  
Award Date: 09/15/2009  
End Date:  
Amount: \$496,833  
Amount Expended for Fiscal Year: \$496,833  
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: Underwriters

52. Vendor Name: Wells Fargo Bank NA

Type of Procurement: Other Professional Services  
Award Process: Authority Contract - Competitive Bid  
Award Date: 09/15/2009  
End Date:  
Amount: \$420,933  
Amount Expended for Fiscal Year: \$420,933  
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 Transactions Listing:

<p>53. Vendor Name: Wells Fargo Bank NA</p> <p>Type of Procurement: Other Professional Services  Award Process: Authority Contract - Competitive Bid  Award Date: 06/25/2009  End Date: 06/25/2014  Amount: \$372,554  Amount Expended for Fiscal Year: \$372,554  Fair market value:    Explain why the fair market value is less than the amount:</p>   <p>Address Line1: 330 Madison Ave  Address Line2:  City: NEW YORK  State: NY  Postal Code: 10017  Plus 4:  Province Region:  Country: USA</p> <p>Procurement Description: Liquidity Provider</p>	<p>54. Vendor Name: Wells Fargo Insurance Services of New York Inc.</p> <p>Type of Procurement: Other Professional Services  Award Process: Authority Contract - Competitive Bid  Award Date: 05/25/2010  End Date: 05/24/2016  Amount: \$375,153  Amount Expended for Fiscal Year: \$375,153  Fair market value:    Explain why the fair market value is less than the amount:</p>   <p>Address Line1: 330 Madison Ave  Address Line2:  City: NEW YORK  State: NY  Postal Code: 10017  Plus 4:  Province Region:  Country: USA</p> <p>Procurement Description: D&amp;O Insurance</p>
--	---

Procurement Transactions Listing:

55. Vendor Name: Williams Capital Group L.P.

Type of Procurement: Other Professional Services  
Award Process: Authority Contract - Competitive Bid  
Award Date: 12/20/2012  
End Date:  
Amount: \$6,375  
Amount Expended for Fiscal Year: \$6,375  
Fair market value:

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

Address Line1: 650 Fifth Ave  
Address Line2: 11th Floor  
City: NEW YORK  
State: NY  
Postal Code: 10019  
Plus 4:  
Province Region:  
Country: USA  
Procurement Description: Underwriters

---

Procurement Transactions Listing:

Additional Comments: