

**Procurement-Information:**

Question	Response	URL (if applicable)
1. Does the Authority have procurement guidelines?	Yes	<a href="http://www.nyc.gov/html/hyic/downloads/pdf/hyic_procurement_guidelines.pdf">http://www.nyc.gov/html/hyic/downloads/pdf/hyic_procurement_guidelines.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: BB&T Capital Markets

Type of Procurement: Financial Services  
Award Process: Authority Contract - Competitive Bid  
Award Date: 02/02/2008  
End Date:  
Amount: \$16,857  
Amount Expended for Fiscal Year: \$16,857  
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

2. Vendor Name: Barclay's

Type of Procurement: Financial Services  
Award Process: Authority Contract - Competitive Bid  
Award Date: 09/16/2008  
End Date:  
Amount: \$238,140  
Amount Expended for Fiscal Year: \$238,140  
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: 10019  
Plus 4:  
Province Region:  
Country: USA  
Procurement Description: Underwriters

Procurement Transactions Listing:

3. Vendor Name: Cabrera Capital Markets Inc.

Type of Procurement: Financial Services  
 Award Process: Authority Contract - Competitive Bid  
 Award Date: 02/02/2008  
 End Date:  
 Amount: \$19,515  
 Amount Expended for Fiscal Year: \$19,515  
 Fair market value:  
 Explain why the fair market value is less than the amount:

Address Line1: 9901 W Ih 10  
 Address Line2:  
 City: SAN ANTONIO  
 State: TX  
 Postal Code: 78230  
 Plus 4:  
 Province Region:  
 Country: USA  
 Procurement Description: Underwriters

4. Vendor Name: Citigroup Global Markets

Type of Procurement: Financial Services  
 Award Process: Authority Contract - Competitive Bid  
 Award Date: 02/02/2008  
 End Date:  
 Amount: \$402,521  
 Amount Expended for Fiscal Year: \$402,521  
 Fair market value:  
 Explain why the fair market value is less than the amount:

Address Line1: 388 Greenwich Street  
 Address Line2:  
 City: NEW YORK  
 State: NY  
 Postal Code: 10013  
 Plus 4:  
 Province Region:  
 Country: USA  
 Procurement Description: Underwriters

Procurement Transactions Listing:

<p>5. Vendor Name: Creative Source</p> <p>Type of Procurement: Other Professional Services</p> <p>Award Process: Authority Contract - Competitive Bid</p> <p>Award Date: 09/12/2011</p> <p>End Date: 02/28/2012</p> <p>Amount: \$16,996</p> <p>Amount Expended for Fiscal Year: \$16,996</p> <p>Fair market value:</p> <p>Explain why the fair market value is less than the amount:</p> <p>Address Line1: 27 W 24th St</p> <p>Address Line2: # 1108</p> <p>City: NEW YORK</p> <p>State: NY</p> <p>Postal Code: 10010</p> <p>Plus 4:</p> <p>Province Region:</p> <p>Country: USA</p> <p>Procurement Description: CAFR Designer</p>	<p>6. Vendor Name: Cushman &amp; Wakefield</p> <p>Type of Procurement: Financial Services</p> <p>Award Process: Authority Contract - Competitive Bid</p> <p>Award Date: 04/19/2011</p> <p>End Date:</p> <p>Amount: \$101,418</p> <p>Amount Expended for Fiscal Year: \$101,418</p> <p>Fair market value:</p> <p>Explain why the fair market value is less than the amount:</p> <p>Address Line1: 100 Wall Street</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>Procurement Description: Consulting</p>
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Procurement Transactions Listing:

7. Vendor Name: Fidelity Capital Markets

Type of Procurement: Financial Services  
Award Process: Authority Contract - Competitive Bid  
Award Date: 09/15/2009  
End Date:  
Amount: \$19,482  
Amount Expended for Fiscal Year: \$19,482  
Fair market value:  
Explain why the fair market value is less than the amount:

Address Line1: 139 North Loop 1604 East  
Address Line2:  
City: SAN ANTONIO  
State: TX  
Postal Code: 78232  
Plus 4:  
Province Region:  
Country: USA  
Procurement Description: Underwriters

8. Vendor Name: Goldman Sachs & Co.

Type of Procurement: Financial Services  
Award Process: Authority Contract - Competitive Bid  
Award Date: 02/02/2008  
End Date:  
Amount: \$306,180  
Amount Expended for Fiscal Year: \$306,180  
Fair market value:  
Explain why the fair market value is less than the amount:

Address Line1: 200 West Street  
Address Line2:  
City: NEW YORK  
State: NY  
Postal Code: 10282  
Plus 4:  
Province Region:  
Country: USA  
Procurement Description: Underwriters

Procurement Transactions Listing:

9. Vendor Name: J.P. Morgan Securities Inc.

Type of Procurement: Financial Services  
Award Process: Authority Contract - Competitive Bid  
Award Date: 02/02/2008  
End Date:  
Amount: \$2,460,652  
Amount Expended for Fiscal Year: \$2,460,652  
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

10. Vendor Name: Jackson Securities

Type of Procurement: Financial Services  
Award Process: Authority Contract - Competitive Bid  
Award Date: 02/05/2008  
End Date:  
Amount: \$20,358  
Amount Expended for Fiscal Year: \$20,358  
Fair market value:  
Explain why the fair market value is less than the amount:

Address Line1: 11 Penn Plaza  
Address Line2:  
City: NEW YORK  
State: NY  
Postal Code: 10001  
Plus 4:  
Province Region:  
Country: USA  
Procurement Description: Underwriters

Procurement Transactions Listing:

11. Vendor Name: Janney Montgomert Scott LLC

Type of Procurement: Financial Services  
Award Process: Authority Contract - Competitive Bid  
Award Date: 02/06/2008  
End Date:  
Amount: \$39,116  
Amount Expended for Fiscal Year: \$39,116  
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: Underwriters

12. Vendor Name: Jefferies & Company

Type of Procurement: Financial Services  
Award Process: Authority Contract - Competitive Bid  
Award Date: 09/15/2009  
End Date:  
Amount: \$138,026  
Amount Expended for Fiscal Year: \$138,026  
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:

13. 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: \$22,355  
Amount Expended for Fiscal Year: \$22,355  
Fair market value:  
Explain why the fair market value is less than the amount:

Address Line1: 521 5th Avenue  
Address Line2:  
City: NEW YORK  
State: NY  
Postal Code: 10175  
Plus 4:  
Province Region:  
Country: USA  
Procurement Description: Underwriters

14. 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: \$60,647  
Amount Expended for Fiscal Year: \$60,647  
Fair market value:  
Explain why the fair market value is less than the amount:

Address Line1: 88 Pine Street  
Address Line2:  
City: NEW YORK  
State: NY  
Postal Code: 10005  
Plus 4:  
Province Region:  
Country: USA  
Procurement Description: Underwriters

Procurement Transactions Listing:

15. 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: \$51,322  
Amount Expended for Fiscal Year: \$51,322  
Fair market value:  
Explain why the fair market value is less than the amount:

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

16. Vendor Name: MFR Securities

Type of Procurement: Financial Services  
Award Process: Authority Contract - Competitive Bid  
Award Date: 09/15/2009  
End Date:  
Amount: \$323  
Amount Expended for Fiscal Year: \$323  
Fair market value:  
Explain why the fair market value is less than the amount:

Address Line1: 1 Liberty Street  
Address Line2:  
City: NEW YORK  
State: NY  
Postal Code: 10006  
Plus 4:  
Province Region:  
Country: USA  
Procurement Description: Underwriters

Procurement Transactions Listing:

17. Vendor Name: Marks Paneth & Shron LLP

Type of Procurement: Financial Services  
Award Process: Authority Contract - Competitive Bid  
Award Date: 07/01/2011  
End Date: 06/30/2013  
Amount: \$30,000  
Amount Expended for Fiscal Year: \$30,000  
Fair market value:  
Explain why the fair market value is less than the amount:

Address Line1: 622 3rd Avenue  
Address Line2:  
City: NEW YORK  
State: NY  
Postal Code: 10017  
Plus 4:  
Province Region:  
Country: USA  
Procurement Description: Auditor

18. 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: \$277,192  
Amount Expended for Fiscal Year: \$277,192  
Fair market value:  
Explain why the fair market value is less than the amount:

Address Line1: 2 Belford/Harbor Way - World Financi.  
Address Line2:  
City: NEW YORK  
State: NY  
Postal Code: 10281  
Plus 4:  
Province Region:  
Country: USA  
Procurement Description: Underwriters

Procurement Transactions Listing:

19. Vendor Name: Morgan Keegan & Co. Inc.

Type of Procurement: Financial Services  
Award Process: Authority Contract - Competitive Bid  
Award Date: 02/03/2008  
End Date:  
Amount: \$55,751  
Amount Expended for Fiscal Year: \$55,751  
Fair market value:  
Explain why the fair market value is less than the amount:

Address Line1: 535 Madison Avenue  
Address Line2:  
City: NEW YORK  
State: NY  
Postal Code: 10022  
Plus 4:  
Province Region:  
Country: USA  
Procurement Description: Underwriters

20. Vendor Name: Morgan Stanley & Co. Inc.

Type of Procurement: Financial Services  
Award Process: Authority Contract - Competitive Bid  
Award Date: 02/02/2008  
End Date:  
Amount: \$201,011  
Amount Expended for Fiscal Year: \$201,011  
Fair market value:  
Explain why the fair market value is less than the amount:

Address Line1: 1221 6th Avenue  
Address Line2:  
City: NEW YORK  
State: NY  
Postal Code: 10020  
Plus 4:  
Province Region:  
Country: USA  
Procurement Description: Underwriters

Procurement Transactions Listing:

21. Vendor Name: Oppenheimer & Co. Inc.

Type of Procurement: Financial Services  
Award Process: Authority Contract - Competitive Bid  
Award Date: 09/17/2009  
End Date:  
Amount: \$20,680  
Amount Expended for Fiscal Year: \$20,680  
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: PFM Asset Management LLC

Type of Procurement: Financial Services  
Award Process: Authority Contract - Competitive Bid  
Award Date: 10/18/2011  
End Date: 06/30/2016  
Amount: \$18,488  
Amount Expended for Fiscal Year: \$18,488  
Fair market value:  
Explain why the fair market value is less than the amount:

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

Procurement Transactions Listing:

23. Vendor Name: Piper Jaffray

Type of Procurement: Financial Services  
Award Process: Authority Contract - Competitive Bid  
Award Date: 02/02/2008  
End Date:  
Amount: \$51,933  
Amount Expended for Fiscal Year: \$51,933  
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

24. Vendor Name: RBC Capital Markets

Type of Procurement: Financial Services  
Award Process: Authority Contract - Competitive Bid  
Award Date: 02/02/2008  
End Date:  
Amount: \$99,220  
Amount Expended for Fiscal Year: \$99,220  
Fair market value:  
Explain why the fair market value is less than the amount:

Address Line1: One Liberty Plaza  
Address Line2: 165 Broadway  
City: NEW YORK  
State: NY  
Postal Code: 10006  
Plus 4:  
Province Region:  
Country: USA  
Procurement Description: Underwriters

Procurement Transactions Listing:

25. Vendor Name:	Ramirez & Co. Inc.	26. Vendor Name:	Raymond James & Associates Inc.
Type of Procurement:	Financial Services	Type of Procurement:	Financial Services
Award Process:	Authority Contract - Competitive Bid	Award Process:	Authority Contract - Competitive Bid
Award Date:	02/02/2008	Award Date:	02/02/2008
End Date:		End Date:	
Amount:	\$62,680	Amount:	\$47,780
Amount Expended for Fiscal Year:	\$62,680	Amount Expended for Fiscal Year:	\$47,780
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:	61 Broadway	Address Line1:	1 Penn Plaza
Address Line2:		Address Line2:	Suite 3915
City:	NEW YORK	City:	NEW YORK
State:	NY	State:	NY
Postal Code:	10006	Postal Code:	10019
Plus 4:		Plus 4:	
Province Region:		Province Region:	
Country:	USA	Country:	USA
Procurement Description:	Underwriters	Procurement Description:	Underwriters

Procurement Transactions Listing:

27. 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: \$37,225  
 Amount Expended for Fiscal Year: \$37,225  
 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: 10005  
 Plus 4:  
 Province Region:  
 Country: USA  
 Procurement Description: Underwriters

28. Vendor Name: Roosevelt & Cross Incorporated

Type of Procurement: Financial Services  
 Award Process: Authority Contract - Competitive Bid  
 Award Date: 02/02/2008  
 End Date:  
 Amount: \$17,013  
 Amount Expended for Fiscal Year: \$17,013  
 Fair market value:  
 Explain why the fair market value is less than the amount:

Address Line1: 1 Exchange Plaza  
 Address Line2:  
 City: NEW YORK  
 State: NY  
 Postal Code: 10006  
 Plus 4:  
 Province Region:  
 Country: USA  
 Procurement Description: Underwriters

Procurement Transactions Listing:

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

Type of Procurement: Financial Services  
 Award Process: Authority Contract - Competitive Bid  
 Award Date: 02/02/2008  
 End Date:  
 Amount: \$104,831  
 Amount Expended for Fiscal Year: \$104,831  
 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

30. Vendor Name: Southwest Securities Inc.

Type of Procurement: Financial Services  
 Award Process: Authority Contract - Competitive Bid  
 Award Date: 02/02/2008  
 End Date:  
 Amount: \$36,465  
 Amount Expended for Fiscal Year: \$36,465  
 Fair market value:  
 Explain why the fair market value is less than the amount:

Address Line1: 90 Matawan Road  
 Address Line2:  
 City: MATAWAN  
 State: NJ  
 Postal Code: 07747  
 Plus 4:  
 Province Region:  
 Country: USA

Procurement Description: Underwriters

Procurement Transactions Listing:

31. Vendor Name: Stifel Nicolaus & Co. Inc.

Type of Procurement: Financial Services  
Award Process: Authority Contract - Competitive Bid  
Award Date: 02/02/2008  
End Date:  
Amount: \$45,862  
Amount Expended for Fiscal Year: \$45,862  
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: 10017  
Plus 4:  
Province Region:  
Country: USA  
Procurement Description: Underwriters

32. Vendor Name: TD Securities

Type of Procurement: Financial Services  
Award Process: Authority Contract - Competitive Bid  
Award Date: 09/15/2009  
End Date:  
Amount: \$11,870  
Amount Expended for Fiscal Year: \$11,870  
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:

33. Vendor Name: Wachovia Bank National Association

Type of Procurement: Financial Services  
Award Process: Authority Contract - Competitive Bid  
Award Date: 02/02/2008  
End Date:  
Amount: \$135,000  
Amount Expended for Fiscal Year: \$135,000  
Fair market value:

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

Address Line1: 1156 6th Ave  
Address Line2:  
City: NEW YORK  
State: NY  
Postal Code: 10036  
Plus 4:  
Province Region:  
Country: USA  
Procurement Description: Underwriters

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Procurement Transactions Listing:

Additional Comments: