

Procurement Report for New York City Municipal Water Finance Authority

Fiscal Year Ending: 06/30/2019

Run Date: 10/10/2019

Status: CERTIFIED

Certified Date : 10/10/2019

Procurement Information:

Question	Response	URL (If Applicable)
1. Does the Authority have procurement guidelines?	Yes	https://www1.nyc.gov/site/nyw/policies/procurement.page
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	
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	

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Procurement Transactions Listing:

1. Vendor Name	AECOM USA inc.	Address Line1	605 3rd Ave
Type of Procurement	Other Professional Services	Address Line2	
Award Process	Authority Contract - Competitive Bid	City	NEW YORK
Award Date	6/30/2019	State	NY
End Date		Postal Code	10158
Fair Market Value		Plus 4	
Amount	\$35,777.15	Province/Region	
Amount Expended For Fiscal Year	\$35,777.15	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Consulting Engineer

2. Vendor Name	Academy Securities Inc.	Address Line1	277 Park Ave
Type of Procurement	Other Professional Services	Address Line2	
Award Process	Authority Contract - Competitive Bid	City	NEW YORK
Award Date	5/5/2016	State	NY
End Date		Postal Code	10172
Fair Market Value		Plus 4	
Amount	\$27,376.50	Province/Region	
Amount Expended For Fiscal Year	\$27,376.50	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Underwriters

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3. Vendor Name	Amawalk Consulting Group LLC	Address Line1	26 Broadway
Type of Procurement	Other Professional Services	Address Line2	
Award Process	Authority Contract - Competitive Bid	City	NEW YORK
Award Date	9/11/2014	State	NY
End Date	9/15/2018	Postal Code	10004
Fair Market Value		Plus 4	
Amount	\$49,723.64	Province/Region	
Amount Expended For Fiscal Year	\$49,723.64	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Rate Consultant

4. Vendor Name	BLX Group LLC	Address Line1	600 Lexington Ave
Type of Procurement	Other Professional Services	Address Line2	
Award Process	Authority Contract - Competitive Bid	City	NEW YORK
Award Date	5/5/2016	State	NY
End Date		Postal Code	10022
Fair Market Value		Plus 4	
Amount	\$58,100.00	Province/Region	
Amount Expended For Fiscal Year	\$58,100.00	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Underwriters

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5. Vendor Name	BLX Group LLC	Address Line1	600 Lexington Ave
Type of Procurement	Other Professional Services	Address Line2	
Award Process	Authority Contract - Competitive Bid	City	NEW YORK
Award Date	2/2/2008	State	NY
End Date		Postal Code	10022
Fair Market Value		Plus 4	
Amount	\$17,250.00	Province/Region	
Amount Expended For Fiscal Year	\$17,250.00	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Underwriters

6. Vendor Name	Bank of America N.A.	Address Line1	PO Box 660576
Type of Procurement	Other Professional Services	Address Line2	
Award Process	Authority Contract - Competitive Bid	City	DALLAS
Award Date	10/24/2007	State	TX
End Date	7/9/2021	Postal Code	75266
Fair Market Value		Plus 4	
Amount	\$1,800,850.28	Province/Region	
Amount Expended For Fiscal Year	\$1,800,850.28	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Liquidity Provider

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7. Vendor Name	Bank of Montreal	Address Line1	360 Madison Ave
Type of Procurement	Other Professional Services	Address Line2	
Award Process	Authority Contract - Competitive Bid	City	NEW YORK
Award Date	9/27/2013	State	NY
End Date	10/5/2020	Postal Code	10017
Fair Market Value		Plus 4	
Amount	\$514,821.65	Province/Region	
Amount Expended For Fiscal Year	\$514,821.65	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Liquidity Provider

8. Vendor Name	Bank of Tokyo-Mitsubishi UFJ	Address Line1	One Liberty Plaza
Type of Procurement	Other Professional Services	Address Line2	
Award Process	Authority Contract - Competitive Bid	City	NEW YORK
Award Date	10/4/2012	State	NY
End Date	9/14/2018	Postal Code	10008
Fair Market Value		Plus 4	
Amount	\$773,283.10	Province/Region	
Amount Expended For Fiscal Year	\$773,283.10	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Liquidity Provider

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9. Vendor Name	Barclays Bank PLC	Address Line1	745 7th Avenue
Type of Procurement	Other Professional Services	Address Line2	
Award Process	Authority Contract - Competitive Bid	City	NEW YORK
Award Date	12/16/2009	State	NY
End Date	12/14/2018	Postal Code	10022
Fair Market Value		Plus 4	
Amount	\$1,037,222.02	Province/Region	
Amount Expended For Fiscal Year	\$1,037,222.02	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Liquidity Provider

10. Vendor Name	Barclays Capital Inc.	Address Line1	745 7th Avenue
Type of Procurement	Other Professional Services	Address Line2	
Award Process	Authority Contract - Competitive Bid	City	NEW YORK
Award Date	2/2/2008	State	NY
End Date		Postal Code	10022
Fair Market Value		Plus 4	
Amount	\$203,287.68	Province/Region	
Amount Expended For Fiscal Year	\$203,287.68	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Underwriters

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11. Vendor Name	Bellweather Agency	Address Line1	43-01 22nd S
Type of Procurement	Other Professional Services	Address Line2	
Award Process	Authority Contract - Competitive Bid	City	LONG ISLAND CITY
Award Date	10/8/2018	State	NY
End Date		Postal Code	11101
Fair Market Value		Plus 4	
Amount	\$14,000.00	Province/Region	
Amount Expended For Fiscal Year	\$14,000.00	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	CAFR Designer

12. Vendor Name	Blaylock Beal Van LLC	Address Line1	745 7th Avenue
Type of Procurement	Other Professional Services	Address Line2	
Award Process	Authority Contract - Competitive Bid	City	NEW YORK
Award Date	5/5/2016	State	NY
End Date		Postal Code	10022
Fair Market Value		Plus 4	
Amount	\$64,766.54	Province/Region	
Amount Expended For Fiscal Year	\$64,766.54	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Underwriters

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13. Vendor Name	Blaylock Beal Van LLC	Address Line1	745 7th Avenue
Type of Procurement	Other Professional Services	Address Line2	
Award Process	Authority Contract - Competitive Bid	City	NEW YORK
Award Date	5/5/2016	State	NY
End Date		Postal Code	10022
Fair Market Value		Plus 4	
Amount	\$60,097.54	Province/Region	
Amount Expended For Fiscal Year	\$60,097.54	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Underwriters

14. Vendor Name	Cabrera Capital Markets	Address Line1	51 W 52nd St
Type of Procurement	Other Professional Services	Address Line2	
Award Process	Authority Contract - Competitive Bid	City	NEW YORK
Award Date	5/5/2016	State	NY
End Date		Postal Code	10019
Fair Market Value		Plus 4	
Amount	\$9,175.25	Province/Region	
Amount Expended For Fiscal Year	\$9,175.25	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Underwriters

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15. Vendor Name	Castleoak	Address Line1	110 East 59th Street
Type of Procurement	Other Professional Services	Address Line2	
Award Process	Authority Contract - Competitive Bid	City	NEW YORK
Award Date	5/5/2016	State	NY
End Date		Postal Code	10022
Fair Market Value		Plus 4	
Amount	\$94,965.75	Province/Region	
Amount Expended For Fiscal Year	\$94,965.75	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Underwriters

16. Vendor Name	Citibank N.A.	Address Line1	650 5th Ave
Type of Procurement	Other Professional Services	Address Line2	#21
Award Process	Authority Contract - Competitive Bid	City	NEW YORK
Award Date	10/29/2015	State	NY
End Date	10/26/2018	Postal Code	10019
Fair Market Value		Plus 4	
Amount	\$235,824.28	Province/Region	
Amount Expended For Fiscal Year	\$235,824.28	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Liquidity Provider

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17. Vendor Name	Citigroup Global Markets	Address Line1	390 Greenwich St.
Type of Procurement	Other Professional Services	Address Line2	
Award Process	Authority Contract - Competitive Bid	City	NEW YORK
Award Date	5/5/2016	State	NY
End Date		Postal Code	10013
Fair Market Value		Plus 4	
Amount	\$346,085.63	Province/Region	
Amount Expended For Fiscal Year	\$346,085.63	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Underwriters

18. Vendor Name	Citigroup Global Markets	Address Line1	390 Greenwich St.
Type of Procurement	Other Professional Services	Address Line2	
Award Process	Authority Contract - Competitive Bid	City	NEW YORK
Award Date	2/2/2008	State	NY
End Date		Postal Code	10013
Fair Market Value		Plus 4	
Amount	\$116,291.74	Province/Region	
Amount Expended For Fiscal Year	\$116,291.74	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Underwriters

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19. Vendor Name	Donnelly Financial LLC	Address Line1	445 Park Avenue
Type of Procurement	Other Professional Services	Address Line2	
Award Process	Authority Contract - Competitive Bid	City	NEW YORK
Award Date	6/25/2009	State	NY
End Date		Postal Code	10022
Fair Market Value		Plus 4	
Amount	\$95,362.68	Province/Region	
Amount Expended For Fiscal Year	\$95,362.68	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Printer for OS

20. Vendor Name	Drexel Hamilton LLC	Address Line1	255 Greenwich St
Type of Procurement	Other Professional Services	Address Line2	3rd floor
Award Process	Authority Contract - Competitive Bid	City	NEW YORK
Award Date	7/1/2015	State	NY
End Date	6/30/2019	Postal Code	10007
Fair Market Value		Plus 4	
Amount	\$60,000.00	Province/Region	
Amount Expended For Fiscal Year	\$60,000.00	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Financial Advisor

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21. Vendor Name	Fidelity Capital Markets	Address Line1	77 Water St
Type of Procurement	Other Professional Services	Address Line2	Suite 201
Award Process	Authority Contract - Competitive Bid	City	NEW YORK
Award Date	5/5/2016	State	NY
End Date		Postal Code	10005
Fair Market Value		Plus 4	
Amount	\$34,992.26	Province/Region	
Amount Expended For Fiscal Year	\$34,992.26	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Underwriters

22. Vendor Name	Goldman Sachs & Co.	Address Line1	401 E 60th St
Type of Procurement	Other Professional Services	Address Line2	#36B
Award Process	Authority Contract - Competitive Bid	City	NEW YORK
Award Date	5/5/2016	State	NY
End Date		Postal Code	10022
Fair Market Value		Plus 4	
Amount	\$272,895.24	Province/Region	
Amount Expended For Fiscal Year	\$272,895.24	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Underwriters

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23. Vendor Name	Goldman Sachs & Co.	Address Line1	401 E 60th St
Type of Procurement	Other Professional Services	Address Line2	#36B
Award Process	Authority Contract - Competitive Bid	City	NEW YORK
Award Date	2/2/2008	State	NY
End Date		Postal Code	10022
Fair Market Value		Plus 4	
Amount	\$120,986.28	Province/Region	
Amount Expended For Fiscal Year	\$120,986.28	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Underwriters

24. Vendor Name	JPMorgan Chase Bank N.A.	Address Line1	520 Madison Avenue
Type of Procurement	Other Professional Services	Address Line2	
Award Process	Authority Contract - Competitive Bid	City	NEW YORK
Award Date	9/17/2013	State	NY
End Date	4/11/2019	Postal Code	10022
Fair Market Value		Plus 4	
Amount	\$1,740,778.40	Province/Region	
Amount Expended For Fiscal Year	\$1,740,778.40	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Liquidity Provider

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25. Vendor Name	JPMorgan Securities Inc.	Address Line1	270 Park Avenue
Type of Procurement	Other Professional Services	Address Line2	
Award Process	Authority Contract - Competitive Bid	City	NEW YORK
Award Date	5/5/2016	State	NY
End Date		Postal Code	10017
Fair Market Value		Plus 4	
Amount	\$598,129.95	Province/Region	
Amount Expended For Fiscal Year	\$598,129.95	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Underwriters

26. Vendor Name	JPMorgan Securities Inc.	Address Line1	270 Park Avenue
Type of Procurement	Other Professional Services	Address Line2	
Award Process	Authority Contract - Competitive Bid	City	NEW YORK
Award Date	2/2/2008	State	NY
End Date		Postal Code	10017
Fair Market Value		Plus 4	
Amount	\$245,481.27	Province/Region	
Amount Expended For Fiscal Year	\$245,481.27	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Underwriters

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27. Vendor Name	Jefferies LLC	Address Line1	85 Broad Street
Type of Procurement	Other Professional Services	Address Line2	
Award Process	Authority Contract - Competitive Bid	City	NEW YORK
Award Date	5/5/2016	State	NY
End Date		Postal Code	10004
Fair Market Value		Plus 4	
Amount	\$281,066.84	Province/Region	
Amount Expended For Fiscal Year	\$281,066.84	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Underwriters

28. Vendor Name	Jefferies LLC	Address Line1	85 Broad Street
Type of Procurement	Other Professional Services	Address Line2	
Award Process	Authority Contract - Competitive Bid	City	NEW YORK
Award Date	2/2/2008	State	NY
End Date		Postal Code	10004
Fair Market Value		Plus 4	
Amount	\$84,164.39	Province/Region	
Amount Expended For Fiscal Year	\$84,164.39	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Underwriters

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29. Vendor Name	Lamont Financial Services Corporation	Address Line1	270 Park Avenue
Type of Procurement	Other Professional Services	Address Line2	
Award Process	Authority Contract - Competitive Bid	City	NEW YORK
Award Date	7/9/2015	State	NY
End Date	6/30/2019	Postal Code	10017
Fair Market Value		Plus 4	
Amount	\$21,477.50	Province/Region	
Amount Expended For Fiscal Year	\$21,477.50	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Financial Advisor

30. Vendor Name	Landesbank Hessen-Thuringen (Helaba)	Address Line1	ÿ30 2 Bridges Rd
Type of Procurement	Other Professional Services	Address Line2	
Award Process	Authority Contract - Competitive Bid	City	FAIRFIELD
Award Date	6/15/2016	State	NJ
End Date	6/15/2021	Postal Code	07004
Fair Market Value		Plus 4	
Amount	\$920,515.19	Province/Region	
Amount Expended For Fiscal Year	\$920,515.19	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Liquidity Provider

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31. Vendor Name	Loop Capital Markets LLC	Address Line1	420 5th Ave
Type of Procurement	Other Professional Services	Address Line2	
Award Process	Authority Contract - Competitive Bid	City	NEW YORK
Award Date	5/5/2016	State	NY
End Date		Postal Code	10018
Fair Market Value		Plus 4	
Amount	\$182,782.83	Province/Region	
Amount Expended For Fiscal Year	\$182,782.83	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Underwriters

32. Vendor Name	Marks Paneth LLP	Address Line1	521 Fifth Avenue
Type of Procurement	Other Professional Services	Address Line2	
Award Process	Authority Contract - Competitive Bid	City	NEW YORK
Award Date	6/15/2016	State	NY
End Date	6/14/2019	Postal Code	10175
Fair Market Value		Plus 4	
Amount	\$153,000.00	Province/Region	
Amount Expended For Fiscal Year	\$153,000.00	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Auditors

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33. Vendor Name	Marsh USA Inc.	Address Line1	1166 Sixth Ave
Type of Procurement	Other Professional Services	Address Line2	
Award Process	Authority Contract - Competitive Bid	City	NEW YORK
Award Date	6/24/2017	State	NY
End Date	6/30/2018	Postal Code	10036
Fair Market Value		Plus 4	
Amount	\$164,417.00	Province/Region	
Amount Expended For Fiscal Year	\$164,417.00	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	D&O Insurance

34. Vendor Name	Merrill Lynch PF&S Inc.	Address Line1	4 World Financial Ctr
Type of Procurement	Other Professional Services	Address Line2	north
Award Process	Authority Contract - Competitive Bid	City	NEW YORK
Award Date	5/5/2016	State	NY
End Date		Postal Code	10080
Fair Market Value		Plus 4	
Amount	\$820,441.11	Province/Region	
Amount Expended For Fiscal Year	\$820,441.11	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Underwriters

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35. Vendor Name	Merrill Lynch PF&S Inc.	Address Line1	4 World Financial Ctr
Type of Procurement	Other Professional Services	Address Line2	north
Award Process	Authority Contract - Competitive Bid	City	NEW YORK
Award Date	2/2/2008	State	NY
End Date		Postal Code	10080
Fair Market Value		Plus 4	
Amount	\$500,609.32	Province/Region	
Amount Expended For Fiscal Year	\$500,609.32	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Underwriters

36. Vendor Name	Mesirow Financial Inc.	Address Line1	353 North Clark St.
Type of Procurement	Other Professional Services	Address Line2	
Award Process	Authority Contract - Competitive Bid	City	CHICAGO
Award Date	5/5/2016	State	IL
End Date		Postal Code	60654
Fair Market Value		Plus 4	
Amount	\$43,983.10	Province/Region	
Amount Expended For Fiscal Year	\$43,983.10	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Underwriters

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37. Vendor Name	Mizuho Bank Ltd.	Address Line1	1251 6th Ave
Type of Procurement	Other Professional Services	Address Line2	
Award Process	Authority Contract - Competitive Bid	City	NEW YORK
Award Date	6/15/2016	State	NY
End Date	6/15/2021	Postal Code	10012
Fair Market Value		Plus 4	
Amount	\$2,691,151.48	Province/Region	
Amount Expended For Fiscal Year	\$2,691,151.48	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Liquidity Provider

38. Vendor Name	Mizuho Securities USA Inc.	Address Line1	1251 6th Ave
Type of Procurement	Other Professional Services	Address Line2	
Award Process	Authority Contract - Competitive Bid	City	NEW YORK
Award Date	5/5/2016	State	NY
End Date		Postal Code	10012
Fair Market Value		Plus 4	
Amount	\$160,348.01	Province/Region	
Amount Expended For Fiscal Year	\$160,348.01	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Underwriters

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39. Vendor Name	Mizuho Securities USA Inc.	Address Line1	1251 6th Ave
Type of Procurement	Other Professional Services	Address Line2	
Award Process	Authority Contract - Competitive Bid	City	NEW YORK
Award Date	2/2/2008	State	NY
End Date		Postal Code	10012
Fair Market Value		Plus 4	
Amount	\$120,810.14	Province/Region	
Amount Expended For Fiscal Year	\$120,810.14	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Underwriters

40. Vendor Name	Mohanty Gargiulo LLC	Address Line1	100 Park Ave
Type of Procurement	Other Professional Services	Address Line2	
Award Process	Authority Contract - Competitive Bid	City	NEW YORK
Award Date	7/1/2015	State	NY
End Date	6/30/2019	Postal Code	10017
Fair Market Value		Plus 4	
Amount	\$8,185.42	Province/Region	
Amount Expended For Fiscal Year	\$8,185.42	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Bond Counsel

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41. Vendor Name	Morgan Stanley & Co.	Address Line1	1221 Avenue of the Americas
Type of Procurement	Other Professional Services	Address Line2	
Award Process	Authority Contract - Competitive Bid	City	NEW YORK
Award Date	5/5/2016	State	NY
End Date		Postal Code	10020
Fair Market Value		Plus 4	
Amount	\$271,945.61	Province/Region	
Amount Expended For Fiscal Year	\$271,945.61	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Underwriters

42. Vendor Name	Morgan Stanley & Co.	Address Line1	1221 Avenue of the Americas
Type of Procurement	Other Professional Services	Address Line2	
Award Process	Authority Contract - Competitive Bid	City	NEW YORK
Award Date	2/2/2008	State	NY
End Date		Postal Code	10020
Fair Market Value		Plus 4	
Amount	\$60,536.17	Province/Region	
Amount Expended For Fiscal Year	\$60,536.17	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Underwriters

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43. Vendor Name	Nixon Peabody LLP	Address Line1	437 Madison Ave
Type of Procurement	Other Professional Services	Address Line2	
Award Process	Authority Contract - Competitive Bid	City	NEW YORK
Award Date	1/1/2013	State	NY
End Date	6/30/2018	Postal Code	10022
Fair Market Value		Plus 4	
Amount	\$532,500.00	Province/Region	
Amount Expended For Fiscal Year	\$532,500.00	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Bond Counsel Disclosure

44. Vendor Name	Omnicap Group LLC	Address Line1	1325 Sixth Ave
Type of Procurement	Other Professional Services	Address Line2	
Award Process	Authority Contract - Competitive Bid	City	NEW YORK
Award Date	10/23/2017	State	NY
End Date	10/22/2020	Postal Code	10019
Fair Market Value		Plus 4	
Amount	\$296,965.65	Province/Region	
Amount Expended For Fiscal Year	\$296,965.65	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Investment Management

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45. Vendor Name	Orrick Herrington & Sutcliffe LLP	Address Line1	51 W 52nd St.
Type of Procurement	Other Professional Services	Address Line2	
Award Process	Authority Contract - Competitive Bid	City	NEW YORK
Award Date	1/1/2013	State	NY
End Date	6/30/2018	Postal Code	10019
Fair Market Value		Plus 4	
Amount	\$495,000.00	Province/Region	
Amount Expended For Fiscal Year	\$495,000.00	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Bond Counsel Disclosure

46. Vendor Name	PNC Bank NA	Address Line1	340 Madison Ave
Type of Procurement	Other Professional Services	Address Line2	
Award Process	Authority Contract - Competitive Bid	City	NEW YORK
Award Date	10/4/2012	State	NY
End Date	10/26/2018	Postal Code	10017
Fair Market Value		Plus 4	
Amount	\$648,745.30	Province/Region	
Amount Expended For Fiscal Year	\$648,745.30	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Liquidity Provider

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47. Vendor Name	PNC Capital Markets LLC	Address Line1	340 Madison Ave
Type of Procurement	Other Professional Services	Address Line2	
Award Process	Authority Contract - Competitive Bid	City	NEW YORK
Award Date	5/5/2016	State	NY
End Date		Postal Code	10017
Fair Market Value		Plus 4	
Amount	\$121,953.49	Province/Region	
Amount Expended For Fiscal Year	\$121,953.49	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Underwriters

48. Vendor Name	PNC Capital Markets LLC	Address Line1	340 Madison Ave
Type of Procurement	Other Professional Services	Address Line2	
Award Process	Authority Contract - Competitive Bid	City	NEW YORK
Award Date	2/2/2008	State	NY
End Date		Postal Code	10017
Fair Market Value		Plus 4	
Amount	\$90,410.95	Province/Region	
Amount Expended For Fiscal Year	\$90,410.95	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Underwriters

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49. Vendor Name	Piper Jaffrey & Co.	Address Line1	345 Park Ave
Type of Procurement	Other Professional Services	Address Line2	
Award Process	Authority Contract - Competitive Bid	City	NEW YORK
Award Date	5/5/2016	State	NY
End Date		Postal Code	10154
Fair Market Value		Plus 4	
Amount	\$80,000.00	Province/Region	
Amount Expended For Fiscal Year	\$80,000.00	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Underwriters

50. Vendor Name	Piper Jaffrey & Co.	Address Line1	345 Park Ave
Type of Procurement	Other Professional Services	Address Line2	
Award Process	Authority Contract - Competitive Bid	City	NEW YORK
Award Date	2/2/2008	State	NY
End Date		Postal Code	10154
Fair Market Value		Plus 4	
Amount	\$60,273.97	Province/Region	
Amount Expended For Fiscal Year	\$60,273.97	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Underwriters

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51. Vendor Name	RBC Capital Markets	Address Line1	One Liberty Plaza 165 Broadway
Type of Procurement	Other Professional Services	Address Line2	
Award Process	Authority Contract - Competitive Bid	City	NEW YORK
Award Date	5/5/2016	State	NY
End Date		Postal Code	10006
Fair Market Value		Plus 4	
Amount	\$1,096,433.09	Province/Region	
Amount Expended For Fiscal Year	\$1,096,433.09	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Underwriters

52. Vendor Name	RBC Capital Markets	Address Line1	One Liberty Plaza 165 Broadway
Type of Procurement	Other Professional Services	Address Line2	
Award Process	Authority Contract - Competitive Bid	City	NEW YORK
Award Date	2/2/2008	State	NY
End Date		Postal Code	10006
Fair Market Value		Plus 4	
Amount	\$245,479.46	Province/Region	
Amount Expended For Fiscal Year	\$245,479.46	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Underwriters

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53. Vendor Name	Ramirez & Co.	Address Line1	61 Broadway~New York
Type of Procurement	Other Professional Services	Address Line2	
Award Process	Authority Contract - Competitive Bid	City	NEW YORK
Award Date	5/5/2016	State	NY
End Date		Postal Code	10006
Fair Market Value		Plus 4	
Amount	\$192,292.30	Province/Region	
Amount Expended For Fiscal Year	\$192,292.30	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Underwriters

54. Vendor Name	Raymond James & Associates Inc.	Address Line1	250 Park Avenue
Type of Procurement	Other Professional Services	Address Line2	2nd fl
Award Process	Authority Contract - Competitive Bid	City	NEW YORK
Award Date	5/5/2016	State	NY
End Date		Postal Code	10177
Fair Market Value		Plus 4	
Amount	\$183,885.73	Province/Region	
Amount Expended For Fiscal Year	\$183,885.73	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Underwriters

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55. Vendor Name	Raymond James & Associates Inc.	Address Line1	250 Park Avenue
Type of Procurement	Other Professional Services	Address Line2	2nd fl
Award Process	Authority Contract - Competitive Bid	City	NEW YORK
Award Date	2/2/2008	State	NY
End Date		Postal Code	10177
Fair Market Value		Plus 4	
Amount	\$30,246.57	Province/Region	
Amount Expended For Fiscal Year	\$30,246.57	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Underwriters

56. Vendor Name	Roosevelt and Cross Incorporated	Address Line1	One Exchange Plaza
Type of Procurement	Other Professional Services	Address Line2	
Award Process	Authority Contract - Competitive Bid	City	NEW YORK
Award Date	5/5/2016	State	NY
End Date		Postal Code	10006
Fair Market Value		Plus 4	
Amount	\$16,638.75	Province/Region	
Amount Expended For Fiscal Year	\$16,638.75	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Underwriters

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57. Vendor Name	Royal Bank of Canada	Address Line1	12 East 49th Stree
Type of Procurement	Other Professional Services	Address Line2	
Award Process	Authority Contract - Competitive Bid	City	NEW YORK
Award Date	3/1/2011	State	NY
End Date	3/6/2019	Postal Code	10017
Fair Market Value		Plus 4	
Amount	\$662,025.51	Province/Region	
Amount Expended For Fiscal Year	\$662,025.51	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Liquidity Provider

58. Vendor Name	Siebert Brandford Shank & Co. LLC	Address Line1	100 Wall Street
Type of Procurement	Other Professional Services	Address Line2	
Award Process	Authority Contract - Competitive Bid	City	NEW YORK
Award Date	5/5/2016	State	NY
End Date		Postal Code	10005
Fair Market Value		Plus 4	
Amount	\$1,364,823.38	Province/Region	
Amount Expended For Fiscal Year	\$1,364,823.38	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Underwriters

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59. Vendor Name	State Street Bank & Trust Company N.A.	Address Line1	225 Franklin Street
Type of Procurement	Other Professional Services	Address Line2	
Award Process	Authority Contract - Competitive Bid	City	BOSTON
Award Date	3/27/2012	State	MA
End Date	10/5/2021	Postal Code	02110
Fair Market Value		Plus 4	
Amount	\$3,176,134.28	Province/Region	
Amount Expended For Fiscal Year	\$3,176,134.28	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Liquidity Provider

60. Vendor Name	Stifel Nicolaus & Co. Inc.	Address Line1	237 Park Ave
Type of Procurement	Other Professional Services	Address Line2	
Award Process	Authority Contract - Competitive Bid	City	NEW YORK
Award Date	5/5/2016	State	NY
End Date		Postal Code	10017
Fair Market Value		Plus 4	
Amount	\$38,640.40	Province/Region	
Amount Expended For Fiscal Year	\$38,640.40	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Underwriters

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61. Vendor Name	Sumitomo Mitsui Banking Corp.	Address Line1	277 Park Avenue
Type of Procurement	Other Professional Services	Address Line2	
Award Process	Authority Contract - Competitive Bid	City	NEW YORK
Award Date	6/7/2012	State	NY
End Date	10/5/2021	Postal Code	10172
Fair Market Value		Plus 4	
Amount	\$2,286,190.52	Province/Region	
Amount Expended For Fiscal Year	\$2,286,190.52	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Liquidity Provider

62. Vendor Name	TD Bank NA	Address Line1	31 W 52nd St
Type of Procurement	Other Professional Services	Address Line2	
Award Process	Authority Contract - Competitive Bid	City	NEW YORK
Award Date	11/18/2010	State	NY
End Date	11/16/2018	Postal Code	10019
Fair Market Value		Plus 4	
Amount	\$885,072.94	Province/Region	
Amount Expended For Fiscal Year	\$885,072.94	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Liquidity Provider

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63. Vendor Name	TD Securities (USA) LLC	Address Line1	31 W 52nd St
Type of Procurement	Other Professional Services	Address Line2	
Award Process	Authority Contract - Competitive Bid	City	NEW YORK
Award Date	5/5/2016	State	NY
End Date		Postal Code	10019
Fair Market Value		Plus 4	
Amount	\$215,026.48	Province/Region	
Amount Expended For Fiscal Year	\$215,026.48	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Underwriters

64. Vendor Name	TD Securities (USA) LLC	Address Line1	31 W 52nd St
Type of Procurement	Other Professional Services	Address Line2	
Award Process	Authority Contract - Competitive Bid	City	NEW YORK
Award Date	9/15/2009	State	NY
End Date		Postal Code	10019
Fair Market Value		Plus 4	
Amount	\$161,972.59	Province/Region	
Amount Expended For Fiscal Year	\$161,972.59	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Underwriters

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65. Vendor Name	US Bank	Address Line1	461 5th Ave
Type of Procurement	Other Professional Services	Address Line2	
Award Process	Authority Contract - Competitive Bid	City	NEW YORK
Award Date	5/5/2016	State	NY
End Date	3/27/2020	Postal Code	10017
Fair Market Value		Plus 4	
Amount	\$845,569.03	Province/Region	
Amount Expended For Fiscal Year	\$845,569.03	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Liquidity Provider

66. Vendor Name	US Bank	Address Line1	461 5th Ave
Type of Procurement	Other Professional Services	Address Line2	
Award Process	Authority Contract - Competitive Bid	City	NEW YORK
Award Date	5/5/2016	State	NY
End Date		Postal Code	10017
Fair Market Value		Plus 4	
Amount	\$473,730.38	Province/Region	
Amount Expended For Fiscal Year	\$473,730.38	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Underwriters

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67. Vendor Name	US Bank	Address Line1	461 5th Ave
Type of Procurement	Other Professional Services	Address Line2	
Award Process	Authority Contract - Competitive Bid	City	NEW YORK
Award Date	2/2/2008	State	NY
End Date		Postal Code	10017
Fair Market Value		Plus 4	
Amount	\$199,454.65	Province/Region	
Amount Expended For Fiscal Year	\$199,454.65	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Underwriters

68. Vendor Name	US Bank	Address Line1	461 5th Ave
Type of Procurement	Other Professional Services	Address Line2	
Award Process	Authority Contract - Competitive Bid	City	NEW YORK
Award Date	2/2/2008	State	NY
End Date		Postal Code	10017
Fair Market Value		Plus 4	
Amount	\$163,875.00	Province/Region	
Amount Expended For Fiscal Year	\$163,875.00	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Trustee

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69. Vendor Name	Wells Fargo Bank NA	Address Line1	463 Broadway
Type of Procurement	Other Professional Services	Address Line2	
Award Process	Authority Contract - Competitive Bid	City	NEW YORK
Award Date	6/25/2009	State	NY
End Date	7/10/2018	Postal Code	10013
Fair Market Value		Plus 4	
Amount	\$80,657.52	Province/Region	
Amount Expended For Fiscal Year	\$80,657.52	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Liquidity Provider

70. Vendor Name	Wells Fargo Bank NA	Address Line1	463 Broadway
Type of Procurement	Other Professional Services	Address Line2	
Award Process	Authority Contract - Competitive Bid	City	NEW YORK
Award Date	2/2/2008	State	NY
End Date		Postal Code	10013
Fair Market Value		Plus 4	
Amount	\$50,191.78	Province/Region	
Amount Expended For Fiscal Year	\$50,191.78	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Underwriters

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71. Vendor Name	Wells Fargo Bank NA (correct EIN)	Address Line1	463 Broadway
Type of Procurement	Other Professional Services	Address Line2	
Award Process	Authority Contract - Competitive Bid	City	NEW YORK
Award Date	5/5/2016	State	NY
End Date		Postal Code	10013
Fair Market Value		Plus 4	
Amount	\$321,295.33	Province/Region	
Amount Expended For Fiscal Year	\$321,295.33	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Underwriters

72. Vendor Name	Williams Capital Group L.P.	Address Line1	650 5th Ave
Type of Procurement	Other Professional Services	Address Line2	9th floor
Award Process	Authority Contract - Competitive Bid	City	NEW YORK
Award Date	5/5/2016	State	NY
End Date		Postal Code	10019
Fair Market Value		Plus 4	
Amount	\$4,627.00	Province/Region	
Amount Expended For Fiscal Year	\$4,627.00	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Underwriters

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