

Procurement Report for New York City Municipal Water Finance Authority

Fiscal Year Ending: 06/30/2021

Run Date: 10/19/2021

Status: CERTIFIED

Certified Date : 10/19/2021

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?	Yes	
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	

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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	7/1/2014	State	NY
End Date		Postal Code	10158
Fair Market Value		Plus 4	
Amount	\$124,949.03	Province/Region	
Amount Expended For Fiscal Year	\$124,949.03	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	\$126,518.86	Province/Region	
Amount Expended For Fiscal Year	\$126,518.86	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		Postal Code	10004
Fair Market Value		Plus 4	
Amount	\$168,911.48	Province/Region	
Amount Expended For Fiscal Year	\$168,911.48	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	7/1/2015	State	NY
End Date		Postal Code	10022
Fair Market Value		Plus 4	
Amount	\$58,250.00	Province/Region	
Amount Expended For Fiscal Year	\$58,250.00	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Underwriters

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5. Vendor Name	Bank of America Merrill Lynch	Address Line1	150 N. Wacker Dr.
Type of Procurement	Other Professional Services	Address Line2	
Award Process	Authority Contract - Competitive Bid	City	CHICAGO
Award Date	8/7/2020	State	IL
End Date		Postal Code	60606
Fair Market Value		Plus 4	
Amount	\$713,542.49	Province/Region	
Amount Expended For Fiscal Year	\$713,542.49	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	150 N. Wacker Dr.
Type of Procurement	Other Professional Services	Address Line2	
Award Process	Authority Contract - Competitive Bid	City	CHICAGO
Award Date	3/1/2013	State	IL
End Date	10/20/2023	Postal Code	60606
Fair Market Value		Plus 4	
Amount	\$2,772,337.59	Province/Region	
Amount Expended For Fiscal Year	\$2,772,337.59	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	9/17/2013	State	NY
End Date	10/5/2023	Postal Code	10004
Fair Market Value		Plus 4	
Amount	\$1,410,331.11	Province/Region	
Amount Expended For Fiscal Year	\$1,410,331.11	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Liquidity Provider

8. 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	9/17/2013	State	NY
End Date	12/13/2022	Postal Code	10004
Fair Market Value		Plus 4	
Amount	\$2,254,918.76	Province/Region	
Amount Expended For Fiscal Year	\$2,254,918.76	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 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	9/15/2009	State	NY
End Date		Postal Code	10004
Fair Market Value		Plus 4	
Amount	\$575,469.33	Province/Region	
Amount Expended For Fiscal Year	\$575,469.33	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Underwriters

10. Vendor Name	Bellweather Agency	Address Line1	43-01 22nd St
Type of Procurement	Other Professional Services	Address Line2	
Award Process	Authority Contract - Competitive Bid	City	LONG ISLAND CITY
Award Date	10/1/2018	State	NY
End Date		Postal Code	11101
Fair Market Value		Plus 4	
Amount	\$14,150.00	Province/Region	
Amount Expended For Fiscal Year	\$14,150.00	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	CAFR Designer

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11. 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	\$36,457.94	Province/Region	
Amount Expended For Fiscal Year	\$36,457.94	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Underwriters

12. 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	9/17/2013	State	NY
End Date	10/26/2021	Postal Code	10019
Fair Market Value		Plus 4	
Amount	\$470,366.92	Province/Region	
Amount Expended For Fiscal Year	\$470,366.92	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Liquidity Provider

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13. 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	\$409,788.17	Province/Region	
Amount Expended For Fiscal Year	\$409,788.17	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Underwriters

14. 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	8/7/2020	State	NY
End Date		Postal Code	10007
Fair Market Value		Plus 4	
Amount	\$63,237.92	Province/Region	
Amount Expended For Fiscal Year	\$63,237.92	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Underwriters

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15. 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	\$9,307.63	Province/Region	
Amount Expended For Fiscal Year	\$9,307.63	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Underwriters

16. 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	\$112,117.12	Province/Region	
Amount Expended For Fiscal Year	\$112,117.12	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Underwriters

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17. Vendor Name	Grant Thornton LLP	Address Line1	757 3rd ave
Type of Procurement	Other Professional Services	Address Line2	
Award Process	Authority Contract - Competitive Bid	City	NEW YORK
Award Date	6/30/2020	State	NY
End Date		Postal Code	10017
Fair Market Value		Plus 4	
Amount	\$168,000.00	Province/Region	
Amount Expended For Fiscal Year	\$168,000.00	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Auditors

18. Vendor Name	Great Pacific Securities	Address Line1	450 Lexington Avenue
Type of Procurement	Other Professional Services	Address Line2	
Award Process	Authority Contract - Competitive Bid	City	NEW YORK
Award Date	8/7/2020	State	NY
End Date		Postal Code	10017
Fair Market Value		Plus 4	
Amount	\$27,564.26	Province/Region	
Amount Expended For Fiscal Year	\$27,564.26	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Underwriters

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19. Vendor Name	Hardwick Lawfirm LLC	Address Line1	14 Wall Street
Type of Procurement	Other Professional Services	Address Line2	20th Floor
Award Process	Authority Contract - Competitive Bid	City	NEW YORK
Award Date	9/1/2018	State	NY
End Date		Postal Code	10005
Fair Market Value		Plus 4	
Amount	\$210,000.00	Province/Region	
Amount Expended For Fiscal Year	\$210,000.00	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Bond Counsel

20. Vendor Name	Image Master	Address Line1	75 N Saw Mill River Rd
Type of Procurement	Other Professional Services	Address Line2	
Award Process	Authority Contract - Competitive Bid	City	ELMSFORD
Award Date	9/17/2013	State	NY
End Date		Postal Code	10523
Fair Market Value		Plus 4	
Amount	\$29,269.07	Province/Region	
Amount Expended For Fiscal Year	\$29,269.07	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Printing

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21. Vendor Name	Industrial And Commercial Bank of China	Address Line1	202 Canal Street
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	9/10/2021	Postal Code	10013
Fair Market Value		Plus 4	
Amount	\$329,037.56	Province/Region	
Amount Expended For Fiscal Year	\$329,037.56	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Liquidity Provider

22. 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	5/27/2026	Postal Code	10022
Fair Market Value		Plus 4	
Amount	\$2,639,524.49	Province/Region	
Amount Expended For Fiscal Year	\$2,639,524.49	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Liquidity Provider

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23. Vendor Name	JPMorgan Securities Inc.	Address Line1	520 Madison 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	\$583,445.29	Province/Region	
Amount Expended For Fiscal Year	\$583,445.29	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Underwriters

24. 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	9/17/2013	State	NY
End Date		Postal Code	10004
Fair Market Value		Plus 4	
Amount	\$335,933.37	Province/Region	
Amount Expended For Fiscal Year	\$335,933.37	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Underwriters

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25. 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	10/1/2019	State	NY
End Date		Postal Code	10017
Fair Market Value		Plus 4	
Amount	\$172,932.00	Province/Region	
Amount Expended For Fiscal Year	\$172,932.00	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Financial Advisor

26. Vendor Name	Landesbank Hessen-Thuringen (Helaba)	Address Line1	302 Bridges Rd
Type of Procurement	Other Professional Services	Address Line2	
Award Process	Authority Contract - Competitive Bid	City	FAIRFIELD
Award Date	9/17/2013	State	NJ
End Date	6/15/2021	Postal Code	07004
Fair Market Value		Plus 4	
Amount	\$1,217,238.06	Province/Region	
Amount Expended For Fiscal Year	\$1,217,238.06	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Liquidity Provider

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27. 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	2/2/2008	State	NY
End Date		Postal Code	10018
Fair Market Value		Plus 4	
Amount	\$1,778,422.41	Province/Region	
Amount Expended For Fiscal Year	\$1,778,422.41	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Underwriters

28. Vendor Name	MUFG Bank	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	9/13/2021	Postal Code	10022
Fair Market Value		Plus 4	
Amount	\$1,533,958.33	Province/Region	
Amount Expended For Fiscal Year	\$1,533,958.33	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Liquidity Provider

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29. Vendor Name	Mizuho Coporate 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	4/11/2014	State	NY
End Date	9/27/2022	Postal Code	10012
Fair Market Value		Plus 4	
Amount	\$3,840,456.48	Province/Region	
Amount Expended For Fiscal Year	\$3,840,456.48	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Liquidity Provider

30. 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	10/1/2019	State	NY
End Date		Postal Code	10017
Fair Market Value		Plus 4	
Amount	\$13,790.42	Province/Region	
Amount Expended For Fiscal Year	\$13,790.42	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Financial Advisor

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31. 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	\$215,901.95	Province/Region	
Amount Expended For Fiscal Year	\$215,901.95	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Underwriters

32. 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	9/1/2018	State	NY
End Date		Postal Code	10022
Fair Market Value		Plus 4	
Amount	\$1,206,000.00	Province/Region	
Amount Expended For Fiscal Year	\$1,206,000.00	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Bond Counsel

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33. 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		Postal Code	10019
Fair Market Value		Plus 4	
Amount	\$224,316.43	Province/Region	
Amount Expended For Fiscal Year	\$224,316.43	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Investment Management

34. 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	9/1/2018	State	NY
End Date		Postal Code	10019
Fair Market Value		Plus 4	
Amount	\$35,000.00	Province/Region	
Amount Expended For Fiscal Year	\$35,000.00	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Bond Counsel Disclosure

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35. 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	8/20/2018	State	NY
End Date	10/2/2021	Postal Code	10017
Fair Market Value		Plus 4	
Amount	\$843,299.97	Province/Region	
Amount Expended For Fiscal Year	\$843,299.97	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Liquidity Provider

36. 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	9/17/2013	State	NY
End Date		Postal Code	10017
Fair Market Value		Plus 4	
Amount	\$119,752.97	Province/Region	
Amount Expended For Fiscal Year	\$119,752.97	Country	United States
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37. Vendor Name	Piper Sandler	Address Line1	345 Park Ave
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		Postal Code	10154
Fair Market Value		Plus 4	
Amount	\$79,835.32	Province/Region	
Amount Expended For Fiscal Year	\$79,835.32	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Underwriters

38. 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	\$175,869.58	Province/Region	
Amount Expended For Fiscal Year	\$175,869.58	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Underwriters

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39. 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	9/15/2009	State	NY
End Date		Postal Code	10006
Fair Market Value		Plus 4	
Amount	\$38,162.15	Province/Region	
Amount Expended For Fiscal Year	\$38,162.15	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Underwriters

40. 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	\$1,802,979.24	Province/Region	
Amount Expended For Fiscal Year	\$1,802,979.24	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Underwriters

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41. Vendor Name	Rice Financial Products Company	Address Line1	17 State Street
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	10004
Fair Market Value		Plus 4	
Amount	\$18,456.63	Province/Region	
Amount Expended For Fiscal Year	\$18,456.63	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Underwriters

42. 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	2/2/2008	State	NY
End Date		Postal Code	10006
Fair Market Value		Plus 4	
Amount	\$95,154.51	Province/Region	
Amount Expended For Fiscal Year	\$95,154.51	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Underwriters

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43. 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	2/2/2008	State	NY
End Date		Postal Code	10005
Fair Market Value		Plus 4	
Amount	\$90,576.55	Province/Region	
Amount Expended For Fiscal Year	\$90,576.55	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Underwriters

44. Vendor Name	State Street Bank & Trust Company N.A.	Address Line1	100 Wall Street
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	3/6/2026	Postal Code	10005
Fair Market Value		Plus 4	
Amount	\$3,329,469.16	Province/Region	
Amount Expended For Fiscal Year	\$3,329,469.16	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Liquidity Provider

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45. Vendor Name	Stern Brothers	Address Line1	8000 Maryland Ave
Type of Procurement	Other Professional Services	Address Line2	
Award Process	Authority Contract - Competitive Bid	City	NEW YORK
Award Date	8/7/2020	State	NY
End Date		Postal Code	10007
Fair Market Value		Plus 4	
Amount	\$5,714.39	Province/Region	
Amount Expended For Fiscal Year	\$5,714.39	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Underwriters

46. 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	2/2/2008	State	NY
End Date		Postal Code	10017
Fair Market Value		Plus 4	
Amount	\$45,167.99	Province/Region	
Amount Expended For Fiscal Year	\$45,167.99	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Underwriters

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47. 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	7/7/2023	Postal Code	10172
Fair Market Value		Plus 4	
Amount	\$2,712,622.52	Province/Region	
Amount Expended For Fiscal Year	\$2,712,622.52	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Liquidity Provider

48. 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	9/17/2013	State	NY
End Date	11/16/2022	Postal Code	10019
Fair Market Value		Plus 4	
Amount	\$1,176,034.72	Province/Region	
Amount Expended For Fiscal Year	\$1,176,034.72	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Liquidity Provider

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49. 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	\$280,709.75	Province/Region	
Amount Expended For Fiscal Year	\$280,709.75	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Underwriters

50. Vendor Name	UBS Securities LLC	Address Line1	11 Wall Street
Type of Procurement	Other Professional Services	Address Line2	
Award Process	Authority Contract - Competitive Bid	City	NEW YORK
Award Date	8/7/2020	State	NY
End Date		Postal Code	10007
Fair Market Value		Plus 4	
Amount	\$14,196.38	Province/Region	
Amount Expended For Fiscal Year	\$14,196.38	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Underwriters

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51. 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	9/17/2013	State	NY
End Date	3/6/2024	Postal Code	10017
Fair Market Value		Plus 4	
Amount	\$1,151,001.09	Province/Region	
Amount Expended For Fiscal Year	\$1,151,001.09	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Liquidity Provider

52. 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	9/15/2009	State	NY
End Date		Postal Code	10017
Fair Market Value		Plus 4	
Amount	\$416,392.48	Province/Region	
Amount Expended For Fiscal Year	\$416,392.48	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Underwriters

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53. Vendor Name	US Bank(Trustee)	Address Line1	461 5th Ave
Type of Procurement	Other Professional Services	Address Line2	
Award Process	Authority Contract - Competitive Bid	City	NEW YORK
Award Date	1/22/2018	State	NY
End Date		Postal Code	10017
Fair Market Value		Plus 4	
Amount	\$177,245.00	Province/Region	
Amount Expended For Fiscal Year	\$177,245.00	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Trustee

54. Vendor Name	USI Insurance Services LLC	Address Line1	470 Park Ave S
Type of Procurement	Other Professional Services	Address Line2	
Award Process	Authority Contract - Competitive Bid	City	NEW YORK
Award Date	4/1/2019	State	NY
End Date		Postal Code	10016
Fair Market Value		Plus 4	
Amount	\$202,174.00	Province/Region	
Amount Expended For Fiscal Year	\$202,174.00	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	D&O Insurance

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55. 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	9/17/2013	State	NY
End Date		Postal Code	10013
Fair Market Value		Plus 4	
Amount	\$269,570.37	Province/Region	
Amount Expended For Fiscal Year	\$269,570.37	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Underwriters

Additional Comments