Annual Procurement Report

Fiscal Year 2013 – 2014

For the Period Commencing November 1, 2013 and Ending October 31, 2014[1]

January 29, 2015

NEW YORK STATE HOUSING FINANCE AGENCY
STATE OF NEW YORK MORTGAGE AGENCY
NEW YORK STATE AFFORDABLE HOUSING CORPORATION
STATE OF NEW YORK MUNICIPAL BOND BANK AGENCY
TOBACCO SETTLEMENT FINANCING CORPORATION

Homes and Community Renewal

641 Lexington Avenue I New York, NY 10022
212-688-4000 I www.nyshcr.org

[1] Although AHC's fiscal year runs from April 1st through March 31st, for purposes of this consolidated Report, AHC's procurement activity is reported using a November 1, 2013 – October 31, 2014 period, which conforms to the fiscal period shared by the rest of the Agencies.

NEW YORK STATE HOUSING FINANCE AGENCY
STATE OF NEW YORK MORTGAGE AGENCY
NEW YORK STATE AFFORDABLE HOUSING CORPORATION
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For the Period Commencing November 1, 2013 and Ending October 31, 2014

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TAB 1

Agencies' Listing of Pre-qualified Panels

AGENCIES' LIST 0F PRE-QUALIFIED PANELS

Appraisal and Market Study Consultant pre-qualified panel of the:

- New York State Housing Finance Agency

  - Capital Appraisal Services, Inc.
  - Concordis Real Estate Advisors, LLC[1]
  - Emminger, Newton, Pigeon & Magyar, Inc.
  - Gar Associates, Inc.
  - Jacques O. Tuchler & Associates[2]
  - Jerome Haims Realty, Inc.
  - Klauk, Lloyd & Wilhelm, Inc.
  - MR Valuation Consulting, LLC[1]
  - Patjo Appraisal Services, Inc.[1]
  - Phoenix Real Estate Counselors Inc.
  - Robert W. Jones & Associates[1]
  - Pomeroy Appraisal Associates, Inc.
  - Richard J. Lampert Real Estate Consulting and Market Research
  - Saratoga Associates Landscape Architects, Engineers, and Planners, P.C.

Audit Services pre-qualified panel of the:

- New York State Affordable Housing Corporation

  - Dadia Velles & Co. CPAs LLP[1]
  - Israeloff Trattner & Co., P.C.
  - KPMG LLP
  - Les S. Thompson & Co., LLP[1]
  - Lumsden & McCormick, LLP
  - Tabriztchi & Co., CPA, P.C.
  - Toski, Schaefer & Co., P.C.
  - Watson Rice LLP[1]
  - Wei Wei & Co., LLP[1]

[1]Minority-Owned Business Enterprise
[2]Women-Owned Business Enterprise
[3]Minority and Women-Owned Business Enterprise

Financial Advisor pre-qualified panels of the:

- New York State Housing Finance Agency
- State of New York Mortgage Agency
- State of New York Municipal Bond Bank Agency
- Tobacco Settlement Financing Corporation
  - A.C. Advisory [2]
  - Acacia Financial Group, Inc. [2]
  - Caine Mitter & Associtess Incorporated
  - CSG Advisors Incorporated
  - DeLara Associates[2]
  - Mohanty Gargiulo LLC[2]
  - Public Resources Advisory Group
  - Swap Financial Group LLC

Insurance Consultant pre-qualified panels of the:

- New York State Housing Finance Agency

  - Insurance Advisors LLV
  - Yolanda Sullivan d/b/a Sullivan-Hernandez Agency, Inc.[3]

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Outside Bond Counsel prequalified panels of the:

- New York State Housing Finance Agency
- State of New York Municipal Bond Bank Agency
- Tobacco Settlement Financing Corporation
  - Graves, Horton, Askew & Johns, LLC[1]
  - Harris Beach LLP
  - Hawkins, Delafield & Wood LLP
  - Hiscock & Barclay LLP
  - McKenna, Long & Aldridge, LLP
  - Mintz Levin Cohn Ferris Glovsky and Popeo, P.C.
  - Nixon Peabody LLP
  - Orrick Herrington & Sutcliffe LLP
  - Pugh, Jones & Johnson, P.C.
- State of New York Mortgage Agency[†]
  - Hawkins Delafield & Wood LLP

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Outside Co-Bond Counsel prequalified panels of the:

- New York State Housing Finance Agency
- State of New York Mortgage Agency
- State of New York Municipal Bond Bank Agency
- Tobacco Settlement Financing Corporation
  - Brown & Hutchinson[1]
  - Bryant, Burgher, Jaffe LLP[1]
  - Golden & Associates d/b/a Golden Holley James, LLP[1]
  - Gonzalez, Saggio & Harlan LLP[1]
  - Hardwick Law Firm, LLC[1]
  - Law Offices of Joseph C. Reid, P.A. [1]
  - Lewis & Munday, PC [1]
  - Soeder Associates, LLC[2]
  - Thompson & Thompson, PPC[1]
  - Y3K Holdings, P.A. d/b/a D. Seaton and Associates[1]

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Outside Non-Bond Counsel pre-qualified panel of the:

- New York State Housing Finance Agency
- State of New York Mortgage Agency
- New York State Affordable Housing Corporation
- State of New York Municipal Bond Bank Agency†
- Tobacco Settlement Financing Corporation

PANEL A – MAJORITY FIRMS

- Anderson Kill & Olick, P.C.
- Arent Fox LLP
- Boylan, Brown, Code, Vigdor & Wilson, LLP
- Day Pitney LLP
- Dentons (US) LLP
- Edwards Wildman Palmer LLP
- Golenbock Eisman Assor Bell & Peskoe LLP
- Harris Beach, PLLC
- Holland & Knight, LLP
- Jaspan Schlesinger Hoffman, LLP
- McKenna Long & Aldridge, LLP
- Mintz, Levin, Cohn, Ferris, Glovsky & Popeo, P.C.
- Nixon Peabody, LLP
- Seyfarth Shaw LLP
- Squire, Sanders & Dempsey, LLP
- Venable, LLP

PANEL A – M/WBE FIRMS

- Bryant Rabbino LLP[1]
- Brown & Hutchinson[1]
- Drohan Lee, LLP[1]
- Gonzalez, Saggio & Harlan LLP[1]
- Hoguet Newman Regal & Kenney LLP[2]
- Love & Long LLP[3]
- McGlashan Law Firm P.C.[1]
- Morris Duffy Alonso & Faley[3]
- Pacheco & Lugo, PLLC[3]
- Schoeman Updike Kaufman Stern & Ascher LLP[2]
- Wilson & Chan LLP[1]
- Younkins & Schector LLP[3]

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Physical Needs Assessment, Construction Monitoring and/or Davis Bacon Prevailing Wage Monitoring Services pre-qualified panels of the

- New York State Housing Finance Agency†

Physical Needs Assessment Services (18 firms)

- BANC3, Inc.[1]
- CARA Construction Management, Inc[3]
- Cashin Associates, PC
- Clampett Industries LLC (d/b/a EMG)
- Gandhi Engineering, Inc.
- Haider Engineering, P.C. [1]
- HAKS Engineers, Architects, and Land Surveyors, PC
- Heritage Architecture LLC[2]
- Hillman Consulting, LLC
- HiRise Engineering, P.C.
- Inspection & Valuation International, Inc.
- Kenneth O. Wille & Associates, Inc.
- LaLand Baptiste, LLC. [3]
- Lockwood Kessler & Bartlett Inc.
- Munoz Engineering PC[1]
- NobleStrategy NY, Inc. [1]
- On-Site Insight, Inc.
- Works-In-Progress Associates[2]

Construction Monitoring Services (18 firms)

- AFG Group, Inc. [3]
- Armand Corporation[3]
- BANC3, Inc.[1]
- CARA Construction Management, Inc[3]
- Cashin Associates, PC
- Clampett Industries LLC (d/b/a EMG)
- Extraordinary Building Consultants LLC[1]
- Haider Engineering, P.C. [1]
- HAKS Engineers, Architects, and Land Surveyors, PC
- Heritage Architecture LLC[2]
- Hillman Consulting, LLC
- HiRise Engineering, P.C.
- Inspection & Valuation International, Inc.
- Kenneth O. Wille & Associates, Inc.
- Munoz Engineering PC[1]
- LaLand Baptiste, LLC. [3]
- NobleStrategy NY, Inc. [1]
- Works-In-Progress Associates[2]

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Davis Bacon Prevailing Wage Monitoring Services (12 firms)

- BANC3, Inc.[1]
- Cashin Associates, PC
- Clampett Industries LLC (d/b/a EMG)
- Gandhi Engineering, Inc.
- HAKS Engineers, Architects, and Land Surveyors, PC
- HiRise Engineering, P.C.
- The Institute for Building Technology and Safety
- Inspection & Valuation International, Inc.
- Kenneth O. Wille & Associates, Inc.
- NobleStrategy NY, Inc. [1]
- Thacher Associates, LLC
- Works-In-Progress Associates[2]

Technical Assistance Provider prequalified panel with respect to the Manufactured Home Cooperative Fund Program of the:

- New York State Housing Finance Agency

  - PathStone Corporation (formerly, Housing Opportunities, Inc.)
  - Inhouse Corporation
  - Long Island Housing Partnership, Inc.
  - McCormick Consulting Services, Inc. [1]

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TAB 2

Summary of the Agencies' Procurement Activities

New York State Housing Finance Agency, State of New York Mortgage Agency, New York State Affordable Housing Corporation, State of New York Municipal Bond Bank Agency, Tobacco Settlement Financing Corporation

Procurement Contract Report For '13 - '14 (11/01/2013 to 10/31/2014)

Agency(s)	Vendor Name and Address	Scope of Services	Contract No.	Contract Dates	Method of Sel & Date	Bids	NYS	Amount Paid	Allocation of Payments for the period of 11/01/13 to 10/31/14 HFA	SONYMA	AHC	MBBA	TSFC	Life of Contract Amount Paid
	Appraisal Services													
HFA	***Richard J. Lampert 2 Sutton Place Pleasantville, NY 10570***	***APPRAISAL AND MARKET STUDY ANALYSIS CONSULTANT SERVICES***	***2981***	***06/09/2014 06/08/2015***	***RFP 05/12/2014***	3	**Y**	***5,750***	***100%***					***5,750***
	Architectural and Engineering Services													
HFA	Clampett Industries, LLC 11011 McCormick Road Hunt Valley, MD 21031	CONSTRUCTION MONITORING SERVICES	2673	09/06/2011 06/01/2013	Comp Bid 08/23/2011	4	N	2,000	100%					19,656
HFA	Clampett Industries, LLC 11011 McCormick Road Hunt Valley, MD 21031	PHYSICAL NEEDS ASSESSMENT AND PHASE 1 ENVIROMENTAL ASSESSMENT SERVICES	2816	12/04/2012 12/03/2013	Comp Bid 10/25/2012	2	N	1,200	100%					5,250
HFA	***Clampett Industries, LLC 11011 McCormick Road Hunt Valley, MD 21031***	***PHYSICAL NEEDS ASSESSMENT AND PHASE 1 ENVIROMENTAL ASSESSMENT SERVICES***	***2980***	***06/03/2014 06/02/2015***	***Preq List 05/07/2014***	5	**N**	***4,300***	***100%***					***4,300***
HFA	Inhouse Corporation PO Box 1426 Riverhead, NY 11901	TECHNICAL & ASSISTANCE PROVIDER SERVICES	634	09/08/2004 / / Upon Notice	Preq List 01/31/2005	3	Y	5,440	100%					118,857
HFA	Inhouse Corporation PO Box 1426 Riverhead, NY 11901	TECHNICAL SERVICES	2803	12/01/2012 / / Upon Notice	Unique Qual 12/01/2012	0	Y	1,005	100%					23,762
	Audit and Accounting Services													

Bold and Italics indicate Procurement Contracts Executed During '13 - '14 (11/01/2013 to 10/31/2014)

Procurement Contract Report For '13 - '14 (11/01/2013 to 10/31/2014)

Agency(s)	Vendor Name and Address	Scope of Services	Contract No.	Contract Dates	Method of Sel & Date	Bids	NYS	Amount Paid	Allocation of Payments for the period of 11/01/13 to 10/31/14 HFA	SONYMA	AHC	MBBA	TSFC	Life of Contract Amount Paid
	Audit and Accounting Services													
HFA	Ernst & Young LLP 5 Times Square New York, NY 10035-6530	AUDIT SERVICES	2539	06/10/2010 06/09/2015	RFP 03/16/2010	3	Y	196,590 **See End Notes**	100%					771,325
SONYMA	Ernst & Young LLP 5 Times Square New York, NY 10035-6530	AUDIT SERVICES	2556	06/10/2010 06/09/2015	RFP 03/16/2010	3	Y	169,740 **See End Notes**		100%				692,860
MBBA	Ernst & Young LLP 5 Times Square New York, NY 10035-6530	AUDIT SERVICES	2557	06/10/2010 06/09/2015	RFP 03/16/2010	3	Y	16,370 **See End Notes**				100%		64,530
TSFC	Ernst & Young LLP 5 Times Square New York, NY 10035-6530	AUDIT SERVICES	2558	06/10/2010 06/09/2015	RFP 03/16/2010	3	Y	17,000 **See End Notes**					100%	68,200
AHC	Ernst & Young LLP 5 Times Square New York, NY 10035-6530	AUDIT SERVICES	2568	06/10/2010 06/09/2015	RFP 03/16/2010	3	Y	10,900 **See End Notes**			100%			42,700
AHC	***Les S. Thompson & Co., LLP*** +***386 Park Avenue South, Suite 5*** ***New York, NY 10016***	***AUDIT SERVICES***	***3022***	***10/28/2014*** ***10/27/2015***	***Comp Bid*** ***03/03/2014***	6	**Y**	***0***						***0***

\+ Minority-Owned Business Enterprise

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Agency(s)	Vendor Name and Address	Scope of Services	Contract No.	Contract Dates	Method of Sel & Date	Bids	NYS	Amount Paid	Allocation of Payments for the period of 11/01/13 to 10/31/14 HFA	SONYMA	AHC	MBBA	TSFC	Life of Contract Amount Paid
	Audit and Accounting Services													
AHC	***Padilla and Company, LLP*** ***+175-61 Hillside Ave, Ste 200*** ***Jamaica, NY 11432***	***AUDIT SERVICES***	***3021***	***10/28/2014*** ***10/27/2015***	***Comp Bid*** ***03/03/2014***	3	**Y**	***0***						***0***
AHC	***Tabriztchi & Co. CPA, P.C.*** ***7 Twelfth Street*** ***Garden City, NY 11530***	***AUDIT SERVICES***	***3019***	***10/28/2014*** ***10/27/2015***	***Comp Bid*** ***03/03/2014***	4	**Y**	***0***						***0***
AHC	Toski & Co., CPA's P.C. 300 Essjay Road, Suite 115 Williamsville, NY 14221	AUDIT SERVICES	2882	09/19/2012 09/18/2013	Comp Bid 04/09/2012	2	Y	1,900			100%			1,900
AHC	***Toski & Co., CPA's P.C.*** ***300 Essjay Road, Suite 115*** ***Williamsville, NY 14221***	***AUDIT SERVICES***	***3020***	***10/28/2014*** ***10/27/2015***	***Comp Bid*** ***03/03/2014***	3	**Y**	***0***						***0***
AHC	***Wei, Wei & Co., LLP*** ***+133-10 39th Avenue*** ***Flushing, NY 11354***	***AUDIT SERVICES***	***3023***	***10/28/2014*** ***10/27/2015***	***Comp Bid*** ***03/03/2014***	7	**Y**	***0***						***0***
	Communications/Marketing Services													
SONYMA	Afro-American Times, Inc. 1195 Atlantic Avenue Brooklyn, NY 11216	SONYMA ADS	2932	10/07/2013 01/13/2014	Unique Qual 10/07/2013	0	Y	5,524		100%				5,524

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Procurement Contract Report For '13 - '14 (11/01/2013 to 10/31/2014)

Agency(s)	Vendor Name and Address	Scope of Services	Contract No.	Contract Dates	Method of Sel & Date	Bids	NYS	Amount Paid	Allocation of Payments for the period of 11/01/13 to 10/31/14 HFA	SONYMA	AHC	MBBA	TSFC	Life of Contract Amount Paid
	Communications/Marketing Services													
SONYMA	Amsterdam News Corp 2340 Frederick Douglas Blvd New York, NY 10027	SONYMA ADS	2763	07/01/2012 06/30/2013	Unique Qual 07/01/2012	0	NYD	360		100%				17,260
SONYMA	Amsterdam News Corp 2340 Frederick Douglas Blvd New York, NY 10027	SONYMA ADS	2851	07/01/2013 06/30/2014	Unique Qual 07/01/2013	0	NYD	20,333		100%				32,040
SONYMA	***Amsterdam News Corp 2340 Frederick Douglas Blvd New York, NY 10027***	***SONYMA ADS***	***2982***	***07/31/2014 10/30/2014***	***Unique Qual 07/31/2014***	0	**NYD**	***19,250***		***100%***				***19,250***
SONYMA	***Blue Outdoor, LLC 1065 Avenue of the Americas Suite 301 New York, NY 10018***	***SONYMA MALL ADS***	***2891***	***12/01/2013 02/28/2014***	***Unique Qual 12/01/2013***	0	**Y**	***15,000***		***100%***				***15,000***
SONYMA	***Blue Outdoor, LLC 1065 Avenue of the Americas Suite 301 New York, NY 10018***	***PRODUCTION / INSTALLATION OF SONYMA MALL ADS***	***2896***	***11/15/2013 / /*** Upon Notice	***Unique Qual 11/15/2013***	0	**Y**	***5,825***		***100%***				***5,825***
SONYMA	***Blue Outdoor, LLC 1065 Avenue of the Americas Suite 301 New York, NY 10018***	***SONYMA MALL MEDIA ADS***	***2897***	***11/15/2013 12/31/2013***	***Unique Qual 11/15/2013***	0	**Y**	***18,175***		***100%***				***18,175***

NYD indicates Not Yet Determined. Unavailable data at this time as Agencies are in the process of updating their files.

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Procurement Contract Report For '13 - '14 (11/01/2013 to 10/31/2014)

Agency(s)	Vendor Name and Address	Scope of Services	Contract No.	Contract Dates	Method of Sel & Date	Bids	NYS	Amount Paid	Allocation of Payments for the period of 11/01/13 to 10/31/14 HFA	SONYMA	AHC	MBBA	TSFC	Life of Contract Amount Paid
	Communications/Marketing Services													
SONYMA	***Blue Outdoor, LLC 1065 Avenue of the Americas Suite 301 New York, NY 10018***	***PRODUCTION/INSTALLATION OF SONYMA MALL ADS***	***2922***	***02/01/2014 / /*** Upon Notice	***Unique Qual 02/01/2014***	0	**Y**	***6,550***		***100%***				***6,550***
SONYMA	***Blue Outdoor, LLC 1065 Avenue of the Americas Suite 301 New York, NY 10018***	***SONYMA- MALL MEDIA ADS***	***2924***	***02/01/2014 05/31/2014***	***Unique Qual 02/01/2014***	0	**Y**	***18,500***		***100%***				***18,500***
SONYMA	***Blue Outdoor, LLC 1065 Avenue of the Americas Suite 301 New York, NY 10018***	***PRODUCTION/INSTALLATION OF SONYMA MALL ADS***	***2929***	***12/01/2013 / /*** Upon Notice	***Unique Qual 12/01/2013***	0	**Y**	***3,250***		***100%***				***3,250***
SONYMA	***Blue Outdoor, LLC 1065 Avenue of the Americas Suite 301 New York, NY 10018***	***SONYMA- MALL MEDIA ADS***	***2968***	***06/01/2014 09/30/2014***	***Unique Qual 06/01/2014***	0	**Y**	***26,000***		***100%***				***26,000***
SONYMA	***Blue Outdoor, LLC 1065 Avenue of the Americas Suite 301 New York, NY 10018***	***PRODUCTION/INSTALLATION OF SONYMA MALL ADS***	***2990***	***04/01/2014 / /*** Upon Notice	***Unique Qual 04/01/2014***	0	**Y**	***0***						***0***
SONYMA	***Blue Outdoor, LLC 1065 Avenue of the Americas Suite 301***	***SONYMA- MALL MEDIA ADS***	***2991***	***04/01/2014 08/31/2014***	***Unique Qual 04/01/2014***	0	**Y**	***20,000***		***100%***				***20,000***

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Procurement Contract Report For '13 - '14 (11/01/2013 to 10/31/2014)

Agency(s)	Vendor Name and Address	Scope of Services	Contract No.	Contract Dates	Method of Sel & Date	Bids	NYS	Amount Paid	Allocation of Payments for the period of 11/01/13 to 10/31/14 HFA	SONYMA	AHC	MBBA	TSFC	Life of Contract Amount Paid
	Communications/Marketing Services													
	New York, NY 10018													
SONYMA	Brooklyn Media Group, Inc. 38-15 Bell Blvd Bayside, NY 11361	SONYMA ADS- BROOKLYN SPECTATOR HOME REPORTER	2889	08/19/2013 10/31/2013	Unique Qual 08/19/2013	0	Y	1,080		100%				1,620
SONYMA	***Brooklyn Media Group, Inc. 38-15 Bell Blvd Bayside, NY 11361***	***SONYMA ADS***	***2902***	***11/07/2013 11/14/2013***	***Unique Qual 11/07/2013***	0	**Y**	***1,080***		***100%***				***1,080***
SONYMA	***Courier Life Publications d/b/a Caribbean Life One Metro Tech Center 10th Fl Brooklyn, NY 11201***	***SONYMA ADS-CARIBBEAN LIFE***	***3004***	***08/29/2014 09/05/2014***	***Unique Qual 08/29/2014***	0	**NYD**	***4,400***		***100%***				***4,400***
SONYMA	***Courier Life Publications d/b/a Caribbean Life One Metro Tech Center 10th Fl Brooklyn, NY 11201***	***SONYMA ADS- VILLAGER, GAY NEWS, CHELSEA NOW, AND DOWNTOWN EXPRESS***	***3005***	***09/08/2014 09/25/2014***	***Unique Qual 09/08/2014***	0	**NYD**	***1,880***		***100%***				***1,880***
SONYMA	***CapNY, LLC 1100 Wilson Blvd, 6th Fl Arlington, VA 22209***	***MEDIA SUBSCRIPTION SERVICE***	***2965***	***04/02/2014 04/01/2015***	***Unique Qual 04/02/2014***	0	**Y**	***2,990***		***100%***				***2,990***
SONYMA	***City and State NY, LLC 61 Broadway, Suite 2825 New York, NY 10006***	***SONYMA AD***	***2971***	***06/23/2014 06/26/2014***	***Unique Qual 06/23/2014***	0	**Y**	***5,700***		***100%***				***5,700***

NYD indicates Not Yet Determined. Unavailable data at this time as Agencies are in the process of updating their files.

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Procurement Contract Report For '13 - '14 (11/01/2013 to 10/31/2014)

Agency(s)	Vendor Name and Address	Scope of Services	Contract No.	Contract Dates	Method of Sel & Date	Bids	NYS	Amount Paid	Allocation of Payments for the period of 11/01/13 to 10/31/14 HFA	SONYMA	AHC	MBBA	TSFC	Life of Contract Amount Paid
	Communications/Marketing Services													
SONYMA	***City and State NY, LLC 61 Broadway, Suite 2825 New York, NY 10006***	***SONYMA AD***	***2989***	***07/21/2014 07/22/2014***	***Unique Qual 07/21/2014***	0	**Y**	***2,850***		***100%***				***2,850***
SONYMA	Cooper Investors, Inc. 141-07 20 Ave Whitestone, NY 11357	SONYMA ADS-WORLD JOURNAL	2858	06/24/2013 09/23/2013	Unique Qual 06/24/2013	0	Y	329		100%				4,425
SONYMA	Cooper Investors, Inc. 141-07 20 Ave Whitestone, NY 11357	SONYMA ADS-WORLD JOURNAL	2869	10/02/2013 12/31/2013	Unique Qual 10/02/2013	0	Y	4,425		100%				4,425
SONYMA	Cooper Investors, Inc. 141-07 20 Ave Whitestone, NY 11357	SONYMA ADS-WORLD JOURNAL (SUNDAY SUPPLEMENT)	2870	09/22/2013 12/08/2013	Unique Qual 09/22/2013	0	Y	7,200		100%				8,640
SONYMA	***Cvent Inc. 8180 Greensboro Dr Ste 900 Mc Lean, VA 22102***	***EVENT MANAGEMENT SERVICES***	***2921***	***01/01/2014 12/31/2014***	***Unique Qual 01/01/2014***	0	**Y**	***18,260***		***100%***				***18,260***
SONYMA	***Encompass Media Group, Inc. 28 East 28th Street New York, NY 10016-7922***	***SONYMA DIGITAL ADS***	***2950***	***05/26/2014 06/19/2014***	***Unique Qual 05/26/2014***	0	**Y**	***0***						***0***

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Procurement Contract Report For '13 - '14 (11/01/2013 to 10/31/2014)

Agency(s)	Vendor Name and Address	Scope of Services	Contract No.	Contract Dates	Method of Sel & Date	Bids	NYS	Amount Paid	Allocation of Payments for the period of 11/01/13 to 10/31/14 HFA	SONYMA	AHC	MBBA	TSFC	Life of Contract Amount Paid
	Communications/Marketing Services													
SONYMA	***Encompass Media Group, Inc. 28 East 28th Street New York, NY 10016-7922***	***SONYMA DIGITAL ADS***	***2988***	***07/19/2014 08/19/2014***	***Unique Qual 07/19/2014***	0	**Y**	***14,831***		***100%***				***14,831***
SONYMA	***Epoch Times International, Inc. 229 West 28th Street - 6th Fl New York, NY 10001***	***SONYMA ADS***	***2984***	***08/01/2014 09/05/2014***	***Unique Qual 08/01/2014***	0	**Y**	***20,532***		***100%***				***20,532***
SONYMA	***Epoch Times International, Inc. 229 West 28th Street - 6th Fl New York, NY 10001***	***SONYMA ADS***	***3007***	***09/12/2014 10/17/2014***	***Unique Qual 09/12/2014***	0	**Y**	***13,688***		***100%***				***13,688***
SONYMA	Liberty Group New York Holding , Inc. The Observer Dispatch 221 Oriskany Plaza Utica, NY 13501	SONYMA ADS-THE OBSERVER DISPATCH	2753	08/08/2012 08/07/2013	Unique Qual 08/08/2012	0	Y	314		100%				8,321
SONYMA	Move Sales, Inc. P. O. Box 4455 Scottsdale, AZ 85261-4455	SONYMA ONLINE ADS--REALTOR.COM	2853	06/04/2013 10/31/2013	Unique Qual 06/04/2013	0	NYD	10,937		100%				16,716
SONYMA	Move Sales, Inc. P. O. Box 4455 Scottsdale, AZ 85261-4455	SONYMA ONLINE ADS--REALTOR.COM	2878	09/15/2013 10/15/2013	Unique Qual 09/15/2013	0	NYD	11,284		100%				11,284

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Procurement Contract Report For '13 - '14 (11/01/2013 to 10/31/2014)

Agency(s)	Vendor Name and Address	Scope of Services	Contract No.	Contract Dates	Method of Sel & Date	Bids	NYS	Amount Paid	Allocation of Payments for the period of 11/01/13 to 10/31/14 HFA	SONYMA	AHC	MBBA	TSFC	Life of Contract Amount Paid
	Communications/Marketing Services													
SONYMA	***Move Sales, Inc. P. O. Box 4455 Scottsdale, AZ 85261-4455***	***SONYMA ONLINE ADS--REALTOR.COM***	***2925***	***01/10/2014 02/10/2014***	***Unique Qual 01/10/2014***	0	**NYD**	***5,000***		***100%***				***5,000***
SONYMA	New York Daily Challenge, Inc. +1195 Atlantic Avenue Brooklyn, NY 11216	SONYMA ADS	2892	06/03/2013 09/03/2013	Unique Qual 06/03/2013	0	Y	18,048		100%				18,048
SONYMA	New York Daily Challenge, Inc. +1195 Atlantic Avenue Brooklyn, NY 11216	SONYMA ADS	2931	10/07/2013 01/13/2014	Unique Qual 10/07/2013	0	Y	18,048		100%				18,048
SONYMA	***New York Daily Challenge, Inc. +1195 Atlantic Avenue Brooklyn, NY 11216***	***SONYMA ADS***	***2969***	***02/10/2014 05/13/2014***	***Unique Qual 02/10/2014***	0	**Y**	***18,048***		***100%***				***18,048***
SONYMA	***New York Daily Challenge, Inc. +1195 Atlantic Avenue Brooklyn, NY 11216***	***SONYMA ADS***	***2972***	***06/02/2014 09/01/2014***	***Unique Qual 06/02/2014***	0	**Y**	***18,048***		***100%***				***18,048***
SONYMA	New York Teacher 800 Troy- Schenectady Rd. Latham, NY 12110-2344	SONYMA ADS-NEW YORK TEACHER (CITY EDITION)	2856	08/06/2013 06/26/2014	Unique Qual 08/06/2013	0	Y	14,269		100%				16,821
SONYMA	New York Teacher 800 Troy- Schenectady Rd. Latham, NY 12110-2344	SONYMA ADS-NEW YORK TEACHER (STATE /COMBO)	2857	08/06/2013 06/30/2014	Unique Qual 08/06/2013	0	Y	10,336		100%				11,846

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Agency(s)	Vendor Name and Address	Scope of Services	Contract No.	Contract Dates	Method of Sel & Date	Bids	NYS	Amount Paid	Allocation of Payments for the period of 11/01/13 to 10/31/14 HFA	SONYMA	AHC	MBBA	TSFC	Life of Contract Amount Paid
	Communications/Marketing Services													
SONYMA	***New York Teacher 800 Troy- Schenectady Rd. Latham, NY 12110-2344***	***SONYMA ADS-NEW YORK TEACHER (STATE /COMBO)***	***2986***	***07/18/2014 08/31/2015***	***Unique Qual 07/18/2014***	0	**Y**	***1,510***		***100%***				***1,510***
SONYMA	***New York Teacher 800 Troy- Schenectady Rd. Latham, NY 12110-2344***	***SONYMA ADS-NEW YORK TEACHER (CITY EDITION)***	***2987***	***07/16/2014 08/30/2015***	***Unique Qual 07/16/2014***	0	**Y**	***2,552***		***100%***				***2,552***
SONYMA	***NYC Community Media LLC d/b/a Downtown Express 515 Canal Street #1C New York, NY 10013***	***SONYMA ADS-VARIOUS PUBLICATIONS***	***2970***	***06/26/2014 07/03/2014***	***Unique Qual 06/26/2014***	0	**NYD**	***1,880***		***100%***				***1,880***
SONYMA	ZC Operations, LLC 5950 N.W. 1st Place Gainesville, FL 32607	SONYMA ADS-NY STATE ASSOCIATION OF REALTORS	2802	10/23/2012 12/31/2013	Unique Qual 10/23/2012	0	N	1,370		100%				8,217
SONYMA	***ZC Operations, LLC 5950 N.W. 1st Place Gainesville, FL 32607***	***SONYMA ADS-NY STATE ASSOCIATION OF REALTORS***	***2926***	***03/01/2014 12/31/2014***	***Unique Qual 03/01/2014***	0	**N**	***5,478***		***100%***				***5,478***
SONYMA	The Network Journal Communications 139 Fulton Street Suite 407 New York, NY 10038	SONYMA ADS	2823	02/13/2013 11/30/2013	Unique Qual 02/13/2013	0	NYD	5,600		100%				22,400

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Agency(s)	Vendor Name and Address	Scope of Services	Contract No.	Contract Dates	Method of Sel & Date	Bids	NYS	Amount Paid	Allocation of Payments for the period of 11/01/13 to 10/31/14 HFA	SONYMA	AHC	MBBA	TSFC	Life of Contract Amount Paid
	Communications/Marketing Services													
SONYMA	The Network Journal Communications 139 Fulton Street Suite 407 New York, NY 10038	SONYMA ADS	2923	11/29/2014 12/31/2014	Unique Qual 11/29/2014	0	NYD	17,400		100%				17,400
SONYMA	New American of New York 1195 Atlantic Avenue Brooklyn, NY 11216	SONYMA ADS	2887	06/17/2013 09/21/2013	Unique Qual 06/17/2013	0	Y	5,524		100%				5,524
SONYMA	New American of New York 1195 Atlantic Avenue Brooklyn, NY 11216	SONYMA ADS	2927	10/07/2013 01/13/2014	Unique Qual 10/07/2013	0	Y	5,524		100%				5,524
SONYMA	New Media News, LLC 1395 S Platte River Dr. Denver, CO 80223	SONYMA ONLINE ADS	2866	09/01/2013 10/31/2013	Unique Qual 09/01/2013	0	Y	5,000		100%				10,000
SONYMA	***New York Press Service, Inc*** ***1681 Western Avenue*** ***Albany, NY 12203***	***SONYMA ADS***	***2930***	***02/17/2014*** ***04/14/2014***	***Unique Qual*** ***02/17/2014***	0	**Y**	***23,600***		***100%***				***23,600***
SONYMA	***New York Press Service, Inc*** ***1681 Western Avenue*** ***Albany, NY 12203***	***SONYMA ADS***	***2952***	***05/12/2014*** ***06/30/2014***	***Unique Qual*** ***05/12/2014***	0	**Y**	***23,600***		***100%***				***23,600***

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Agency(s)	Vendor Name and Address	Scope of Services	Contract No.	Contract Dates	Method of Sel & Date	Bids	NYS	Amount Paid	Allocation of Payments for the period of 11/01/13 to 10/31/14 HFA	SONYMA	AHC	MBBA	TSFC	Life of Contract Amount Paid
	Communications/Marketing Services													
SONYMA	Newsday, Inc. 235 Pinelawn Road Melville, NY 11747-4250	SONYM ADS-AM NEW YORK	2893	10/01/2013 10/31/2013	Unique Qual 10/01/2013	0	NYD	16,160		100%				16,160
SONYMA	***Newsday, Inc.*** ***P.O. Box 9575*** ***Uniondale, NY 11555-9575***	***SONYMA ADS-AM NEW YORK***	***2894***	***11/01/2013*** ***11/30/2013***	***Unique Qual*** ***11/01/2013***	0	**NYD**	***10,510***		***100%***				***10,510***
SONYMA	***Newsday, Inc.*** ***P.O. Box 9575*** ***Uniondale, NY 11555-9575***	***SONYMA ADS- AM NEW YORK***	***2947***	***04/01/2014*** ***04/22/2014***	***Unique Qual*** ***04/01/2014***	0	**NYD**	***8,340***		***100%***				***8,340***
SONYMA	***Newsday, Inc.*** ***P.O. Box 9575*** ***Uniondale, NY 11555-9575***	***SONYMA ADS-AM New York***	***2962***	***05/02/2014*** ***05/21/2014***	***Unique Qual*** ***05/02/2014***	0	**NYD**	***8,340***		***100%***				***8,340***
SONYMA	***Newsday, Inc.*** ***P.O. Box 9575*** ***Uniondale, NY 11555-9575***	***SONYMA ADS-AM NEW YORK***	***2992***	***05/02/2014*** ***05/21/2014***	***Unique Qual*** ***05/02/2014***	0	**NYD**	***0***						***0***
SONYMA	Schneps Publication, Inc. +38-15 Bell Blvd Bayside, NY 11361	SONYMA ADS-THE QUEENS COURIER(ALL EDITIONS)	2871	10/03/2013 10/31/2013	Unique Qual 10/03/2013	0	Y	1,500		100%				3,000

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Agency(s)	Vendor Name and Address	Scope of Services	Contract No.	Contract Dates	Method of Sel & Date	Bids	NYS	Amount Paid	Allocation of Payments for the period of 11/01/13 to 10/31/14 HFA	SONYMA	AHC	MBBA	TSFC	Life of Contract Amount Paid
	Communications/Marketing Services													
SONYMA	Schneps Publication, Inc. +38-15 Bell Blvd Bayside, NY 11361	SONYMA ADS- EL CORREO	2883	10/17/2013 11/01/2013	Unique Qual 10/17/2013	0	Y	416		100%				832
SONYMA	***Schneps Publication, Inc.*** ***+38-15 Bell Blvd*** ***Bayside, NY 11361***	***SONYMA ADS- QUEENS COURIER***	***2934***	***03/06/2014*** ***05/29/2014***	***Unique Qual*** ***03/06/2014***	0	**Y**	***10,200***		***100%***				***10,200***
SONYMA	***Schneps Publication, Inc.*** ***+38-15 Bell Blvd*** ***Bayside, NY 11361***	***SONYMA ADS-EL CORREO***	***2935***	***03/13/2014*** ***05/29/2014***	***Unique Qual*** ***03/13/2014***	0	**Y**	***3,437***		***100%***				***3,437***
SONYMA	***Schneps Publication, Inc.*** ***+38-15 Bell Blvd*** ***Bayside, NY 11361***	***SONYMA ADS-EL CORREO***	***2966***	***05/22/2014*** ***10/03/2014***	***Unique Qual*** ***05/22/2014***	0	**Y**	***4,419***		***100%***				***4,419***
SONYMA	***Schneps Publication, Inc.*** ***+38-15 Bell Blvd*** ***Bayside, NY 11361***	***SONYMA ADS -QUEENS COURIER***	***2967***	***05/22/2014*** ***08/21/2014***	***Unique Qual*** ***05/22/2014***	0	**Y**	***10,200***		***100%***				***10,200***
SONYMA	***Schneps Publication, Inc.*** ***+38-15 Bell Blvd*** ***Bayside, NY 11361***	***SONYMA ADS***	***2985***	***08/24/2014*** ***10/30/2014***	***Unique Qual*** ***08/24/2014***	0	**Y**	***7,650***		***100%***				***7,650***
SONYMA	The Positive Community Corp 133 Glenridge Avenue Montclair, NJ 07042	SONYMA ADS	2835	05/01/2013 04/30/2014	Unique Qual 05/01/2013	0	N	2,100		100%				4,725

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Agency(s)	Vendor Name and Address	Scope of Services	Contract No.	Contract Dates	Method of Sel & Date	Bids	NYS	Amount Paid	Allocation of Payments for the period of 11/01/13 to 10/31/14 HFA	SONYMA	AHC	MBBA	TSFC	Life of Contract Amount Paid
	Communications/Marketing Services													
SONYMA	***The Positive Community Corp 133 Glenridge Avenue Montclair, NJ 07042***	***SONYMA ADS***	***2953***	***04/10/2014 04/30/2015***	***Unique Qual 04/10/2014***	0	**N**	***2,300***		***100%***				***2,300***
SONYMA	Trulia, Inc. 116 New Montgomery St. Suite 300 San Francisco, CA 94105	SONYMA ONLINE ADS	2881	10/01/2013 10/31/2013	Unique Qual 10/01/2013	0	N	10,000		100%				10,000
SONYMA	***Trulia, Inc. 116 New Montgomery St. Suite 300 San Francisco, CA 94105***	***SONYMA ONLINE ADS***	***2943***	***03/01/2014 05/31/2014***	***Unique Qual 03/01/2014***	0	**N**	***10,000***		***100%***				***10,000***
SONYMA	***Trulia, Inc. 116 New Montgomery St. Suite 300 San Francisco, CA 94105***	***SONYMA ONLINE ADS***	***2993***	***06/01/2014 06/30/2014***	***Unique Qual 06/01/2014***	0	**N**	***8,000***		***100%***				***8,000***
SONYMA	***Trulia, Inc. 116 New Montgomery St. Suite 300 San Francisco, CA 94105***	***SONYMA ONLINE ADS***	***2994***	***07/01/2014 07/31/2014***	***Unique Qual 07/01/2014***	0	**N**	***8,000***		***100%***				***8,000***

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Agency(s)	Vendor Name and Address	Scope of Services	Contract No.	Contract Dates	Method of Sel & Date	Bids	NYS	Amount Paid	Allocation of Payments for the period of 11/01/13 to 10/31/14 HFA	SONYMA	AHC	MBBA	TSFC	Life of Contract Amount Paid
	Communications/Marketing Services													
SONYMA	***Univision Radio New York Inc. 485 Madison Avenue New York, NY 10022***	***SONYMA EVENT AND RADIO ADS-WADO AND WXNY***	***3006***	***09/20/2014 09/21/2014***	***Unique Qual 09/20/2014***	0	**Y**	***4,250***		***100%***				***4,250***
SONYMA	Access Communications Corp 333 Seventh Ave - 14th Fl New York, NY 10001	SONYMA ONLINE ADS (WWRL 1600)	2867	10/07/2013 11/03/2013	Unique Qual 10/07/2013	0	NYD	1,400		100%				1,400
SONYMA	Access Communications Corp 333 Seventh Ave - 14th Fl New York, NY 10001	SONYMA ONLINE ADS (WWRL 1600)	2903	07/07/2013 10/06/2013	Unique Qual 07/07/2013	0	NYD	1,763		100%				1,763
SONYMA	***Access Communications Corp 333 Seventh Ave - 14th Fl New York, NY 10001***	***SONYMA ONLINE ADS (WWRL 1600)***	***2904***	***11/11/2013 02/09/2014***	***Unique Qual 11/11/2013***	0	**NYD**	***4,250***		***100%***				***4,250***
SONYMA	Western New York Real Estate Information 200 John James Audubon Pkwy Suite 201 Amherst, NY 14228	SONYMA ONLINE ADS-2FINDYOURHOME. COM	2873	09/01/2013 10/31/2013	Unique Qual 09/01/2013	0	Y	5,000		100%				10,000
SONYMA	Zillow, Inc. 1301 Second Avenue, Fl 31 Seattle, WA 98101	SONYMA ONLINE ADS- ZILLOW. COM	2868	10/01/2013 10/31/2013	Unique Qual 10/01/2013	0	N	9,558		100%				9,558

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Agency(s)	Vendor Name and Address	Scope of Services	Contract No.	Contract Dates	Method of Sel & Date	Bids	NYS	Amount Paid	Allocation of Payments for the period of 11/01/13 to 10/31/14 HFA	SONYMA	AHC	MBBA	TSFC	Life of Contract Amount Paid
	Communications/Marketing Services													
SONYMA	***Zillow, Inc. 1301 Second Avenue, Fl 31 Seattle, WA 98101***	***SONYMA ONLINE ADS- ZILLOW. COM***	***2945***	***03/01/2014 05/31/2014***	***Unique Qual 03/01/2014***	0	**N**	***15,000***		***100%***				***15,000***
	Debt Issuance Services													
HFA SONYMA	***++A.C. Advisory, Inc. +150 N Wacker Drive, Suite 2160 Chicago, IL 60606***	***FINANCIAL ADVISORY SERVICES***	***3010***	***05/21/2014 11/30/2014***	***Preq List 05/21/2014***	1	**Y**	***30,000***	***100%***					***30,000***
HFA SONYMA	++Acacia Financial Group, Inc 13000 Lincoln Drive West Suite 206 Marlton, NJ 08053	FINANCIAL ADVISORY SERVICES	2678	12/01/2011 11/30/2014	Preq List 06/06/2011	12	Y	30,000	100%					110,000
HFA SONYMA	CSG ADVISORS INCORPORATED 1 Post Street, Suite 2130 San Francisco, CA 94104	FINANCIAL ADVISORY SERVICES	2737	12/01/2011 11/30/2014	Preq List 06/06/2011	12	N	50,000		100%				250,000
TSFC	***Causey Demgen & Moore, P.C. 1125 Seventeenth Street -Suite Denver, CO 80202***	***BOND VERIFICATION SERVICES***	***2915***	***11/01/2013 05/31/2014***	***Preq List 05/07/2013***	3	**Y**	***58,000***					***100%***	***58,000***
TSFC	IHS Global, Inc. 15 Inverness Way East Englewood, CO 80112	BOND VERIFICATION SERVICES	2907	10/03/2013 12/04/2013	Unique Qual 10/03/2013	0	Y	165,000					100%	165,000

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Agency(s)	Vendor Name and Address	Scope of Services	Contract No.	Contract Dates	Method of Sel & Date	Bids	NYS	Amount Paid	Allocation of Payments for the period of 11/01/13 to 10/31/14 HFA	SONYMA	AHC	MBBA	TSFC	Life of Contract Amount Paid
	Debt Issuance Services													
HFA SONYMA	ImageMaster LLC +1182 Oak Valley Drive Ann Arbor, MI 48108	FINANCIAL PRINTING	2846	01/01/2013 09/10/2015	RFP 06/15/2009	3	Y	34,817	82%	18%				57,498
MBBA TSFC	ImageMaster LLC +1182 Oak Valley Drive Ann Arbor, MI 48108	FINANCIAL PRINTING	2847	01/01/2013 09/10/2015	RFP 06/15/2009	3	Y	7,886					100%	7,886
HFA SONYMA	++Mohanty Gargiulo LLC +100 Park Avenue, Suite 1600 New York, NY 10017	FINANCIAL ADVISORY SERVICES	2716	12/01/2011 11/30/2014	Comp Bid 06/06/2011	12	Y	25,000		100%				50,000
HFA SONYMA	Public Resources Advisory Group, Inc. 40 Rector Street, Suite 1600 New York, NY 10006-2908	FINANCIAL ADVISORY SERVICES	2733	12/01/2011 11/30/2014	RFP 06/06/2011	12	Y	1,000	100%					18,729
MBBA TSFC	Public Resources Advisory Group, Inc. 40 Rector Street, Suite 1600 New York, NY 10006-2908	FINANCIAL ADVISORY SERVICES	2791	12/01/2011 11/30/2014	RFP 06/06/2011	12	Y	86,600				2%	98%	161,600
HFA	SS&C Technologies, Inc. 80 Lamberton Rd. Windsor, CT 06095	PROGRAM LICENSE & SUPPORT SERVICES FOR HOUSING & FINANCE PROGRAM	1265	01/30/1996 / / Upon Notice	Unique Qual 07/26/2004	2	Y	3,850	95%			2%	3%	139,434

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	Debt Issuance Services													
HFA SONYMA	Swap Financial Group LLC 76 South Orange Avenue, Ste 6 South Orange, NJ 07079	SWAP ADVISORY SERVICES	2767	12/01/2011 11/30/2014	Preq List 06/06/2011	12	N	40,000		100%				177,000
MBBA TSFC	Swap Financial Group LLC 76 South Orange Avenue, Ste 6 South Orange, NJ 07079	SWAP ADVISORY SERVICES	2772	12/01/2011 11/30/2014	Preq List 06/06/2011	12	N	42,375					100%	45,042
HFA SONYMA MBBA TSFC	++Wendy W. Berry 206 Shaker Ridge Drive Niskayuna, NY 12309	CONSULTANT SERVICES	2860	07/29/2013 12/31/2013	Unique Qual 07/29/2013	0	Y	37,800	100%					47,250
	Facilities & Administrative Services													
HFA SONYMA AHC	AT&T 65 Wolf Rd. Albany, NY 12205	COMMUNICATION SERVICES	1882	05/19/2002 08/15/2017	St Ctrct 05/19/2002	0	NYD	43,025	52%	46%		1%	1%	502,938
HFA SONYMA	Collins Building Services, Inc. 1775 Broadway-Suite 1420 New York, NY 10019	MAINTENANCE & CLEANING SERVICES	2145	01/01/2007 12/31/2014	Unique Qual 01/01/2007	0	Y	99,310	48%	50%		1%	2%	660,159
HFA SONYMA AHC MBBA TSFC	Deluxe Delivery Systems, Inc. d/b/a +64 West 48th Street 4th Fl New York, NY 10036	OFF SITE STORAGE AND RETRIEVAL ACCESS SERVICES	2771	08/01/2012 07/31/2017	MWBE 01/01/2012	2	Y	53,823	48%	50%		1%	2%	150,888

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Agency(s)	Vendor Name and Address	Scope of Services	Contract No.	Contract Dates	Method of Sel & Date	Bids	NYS	Amount Paid	Allocation of Payments for the period of 11/01/13 to 10/31/14 HFA	SONYMA	AHC	MBBA	TSFC	Life of Contract Amount Paid
	Facilities & Administrative Services													
HFA SONYMA AHC	Elrac, Inc. 1550 Route 23 North Wayne, NJ 07470	AUTO RENTAL	1975	08/15/2005 10/18/2015	St Ctrct 08/15/2005	0	NYD	7,361	85%	11%	4%			61,170
HFA SONYMA	Falk Technical Service Corp. 227 West 19th Street New York, NY 10011	SERVICE & MAINTENANCE OF HEATING, VENTILATION & AIR CONDITIONING SYSTEMS	2164	06/01/2007 05/31/2013	RFP 04/23/2007	7	Y	1,263	48%	50%		1%	2%	26,714
HFA	Fire Service, Inc. 39-27 59th Street Flushing, NY 11377	MAINTENANCE OF FIRE ALARM SYSTEM & EQUIPMENT	2305	05/01/2008 04/30/2015	Unique Qual 05/01/2008	0	Y	1,367	48%	50%		1%	2%	8,563
HFA SONYMA	Pitney Bowes,Inc. 430 New Karner Road Albany, NY 12205	LEASING OF POSTAGE MACHINE	2731	04/01/2012 07/31/2016	St Ctrct 04/01/2012	0	N	8,736	48%	50%		1%	2%	23,126
HFA	Time Warner Cable Of N.Y. City PO BOX 105046 Newark, NJ 07101	CABLE TV SERVICES	2079	08/09/1994 / / Upon Notice	Unique Qual 08/09/1994	0	Y	2,754	48%	50%		1%	2%	24,156
HFA SONYMA AHC	United Parcel Service P.O. Box 7247-0244 Philadelphia, PA 19170-0001	COURIER SERVICES	2354	01/02/2009 12/31/2014	St Ctrct 01/02/2009	0	NYD	26,700	54%	41%		1%	5%	169,561

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Agency(s)	Vendor Name and Address	Scope of Services	Contract No.	Contract Dates	Method of Sel & Date	Bids	NYS	Amount Paid	Allocation of Payments for the period of 11/01/13 to 10/31/14 HFA	SONYMA	AHC	MBBA	TSFC	Life of Contract Amount Paid
	Facilities & Administrative Services													
HFA SONYMA AHC	Verizon 11 Wards Lane Menands, NY 12204	COMMUNICATION SERVICES	1906	05/19/2002 08/15/2017	St Ctrct 05/19/2002	0	NYD	124,609	51%	47%		1%	1%	1,257,905
HFA SONYMA AHC	Verizon Wireless 7600 Montpelier Road Laurel, MD 20723	WIRELESS COMMUNICATION SERVICES	1907	08/17/2004 08/15/2017	St Ctrct 08/17/2004	0	NYD	48,999	48%	50%		1%	2%	375,069
HFA SONYMA AHC	Xerox Corporation 8 Southwoods Blvd. Albany, NY 12211	LEASE & MAINTENANCE OF OFFICE EQUIPMENT	1946	06/01/2002 05/31/2012	St Ctrct 06/01/2002	0	Y	8,225	50%	48%		1%	2%	1,224,346
	Financial Services													
HFA	Automatic Data Processing, Inc. 1 ADP Blvd Roseland, NJ 07068	PAYROLL SERVICES	1972	10/01/2005 / / Upon Notice	RFP 10/01/2005	0	NYD	5,072	100%					43,850
SONYMA	Automatic Data Processing, Inc. 1 ADP Blvd Roseland, NJ 07068	PAYROLL SERVICES	1973	10/01/2005 / / Upon Notice	RFP 10/01/2005	0	NYD	11,586		100%				88,743
AHC	Automatic Data Processing, Inc. 1 ADP Blvd Roseland, NJ 07068	PAYROLL SERVICES	1974	10/01/2005 / / Upon Notice	RFP 10/01/2005	0	NYD	8,011			100%			55,324

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Procurement Contract Report For '13 - '14 (11/01/2013 to 10/31/2014)

Agency(s)	Vendor Name and Address	Scope of Services	Contract No.	Contract Dates	Method of Sel & Date	Bids	NYS	Amount Paid	Allocation of Payments for the period of 11/01/13 to 10/31/14 HFA	SONYMA	AHC	MBBA	TSFC	Life of Contract Amount Paid
	Financial Services													
HFA	***BLX Group LLC 51 West 52nd St New York, NY 10019***	***ARBITRAGE REBATE CALCULATIONS***	***3029***	***09/09/2014 09/08/2019***	***RFP 04/09/2014***	4	**NYD**	***0***						***0***
HFA SONYMA	Bloomberg, L.P. 499 Park Ave. New York, NY 10022	ELECTRONIC INFO SERVICES - LEASE OF DATA DISTRIBUTION	173	05/01/2003 / / Upon Notice	Unique Qual 05/01/2003	0	NYD	25,800	48%	50%		1%	2%	271,955
HFA	Bond LogistiX 777 South Figueroa Street Suite 3200 Los Angeles, CA 90017	ARBITRAGE REBATE CALCULATIONS	2528	03/04/2010 03/03/2015	RFP 12/21/2009	6	Y	36,575	100%					123,725
SONYMA	Cfx Incorporated 588 Broadway - Suite 1203 New York, NY 10012	QUANTITATIVE CONSULTANT SERVICES	2785	01/01/2012 12/31/2014	RFP 10/08/2011	5	Y	750,000		100%				2,062,500
HFA	Hawkins, Delafield, & Wood One Chase Manhattan Plaza Floor 42 New York, NY 10005	ARBITRAGE REBATE CALCULATIONS	2518	03/04/2010 03/03/2015	RFP 12/21/2009	6	Y	77,900	100%					400,227

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Procurement Contract Report For '13 - '14 (11/01/2013 to 10/31/2014)

Agency(s)	Vendor Name and Address	Scope of Services	Contract No.	Contract Dates	Method of Sel & Date	Bids	NYS	Amount Paid	Allocation of Payments for the period of 11/01/13 to 10/31/14 HFA	SONYMA	AHC	MBBA	TSFC	Life of Contract Amount Paid
	Financial Services													
TSFC	Hawkins, Delafield, & Wood One Chase Manhattan Plaza Floor 42 New York, NY 10005	ARBITRAGE REBATE CALCULATIONS	2527	04/08/2010 04/07/2015	RFP 12/21/2009	6	Y	18,387					100%	24,967
HFA	***Mitchell & Titus, LLP*** ***+One Battery Plaza, 27th Fl*** ***New York, NY 10004***	***TAX CONSULTANT SERVICES FOR AGENCY'S PIPELINE PROJECTS***	***3025***	***05/23/2014*** ***05/22/2015***	***Comp Bid*** ***03/04/2014***	6	**Y**	***0***						***0***
	Information Technology Services													
SONYMA	Application Oriented 9100 NW 36 Street Doral, FL 33178	SOFTWARE MAINTENANCE SERVICES	27	03/05/1984 / / Upon Notice	Unique Qual 03/05/1984	0	N	112,583		100%				1,837,707
SONYMA	Application Oriented 8550 N.W. 33rd Street Doral, FL 33122	SOFTWARE MAINTENANCE OF LENDER ONLINE	28	10/31/2000 / / Upon Notice	Unique Qual 10/31/2000	0	N	18,186		100%				382,394
HFA SONYMA	Housing and Development Software, LLC 2685 Executive Park Drive Suite 8 Weston, FL 33331	SECTION 8 CONTRACT ADMINISTRATION SOFTWARE & MAINTENANCE SERVICES	2542	02/01/2007 / / Upon Notice	Unique Qual 02/01/2007	0	NYD	11,515	100%					51,667
HFA	RealPage, Inc. P.O. Box 671339 Dallas, TX 75267-1339	HOUSING SOFTWARE LICENSING FOR SECTION 8 HAP PAYMENTS	2567	08/13/2010 / / Upon Notice	Unique Qual 08/13/2010	0	NYD	1,911	100%					9,889

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Procurement Contract Report For '13 - '14 (11/01/2013 to 10/31/2014)

Agency(s)	Vendor Name and Address	Scope of Services	Contract No.	Contract Dates	Method of Sel & Date	Bids	NYS	Amount Paid	Allocation of Payments for the period of 11/01/13 to 10/31/14 HFA	SONYMA	AHC	MBBA	TSFC	Life of Contract Amount Paid
	Information Technology Services													
HFA SONYMA	Xand Holdings, LLC 11 Skyline Drive Hawthorne, NY 10532	DISASTER RECOVERY SERVICES	2727	02/24/2012 02/23/2017	RFP 07/19/2011	5	Y	54,000	48%	50%		1%	2%	129,320
	Insurance Services													
HFA SONYMA AHC MBBA TSFC	E.G. Bowman Co., Inc. +97 Wall Street New York, NY 10005	INSURANCE BROKERAGE SERVICES	2157	05/03/2007 05/02/2014	RFP 02/12/2007	4	Y	264,734	48%	50%		1%	2%	1,956,105
HFA SONYMA	Guardian Life Insurance Company of 7 Hanover Square New York, NY 10004	DENTAL INSURANCE SERVICES	2533	06/01/2010 05/31/2015	Comp Bid 06/01/2010	5	Y	460,795	53%	36%	8%	1%	2%	1,750,473
HFA	Guardian Life Insurance Company of 7 Hanover Square New York, NY 10004	DISABILITY INSURANCE SERVICES	2589	12/01/2010 05/31/2014	Comp Bid 10/25/2010	3	Y	44,352	47%	42%	9%	1%	1%	237,145
HFA	Insurance Advisors LLC 1200 High Ridge Road Suite 211 Stamford, CT 06905	INSURANCE CONSULTING SERVICES	2520	04/01/2010 03/31/2015	RFP 06/29/2009	4	N	6,324	100%					47,678

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Procurement Contract Report For '13 - '14 (11/01/2013 to 10/31/2014)

Agency(s)	Vendor Name and Address	Scope of Services	Contract No.	Contract Dates	Method of Sel & Date	Bids	NYS	Amount Paid	Allocation of Payments for the period of 11/01/13 to 10/31/14 HFA	SONYMA	AHC	MBBA	TSFC	Life of Contract Amount Paid
	Insurance Services													
HFA	***Lincoln Life & Annuity Company of New 100 N Greene Street Greensboro, NC 27401***	***LONG TERM DISABILITY INSURANCE***	***2979***	***07/01/2014 07/01/2016***	***Comp Bid 07/01/2014***	6	**NYD**	***27,737***	***61%***	***29%***	***7%***	***1%***	***2%***	***27,737***
HFA	++Sullivan-Hernandez Agency, Inc. +161-15 Rockaway Blvd, Ste 109 Queens, NY 11434	INSURANCE CONSULTING SERVICES	2861	07/25/2013 07/24/2018	MWBE 03/14/2013	1	Y	2,325	100%					2,325
	Legal - Bond Counsel Services													
HFA SONYMA	Brown Hutchinson LLP +Two State Street, Suite 925 Rochester, NY 14614	CO-BOND COUNSEL SERVICES	2821	07/02/2012 10/31/2014	Preq List 09/19/2011	8	Y	20,000		100%				30,000
HFA	***Bryant Rabbino LLP +220 E 42nd Street, Suite 3302 New York, NY 10017***	***BOND COUNSEL DISCLOSURE SERVICES***	***2996***	***01/29/2014 01/28/2015***	***Preq List 09/19/2011***	8	**Y**	***50,000***	***100%***					***50,000***
HFA SONYMA	***Bryant Rabbino LLP +220 E 42nd Street, Suite 3302 New York, NY 10017***	***CO-BOND COUNSEL SERVICES***	***3026***	***01/29/2014 01/28/2015***	***Preq List 04/16/2013***	28	**Y**	***0***						***0***
HFA	Gonzalez Saggio & Harlan LLP +292 Madison Ave, 19th Floor New York, NY 10017	CO-BOND COUNSEL SERVICES	2553	12/03/2009 01/28/2014	Preq List 06/09/2008	20	Y	80,826	100%					252,051

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++ Women-Owned Business Enterprise

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Procurement Contract Report For '13 - '14 (11/01/2013 to 10/31/2014)

Agency(s)	Vendor Name and Address	Scope of Services	Contract No.	Contract Dates	Method of Sel & Date	Bids	NYS	Amount Paid	Allocation of Payments for the period of 11/01/13 to 10/31/14 HFA	SONYMA	AHC	MBBA	TSFC	Life of Contract Amount Paid
	Legal - Bond Counsel Services													
HFA	***Gonzalez Saggio & Harlan LLP*** ***+292 Madison Ave, 19th Floor*** ***New York, NY 10017***	***BOND COUNSEL SERVICES***	***2974***	***01/29/2014*** ***10/31/2014***	***Preq List*** ***04/16/2013***	8	**Y**	***467***	***100%***					***467***
HFA SONYMA	Hardwick Law Firm, LLC +1125 Grand Blvd, Suite1200 Kansas City, MO 64106	CO-BOND COUNSEL SERVICES	2815	10/01/2012 10/31/2013	Preq List 09/19/2011	8	Y	15,000	100%					30,000
HFA	Harris Beach PLLC 100 Wall Street, 23rd Fl New York, NY 10005	BOND COUNSEL SERVICES	2363	12/03/2008 01/28/2014	Preq List 06/09/2008	20	Y	70,000	100%					244,752
HFA	***Harris Beach PLLC*** ***99 Garnsey Road*** ***Pittsford, NY 14534***	***BOND COUNSEL SERVICES***	***3024***	***01/29/2014*** ***01/28/2015***	***Preq List*** ***04/16/2013***	28	**Y**	***0***						***0***
SONYMA	Hawkins, Delafield, & Wood One Chase Manhattan Plaza Floor 42 New York, NY 10005	BOND COUNSEL SERVICES	2335	12/03/2008 01/28/2014	Preq List 06/09/2008	20	Y	23,252		100%				3,515,279
HFA	Hawkins, Delafield, & Wood One Chase Manhattan Plaza Floor 42 New York, NY 10005	BOND COUNSEL SERVICES	2341	12/03/2008 01/28/2014	Preq List 06/09/2008	20	Y	375,576	100%					3,959,313

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Procurement Contract Report For '13 - '14 (11/01/2013 to 10/31/2014)

Agency(s)	Vendor Name and Address	Scope of Services	Contract No.	Contract Dates	Method of Sel & Date	Bids	NYS	Amount Paid	Allocation of Payments for the period of 11/01/13 to 10/31/14 HFA	SONYMA	AHC	MBBA	TSFC	Life of Contract Amount Paid
	Legal - Bond Counsel Services													
MBBA TSFC	Hawkins, Delafield, & Wood One Chase Manhattan Plaza Floor 42 New York, NY 10005	BOND COUNSEL SERVICES	2732	12/03/2010 01/28/2014	Preq List 06/09/2008	20	Y	360,749					100%	508,047
SONYMA	***Hawkins, Delafield, & Wood One Chase Manhattan Plaza Floor 42 New York, NY 10005***	***BOND COUNSEL SERVICES***	***2944***	***01/29/2014 01/28/2015***	***Preq List 04/16/2013***	28	**Y**	***664,646***		***100%***				***664,646***
HFA	***Hawkins, Delafield, & Wood One Chase Manhattan Plaza Floor 42 New York, NY 10005***	***BOND COUNSEL SERVICES***	***2977***	***01/29/2014 01/28/2015***	***Preq List 04/16/2013***	28	**Y**	***235,852***	***100%***					***235,852***
TSFC	***Hawkins, Delafield, & Wood One Chase Manhattan Plaza Floor 42 New York, NY 10005***	***BOND COUNSEL SERVICES***	***3018***	***01/29/2014 01/28/2015***	***Preq List 04/16/2013***	28	**Y**	***0***						***0***
HFA	Hiscock & Barclay, LLP 50 Beaver Street Albany, NY 12207-2830	BOND COUNSEL SERVICES	2503	12/03/2009 01/28/2014	Preq List 06/09/2008	20	Y	158,375	100%					369,795
HFA	***Hiscock & Barclay, LLP 50 Beaver Street Albany, NY 12207-2830***	***BOND COUNSEL SERVICES***	***3012***	***01/29/2014 01/28/2015***	***Preq List 04/16/2013***	28	**Y**	***0***						***0***

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Procurement Contract Report For '13 - '14 (11/01/2013 to 10/31/2014)

Agency(s)	Vendor Name and Address	Scope of Services	Contract No.	Contract Dates	Method of Sel & Date	Bids	NYS	Amount Paid	Allocation of Payments for the period of 11/01/13 to 10/31/14 HFA	SONYMA	AHC	MBBA	TSFC	Life of Contract Amount Paid
	Legal - Bond Counsel Services													
HFA	Lewis and Munday +660 Woodward Ave Ste 2490 Detroit, MI 48226	CO-BOND COUNSEL SERVICES	2613	07/01/2010 01/28/2014	Preq List 06/09/2008	20	Y	11,700	100%					80,200
HFA	***Lewis and Munday*** ***+660 Woodward Ave Ste 2490*** ***Detroit, MI 48226***	***CO-BOND COUNSEL SERVICES***	***3002***	***01/29/2014*** ***10/31/2014***	***Preq List*** ***04/16/2013***	28	**Y**	***0***						***0***
HFA	***McKenna Long & Aldridge LLP*** ***230 Park Ave, 17th Fl*** ***New York, NY 10169***	***BOND COUNSEL SERVICES***	***3014***	***01/29/2014*** ***01/28/2015***	***Preq List*** ***04/16/2013***	28	**Y**	***0***						***0***
HFA ***SONYMA***	***Mintz, Levin Cohn, Ferris, Glovsky*** ***666 Third Ave.*** ***New York, NY 10017***	***BOND COUNSEL SERVICES***	***3027***	***01/29/2014*** ***01/28/2015***	***Preq List*** ***04/16/2013***	28	**Y**	***0***						***0***
HFA	Nixon Peabody, LLP 437 Madison Avenue New York, NY 10022	BOND COUNSEL SERVICES	2364	12/03/2008 01/28/2014	Preq List 06/09/2008	20	N	243,771	100%					724,115
HFA	***Nixon Peabody, LLP*** ***401 9th Street, N.W.*** ***Suite 900*** ***Washington, DC 20004***	***BOND COUNSEL SERVICES***	***3013***	***01/29/2014*** ***01/28/2015***	***Preq List*** ***04/16/2013***	28	**N**	***0***						***0***

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Procurement Contract Report For '13 - '14 (11/01/2013 to 10/31/2014)

Agency(s)	Vendor Name and Address	Scope of Services	Contract No.	Contract Dates	Method of Sel & Date	Bids	NYS	Amount Paid	Allocation of Payments for the period of 11/01/13 to 10/31/14 HFA	SONYMA	AHC	MBBA	TSFC	Life of Contract Amount Paid
	Legal - Bond Counsel Services													
HFA	Orrick, Herrington & Sutcliffe 51 West 52nd Street New York, NY 10019-6142	BOND COUNSEL SERVICES	2367	12/03/2008 01/28/2014	Preq List 06/09/2008	20	N	288,615	100%					1,472,316
TSFC	***Orrick, Herrington & Sutcliffe 666 Fifth Ave. New York, NY 10103-0001***	***BOND COUNSEL DISCLOSURE SERVICES***	***2910***	***12/03/2013 01/28/2014***	***Preq List 06/09/2008***	20	**N**	***200,000***					***100%***	***200,000***
HFA	***Orrick, Herrington & Sutcliffe 666 Fifth Ave. New York, NY 10103-0001***	***BOND COUNSEL SERVICES***	***2975***	***01/29/2014 01/28/2015***	***Preq List 04/16/2013***	28	**N**	***39,532***	***100%***					***39,532***
HFA	***Orrick, Herrington & Sutcliffe 666 Fifth Ave. New York, NY 10103-0001***	***BOND COUNSEL DISCLOSURE SERVICES***	***2978***	***01/29/2014 01/28/2015***	***Preq List 04/16/2013***	28	**N**	***100,000***	***100%***					***100,000***
HFA	++Soeder & Associates, LLC 241 Asylum Street, Suite 700 Hartford, CT 06103	CO-BOND COUNSEL SERVICES	2683	11/01/2011 10/31/2014	Preq List 09/19/2012	8	Y	22,866	100%					38,887
HFA SONYMA	Y3K Holdings, P.A. +1201 NE 97th Street Miami, FL 33138	CO-BOND COUNSEL SERVICES	2792	11/01/2012 10/31/2014	Preq List 09/19/2012	8	Y	50,000	100%					65,000

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Agency(s)	Vendor Name and Address	Scope of Services	Contract No.	Contract Dates	Method of Sel & Date	Bids	NYS	Amount Paid	Allocation of Payments for the period of 11/01/13 to 10/31/14 HFA	SONYMA	AHC	MBBA	TSFC	Life of Contract Amount Paid
	Legal - Bond Counsel Services													
MBBA TSFC	***Y3K Holdings, P.A. +1201 NE 97th Street Miami, FL 33138***	***CO-BOND COUNSEL SERVICES***	***2959***	***11/01/2013 10/31/2014***	***Preq List 09/19/2012***	8	**Y**	***35,000***					***100%***	***35,000***
SONYMA	***Y3K Holdings, P.A. +1201 NE 97th Street Miami, FL 33138***	***BOND COUNSEL DISCLOSURE SERVICES***	***2960***	***01/29/2014 01/28/2015***	***Preq List 04/16/2013***	28	**Y**	***70,000***		***100%***				***70,000***
	Legal - Other Outside Counsel Services													
HFA SONYMA AHC	Arent Fox LLP 1050 Connecticut Ave NW Washington, DC 20036-5339	NON-BOND COUNSEL LEGAL SERVICES	2843	01/29/2013 01/28/2018	RFP 08/24/2012	36	NYD	28,000 **See End Notes**	100%					29,078
HFA	Dentons US LLP 1221 Avenue of the Americas New York, NY 10020-1089	NON BOND COUNSEL SERVICES-HFA PORTFOLIO / MITCHELL-LAMA	2850	07/09/2013 07/08/2014	Cmp/Crit 07/09/2013	3	Y	10,675	100%					35,080
HFA	Dentons US LLP 1221 Avenue of the Americas New York, NY 10020-1089	NON-BOND COUNSEL SERVICES FOR HFA PORTFOLIO /MITCHELL-LAMA	2909	08/19/2013 08/18/2016	RFP 07/10/2013	14	Y	179,273 **See End Notes**	100%					179,273
HFA SONYMA	***Dentons US LLP 1221 Avenue of the Americas New York, NY 10020-1089***	***NON BOND COUNSEL LEGAL SERVICES***	***3030***	***03/31/2014 03/30/2015***	***RFP 07/10/2013***	14	**Y**	***0***						***0***

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Agency(s)	Vendor Name and Address	Scope of Services	Contract No.	Contract Dates	Method of Sel & Date	Bids	NYS	Amount Paid	Allocation of Payments for the period of 11/01/13 to 10/31/14 HFA	SONYMA	AHC	MBBA	TSFC	Life of Contract Amount Paid
	Legal - Other Outside Counsel Services													
HFA SONYMA	Golenbock, Eiseman, Assor, Bell & 437 Madison Avenue New York, NY 10022-7302	NON-BOND COUNSEL LEGAL SERVICES	2822	01/28/2013 01/27/2018	Preq List 08/24/2012	36	N	15,615	74%	26%				39,774
HFA SONYMA AHC	Gonzalez Saggio & Harlan LLP +292 Madison Ave, 19th Floor New York, NY 10017	NON-BOND COUNSEL LEGAL SERVICES	2829	03/13/2013 01/27/2018	RFP 08/24/2012	36	Y	9,407	48%	50%		1%	2%	29,569
HFA SONYMA AHC	++Hoguet Newman Regal & Kenney, LLP 10 East 40th Street, 35th Fl New York, NY 10016	NON-BOND COUNSEL LEGAL SERVICES	3028	01/29/2013 01/28/2018	Preq List 08/24/2012	36	Y	134,262	100%					134,262
HFA SONYMA	Holland & Knight LLP 31 West 52nd Street New York, NY 10019	NON-BOND COUNSEL LEGAL SERVICES	2906	01/29/2013 01/28/2018	Preq List 08/24/2012	36	Y	5,412	100%					5,412
HFA SONYMA	Jaspan Schlesinger LLP 300 Garden City Plaza, 5th Fl Garden City, NY 11530	NON-BOND COUNSEL SERVICES	2789	08/01/2012 07/31/2015	Preq List 05/01/2006	19	Y	44	100%					3,102
TSFC	K & L Gates LLP 1251 Avenue of the Americas 45th Floor New York, NY 10020	NON-BOND COUNSEL LEGAL SERVICES	2478	08/28/2009 / / Upon Notice	Unique Qual 08/28/2009	0	Y	68,106					100%	543,763

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	Legal - Other Outside Counsel Services													
HFA SONYMA	Nixon Peabody, LLP 401 9th Street, N.W. Suite 900 Washington, DC 20004	NON-BOND COUNSEL LEGAL SERVICES	2122	11/01/2006 / / Upon Notice	Preq List 05/01/2006	19	N	1,668		100%				447,631
HFA	++Schoeman Updlike Kaufman Stern 551 Fifth Ave New York, NY 10176	NON-BOND COUNSEL LEGAL SERVICES	2901	08/19/2013 08/18/2016	Preq List 07/10/2013	14	Y	41,782 **See End Notes**	100%					41,782
HFA SONYMA	++***Schoeman Updlike Kaufman Stern 551 Fifth Ave New York, NY 10176***	***NON-BOND COUNSEL SERVICES***	***2949***	***03/07/2014 01/28/2018***	***Preq List 07/10/2013***	14	**Y**	***0***						***0***
HFA	***Venable LLP 1270 Avenue of the Americas New York, NY 10020***	***NON BOND LEGAL SERVICES***	***2976***	***12/20/2013 01/28/2018***	***Preq List 08/24/2012***	36	**Y**	***326,786***	***100%***					***326,786***
	Legal - Research, Library Services													
HFA	Legislative Retrieval System State of New York Legislative Bill Drafting Comm 55 Elk Street Albany, NY 12210	ELECTRONIC LEGISLATIVE INFO. SERVICES FOR NYS	1983	03/13/2002 03/12/2016	Unique Qual 03/13/2002	0	NYD	4,250	48%	50%		1%	2%	55,564
HFA	Reed Elsevier, Inc. 125 Park Ave.-23rd Floor New York, NY 10017	ELECTRONIC ONLINE DATABASE ACCESS SERVICES (LEX/NEX)	1896	06/01/1997 12/21/2018	St Ctrct 06/01/1997	0	N	20,700	48%	50%		1%	2%	341,076

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	Legal - Research, Library Services													
HFA	Seisint, Inc. PO Box 7247-6157 Philadelphia, PA 19170	ELECTRONIC ONLINE DATABASE ACCESS SERVICES (ACCURINT)	2348	09/01/2008 / / Upon Notice	St Ctrct 09/01/2008	0	NYD	5,070	48%	50%		1%	2%	28,470
HFA	West Publishing Corp. DBA West Group P.O. Box 6292 Carol Stream, IL 60197-6292	ELECTRONIC INFORMATION SERVICES (WESTLAW)	2484	07/01/2009 / / Upon Notice	St Ctrct 07/01/2009	0	NYD	27,815	48%	50%		1%	2%	115,659
	MIF Services													
SONYMA	Genworth Financial Services, Inc. P.O. Box 277231 Atlanta, GA 30384-7231	ADMINISTRATIVE & UNDERWRITING SERVICES	2415	02/01/2005 12/31/2014	RFP 06/16/2004	0	NYD	29,090		100%				317,448
SONYMA	Radian Guaranty 1601 Market Street Philadelphia, PA 19103	REINSURANCE & ADMINISTRATIVE SERVICES FOR SONYMA MIF	1944	01/01/2001 / / Upon Notice	Unique Qual 02/05/2001	4	Y	164,585		100%				8,254,657 #
	Non Procurement Services													
HFA SONYMA	136 East 55th Street Garage LLC c/o Rudin Management Co., Inc. 345 Park Avenue New York, NY 10154-0101	LEASED GARAGE SPACE	2801	12/31/2012 / / Upon Notice	Brd Res 12/31/2012	0	NYD	11,606	48%	50%		1%	2%	21,126

NYD indicates Not Yet Determined. Unavailable data at this time as Agencies are in the process of updating their files.

Includes payment for prior services performed by Commonwealth Mortgage Assurance Company and Amerlin. Commonwealth Mortgage Assurance Company and Amerlin merged to form successor entity "Radian Guaranty Inc."

Procurement Contract Report For '13 - '14 (11/01/2013 to 10/31/2014)

Agency(s)	Vendor Name and Address	Scope of Services	Contract No.	Contract Dates	Method of Sel & Date	Bids	NYS	Amount Paid	Allocation of Payments for the period of 11/01/13 to 10/31/14 HFA	SONYMA	AHC	MBBA	TSFC	Life of Contract Amount Paid
	Non Procurement Services													
HFA SONYMA	First Lexington Corporation C/O Rudin Management Co., Inc. 345 Park Avenue New York, NY 10154-0101	RENEWAL OF LEASE FOR 641 LEXINGTON AVENUE, NY, NY.	2142	01/01/2009 01/31/2019	Brd Res 01/01/2009	0	Y	5,247,100	48%	50%		1%	2%	28,146,100
HFA	ISKALO DEVELOPMENT CORP. 5166 Main Street Williamsville, NY 14221	OFFICE LEASE FOR 535 WASHINGTON ST, BUFFALO, NY	2438	05/11/2009 08/31/2019	Brd Res 05/11/2009	0	NYD	22,685	100%					114,736
HFA	State Of New York Employee Benefits Division P.O. Box 1369 New York, NY 10116-1369	EMPLOYEE HEALTH INSURANCE-HFA	1960	11/01/2004 / / Upon Notice	St Ctrct 11/01/2004	0	Y	2,135,429	63%	21%	13%	1%	2%	17,101,465
SONYMA	State Of New York Employee Benefits Division P.O. Box 1369 New York, NY 10116-1369	EMPLOYEE HEALTH INSURANCE -SONYMA	1961	11/01/2004 / / Upon Notice	St Ctrct 11/01/2004	0	Y	2,244,207	45%	50%	4%	1%	1%	16,540,371
	Other Services													
HFA SONYMA AHC	Benefit Resource, Inc. 2320 Brighton-Henrietta Townline Rd. Rochester, NY 14623-2782	MAINTENANCE OF QUALIFIED TRANSPORTATION EXPENSE PLAN	1872	05/05/2005 / / Upon Notice	Comp Bid 03/03/2005	5	Y	9,025	53%	36%	9%	1%	2%	73,469

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Procurement Contract Report For '13 - '14 (11/01/2013 to 10/31/2014)

Agency(s)	Vendor Name and Address	Scope of Services	Contract No.	Contract Dates	Method of Sel & Date	Bids	NYS	Amount Paid	Allocation of Payments for the period of 11/01/13 to 10/31/14 HFA	SONYMA	AHC	MBBA	TSFC	Life of Contract Amount Paid
	Other Services													
HFA	***CQ Roll Call 1255 22nd St NW Washington, DC 20037***	***ELECTRONIC FEDERAL LEGISLATIVE INFO. SERVICES***	***2951***	***04/13/2014 04/12/2015***	***Unique Qual 04/13/2014***	0	**NYD**	***8,155***	***48%***	***50%***		***1%***	***2%***	***8,155***
SONYMA	CompuGain,LLC +13241 Woodland Park Drive Suite 610 Herndon, VA 20171	SOFTWARE LICENSE & SERVICES FOR AUTOMATIC COMPLIANCE FOR SONYMA	2724	03/01/2012 01/31/2014	RFP 04/06/2010	1	Y	86,519 **See End Notes**		100%				558,119
SONYMA	Douglas W. Dylla d/b/a 109 Auburn Street Ithaca, NY 14850	CONSULTING SERVICES	2828	03/06/2013 03/05/2016	RFP 01/04/2013	4	Y	25,012 **See End Notes**		100%				48,515
HFA	Greystone Servicing Corporation, Inc. 419 Belle Air Lane Warrenton, VA 20186	ESDC PORTFOLIO LOAN SERVICING	2863	06/05/2013 / / Upon Notice	RFP 06/05/2013	1	N	217,833	100%					294,167
SONYMA	Iron Mountain Intellectual Property 1000 Campus Drive Collegeville, PA 19426	TRI-PARTY ESCROW SERVICE AGREEMENT BY AND AMONG IRON MOUNTAIN, SONYMA AND OVERTURE TECHNOLOGIES	2573	11/30/2010 / / Upon Notice	Unique Qual 11/30/2010	0	N	1,850		100%				11,200
HFA	Natural Heritage Trust PO Box 189 Waterford, NY 12188	PROJECT HISTORIC RESOURCES REVIEW	2664	04/01/2011 / / Upon Notice	Sole Src 04/01/2011	0	Y	46,364	50%		50%			53,420

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\+ Minority-Owned Business Enterprise

Bold and Italics indicate Procurement Contracts Executed During '13 - '14 (11/01/2013 to 10/31/2014)

Procurement Contract Report For '13 - '14 (11/01/2013 to 10/31/2014)

Agency(s)	Vendor Name and Address	Scope of Services	Contract No.	Contract Dates	Method of Sel & Date	Bids	NYS	Amount Paid	Allocation of Payments for the period of 11/01/13 to 10/31/14 HFA	SONYMA	AHC	MBBA	TSFC	Life of Contract Amount Paid
	Other Services													
HFA SONYMA	***NYS Division Of Housing & Finance Unit - 3rd Fl. Hampton Plaza 38-40 State Street Albany, NY 12207***	***IT CONSULTANT SERVICES***	***3008***	***09/09/2014 / / Upon Notice***	***St Ctrct 09/09/2014***	0	**NYD**	***0 See End Notes***						***0***
SONYMA	***Overture Technologies, Inc. 6900 Wisconsin Avenue Suite 200 Bethesda, MD 20815***	***SOFTWARE LICENSE & SERVICES FOR AUTOMATIC COMPLIANCE FOR SONYMA***	***2941***	***02/01/2014 11/07/2015***	***RFP 04/06/2010***	1	**N**	***251,015 See End Notes***		***100%***				***251,015***
SONYMA	TF&G Consulting, Inc. 351 Silver Creek Drive Leander, TX 78641	IT CONSULTANT SERVICES	2551	08/23/2010 11/08/2013	Comp Bid 08/23/2010	3	N	163		100%				4,875
SONYMA	Xerox Mortgage Services, Inc. 9040 Roswell Road, Suite 700 Sandy Springs, GA 30350	IMAGING SERVICES	2795	05/27/2012 / / Upon Notice	Unique Qual 05/13/2011	0	Y	3,662		100%				12,662
	Trustee Services													
HFA	The Bank Of New York Mellon 111 Sanders Creek Parkway East Syracuse, NY 13057	TRUSTEE	1403	04/05/2004 / / Upon Notice	RFP 04/05/2004	0	Y	40	100%					5,817
HFA	The Bank Of New York Mellon 111 Sanders Creek Parkway East Syracuse, NY 13057	TRUSTEE	1422	05/21/2004 / / Upon Notice	RFP 05/21/2004	0	Y	40	100%					6,817

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Procurement Contract Report For '13 - '14 (11/01/2013 to 10/31/2014)

Agency(s)	Vendor Name and Address	Scope of Services	Contract No.	Contract Dates	Method of Sel & Date	Bids	NYS	Amount Paid	Allocation of Payments for the period of 11/01/13 to 10/31/14 HFA	SONYMA	AHC	MBBA	TSFC	Life of Contract Amount Paid
	Trustee Services													
TSFC	The Bank Of New York Mellon 111 Sanders Creek Parkway East Syracuse, NY 13057	TRUSTEE	1426	05/29/2003 / / Upon Notice	RFP 05/29/2003	0	Y	16,000					100%	288,842
HFA	The Bank Of New York Mellon 111 Sanders Creek Parkway East Syracuse, NY 13057	TRUSTEE	1428	12/29/2003 / / Upon Notice	RFP 12/29/2003	0	Y	440	100%					11,224
HFA	The Bank Of New York Mellon 111 Sanders Creek Parkway East Syracuse, NY 13057	TRUSTEE	1429	05/14/2004 / / Upon Notice	RFP 05/14/2004	0	Y	40	100%					10,817
HFA	The Bank Of New York Mellon 111 Sanders Creek Parkway East Syracuse, NY 13057	TRUSTEE	1449	11/09/2004 / / Upon Notice	RFP 11/09/2004	0	Y	440	100%					8,690
HFA	The Bank Of New York Mellon 111 Sanders Creek Parkway East Syracuse, NY 13057	TRUSTEE	1455	11/29/2004 / / Upon Notice	RFP 11/29/2004	0	Y	1,040	100%					6,817
HFA	The Bank Of New York Mellon 111 Sanders Creek Parkway East Syracuse, NY 13057	TRUSTEE	1472	01/17/2003 / / Upon Notice	RFP 01/17/2003	0	Y	2,000	100%					19,153

Procurement Contract Report For '13 - '14 (11/01/2013 to 10/31/2014)

Agency(s)	Vendor Name and Address	Scope of Services	Contract No.	Contract Dates	Method of Sel & Date	Bids	NYS	Amount Paid	Allocation of Payments for the period of 11/01/13 to 10/31/14 HFA	SONYMA	AHC	MBBA	TSFC	Life of Contract Amount Paid
	Trustee Services													
HFA	The Bank Of New York Mellon 111 Sanders Creek Parkway East Syracuse, NY 13057	TRUSTEE	1796	06/09/2003 / / Upon Notice	RFP 06/09/2003	0	Y	13,150	100%					197,705
HFA	The Bank Of New York Mellon 111 Sanders Creek Parkway East Syracuse, NY 13057	TRUSTEE	1798	12/29/2003 / / Upon Notice	RFP 12/29/2003	0	Y	440	100%					22,233
HFA	The Bank Of New York Mellon 111 Sanders Creek Parkway East Syracuse, NY 13057	Trustee	1800	11/16/1998 / / Upon Notice	RFP 11/16/1998	0	Y	2,000	100%					13,120
HFA	The Bank Of New York Mellon 111 Sanders Creek Parkway East Syracuse, NY 13057	TRUSTEE	2086	09/29/2006 / / Upon Notice	RFP 09/29/2006	3	Y	40	100%					4,067
HFA	The Bank Of New York Mellon 111 Sanders Creek Parkway East Syracuse, NY 13057	TRUSTEE	2087	09/05/2006 / / Upon Notice	RFP 09/05/2006	5	Y	40	100%					4,106
HFA	The Bank Of New York Mellon 111 Sanders Creek Parkway East Syracuse, NY 13057	TRUSTEE	2096	09/05/2006 / / Upon Notice	RFP 09/05/2006	5	Y	40	100%					4,146

Procurement Contract Report For '13 - '14 (11/01/2013 to 10/31/2014)

Agency(s)	Vendor Name and Address	Scope of Services	Contract No.	Contract Dates	Method of Sel & Date	Bids	NYS	Amount Paid	Allocation of Payments for the period of 11/01/13 to 10/31/14 HFA	SONYMA	AHC	MBBA	TSFC	Life of Contract Amount Paid
	Trustee Services													
HFA	The Bank Of New York Mellon 111 Sanders Creek Parkway East Syracuse, NY 13057	TRUSTEE	2099	10/02/2006 / / Upon Notice	RFP 10/02/2006	0	Y	10,512 **See End Notes**	100%					122,674
HFA	The Bank Of New York Mellon 111 Sanders Creek Parkway East Syracuse, NY 13057	TRUSTEE	2188	01/17/2007 / / Upon Notice	RFP 01/17/2007	5	Y	40	100%					5,106
HFA	The Bank Of New York Mellon 111 Sanders Creek Parkway East Syracuse, NY 13057	TRUSTEE	2190	06/05/2007 / / Upon Notice	RFP 06/05/2007	3	Y	40	100%					4,106
HFA	The Bank Of New York Mellon 111 Sanders Creek Parkway East Syracuse, NY 13057	TRUSTEE	2220	08/31/2007 / / Upon Notice	RFP 08/31/2007	4	Y	51,975	100%					205,025
HFA	The Bank Of New York Mellon 111 Sanders Creek Parkway East Syracuse, NY 13057	TRUSTEE	2238	10/14/2007 / / Upon Notice	RFP 10/14/2007	3	Y	2,500	100%					17,750
HFA	The Bank Of New York Mellon 111 Sanders Creek Parkway East Syracuse, NY 13057	TRUSTEE	2273	06/08/2008 / / Upon Notice	RFP 06/08/2008	3	Y	2,500	100%					9,580

Procurement Contract Report For '13 - '14 (11/01/2013 to 10/31/2014)

Agency(s)	Vendor Name and Address	Scope of Services	Contract No.	Contract Dates	Method of Sel & Date	Bids	NYS	Amount Paid	Allocation of Payments for the period of 11/01/13 to 10/31/14 HFA	SONYMA	AHC	MBBA	TSFC	Life of Contract Amount Paid
	Trustee Services													
HFA	The Bank Of New York Mellon 111 Sanders Creek Parkway East Syracuse, NY 13057	TRUSTEE	2489	04/10/2006 / / Upon Notice	RFP 04/10/2006	0	Y	40	100%					1,585
HFA	The Bank Of New York Mellon 111 Sanders Creek Parkway East Syracuse, NY 13057	TRUSTEE	2491	04/10/2006 / / Upon Notice	RFP 04/10/2006	0	Y	200	100%					993
HFA	The Bank Of New York Mellon 111 Sanders Creek Parkway East Syracuse, NY 13057	TRUSTEE	2495	06/26/2001 / / Upon Notice	RFP 06/26/2001	0	Y	2,000	100%					2,231
HFA	The Bank Of New York Mellon 111 Sanders Creek Parkway East Syracuse, NY 13057	TRUSTEE	2500	12/18/2009 / / Upon Notice	RFP 12/18/2009	4	Y	1,180	100%					16,321
HFA	The Bank Of New York Mellon 111 Sanders Creek Parkway East Syracuse, NY 13057	TRUSTEE	2507	09/01/1991 / / Upon Notice	RFP 09/01/1991	0	Y	400	100%					2,724
HFA	The Bank Of New York Mellon 111 Sanders Creek Parkway East Syracuse, NY 13057	TRUSTEE	2550	12/04/1997 / / Upon Notice	RFP 12/04/1997	0	Y	80	100%					440

Procurement Contract Report For '13 - '14 (11/01/2013 to 10/31/2014)

Agency(s)	Vendor Name and Address	Scope of Services	Contract No.	Contract Dates	Method of Sel & Date	Bids	NYS	Amount Paid	Allocation of Payments for the period of 11/01/13 to 10/31/14 HFA	SONYMA	AHC	MBBA	TSFC	Life of Contract Amount Paid
	Trustee Services													
HFA	The Bank Of New York Mellon 111 Sanders Creek Parkway East Syracuse, NY 13057	TRUSTEE	2574	10/08/2010 / / Upon Notice	RFP 10/08/2010	3	Y	4,750	100%					7,000
HFA	The Bank Of New York Mellon 111 Sanders Creek Parkway East Syracuse, NY 13057	TRUSTEE	2575	10/08/2010 / / Upon Notice	RFP 10/08/2010	3	Y	2,750	100%					5,000
MBBA	The Bank Of New York Mellon 111 Sanders Creek Parkway East Syracuse, NY 13057	TRUSTEE	2579	12/16/2010 / / Upon Notice	RFP 12/16/2010	5	Y	3,000				100%		31,414
HFA	The Bank Of New York Mellon 111 Sanders Creek Parkway East Syracuse, NY 13057	TRUSTEE	2625	06/01/2011 / / Upon Notice	RFP 06/01/2011	4	Y	2,250	100%					8,000
HFA	The Bank Of New York Mellon 111 Sanders Creek Parkway East Syracuse, NY 13057	TRUSTEE	2726	03/22/2012 / / Upon Notice	RFP 03/22/2012	3	Y	9,000	100%					20,500
HFA	The Bank Of New York Mellon 111 Sanders Creek Parkway East Syracuse, NY 13057	TRUSTEE	2797	10/11/2012 / / Upon Notice	RFP 10/11/2012	2	Y	12,000	100%					18,500

Procurement Contract Report For '13 - '14 (11/01/2013 to 10/31/2014)

Agency(s)	Vendor Name and Address	Scope of Services	Contract No.	Contract Dates	Method of Sel & Date	Bids	NYS	Amount Paid	Allocation of Payments for the period of 11/01/13 to 10/31/14 HFA	SONYMA	AHC	MBBA	TSFC	Life of Contract Amount Paid
	Trustee Services													
HFA	The Bank Of New York Mellon 111 Sanders Creek Parkway East Syracuse, NY 13057	TRUSTEE	2898	09/13/2013 / / Upon Notice	RFP 09/13/2013	3	Y	16,500	100%					16,500
HFA	***The Bank Of New York Mellon 111 Sanders Creek Parkway East Syracuse, NY 13057***	***TRUSTEE***	***2918***	***12/05/2013 / / Upon Notice***	***RFP 12/05/2013***	3	**Y**	***8,000***	***100%***					***8,000***
HFA	***The Bank Of New York Mellon 111 Sanders Creek Parkway East Syracuse, NY 13057***	***TRUSTEE***	***2919***	***12/05/2013 / / Upon Notice***	***RFP 12/05/2013***	3	**Y**	***5,500***	***100%***					***5,500***
HFA	***The Bank Of New York Mellon 111 Sanders Creek Parkway East Syracuse, NY 13057***	***TRUSTEE***	***2983***	***05/14/2014 / / Upon Notice***	***RFP 05/14/2014***	3	**Y**	***5,500***	***100%***					***5,500***
HFA	***The Bank Of New York Mellon 111 Sanders Creek Parkway East Syracuse, NY 13057***	***TRUSTEE***	***2995***	***05/14/2014 / / Upon Notice***	***RFP 05/14/2014***	3	**Y**	***4,000***	***100%***					***4,000***
HFA	***The Bank Of New York Mellon 111 Sanders Creek Parkway East Syracuse, NY 13057***	***TRUSTEE***	***3015***	***10/10/2014 / / Upon Notice***	***RFP 10/10/2014***	3	**Y**	***0***						***0***

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Procurement Contract Report For '13 - '14 (11/01/2013 to 10/31/2014)

Agency(s)	Vendor Name and Address	Scope of Services	Contract No.	Contract Dates	Method of Sel & Date	Bids	NYS	Amount Paid	Allocation of Payments for the period of 11/01/13 to 10/31/14 HFA	SONYMA	AHC	MBBA	TSFC	Life of Contract Amount Paid
	Trustee Services													
SONYMA	Bank Of New York Mellon P.O. Box 19445A Newark, NJ 07195-0445	TRUSTEE	1883	10/15/1997 / / Upon Notice	RFP 10/15/1997	0	NYD	224,600		100%				2,789,299
SONYMA	Bank Of New York Mellon P.O. Box 19445A Newark, NJ 07195-0445	TRUSTEE	2050	06/01/1999 / / Upon Notice	RFP 06/01/1999	0	NYD	10,000		100%				119,705
MBBA	M & T Bank M & T BLDG 1 M AND T PLZ FL7 Buffalo, NY 14203	TRUSTEE CUSTODIAL	2521	03/12/2009 / / Upon Notice	RFP 12/11/2008	5	Y	1,000				100%		28,467
HFA	M & T Bank M & T BLDG 1 M AND T PLZ FL7 Buffalo, NY 14203	TRUSTEE	2844	06/11/2013 / / Upon Notice	RFP 06/11/2013	3	Y	1,200	100%					5,900
HFA	Manufacturers & Traders Trust Company P. O. Box 22900 Rochester, NY 14692-2900	TRUSTEE	2936	03/24/2009 / / Upon Notice	RFP 12/11/2008	5	NYD	1,500 **See End Notes**	100%					1,500
HFA	Manufacturers & Traders Trust Company P. O. Box 22900 Rochester, NY 14692-2900	TRUSTEE	2937	03/12/2009 / / Upon Notice	RFP 12/08/2008	5	NYD	1,000 **See End Notes**	100%					1,000

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Procurement Contract Report For '13 - '14 (11/01/2013 to 10/31/2014)

Agency(s)	Vendor Name and Address	Scope of Services	Contract No.	Contract Dates	Method of Sel & Date	Bids	NYS	Amount Paid	Allocation of Payments for the period of 11/01/13 to 10/31/14 HFA	SONYMA	AHC	MBBA	TSFC	Life of Contract Amount Paid
	Trustee Services													
HFA	Manufacturers & Traders Trust Company P. O. Box 22900 Rochester, NY 14692-2900	TRUSTEE	2938	03/12/2009 / / Upon Notice	RFP 12/11/2008	5	NYD	1,000 **See End Notes**	100%					1,000
HFA	Manufacturers & Traders Trust Company P. O. Box 22900 Rochester, NY 14692-2900	TRUSTEE	2939	03/12/2009 / / Upon Notice	RFP 12/11/2008	5	NYD	3,250 **See End Notes**	100%					3,250
SONYMA	Manufacturers & Traders Trust Company P. O. Box 22900 Rochester, NY 14692-2900	TRUSTEE	2940	10/30/2009 / / Upon Notice	RFP 10/30/2009	6	NYD	2,200 **See End Notes**		100%				2,200
HFA	***Manufacturers & Traders Trust Company P. O. Box 22900 Rochester, NY 14692-2900***	***TRUSTEE***	***3011***	***10/07/2014 / /*** Upon Notice	***RFP 10/07/2014***	2	**NYD**	***5,500***	***100%***					***5,500***
HFA	U.S. Bank National Association P.O. Box 70870 St. Paul, MN 55170-9690	TRUSTEE	1413	11/17/1978 / / Upon Notice	RFP 11/17/1978	0	N	8,592	100%					114,018
HFA	U.S. Bank National Association 100 Wall St New York, NY 10005	TRUSTEE	1431	12/14/1970 / / Upon Notice	RFP 12/14/1970	0	N	36	100%					68,485

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Procurement Contract Report For '13 - '14 (11/01/2013 to 10/31/2014)

Agency(s)	Vendor Name and Address	Scope of Services	Contract No.	Contract Dates	Method of Sel & Date	Bids	NYS	Amount Paid	Allocation of Payments for the period of 11/01/13 to 10/31/14 HFA	SONYMA	AHC	MBBA	TSFC	Life of Contract Amount Paid
	Trustee Services													
HFA	U.S. Bank National Association 100 Wall St New York, NY 10005	TRUSTEE	1432	11/24/1971 / / Upon Notice	RFP 11/24/1971	0	N	283	100%					36,569
HFA	U.S. Bank National Association 100 Wall St New York, NY 10005	TRUSTEE	2676	09/01/2011 / / Upon Notice	RFP 09/01/2011	3	N	1,000	100%					2,500
HFA	U.S. Bank National Association CM-9690 P.O. Box 70870 Saint Paul, MN 55170-9690	TRUSTEE	2864	11/15/2012 / / Upon Notice	RFP 11/15/2012	4	N	9,000	100%					11,000
HFA	U.S. Bank National Association CM-9690 P.O. Box 70870 Saint Paul, MN 55170-9690	TRUSTEE	2874	03/19/2013 / / Upon Notice	RFP 03/19/2013	4	N	1,500	100%					2,500
HFA	U.S. Bank National Association CM-9690 P.O. Box 70870 Saint Paul, MN 55170-9690	TRUSTEE	2900	10/31/2013 / / Upon Notice	RFP 10/31/2013	3	N	2,000	100%					2,000
HFA	***U.S. Bank National Association*** ***CM-9690*** ***P.O. Box 70870*** ***Saint Paul, MN 55170-9690***	***TRUSTEE***	***2908***	***11/14/2013*** ***/ /*** Upon Notice	***RFP*** ***11/14/2013***	2	**N**	***1,500***	***100%***					***1,500***

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Procurement Contract Report For '13 - '14 (11/01/2013 to 10/31/2014)

Agency(s)	Vendor Name and Address	Scope of Services	Contract No.	Contract Dates	Method of Sel & Date	Bids	NYS	Amount Paid	Allocation of Payments for the period of 11/01/13 to 10/31/14 HFA	SONYMA	AHC	MBBA	TSFC	Life of Contract Amount Paid
	Trustee Services													
HFA	U.S. Bank National Association CM-9690 P.O. Box 70870 Saint Paul, MN 55170-9690	TRUSTEE	2912	11/15/2012 / / Upon Notice	RFP 11/15/2012	4	N	4,000	100%					4,000
HFA	U.S. Bank National Association CM-9690 P.O. Box 70870 Saint Paul, MN 55170-9690	TRUSTEE	2933	08/23/2013 / / Upon Notice	RFP 08/23/2013	0	N	7,774 **See End Notes**	100%					7,774
HFA	U.S. Bank National Association CM-9690 P.O. Box 70870 Saint Paul, MN 55170-9690	TRUSTEE	2942	07/13/2013 / / Upon Notice	RFP 07/13/2013	0	N	2,000 **See End Notes**	100%					2,000
SONYMA	U.S. Bank National Association CM-9690 P.O. Box 70870 Saint Paul, MN 55170-9690	TRUSTEE	2948	09/27/2011 / / Upon Notice	RFP 09/27/2011	0	N	15,750 **See End Notes**		100%				15,750
HFA	Wells Fargo Bank, NA 1 Boston Pl Boston, MA 02108	TRUSTEE	2399	03/24/2009 / / Upon Notice	RFP 12/11/2008	5	NYD	1,750	100%					12,750

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Procurement Contract Report For '13 - '14 (11/01/2013 to 10/31/2014)

Agency(s)	Vendor Name and Address	Scope of Services	Contract No.	Contract Dates	Method of Sel & Date	Bids	NYS	Amount Paid	Allocation of Payments for the period of 11/01/13 to 10/31/14 HFA	SONYMA	AHC	MBBA	TSFC	Life of Contract Amount Paid
	Trustee Services													
HFA	Wells Fargo Bank, NA 1 Boston Pl Boston, MA 02108	TRUSTEE	2400	03/24/2009 / / Upon Notice	RFP 12/11/2008	5	NYD	1,750	100%					12,750
HFA	Wells Fargo Bank, NA 1 Boston Pl Boston, MA 02108	TRUSTEE	2401	03/24/2009 / / Upon Notice	RFP 12/11/2008	5	NYD	1,750	100%					12,750
HFA	Wells Fargo Bank, NA 1 Boston Pl Boston, MA 02108	TRUSTEE	2402	03/24/2009 / / Upon Notice	RFP 12/11/2008	5	NYD	1,750	100%					12,750
HFA	Wells Fargo Bank, NA 1 Boston Pl Boston, MA 02108	TRUSTEE	2403	03/24/2009 / / Upon Notice	RFP 12/11/2008	5	NYD	1,750	100%					13,500
HFA	Wells Fargo Bank, NA 1 Boston Pl Boston, MA 02108	TRUSTEE	2405	03/24/2009 / / Upon Notice	RFP 12/11/2008	5	NYD	1,750	100%					12,000
HFA	Wells Fargo Bank, NA 1 Boston Pl Boston, MA 02108	TRUSTEE	2406	03/24/2009 / / Upon Notice	RFP 12/11/2008	5	NYD	1,750	100%					13,500

NYD indicates Not Yet Determined. Unavailable data at this time as Agencies are in the process of updating their files.

Procurement Contract Report For '13 - '14 (11/01/2013 to 10/31/2014)

Agency(s)	Vendor Name and Address	Scope of Services	Contract No.	Contract Dates	Method of Sel & Date	Bids	NYS	Amount Paid	Allocation of Payments for the period of 11/01/13 to 10/31/14 HFA	SONYMA	AHC	MBBA	TSFC	Life of Contract Amount Paid
	Trustee Services													
HFA	Wells Fargo Bank, NA 1 Boston Pl Boston, MA 02108	TRUSTEE	2407	03/24/2009 / / Upon Notice	RFP 12/11/2008	5	NYD	1,750	100%					12,000
HFA	Wells Fargo Bank, NA 1 Boston Pl Boston, MA 02108	TRUSTEE	2408	03/24/2009 / / Upon Notice	RFP 12/11/2008	5	NYD	1,750	100%					12,000

NYD indicates Not Yet Determined. Unavailable data at this time as Agencies are in the process of updating their files.

New York State Housing Finance Agency, State of New York Mortgage Agency, New York State Affordable Housing Corporation, State of New York Municipal Bond Agency, Tobacco Settlement Financing Corporation

Endnotes for Procurement Contract Report For 2013-2014 (11/01/2013 to 10/31/2014)

Agency(s)	Vendor Name	Scope of Services	Contract No.	Contract Date	ENDNOTE
HFA	The Bank Of New York Mellon	TRUSTEE	2099	10/02/2006	10/31/2014 Not a new procurement; method of selection and number of bids received are not applicable. Trustee Account acquired by The Bank of New York from JP Morgan Chase as of 10/02/06.
HFA	Ernst & Young LLP	AUDIT SERVICES	2539	06/10/2010	10/31/2014 VENDOR IS PARTNERING WITH MBE.
SONYMA	Ernst & Young LLP	AUDIT SERVICES	2556	06/10/2010	10/31/2014 VENDOR IS PARTNERING WITH MBE.
MBBA	Ernst & Young LLP	AUDIT SERVICES	2557	06/10/2010	10/31/2014 VENDOR IS PARTNERING WITH MBE.
TSFC	Ernst & Young LLP	AUDIT SERVICES	2558	06/10/2010	10/31/2014 VENDOR IS PARTNERING WITH MBE.
AHC	Ernst & Young LLP	AUDIT SERVICES	2568	06/10/2010	10/31/2014 VENDOR IS PARTNERING WITH MBE.
SONYMA	CompuGain,LLC	SOFTWARE LICENSE & SERVICES FOR AUTOMATIC COMPLIANCE FOR SONYMA	2724	03/01/2012	10/31/2014 AS OF 2/1/2014, COMPUGAIN LLC ASSIGNED CONTRACT# 2724 TO OVERTURE TECHNOLOGIES, INC.
SONYMA	Douglas W. Dylla d/b/a	CONSULTING SERVICES	2828	03/06/2013	10/31/2014 Vendor is subcontracting with a MBE.
HFA SONYMA AHC	Arent Fox LLP	NON-BOND COUNSEL LEGAL SERVICES	2843	01/29/2013	10/31/2014 Vendor is subcontracting with a MBE.
HFA	Schoeman Updlike Kaufman	NON-BOND COUNSEL LEGAL SERVICES	2901	08/19/2013	10/31/2014 VENDOR IS PARTNERING WITH MAJORITY FIRM, CONTRACT #2909.
HFA	Dentons US LLP	NON-BOND COUNSEL SERVICES FOR HFA PORTFOLIO /MITCHELL- LAMA	2909	08/19/2013	10/31/2014 VENDOR IS PARTNERING WITH WBE, CONTRACT # 2901.
HFA	U.S. Bank National	TRUSTEE	2933	08/23/2013	04/30/2014 CONTRACT #1420 AND CONTRACT # 2933 ARE THE SAME CONTRACT. US BANK NATIONAL IS SUCCESSOR TRUSTEE.
HFA	Manufacturers & Traders	TRUSTEE	2936	03/24/2009	04/30/2014 NOT A NEW PROCUREMENT- DUE TO NAME CHANGE FROM M & T BANK TO MANUFACTURERS & TRADERS TRUST COMPANY D/B/A WILMINGTON TRUST ; CONtRACT # 2456 AND CONTRACT # 2936 ARE THE SAME CONTRACT.
HFA	Manufacturers & Traders	TRUSTEE	2937	03/12/2009	04/30/2014 NOT A NEW PROCUREMENT- DUE TO NAME CHANGE FROM M & T BANK TO MANUFACTURERS & TRADERS TRUST COMPANY D/B/A WILMINGTON TRUST ; CONRACT # 2460 AND CONTRACT # 2937 ARE THE SAME CONTRACT.
HFA	Manufacturers & Traders	TRUSTEE	2938	03/12/2009	04/30/2014 NOT A NEW PROCUREMENT- DUE TO NAME CHANGE FROM M & T BANK TO MANUFACTURERS & TRADERS

Endnotes for Procurement Contract Report For 2013-2014 (11/01/2013 to 10/31/2014)

Agency(s)	Vendor Name	Scope of Services	Contract No.	Contract Date	ENDNOTE
					TRUST COMPANY D/B/A WILMINGTON TRUST ; CONRACT # 2461 AND CONTRACT # 2938 ARE THE SAME CONTRACT.
HFA	Manufacturers & Traders	TRUSTEE	2939	03/12/2009	04/30/2014 NOT A NEW PROCUREMENT- DUE TO NAME CHANGE FROM M & T BANK TO MANUFACTURERS & TRADERS TRUST COMPANY D/B/A WILMINGTON TRUST ; CONRACT # 2463 AND CONTRACT # 2939 ARE THE SAME CONTRACT.
SONYMA	Manufacturers & Traders	TRUSTEE	2940	10/30/2009	04/30/2014 NOT A NEW PROCUREMENT- DUE TO NAME CHANGE FROM M & T BANK TO MANUFACTURERS & TRADERS TRUST COMPANY D/B/A WILMINGTON TRUST ; CONRACT # 2588 AND CONTRACT # 2940 ARE THE SAME CONTRACT.
SONYMA	Overture Technologies, Inc.	SOFTWARE LICENSE & SERVICES FOR AUTOMATIC COMPLIANCE FOR SONYMA	2941	02/01/2014	10/31/2014 NOT A NEW PROCUREMENT-FORMERLY KNOWN AS COMPUGAIN LLC (CONTRACT # 2724) WHICH CONTRACT WAS ASSIGNED TO OVERTURE TECHNOLOGIES INC. (CONTRACT #2941) AS OF 2/1/2014.
HFA	U.S. Bank National	TRUSTEE	2942	07/13/2013	04/30/2014 FORMERLY CONTRACT # 1419--NOT A NEW PROCUREMENT--U.S. BANK NATIONAL ASSOCIATION IS SUCCESSOR TRUSTEE TO DEUSTCHE BANK.
SONYMA	U.S. Bank National	TRUSTEE	2948	09/27/2011	07/31/2014 CONTRACT # 2948 IS NOT A NEW CONTRACT--FORMERLY CONTRACT #1912 (HSBC) , U.S. BANK IS SUCESSOR TRUSTEE AND ACQUIRED ACCOUNTS FROM HSBC.
HFA SONYMA	NYS Division Of Housing &	IT CONSULTANT SERVICES	3008	09/09/2014	10/31/2014 GARTNER STUDY OF HFA AND SONYMA IT INFRA STRUCTURE.

Purchase Orders

11/01/2013 - 10/31/2014

Agency	Vendor		Subject Matter	Selection Code	NYS	Desig	Goods/ Svces	Current Payment	HFA	SON	AHC	MBBA	TSFC	Payments 11/01/2013 - 10/31/2014 To Date
SONYMA	4Imprint, Inc. 101 Commerce Street Oshkosh, WI 54901		Marketing Fees Printing	Competitive Bid	NYD	Exempt	G	9,417		100%				9,417
SONYMA	ADCO Electrical Corp 201 Edward Curry Avenue Staten Island, NY 10314		Cleaning & Maintenance	Uniquely Qualified Source	NYD	Exempt	S	6,505	48%	50%		1%	2%	6,505
SONYMA	Antovel Gelberg & Wallpapering, Inc. 21-52 45th Ave. Long Island City, NY 11101		Cleaning & Maintenance	Single Source	Y	Exclusion	S	5,415	48%	50%		1%	2%	5,415
SONYMA	Binding Products Inc. JAF Station P.O. Box #7751 New York, NY 10116	+	Office Supplies	Competitive Bid MWBE Outreach	Y	Exempt	G	6,613	48%	50%		1%	2%	6,613
SONYMA	CDW Government Inc. 75 Remittance Drive Suite 1515 Chicago, IL 60675-1515		Info. Tech. -Acquisition Info.Tech. - Maintenance Office Supplies	Competitive Bid Competitive Bid/Critical Contr State Contract	NYD	Exempt	S	11,670	48%	50%		1%	2%	11,670
SONYMA	Central Security Integration Solutions 345 Park Avenue Level B New York, NY 10154		Cleaning & Maintenance Office Supplies	Single Source Uniquely Qualified Source	N	Exempt	G	7,607	48%	50%		1%	2%	7,607
SONYMA	Citrix Systems, Inc. 851 West Cypress Creek Road Fort Lauderdale, FL 33309		Info.Tech. - Maintenance	State Contract	NYD	Exempt	S	22,805	48%	50%		1%	2%	22,805
SONYMA	Coffee Distributing Corp. P.O. Box 766 Garden City Park, NY 11040		Kitchen Expenses	Competitive Bid Requests for Proposals Single Source	Y	Exempt	S	19,617	48%	50%		1%	2%	19,617

\+ Minority owned business enterprise

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Purchase Orders

11/01/2013 - 10/31/2014

Agency	Vendor		Subject Matter	Selection Code	NYS	Desig	Goods/ Svces	Current Payment	HFA	SON	AHC	MBBA	TSFC	Payments 11/01/2013 - 10/31/2014 To Date
SONYMA	Corporate Computer Solutions, Inc. 55 Halstead Ave Harrison, NY 10528	++	Info. Tech. -Acquisition Info.Tech. - Maintenance Office Supplies	Competitive Bid MWBE Outreach	Y	MWBE	G	22,968	48%	50%		1%	2%	22,968
HFA	Dell Marketing L.P. PO Box 643561 Pittsburgh, PA 15264-3561		Info. Tech. -Acquisition Info.Tech. - Maintenance	State Contract	NYD	Exempt	G	192,752	53%	45%		1%	1%	192,752
SONYMA	EMC Corporation 176 South Street Hopkinton, MA 02474		Info.Tech. - Maintenance	State Contract	NYD	Exempt	S	51,592	48%	50%		1%	2%	51,592
SONYMA	Eco Seating , Inc. 375 Park Ave , Suite 2607 New York, NY 10152		Furniture & Fixtures	Competitive Bid	NYD	MWBE	G	35,280	48%	50%		1%	2%	35,280
SONYMA	Environmental Systems Research 380 New York Street Redlands, CA 92373-8100		Maint of Office Equipment	State Contract	NYD	Exempt	S	21,663	48%	50%		1%	2%	21,663
HFA	Europa Bar & Grill 1776 Broadway Suite 1500 Attn: Accounts Receivable New York, NY 10019		Disaster Recovery Gen Financial Exp(SONYMA) Miscellaneous- Personnel Reimbursed by Project Travel- Bus Lunch & Recpt Travel- Conf & Seminars Workshops	Competitive Bid	NYD	Exempt	S	25,423	67%	30%	0%	0%	3%	25,423

++ Women owned business enterprise

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Purchase Orders

11/01/2013 - 10/31/2014

Agency	Vendor		Subject Matter	Selection Code	NYS	Desig	Goods/ Svces	Current Payment	HFA	SON	AHC	MBBA	TSFC	Payments 11/01/2013 - 10/31/2014 To Date
SONYMA	Global Background Screening, Inc 20900 NE 30 Avenue, Ste 843 Miami, FL 33180		Consultants Fees	Single Source Sole Source	Y	Exempt	S	5,941	48%	50%		1%	2%	5,941
SONYMA	HOSELTON CHEVROLET INC. 909 Fairport Road East Rochester, NY 14445		Auto Expenses	State Contract	NYD	Exempt	S	10,668	48%	50%		1%	2%	10,668
SONYMA	Humanscale Corporation 220 Circle Dr North Piscataway, NJ 08854		Furniture & Fixtures	State Contract	NYD	Exempt	G	6,439	48%	50%		1%	2%	6,439
HFA	IIT Inc. + 6 Corinish Ct. Huntington Station, NY 11746		Temp Employees- Empl Agy	State Contract	Y	MWBE	S	8,818	100%					8,818
SONYMA	InfoPeople Corporation + 99 Wall Street - FL 17 New York, NY 10005		Consultants Fees	MWBE Outreach State Contract	Y	Exempt	S	133,687	48%	50%		1%	2%	133,687
HFA	JASON'S CATERING & FOOD SERVICES, INC. 600 West 28th Street New York, NY 10001		COI- Other Gen Financial Exp(SONYMA) Reimbursed by Project Travel- Bus Lunch & Recpt	Competitive Bid Competitive Negotiations	Y	Exempt	G	11,520	98%	2%		0%	0%	11,520
HFA	JP Morgan Chase Bank 12 Corporate Woods Blvd.-4th F Albany, NY 12211		Fees & Exp- Trustee	Single Source	Y	Exclusion	S	21,303	68%	32%				21,303
SONYMA	Jennifer Temps Inc. + 80 Maiden Lane - Suite 605 New York, NY 10038	++	Temp Employees- Empl Agy	State Contract	Y	MWBE	S	14,093	44%	54%		1%	1%	14,093

++ Women owned business enterprise
+ Minority owned business enterprise
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Purchase Orders

11/01/2013 - 10/31/2014

Agency	Vendor		Subject Matter	Selection Code	NYS	Desig	Goods/ Svces	Current Payment	HFA	SON	AHC	MBBA	TSFC	Payments 11/01/2013 - 10/31/2014 To Date
SONYMA	Mac Felder Inc. 610 11th Avenue New York, NY 10036	++	Cleaning & Maintenance	Single Source Uniquely Qualified Source	Y	MWBE	S	7,087	48%	50%		1%	2%	7,087
SONYMA	Metropolitan Office & Computer 345 Park Avenue New York, NY 10154		Info. Tech. -Acquisition Office Supplies	Competitive Bid MWBE Outreach	Y	MWBE	G	25,835	48%	50%		1%	2%	25,835
SONYMA	NYS Indus. For The Disabled 155 Washington Ave.-Suite 400 Albany, NY 12210		Consultants Fees Kitchen Expenses Office Supplies	Preferred Sources	Y	Exempt	S	24,685	9%	90%		0%	0%	24,685
SONYMA	NYS Office Of General Services Division Of Fiscal Services Accounting Unit 40th Floor, Corning Tower Empire State Plaza Albany, NY 12242		Marketing Fees	Uniquely Qualified Source	Y	Exempt	S	39,500		100%				39,500
HFA	Neuman's Catering, dba TastedBud Caterin 203 Chrystie Street New York, NY 10002		Reimbursed by Project Travel- Bus Lunch & Recpt	Competitive Bid	NYD	Exempt	S	6,995	100%					6,995
SONYMA	New York Press Service, Inc Attn: Meg McLoughlin 1681 Western Avenue Albany, NY 12203		Marketing Fees	Single Source	Y	Exclusion	S	13,668		100%				13,668
SONYMA	Newsday, Inc. P.O. Box 9575 Uniondale, NY 11555-9575		Marketing Fees	Single Source	NYD	Exclusion	S	22,240		100%				22,240

++ Women owned business enterprise

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Purchase Orders

11/01/2013 - 10/31/2014

Agency	Vendor		Subject Matter	Selection Code	NYS	Desig	Goods/ Svces	Current Payment	HFA	SON	AHC	MBBA	TSFC	Payments 11/01/2013 - 10/31/2014 To Date
SONYMA	Qualys, Inc. 1600 Bridge Parkway 2nd Fl Redwood City, CA 94065		Info. Tech. -Acquisition	Uniquely Qualified Source	NYD	Exempt	S	5,990	48%	50%		1%	2%	5,990
SONYMA	Robert Tabatznik Associates, Inc. 867 Flatbush Road Kingston, NY 12401	++	Furniture & Fixtures Info. Tech. -Acquisition Office Supplies Printing	Competitive Bid	Y	MWBE	G	38,207	47%	50%		1%	2%	38,207
SONYMA	Royel Marketing 555 Fifth Avenue, 17th Fl New York, NY 10017	+	Furniture & Fixtures Marketing Fees Miscellaneous- Personnel Office Supplies Printing Reimbursed by Project	Competitive Bid MWBE Outreach Requests for Proposals	Y	MWBE	G	34,135	17%	81%	1%	0%	0%	34,135
SONYMA	Staples Contract & Commercial Inc. 500 Staples Drive Framingham, MA 01702		Furniture & Fixtures Office Supplies	State Contract	Y	Exempt	G	5,692	48%	50%		1%	2%	5,692
SONYMA	Systems Application Information Network, 777 8th Avenue New York, NY 10036	+	Consultants Fees Info.Tech. - Maintenance Maint of Office Equipment	Competitive Bid MWBE Outreach State Contract	Y	MWBE	S	384,424	48%	50%		1%	2%	384,424

++ Women owned business enterprise
+ Minority owned business enterprise
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Purchase Orders

11/01/2013 - 10/31/2014

Agency	Vendor		Subject Matter	Selection Code	NYS	Desig	Goods/ Svces	Current Payment	HFA	SON	AHC	MBBA	TSFC	Payments 11/01/2013 - 10/31/2014 To Date
SONYMA	Systems Management Planning, Inc. 1020 John Street West Henrietta, NY 14586	++	Disaster Recovery Info. Tech. -Acquisition	State Contract	Y	Exempt	S	175,712	48%	50%		1%	2%	175,712
SONYMA	T. Sookdeo-Ramjattan 193 Autumn Ave, Ste 2R Brooklyn, NY 11208	+ ++	Info. Tech. -Acquisition Office Supplies Purchase of Office Equip	Competitive Bid MWBE Outreach	Y	MWBE	G	5,939	49%	49%		1%	1%	5,939
SONYMA	Temporary Staffing by Suzanne Ltd 370 Lexington Avenue, Ste 902 New York, NY 10017	++	Temp Employees- Empl Agy	Competitive Bid MWBE Outreach Preferred Sources	Y	MWBE	S	129,455	47%	50%		1%	2%	129,455
HFA	The New York Times Company P.O. Box 19218 Newark, NJ 07195-0218		Reimbursed by Project	Single Source Uniquely Qualified Source	Y	Exclusion	S	96,796	86%	14%				96,796
SONYMA	Trisec Group, Inc. 19 North Broadway, Suite 5 Tarrytown, NY 10591		Info. Tech. -Acquisition Info.Tech. - Maintenance	State Contract	NYD	Exempt	S	8,329	48%	50%		1%	2%	8,329
SONYMA	Union Leasing P.O. Box 75850 Chicago, IL 60675-5850		Auto Expenses	Competitive Bid	NYD	Exempt	S	5,928	48%	50%		1%	2%	5,928
SONYMA	Vasco Data Security, Inc. 1901 S. Meyers Road, Ste 210 Oakbrook Terrace, IL 60181		Info.Tech. - Maintenance	Single Source	NYD	Exempt	S	6,900		100%				6,900
SONYMA	Verizon PO Box 15124		Communications	State Contract	NYD	Exempt	S	25,738		100%				25,738

++ Women owned business enterprise
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Purchase Orders

11/01/2013 - 10/31/2014

Agency	Vendor	Subject Matter	Selection Code	NYS	Desig	Goods/ Svces	Current Payment	HFA	SON	AHC	MBBA	TSFC	Payments 11/01/2013 - 10/31/2014 To Date
	Albany, NY 12212-5124												
SONYMA	West Publishing Corp. DBA West Group P.O. Box 6292 Carol Stream, IL 60197-6292	Books & Periodicals	Single Source Uniquely Qualified Source	NYD	Exempt	S	9,647	48%	50%		1%	2%	9,647
SONYMA	Women Builders Council, Inc. Attn: Valerie Head 1001 Avenue of the Americas New York, NY 10018	Marketing Fees	Preferred Sources	NYD	Exclusion	S	5,000		100%				5,000
SONYMA	Xerox Corporation P.O. Box 827598 Philadelphia, PA 19182-7598	Maint of Office Equipment Office Supplies Rental of Office Equipmnt	Competitive Bid Single Source State Contract	Y	Exempt	S	103,189	49%	49%		1%	2%	103,189
SONYMA	Xpedx Division International Paper 261 River Rd Clifton, NJ 07014	Office Supplies	State Contract	NYD	Exempt	G	18,846	48%	50%		1%	2%	18,846
SONYMA	ZOHO Corporation 4900 Hopyard Road, Suite 310 Pleasanton, CA 94588-7100	Info. Tech. -Acquisition	Uniquely Qualified Source	NYD	Exempt	S	8,995	48%	50%		1%	2%	8,995
SONYMA	Zones , Inc. + P.O. Box 34740 Seattle, WA 98124-1740	Communications Info. Tech. -Acquisition Info.Tech. - Maintenance	Competitive Bid	N	Exempt	G	8,143	48%	50%		1%	2%	8,143

\+ Minority owned business enterprise

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NEW YORK STATE OF OPPORTUNITY. | Homes and Community Renewal

Schedule I

Procurement Summary with MWBE Comparative Data for Fiscal Years 2014, 2013, 2012 and 2011

	Fiscal Year 2014		Fiscal Year 2013		Fiscal Year 2012		Fiscal Year 2011	
Total Number of Contracts ("Ks") & POs	301		290		315		280	
# of Ks & POs with MWBE Opportunities ◆	88	29.24%	84	28.97%	61	19.37%	71	25.36%
Excluded ◆	15	4.98%	14	4.83%	49	15.56%	181	64.64%
Exempt ◆	198	65.78%	192	66.21%	205	65.08%	28	10.00%
# of Ks & POs entered into with MWBE ●	49	55.68%	51	60.71%	34	55.74%	11	15.49%
# of Agency MBE Ks and POs ●	33	37.50%	36	42.86%	23	37.70%	8	11.27%
# of Agency WBE Ks and POs ●	16	18.18%	15	17.86%	11	18.03%	3	4.23%
Total Amount Paid under Ks and POs	$ 20,921,846		$ 19,797,676		$ 18,387,695		$ 18,001,582	
Total amount paid under Ks and POs with MWBE Opportunities ✸	$ 6,579,998	31.45%	$ 5,430,918	27.43%	$ 4,885,839	26.57%	$ 3,914,214	21.74%
Excluded ✸	$ 1,359,998	6.50%	$ 1,868,935	9.44%	$ 8,099,495	44.05%	$ 4,338,792	24.10%
Exempt ✸	$ 12,981,850	62.05%	$ 12,497,823	63.13%	$ 5,402,361	29.38%	$ 9,748,576	54.15%
Paid to MWBEs under Ks and POs ▲	$ 1,966,663	29.89%	$ 2,036,935	37.51%	$ 1,164,409	23.83%	$ 399,626	10.21%
Paid to MBEs under Ks and POs ▲	$ 1,252,960	19.04%	$ 1,678,095	30.90%	$ 858,331	17.57%	$ 249,297	6.37%
Paid to WBEs under Ks and POs ▲	$ 713,703	10.85%	$ 358,840	6.61%	$ 306,078	6.26%	$ 150,329	3.84%

◆ Denominator: Total Number of Ks & POs

● Denominator: # of Ks & POs with MWBE Opportunities

✸ Denominator: Total Amount Paid under Ks & POs

▲ Denominator: Total Amount Paid under Ks & POs with MWBE Opportunities

NEW YORK STATE OF OPPORTUNITY. | Homes and Community Renewal

Schedule II

Procurement Summary for Fiscal Year 2014 with MWBE comparative data (11/01/2013 to 10/31/2014)

Total Number of Contracts	**Total Amount Paid to Contractors**	**Total Number of Purchase Orders ("POs)**	**Total Amount Paid to PO Vendors**
Total Number of Contracts: 253 Including: MWBE Opportunities: 71 or 28.06% Excluded: 15 or 5.93% Exempt: 167 or 66.01% Of the 71 contracts with MWBE Opportunities, 36 or 50.70% were with MWBEs (including 26 or 36.62% with MBEs and 10 or 14.08% with WBEs)	Total Amt Paid $19,052,957 Including: MWBE Opportunities: $5,524,172 or 28.99% Exclusion: $1,263,201 or 6.63% Exempt: $12,265,584 or 64.38% Of the $5,524,172 amount paid under contracts with MWBE Opportunities, $997,376 or 18.05% were paid to MWBEs (including $671,198 or 12.15% paid to MBEs and $326,178 or 5.90% paid to WBEs)	Total Number of POs: 48 Including: MWBE Opportunities: 16 or 33.33% Exclusion: 1 or 2.08% Exempt: 31 or 64.58% Of the 16 POs with MWBE Opportunities, 13 or 81.25% were with MWBEs (including 7 or 43.75% with MBEs and 6 or 37.50% with WBEs)	Total Amt Paid $1,868,889 Including: MWBE Opportunities: $1,055,826 or 56.49% Exclusion: $ 96,797 or 5.18% Exempt: $716,267 or 38.33% Of the $1,055,826 amount paid to under POs with MWBE Opportunities, $969,287 or 91.80% paid to MWBEs (including $581,762 or 55.10% paid to MBEs and $387,525 or 36.70% paid to WBEs)

NEW YORK STATE OF OPPORTUNITY. | Homes and Community Renewal

Schedule III

Procurement Summary for Fiscal Year 2013 with MWBE comparative data (11/01/2012 to 10/31/2013)

Total Number of Contracts	**Total Amount Paid to Contractors**	**Total Number of Purchase Orders ("POs)**	**Total Amount Paid to PO Vendors**
Total Number of Contracts: 243 Including: MWBE Opportunities: 75 or 30.88% Excluded: 12 or 4.92% Exempt: 156 or 64.20% Of the 75 contracts with MWBE Opportunities, 43 or 57.33% were with MWBEs (including 33 or 44.00% with MBEs and 10 or 13.33% with WBEs)	Total Amt Paid $17,538,042 Including: MWBE Opportunities: $4,277,558 or 24.39% Exclusion: $1,686,086 or 9.61% Exempt: $11,574,398 or 66.00% Of the $4,277,558 amount paid under contracts with MWBE Opportunities, $915,955 or 21.41% were paid to MWBEs (including $765,949 or 17.91% paid to MBEs and $150,006 or 3.51% paid to WBEs)	Total Number of POs: 47 Including: MWBE Opportunities: 9 or 19.15% Exclusion: 2 or 4.26% Exempt: 36 or 76.59% Of the 9 POs with MWBE Opportunities, 8 or 89.89% were with MWBEs (including 3 or 33.33% with MBEs and 5 or 55.56% with WBEs)	Total Amt Paid $2,259,634 Including: MWBE Opportunities: $1,153,360 or 51.04% Exclusion: $182,849 or 8.09% Exempt: $923,425 or 40.87% Of the $1,153,360 amount paid to under POs with MWBE Opportunities, $1,120,980 or 97.19% paid to MWBEs (including $912,146 or 79.09% paid to MBEs and $208,834 or 18.11% paid to WBEs)

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Schedule IV

Procurement Summary for Fiscal Year 2012 with MWBE comparative data (11/01/2011 to 10/31/2012)

Total Number of Contracts	**Total Amount Paid to Contractors**	**Total Number of Purchase Orders ("POs)**	**Total Amount Paid to PO Vendors**
Total Number of Contracts: 263 Including: MWBE Opportunities: 54 or 20.53% Excluded: 45 or 17.11% Exempt: 164 or 62.36% Of the 54 contracts with MWBE Opportunities, 28 or 51.85% were with MWBEs (including 20 or 37.04% with MBEs and 8 or 14.81% with WBEs)	Total Amt Paid $16,790,068 Including: MWBE Opportunities: $4,029,338 or 24.00% Exclusion: $7,905,433 or 47.08% Exempt: $4,855,297 or 28.92% Of the $4,029,388 amount paid under contracts with MWBE Opportunities, $333,064 or 8.26% were paid to MWBEs (including $212,143 or 5.26% paid to MBEs and $120,921 or 3.00% paid to WBEs)	Total Number of POs: 52 Including: MWBE Opportunities: 7 or 13.46% Exclusion: 4 or 7.69% Exempt: 41 or 78.85% Of the 7 POs with MWBE Opportunities, 6 or 85.72% were with MWBEs (including 3 or 42.86% with MBEs and 3 or 42.86% with WBEs)	Total Amt Paid $1,597,627 Including: MWBE Opportunities: $856,501 or 53.61% Exclusion: $194,062 or 12.15% Exempt: $547,064 or 34.24% Of the $856,501 amount paid to under POs with MWBE Opportunities, $831,345 or 97.06% paid to MWBEs (including $646,188 or 75.45% paid to MBEs and $185,157 or 21.61% paid to WBEs)

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Schedule V

Procurement Summary for Fiscal Year 2011 with MWBE comparative data (11/01/2010 to 10/31/2011)

Total Number of Contracts	**Total Amount Paid to Contractors**	**Total Number of Purchase Orders ("POs)**	**Total Amount Paid to PO Vendors**
Total Number of Contracts: 247 Including: MWBE Opportunities: 50 or 20.24% Excluded: 171 or 69.23% Exempt: 26 or 10.53% Of the 50 contracts with MWBE Opportunities, 8 or 16.00% were with MWBEs (including 7 or 14.00% with MBEs and 1 or 2.00% with a WBE)	Total Amt Paid $17,080,695 Including: MWBE Opportunities: $3,430,761 or 20.08% Excluded $4,059,386 or 23.77% Exempt: $9,590,548 or 56.15% Of the $3,430,761 amount paid under contracts with MWBE Opportunities, $259,153 or 7.56% paid to MWBEs (including $223,603 or 6.52% paid to MBEs and $35,550 or 1.04% paid to a WBE)	Total Number of POs: 33 Including: MWBE Opportunities: 21 or 63.64% Excluded: 10 or 30.30% Exempt: 2 or 6.06% Of the 21 Competitive POs, 3 or 14.28% were with MWBEs (including 1 or 4.76% with MBEs and 2 or 9.52% with WBEs)	Total Amt Paid $920,887 Including: MWBE Opportunities: $483,453 or 52.50% Excluded: $279,406 or 30.34% Exempt: $158,028 or 17.16% Of the $483,453 amount paid under POs with MWBE Opportunities, $140,473 or 29.05% paid to MWBEs (including $25,694 or 5.31% paid to MBEs and $114,779 or 23.74% paid to WBEs)

TAB 3

Agencies' Consolidated Procurement and Contract Guidelines

PROCUREMENT AND CONTRACT GUIDELINES OF THE NEW YORK STATE HOUSING FINANCE AGENCY, STATE OF NEW YORK MORTGAGE AGENCY, NEW YORK STATE AFFORDABLE HOUSING CORPORATION, STATE OF NEW YORK MUNICIPAL BOND BANK AGENCY, AND TOBACCO SETTLEMENT FINANCING CORPORATION ESTABLISHING STANDARDS FOR THE USE, AWARD, MONITORING AND REPORTING OF PROCUREMENT CONTRACTS

(effective as of December 15, 2005, revised as of September 12, 2013)

ARTICLE I

1. STATEMENT OF PURPOSE AND APPLICABILITY

a. Statement of Purpose. These Guidelines are adopted pursuant to the provisions of the Acts and §2879 of the Public Authorities Law, as guidelines of the New York State Housing Finance Agency, State of New York Mortgage Agency, New York State Affordable Housing Corporation, State of New York Municipal Bond Bank Agency and Tobacco Settlement Financing Corporation (collectively hereinafter referred to as "Agencies" or each individually as "Agency") and, in accordance therewith, are to be reviewed and approved by the Members and Directors of each respective Agency at least annually.

b. Applicability. These Guidelines apply to the Procurement by the Agencies of goods or services in the actual or estimated amount of $5,000 or more.

c. Title. Outside of this document, these Guidelines may be referred to as the "Procurement and Contract Guidelines" and herein may be referred to as "Guidelines."

ARTICLE II

2. DEFINITION OF TERMS

a. Definitions. The following terms shall, for purposes of these Guidelines, have the following meanings unless the context shall clearly indicate some other meaning:

i. "Act" or "Acts" shall mean, either individually, or collectively, the Acts of each of the New York State Housing Finance Agency, State of New York Mortgage Agency, New York State Affordable Housing Corporation, State

of New York Municipal Bond Bank Agency and Tobacco Settlement Financing Corporation.

ii. "Agency" or "Agencies" shall mean, either individually or collectively, each of the New York State Housing Finance Agency, State of New York Mortgage Agency, New York State Affordable Housing Corporation, State of New York Municipal Bond Bank Agency and Tobacco Settlement Financing Corporation.

iii. "Affiliated Agencies" shall mean all of the affiliated and co-located Agencies, being the New York State Housing Finance Agency, State of New York Mortgage Agency, New York State Affordable Housing Corporation, State of New York Municipal Bond Bank Agency and Tobacco Settlement Financing Corporation, including the Housing Trust Fund Corporation, a subsidiary of the New York State Housing Finance Agency, located in Albany, New York.

iv. "Annual Procurement Report" shall mean the annual report required by Article XII hereof.

v. “Article 15-A of the Executive Law” or “Article 15-A” shall mean, the statute that governs the participation by Minority Group Members and women with respect to Agency Contracts.

vi. "By-Laws" shall mean the By-Laws adopted by the Members and Directors of each Agency.

vii. "Contact" shall mean, for purposes of applying the Lobbying Law in relation to any Agency Governmental Procurement with actual or anticipated annualized expenditures in excess of $15,000, any oral, written or electronic communication from a Contractor or Vendor, or their representatives, with any Agency, under circumstances where a reasonable person would infer that the communication was intended to influence any Agency’s conduct or decision regarding an Agency Governmental Procurement.

viii. "Contract" shall mean a written agreement whereby an Agency undertakes Procurement, and shall include, but not be limited to, accepted Purchase Orders and Procurement Contracts. Contracts in excess of $25,000 for goods and services and Contracts in excess of $100,000 for the acquisition, construction, demolition, replacement, major repair, or renovation of real property and improvements thereon are subject to the Agencies’ MWBE Directives. Additionally, pursuant to Article 15-A, solely for the purpose of providing the opportunity for meaningful participation for certified MWBEs in the performance of Agency Contracts, Agency Contracts shall

include leases of real property by any Agency to a Lessee where: (a) the terms of such leases provide for the construction, demolition, replacement, major repair or renovation of real property and improvements thereon by such Lessee; and (b) the cost of such construction, demolition, replacement, major repair or renovation of real property and improvements thereon shall exceed the sum of $100,000.

ix. "Contractor" shall mean a supplier of goods or services to any Agency pursuant to a written Contract.

x. "Counsel" shall mean an attorney in the regular employment of any Agency.

xi. "Critical Contract" shall mean a Contract which must be awarded within a set time period because delay of the award would have a serious adverse effect on the contracting Agency that outweighs the benefits of advertisement in the "New York State Contract Reporter," as determined by the President, and a Senior Officer designated by the President. Examples of Critical Contracts include Contracts related to bond issuances. All Emergency Selection Contracts shall be Critical Contracts. Emergency Foreign Business Enterprise Contracts are not Critical Contracts unless the Agency independently determines those Contracts to be Critical Contacts.

xii. "Designated Contact" shall mean, for purposes of applying the Lobbying Law in relation to any Agency Governmental Procurement with actual or anticipated annualized expenditures in excess of $15,000, a Contact made between an Offerer and the Agency's Designated Contact Officer(s), as set forth in Article VII of these Guidelines.

xiii. "Designated Contact Officer(s)" shall mean, for purposes of applying the Lobbying Law in relation to any Agency Governmental Procurement with actual or anticipated annualized expenditures in excess of $15,000, the person(s) the Agency appoints to such position, in accordance with the provisions of the Lobbying Law, who may be the recipient of Designated Contacts, as set forth in Articles VII and XI of these Guidelines.

xiv. "Designated MWBE Officer(s)" shall mean the senior staff member(s) the Agency appoints to such position, who reports directly to the President to oversee the Agencies' MWBE Program, as set forth in Articles VI and XI of these Guidelines.

xv. "Determination of Responsibility" shall mean, in relation to any Agency Governmental Procurement with actual or anticipated annualized expenditures in excess of $15,000, a final determination required to be made by the Agency of the proposed Contractor or Vendor to whom the Contract is to be awarded in accordance with Public Authorities Law § 2879 (3) (b)

(iii). For Determinations of Responsibility hereunder, the Lobbying Law requires that proposed Contractors and Vendors disclose findings of non-responsibility against them within the previous four years by any other governmental agency.

xvi. "Director(s)" shall mean the Directors of each of the State of New York Mortgage Agency and State of New York Municipal Bond Bank Agency and collectively, both of them.

xvii. "Discriminatory Jurisdiction" shall mean any other county, nation, province, state or political subdivision thereof which employs a preference or price distorting mechanism to the detriment of, or otherwise discriminates against, a New York State Business Enterprise in the Procurement of goods or services by the same, or a non-governmental entity influenced by the same.

xviii. "Disparity Study of 2010" or "Disparity Study" shall refer to the disparity study commissioned by the Empire State Development Corporation ("ESDC"), pursuant to Article 15-A, and published on April 29, 2010.

xix. "Emergency Foreign Business Enterprise Contract" shall mean any Contract awarded on an emergency or critical basis or where the New York State Commissioner of Economic Development (hereinafter referred to as the "Commissioner") waives provisions otherwise applying to Contracts with Foreign Business Enterprises which are equal to or greater than $1,000,000, pursuant to Article VIII of these Guidelines.

xx. "Emergency Selection Contract" shall mean any Contract exempt from competitive selection due to an Agency determination of an emergency justifying such exemption.

xxi. "Employee" shall mean an employee of any Agency, whether full or part time.

xxii. "Ethics Officer" shall mean the person the Agency appoints to such position for purposes of administering matters in connection with the State Ethics laws, or any other State law which requires the existence of such an officer to review, monitor and impose sanctions related to Procurement matters including, but not limited to, Lobbying Law Directives.

xxiiii. "Foreign Business Enterprise" shall mean a business enterprise, including a sole proprietorship, partnership or corporation, which offers for sale, lease or other form of exchange, goods sought by any Agency and which are substantially produced outside the State, or services sought by any Agency, and which are substantially performed outside the State.

xxiv. "Formal Contract" shall mean a Contract which is required to be in writing and formally executed by the Contractor and the Agency.

xxv. “Formal Solicitation” shall mean a Request for Proposal process.

xxvi. “Governance Committee Member(s)” shall mean the members of each of the New York State Housing Finance Agency, State of New York Mortgage Agency, New York State Affordable Housing Corporation, State of New York Municipal Bond Bank Agency and Tobacco Settlement Financing Corporation, and collectively, all of them.

xxvii. “Governmental Procurement” shall mean the (a) public announcement, public notice, or public communication to any potential Vendor of a determination of a need for a Procurement, which shall include, but not be limited to, the public notification of the specifications, bid documents, RFPs, or evaluation criteria for a Procurement Contract, (b) solicitation for a Procurement Contract, (c) evaluation of a Procurement Contract, (d) award, approval, denial or disapproval of a Procurement Contract, or (e) approval or denial of an assignment, amendment (other than amendments that are authorized and payable under the terms of the Procurement Contract as it was finally awarded or approved by the State’s comptroller, as applicable), renewal or extension of a Procurement Contract, or any other material change in the Procurement Contract resulting in a financial benefit to the Offerer.

xxviii. "Guidelines" shall mean these Guidelines, as they may be amended from time to time.

xxix. "Impermissible Contact" shall mean, for purposes of applying the Lobbying Law in relation to any Agency Governmental Procurement with actual or anticipated annualized expenditures in excess of $15,000, any Contact that is not a Designated Contact.

xxx. “Informal Solicitation” shall mean a Request for Bid process.

xxxi. “Invitation for Bid” process or “IFB” shall mean the informal solicitation, by way of a statement of qualification, proposal and/or, as appropriate, price bid from at least three prospective Contractors or Vendors, one of which shall be from a MWBE, if possible, for Procurements not expected to exceed $50,000. Procurements anticipated to exceed $25,000 or more must include MWBE participation goals.

xxxii. “Lessee" shall have the same meaning defined in Article 15-A.

xxxiii. "Lobbying Law Directives" shall mean, in relation to any Agency Governmental Procurement with actual or anticipated annualized expenditures in excess of $15,000, the requirements of the provisions of the Lobbying Law, and as set forth in Article VII of these Guidelines.

xxxiv. "Lobbying Law" shall mean the provisions of the Legislative Law and the State Finance Law enacted on August 23, 2005, Chapter 1 of the laws of 2005 and amended on March 20, 2010, Chapter 4 of the laws of 2010.

xxxv. "Member(s)" shall mean the members of each of the New York State Housing Finance Agency, New York State Affordable Housing Corporation, and Tobacco Settlement Financing Corporation, and collectively, all of them.

xxxvi. "Minority Owned Business Enterprise" or "MBE" shall mean any business enterprise, including a sole proprietorship, partnership or corporation, that is:

(1) at least 51% owned by one or more Minority Group Members, or in the case of a publicly-owned business, at least 51% of the common stock or other voting interests of which is owned by one or more Minority Group Members;

(2) an enterprise in which the minority ownership is real, substantial and continuing;

(3) an enterprise in which the minority ownership has, and exercises, the authority to control independently the day-to-day business decisions of the enterprise;

(4) an enterprise authorized to do business in the State, independently owned and operated, and not dominant in its field;

(5) an enterprise owned by an individual or individuals, whose ownership, control and operation are relied upon for certification, with a Personal Net Worth that does not exceed $3.5 million, as adjusted annually on the first of January for inflation according to the consumer price index of the previous year; and

(6) an enterprise that is a Small Business.

xxxvii. “Minority and/or Women-Owned Business Enterprise” or “MWBE” shall mean any business enterprise, including a sole proprietorship, partnership or corporation, that meets the qualifications for an MBE, a WBE, or both an MBE and a WBE.

xxxviii."Minority Group Member" shall mean a United States citizen or permanent resident alien who is and can demonstrate membership in one of the following groups:

(1) Black persons having origins in any of the Black African racial groups not of Hispanic origin;

(2) Hispanic persons of Mexican, Puerto Rican, Dominican, Cuban, Central or South American of either Indian or Hispanic origin, regardless of race;

(3) Native American or Alaskan native persons having origins in any of the original peoples of North America; or

(4) Asian and Pacific Islander persons having origins in any of the Far East countries, Southeast Asia, the Indian sub-continent or the Pacific Islands.

xxxix. "MWBE Director" shall mean the director of the division of minority and women's business development in the Department of Economic Development.

xl. "MWBE Directives" shall mean the requirements of the Agencies' MWBE Program in accordance with the provisions in §2879 of the Public Authorities Law and Article 15-A, and as set forth in Article VI of these Guidelines.

xli. "MWBE Program" shall mean the Agencies' Procurement procedures and policies for providing opportunity for meaningful participation of certified businesses in the performance of Agency Contracts, as more fully described in Article VI of these Guidelines.

xlii. "New York State Business Enterprise" or "NYSBE" shall mean a business enterprise, including a sole proprietorship, partnership, or corporation, which offers for sale or lease or other form of exchange, goods which are sought by any Agency and which are substantially manufactured, produced or assembled in the State, or services which are sought by any Agency and which are substantially performed within the State.

xliii. "Offerer" shall mean, for purposes of applying the Lobbying Law in relation to any Agency Governmental Procurement with actual or anticipated annualized expenditures in excess of $15,000, an individual or entity, or any employee, agent or consultant or person acting on behalf of such individual or entity, that contacts any Agency about an Agency Governmental

Procurement during the Restricted Period of such Agency Governmental Procurement, whether or not the caller has a financial interest in the outcome of the Governmental Procurement.

xliv. "Officer" shall mean any person so defined in the By-Laws of the Agencies.

xlv. "Permissible Contact" shall mean, for purposes of applying the Lobbying Law in relation to any Agency Governmental Procurement with actual or anticipated annualized expenditures in excess of $15,000, a Designated Contact.

xlvi. "Permissible Subject Matter Communication" shall mean, for purposes of applying the Lobbying Law in relation to any Agency Governmental Procurement with actual or anticipated annualized expenditures in excess of $15,000, the communications set forth as such in Article VII of these Guidelines.

xlvii. "Personal Net Worth" shall have the same meaning defined in Article 15-A.

xlviii. "Personal Services" shall mean any services performed for fee, commission or other compensation by persons or organizations who are not providing such services as Officers or Employees of any Agency or any State agency or public corporation.

xlix. "Preferred Source" shall mean the status afforded to certain contractors or vendors for purposes of Procurement under §162 of the State Finance Law.

l. "President and Chief Executive Officer" or "President" shall mean the Senior Officer having such title according each Agency's By-Laws.

li. "Procurement" shall mean the acquisition of goods, materials and services including, but not limited to, Personal Services, by any Agency. The term goods shall include, but not be limited to, personal property, including furniture, fixtures, stationery and supplies. Services shall include, but not be limited to, the performance of legal, accounting, management, consulting, investment banking, planning, training, statistical, research, public relations, architectural, engineering, surveying or other Personal Services of a consulting, professional or technical nature for a fee, commission or other compensation by a person or persons who are not providing such service as Officers or Employees of any Agency or any State agency or public corporation.

lii. "Procurement and Contract Guidelines" shall mean the guidelines to Procurement of goods or services by the Agencies, adopted by the Agencies' Members and Directors on December 15, 2005 and revised as of September 14, 2010, pursuant to the provisions of the Acts and §2879 of the Public Authorities Law, as guidelines of the New York State Housing Finance Agency, State of New York Mortgage Agency, New York State Affordable Housing Corporation, State of New York Municipal Bond Bank Agency and Tobacco Settlement Financing Corporation.

liii. "Procurement Contract(s)" shall mean, (a) *(following the definition in §2879 of the Public Authorities Law)* any written agreement for Procurement in the actual or estimated amount of $5,000 or more or (b) *(following the definition in the Lobbying Law for purposes of applying the Lobbying Law in relation to any Agency Governmental Procurement with actual or anticipated annualized expenditures in excess of $15,000)* any Contract, including an amendment, extension, renewal, or change order to an existing Contract (other than amendments, extensions, renewals, or change orders that are authorized and payable under the terms of the Contract as it was finally awarded), for a Governmental Procurement.

liv. "Procurement Contract Officer" shall mean the person appointed by the President to such position, as set forth in Article XI of these Guidelines.

lv. "Procurement Record" shall mean documentation of the decisions made and the approach taken in the Procurement process together with other documentation with respect to Contracts and Contractors/Vendors, as set forth in these Guidelines.

lvi. "Purchase Order(s)" shall mean written authorization to a Vendor to deliver specified goods or services at a stipulated price.

lvii. "Quarterly Procurement Report(s)" shall mean the quarterly reports required by Article XII, as described herein.

lviii. "Request for Proposal" or "RFP" shall mean the formal solicitation, by way of a detailed description of services and/or related work required by any Agency, of a comprehensive response from qualified potential Contractors or Vendors, indicating the manner in which each would perform the tasks involved and the compensation requested, which response would be the basis for a contractual agreement. *(It is generally expected that a qualifying response to an RFP would be sufficiently comprehensive to supply all essential information necessary to enter into a Contract.)*

lix. "Request for Qualification or "RFQ" shall mean a request for statement of qualifications, which shall contain detailed information, so as to enable recipients to determine the desirability of participating in the selection process and to develop a competitive statement. An RFQ may request other information in addition to qualifications. *(An RFQ requests less information than an RFP. The response may or may not provide enough information upon which to base a Contract, but if it is not sufficient to base a Contract upon, supplementary information would likely be necessary to determine the scope of tasks to be performed under the Contract.)*

lx. "Restricted Period" shall mean, for purposes of applying the Lobbying Law in relation to any Agency Governmental Procurement with actual or anticipated annualized expenditures in excess of $15,000, the period of time commencing with the earliest determination of a Procurement need by any Agency to any potential Contractor or Vendor, including, but not limited to, any oral or written communication, notice, advertisement or solicitation of an RFP, invitation for bids, or solicitation of proposals, or any other method for soliciting a response from contractors or vendors intending to result in a Procurement Contract with the Agency and ending with the Agency's approval of the final Contract award.

lxi. "Senior Officer" shall mean a Senior Officer as defined in the By-Laws of the Agencies.

lxii. "Senior Vice President and Counsel" shall mean the Senior Vice President and Counsel of the Agencies.

lxiii. "Single Source Contract" shall mean a Contract awarded without competitive procedures as a result of a determination by the Agency, approved in writing by the President and a Senior Officer designated by the President, that one firm is uniquely qualified or has a unique advantage with respect to the provision of a particular service or good, such that competitive procedures are rendered futile.

lxiv. "Small Business" shall have the same meaning defined in Article 15-A.

lxv. "Sole Source Contract" shall mean a Contract awarded without competitive procedures as a result of a determination by the Agency, approved in writing by the President and a Senior Officer designated by the President, that there is only one source for a particular service or good, such that competitive procedures are rendered futile.

lxvi. "State" shall mean the State of New York.

lxvii. "Vendor" shall mean a supplier of goods or services to any Agency.

lxviii. "Women-Owned Business Enterprise ("WBE")" shall mean a business enterprise, including a sole proprietorship, partnership or corporation that is:

(1) at least 51% owned by one or more United States citizens or permanent resident aliens who are women or, in the case of a publicly-owned business, at least 51% percent of the common stock or other voting interests of which is owned by United States citizens or permanent resident aliens who are women;

(2) an enterprise in which the ownership interest of women is real, substantial and continuing;

(3) an enterprise in which the women ownership has, and exercises, the authority to control independently the day-to-day business decisions of the enterprise;

(4) an enterprise authorized to do business in the State, independently owned and operated, and not dominant in its field;

(5) an enterprise owned by an individual or individuals, whose ownership, control and operation are relied upon for certification, with a Personal Net Worth that does not exceed $3.5 million, as adjusted annually on the first of January for inflation according to the consumer price index of the previous year; and

(6) an enterprise that is a Small Business.

b. Construction of Language. Any other capitalized terms used herein shall have the meaning given by the By-Laws. Except where the context otherwise requires, words importing the singular number shall include the plural number and vice versa.

ARTICLE III

3. USE OF PROCUREMENT CONTRACTORS AND VENDORS

a. Threshold Criteria for Use of Procurement Contractors for Personal Services. The general responsibilities of the Agencies are performed by Employees. Accordingly, it is the policy of the Agencies that before Personal Services are used, it first be considered whether it would be more appropriate for Employees to provide such services. Personal Services Contractors may be used when it has been determined:

(l) that such service is necessary or convenient to the performance of any Agency's responsibilities, and;

(2) (x) that such service is not available from Employees, or;
(y) that the performance of such service requires it be undertaken by someone independent of the Agencies, or;
(z) that use of personnel of any Agency for such service would not be efficient or cost effective.

Such determination shall be made by a Senior Officer except that, in the case of Personal Services set forth below in this Article, such determination may be made by Senior Officers as they may deem administratively appropriate. Non-Personal Services Contracts shall be entered into when any Agency requires goods, materials and non-Personal Services to function effectively and efficiently.

b. Areas Requiring Use of Procurement Contracts for Personal Services. Personal Services Contracts have typically been and are anticipated to be executed in the following areas, pursuant to a determination of appropriateness in accordance with the requirements of subparagraph a. of this Article:

Types of Services, Responsibilities and Description of Services to be Provided.

i. Appraisal. Provide appraisals, analyses and reports with respect to properties which are or may be the subject of Agency loans or loans insured by the Agency.

ii. Architectural and Engineering. Provide professional architectural and/or engineering services relative to the construction of properties which are or may be the subject of Agency loans, or loans insured by the Agency.

iii. Audit and Accounting. Provide audit services pertaining to the year-end preparation of financial statements for the Agency in conformance with generally accepted accounting principles. Perform special audits as requested.

iv. Custody & Safekeeping Services. Provide custody and safekeeping services to secure Agency investments and receive and evaluate underlying collateral for secured Agency investments.

v. Equipment Maintenance. Provide maintenance for the routine service or repair of office and data processing equipment.

vi. Information Technology Consulting. Provide analyses and recommendations on the Agencies' data processing structure and operations.

vii. Information Technology Services. Provide report generating and printing services, computer systems hardware, programming and related services to the Agency(s).

viii. Investment Banking. Provide: (a) financial advisory services; (b) marketing services for Agency bond issues; and (c) recommendations and analyses with respect to Agency investments, and the preparation, sale, marketing and distribution of Agency bond issues.

ix. Legal. Provide legal services, opinions and analyses related to bond and note financings, real estate matters, corporate matters, litigation matters and labor matters.

x. Management Consulting. Provide analyses and recommendations concerning the Agencies' organizational structure and the management of its operations.

xi. Minority Business Enterprise Consultants. Provide technical assistance in the Agencies' effort to facilitate MBE participation in Agency programs.

xii. Printing. Provide: (a) financial printing services based upon specifications and details developed by the Agency; (b) technical printing services relative to the reproduction of loan and insurance documents; (c) graphic, layout and printing services in connection with production of the Agencies' annual report(s); and any special reports that may be required; and (d) other printing and offset services.

xiii. Training. Provide supervisory and other skills training to Agency Officers and Employees.

xiv. Trustee Banking Services. Provide banking services to monitor the timely receipt of payments, retirement of debt, collateral evaluations and other services as required by the various bond resolutions.

xv. Others. The examples of Personal Services listed above in clauses (i) through (xiv) reflect anticipated Personal Services and are not meant to be exhaustive; other services, in other areas, may be utilized subject to these Guidelines.

These Personal Services are not required to be provided as Personal Services Contracts, and may sometimes be performed by Agency staff.

ARTICLE IV

4. SELECTION OF PROCUREMENT VENDORS AND CONTRACTORS.

a. Preferred Selection Criteria and Approach. It is the preference of the Agencies that Vendors and Contractors shall be selected from as broad a spectrum of providers as is practicable, and that Contracts be awarded and purchases be made consistent with the quality of services, or goods and materials required, at fair and reasonable prices. In addition, it is the preference of the Agencies to encourage the participation and utilization of MWBEs in accordance with the MWBE Directives, as set forth in Article VI of these Guidelines and to encourage the participation of New York State Business Enterprises. Contacts shall be regulated in accordance with Lobbying Law Directives, and as set forth in Article VII of these Guidelines.

b. Selection on a Competitive Basis. It is the preference of the Agencies that Procurement, unless otherwise prescribed, be by competitive process, and that the process be as competitive as is possible. It is the policy of the Agencies that the selection of Procurement Contractors and Vendors be exempt from the competitive process only under certain exceptional circumstances as specified herein. As appropriate, the following competitive processes may be used in order to select Contractors and Vendors:

i. Competitive Lowest Price Bid for Goods or Materials. Solicitation of at least three price bids, one of which shall be from a MWBE, if feasible, for specified Procurement, other than Personal Services (goods and materials), to be awarded to qualifying Contractors or Vendors primarily on the basis of the lowest price. Competitive bids are to be solicited when the goods and materials required are of a standardized nature that may reasonably be made the subject of specifications to which bidders respond with required qualification data and price offers.

ii. Invitation for Bid ("IFB") process for Contracts Not Expected to Exceed $50,000. If a Senior Officer determines it is appropriate, an Agency may commence an informal Procurement process by soliciting statements of qualifications, proposals and, as appropriate, price bids from at least three prospective Contractors or Vendors, one of which shall be from a MWBE, if feasible, for Procurements not expected to exceed $50,000. Procurements valued at $25,000 or more must include MWBE participation goals. Award of a Contract within this method is made on the basis of an evaluation of the characteristics, quality and cost of such statements of qualifications and proposals.

iii. RFP (without negotiation). Solicitation of specific proposals which indicate an understanding of identified financial, organizational, logistical and technical requirements and/or problems, and which detail elements of

performance, including techniques and procedures as well as prices. Award of a Contract within this method is made on the basis of a formal evaluation of the characteristics, quality and cost of such proposals.

iv. RFP with Competitive Negotiations. Solicitation of qualifying potential Contractors or Vendors who have submitted materials pursuant to: (a) an RFP to further negotiate their proposals; (b) an RFP which stated that the Agency might further negotiate proposals; or (c) a determination by the Agency, subsequent to issuing an RFP, that further negotiation is appropriate or that the RFP should be revised to permit further negotiations. Further negotiation may include, but shall not be limited to, prices for Contract award on the basis of a formal evaluation of the characteristics, quality and cost of such proposals.

v. Pre-qualified Panel. The Agency may select Contractors for any Procurement activity from a qualified panel of potential Contractors, selected on the basis of an RFP or RFQ. The purpose of using a pre-qualified panel is to allow aspects of the competitive process to be addressed early in a phased selection process. This is so that Vendors and Contractors on the panel can be subsequently engaged on an accelerated or more efficient basis. In accordance therewith, panels shall be administered so that the Contract award is based upon a formal evaluation of qualifications and/or the subsequent negotiation of fair and reasonable compensation for specific services actually required. At such time as a panel is created, the Agency shall document for the Procurement Record with respect to that panel, which aspects of the competitive process (a) are being addressed prior to the panel's establishment and (b) shall be fulfilled subsequent to the establishment of the panel. The award of assignments to respective Vendors on a panel need not be based purely on competitive selection processes, to the extent that assignments based on distribution of workload, distribution of risk, and/or a policy of rotation intended to benefit the Agency are reasonable. Panels shall be identified to the Agency Procurement Contract Officer, reported in the Annual Procurement Contract Report, and reviewed and recertified annually to the Agencies' Procurement Contract Officer by the Agency Officer in charge of administering the panel.

vi. State Contract. Any Agency can enter into Contracts with eligible Vendors, where the State has engaged in a competitive process to create eligible Vendors; and an Agency can enter into a Contract with those Vendors for such services upon comparable terms, provided a Senior Officer determines this is appropriate.

vii. GSA Contract (or contract of the U.S. General Services Administration or US GSA). Any Agency can enter into Contracts with eligible Vendors, where the US GSA has engaged in a competitive process to create eligible

Vendors; and an Agency can enter into a Contract with those Vendors for such services upon comparable terms, provided a Senior Officer determines this is appropriate.

viii. Affiliated Agency Contract or Affiliated Agency Competitive Selection Process. Whenever an Affiliated Agency has completed a competitive process to create a list of Vendors eligible for the provision of goods or services, any other Agency can enter into a Contract with those Vendors for such services, if for the same services and upon comparable terms. Whenever an Affiliated Agency has engaged in a competitive process, and that process has not yet created a list of eligible Vendors, and an Agency can complete that process to create eligible Vendors, the Agency may do so in order to enter into a Contract with those Vendors for such services for which Vendors are ultimately determined eligible to provide, provided a Senior Officer determines this is appropriate.

c. Selection on a Non- Competitive Basis. The competitive processes established above in this Article shall not apply or are hereby waived in the following situations:

i. Preferred Source Providers. Every Agency Procurement shall be conducted in accordance with §162 of the State Finance Law, which, in certain instances, affords Preferred Source status to certain Contractors and Vendors to advance special social and economic goals and precludes the use of competitive selection procedures.

ii. Existing Centralized State Contracts. Any Agency may carry out a Procurement using existing centralized State Contracts pursuant to which the Agencies are eligible to procure goods and/or services, according to the State negotiated terms.

iii. Existing GSA Contracts. Any Agency may carry out a Procurement using existing centralized GSA Contracts pursuant to which the Agencies are eligible to procure goods and/or services, according to the State negotiated terms.

iv. Emergency. When an emergency requires that selection of a Contractor or Vendor cannot be delayed long enough for the use of a competitive procedure because immediate action is required, the President, and a Senior Officer designated by the President, may award a Contract, as the President and the designated Senior Officer deems appropriate, without competitive procedures or following less than the full complement of competitive procedures which would otherwise be required. Circumstances requiring such immediate action must be significant, such as those affecting property of the Agency(s), life, health or safety. Emergencies should only arise out

of accident or other unforeseen occurrence. The circumstances under which such Contract was entered into shall be set forth and maintained in the Procurement Record. Such record should, among other things, address whether such circumstances should have been foreseen. Consideration should always be given to whether a Contract entered into on an emergency basis can be supplanted by a subsequent Contract entered into through a competitive process. If the Emergency Contract is exceeds $100,000 in amount or one year in duration, the Contract must be taken to the next Agency Governance Meeting or Board Meeting for approval. The emergency nature of the Contract must be shown in the Quarterly Procurement Report covering the period in which the Contract was executed.

v. Sole Source Contract. Sole Source Contracts may be awarded without competitive procedures as a result of a determination by the Agency, approved in writing by the President and a Senior Officer designated by the President. For purposes of determining whether a Contract is a Sole Source Contract, the Agency shall identify if there is only one source for a particular service or good, such that competitive procedures are rendered futile.

vi. Single Source Contract. Single Source Contracts may be awarded without competitive procedures as a result of a determination by the Agency, approved in writing by the President and a Senior Officer designated by the President. Competitive procedures may be considered futile for purposes of determining whether a Contract is a Single Source Contract, if, among other things, the submission of bids or proposals by other Contractors or Vendors would not afford them a meaningful likelihood of selection. Any time the Agency considers it appropriate, the Agency may conclusively reach such a determination by relying upon the determination of the State or an Affiliated Agency that a Vendor is uniquely qualified, if the Agency seeks to enter into a Contract or contract with those Vendors for such services upon comparable terms.

vii. Inconsistent Industry Selection Process with Competitive Price Assurance. Where practice in an industry does not normally involve competitive submission of proposals and where it is determined that it would be cost-effective to award such Contract or otherwise select from among possible Vendors in some other manner, provided steps are taken to assure that the cost is comparable to that generally charged for similar goods or services, and that the Procurement Record contains written evidence of these steps, a Contract may be awarded without competitive process.

viii. Competitive Proposal Exception for Contracts Not Expected to Exceed $5,000. In the case of Contracts not expected to exceed $5,000, if it is determined that soliciting at least three Vendors is not appropriate, such Contract may be awarded without soliciting competitive proposals, if a clear scope of goods or services is utilized and due consideration is given to the market value of such goods or services.

ix. Option to Waive Competition for Certain Kinds of Contracts. Notwithstanding any other provision of law requiring competition, the competitive process may be waived to include Contracts for the purchase of goods or services from Small Businesses or certified MWBEs, or goods or technology that are recycled or remanufactured, in amounts at or below $200,000.

ARTICLE V

5. STANDARDS AND PRACTICES FOR COMPETITIVE SELECTION OF CONTRACTORS.

It is the policy of the Agencies to seek out the maximum practicable number of qualified Vendors interested in offering their goods or services to the Agencies and to establish certain minimum standards for their selection. The following standards shall apply:

a. Advertisement Requirements for Competitive Source Selection Methods. The solicitation of bids, proposals, offers or submissions of qualification data from Vendors with respect to Contracts shall be made by the Agencies in a manner determined by the President, or a Senior Officer designated by the President, to be the most cost effective for providing reasonable competition for the Agencies' Contracts. This may include advertisement in appropriate newspapers or trade journals, direct mailings to firms considered qualified and such other outreach mechanisms as are consistent with the policy of these Guidelines, including outreach efforts to MWBEs in accordance with the provisions of Article VI herein and the Agencies' MWBE Goal Plan ("MWBE Goal Plan"), and including providing information with respect thereto via the Agencies' website. In addition, in the case of Procurement Contracts in the actual or estimated amount of $50,000 or more, and in the establishment of pre-qualified panels, as of January 1, 1990, the Agencies shall advertise all such opportunities in the "New York State Contract Reporter" or "Reporter," the official weekly listing of bidding opportunities for the State published by the New York State Department of Economic Development, and any other publication as required by State law, unless the Contract is determined to be a Critical Contract. Already advertised Contract opportunities being re-bid or re-solicited within 45 business days after proposals were originally due, pursuant to publication in the "Reporter," are not required to be published again. Contracts determined to be Single Source Contracts need not be advertised in the "Reporter,"

but in many instances such advertising should be done to assist in the determination that a Contract is a Single Source Contract.

b. Minimum of Three Prospective Vendors for Competitively Bid Procurement Contracts. For all Procurement Contracts required to be selected on a competitive basis, the Agency shall solicit statements of qualifications, proposals and, as appropriate, price bids from at least three prospective Vendors. In the case of Contracts not expected to exceed $5,000, the Agency shall solicit prices, statements of qualifications and proposals from at least three prospective Vendors unless the Agency affirmatively determines it is not appropriate. The Agency shall include at least one MWBE, if feasible, in all Procurement processes for contracts not expected to exceed $25,000.

c. Requirements for Agency Bid Documents. Except for Procurement Contracts for which the Agency(s) would be expending funds received from another state, the Agencies shall include in all bid documents provided to potential bidders a statement that information concerning the availability of State subcontractors and suppliers is available from the State Department of Economic Development, which shall include the directory of certified MWBEs, and an affirmative statement that it is the policy of the Agencies to encourage the use of State subcontractors and suppliers, and to promote the participation of MWBEs, where possible, in the Procurement of goods and services. Additional requirements for Agency Bid Documents relating to the Agencies policies to promote the participation of New York State Business Enterprises is more fully described in Article VIII.8.a. of these Guidelines.

The Agencies shall also require that solicitation documents set forth the expected degree of MWBE participation based, in part, on (1) the potential subcontract opportunities available in the prime Procurement Contract; and (2) the availability of MWBEs to respond competitively to the potential subcontract opportunities.

i. Required Bid Notices to Professional and other Organizations serving MWBEs. In an effort to award Procurement Contracts to MWBEs in compliance with the Agencies' MWBE Procurement goals, as set forth in the Agencies' MWBE Goal Plan, the Agencies shall provide notice of Governmental Procurements, along with any other notice required by law, to professional and other organizations serving MWBEs that provide the types of services procured by the Agencies. Professional and other organizations can include, but is not limited to, social networking websites, magazines, and/or newspapers catering to a majority of MBE and/or WBE clientele. For the purposes of these Procurement efforts and for other Agency Procurement efforts, the Agencies shall establish procedures for maintaining list(s) of qualified MWBEs. In addition, the Agencies shall establish procedures for maintaining lists to include media outlets and other organizations serving MWBEs. The Agencies will provide such list(s) to

Contractors in the Procurement process, requiring that potential Contractors shall consult and contact appropriate MWBEs to solicit their bids, in accordance with Article VI of these Guidelines.

ii. Lobbying Law Directives. All Agency solicitations for proposals, bid documents and specifications for Procurement Contracts shall incorporate a summary of the Agencies' policies and prohibitions regarding Contacts under the Lobbying Law, pursuant to the Lobbying Law Directives as described in Article VII of these Guidelines and in the Agencies' Lobbying Reform Law Policies.

iii. Promoted Contracts. All Agency solicitations shall follow the directives for the participation of promoted Contracts, as is more fully described in Article VIII of these Guidelines.

d. Criteria for Selection. Procurement Contracts shall be entered into based on an evaluation of all proposals or bids received, considering all relevant factors, including, but not limited to terms, costs, goods or services offered, experience and capabilities, financial security, reputation in the field, staff availability, personnel expected to be involved and possible conflicts of interest. Where a Senior Officer determines that there is a suitably neutral and reliable publisher or publicly available industry ratings or evaluations of products or firm qualifications, such ratings or evaluations may be allowed to substitute, in whole or in part, as determined to be appropriate, for required submission of qualifications where it is determined that requiring independent submission of such from Vendors would be duplicative. The criterion for selection are not intended to supersede the fact that the Agencies have certain promoted Contracts and certain prohibited Contracts and Contracts subject to limitations, as set forth in Article VIII of these Guidelines.

e. Compliance with Additional Procedures for Requests for Proposals and Requests for Qualifications. The Agencies shall also comply with any additional procedures issued by it, from time to time, with respect to the conduct of Requests For Proposals and Requests For Qualifications.

ARTICLE VI.

6. MWBE PROGRAM ESTABLISHING PROCEDURES FOR MWBE PARTICIPATION AND UTILIZATION IN AGENCY PROCUREMENTS

The requirements of the Agencies' MWBE Program, in accordance with the provisions of §2879 of the Public Authorities Law, Article 15-A, and the directives of the Governor, and as set forth in this Article, shall be referred to as the Agencies' MWBE Directives. The Agencies shall work to increase MWBE participation and utilization through certain Procurement procedures, as described in the Agencies' consolidated Annual MWBE Goal

Plan and these Guidelines, and incorporated in the Agencies' MWBE Program. These procedures shall include (i) the appointment of a Designated MWBE Officer(s) by the President to oversee the Agencies' MWBE Program, as described more fully in Article XI of these Guidelines, (ii) the establishment of appropriate goals for participation by MWBEs in Procurement Contracts awarded by the Agencies and (iii) the utilization of MWBEs as subcontractors and suppliers by Contractors having Procurement Contracts with the Agencies.

The Agencies have established numerical participation target goals identified in their MWBE Goal Plan based on the findings of the Disparity Study and directives from the Governor. For each new Contract, the Agencies shall gauge the appropriateness of the Procurement goals by considering the availability of Contractors to perform the Contract's anticipated scope of services, weighted by the extent those scope of services represent the total Contract price.

In the event the projected goals cannot be achieved, the Agencies will provide adequate documentation of a good faith effort to meet these goals in its submission of its Annual MWBE Goal Plan.

The Agencies, for the purposes of reaching these goals, shall establish procedures for maintaining list(s) of qualified and certified MWBEs, that have expressed an interest in doing business with the Agencies, and ensuring that such lists are updated periodically, but no less than once annually, and include a firm profile that will, if possible, describe the firm's history, key personnel and core work areas. The Agencies shall also consult the list(s) of certified MWBEs maintained by the Department of Economic Development, pursuant to Article 15-A.

The Agencies shall update these MWBE participation goals annually in an effort to (1) obtain the maximum feasible participation of MWBEs in Agency Contracts, (2) evaluate each Contract to determine the appropriateness of the goal, and (3) examine Agency goals to determine if their implementation will duplicate or conflict with any federal law. The Agencies shall waive the applicability of these goals to the extent of such duplication or conflict. These MWBE goals are subject to change by industry and region pursuant to findings contained within the Disparity Study of 2010, future Disparity Studies by the ESDC and Agency findings evidencing relevant industry and region-specific availability of certified MWBEs

b. Requirements to Conduct Procurements to Ensure Maximum Participation and Utilization by MWBEs. To enable the Agencies to achieve the maximum feasible portion of the Agencies' goals established in their MWBE Goal Plan, that eliminates barriers to participation by MWBEs in the Agencies' Procurements, Agency MWBE Directives shall include:

i. Measures and Procedures. The Agency shall establish measures and procedures to: (a) ensure that certified MWBEs shall be given the

opportunity for maximum feasible participation in the performance of Agency Contracts; and (b) to assist in the Agencies' identification of those Agency Contracts for which certified MWBEs may best bid to actively and affirmatively promote and assist their participation in the performance of Agency Contracts so as to facilitate the Agencies' achievement of the maximum feasible portion of the goals for Agency Contracts to such businesses. The Agencies' measures and procedures shall include the following MWBE Directives:

(1) For competitive Procurements requiring a minimum of three bids, quotes must be obtained from at least one MBE or WBE. If not feasible, the reasons for not doing so shall be documented in writing and included in the Procurement record. Agency staff issuing solicitations will comply with this requirement whenever MWBEs are available for goods or services being procured;

(2) Encouraging Contractors to consider partnering with MWBEs, if feasible; and practicable; and

(3) For non-competitive Procurements, Agency staff issuing the solicitation shall strongly consider using a certified MWBE, if available, and if the MWBE meets the needs of the Agency.

ii. Designation of the Division of Minority and Women-Owned Business Development ("Division of MWBEs"). The Agencies shall designate the Division of MWBEs to certify and decertify MWBEs for the Agencies.

iii. Expected Degree of MWBE Participation. The Agencies shall require that each Contract solicitation set forth the expected degree of MWBE participation, as set forth in Article VI of these Guidelines.:

iv. Current List of MWBEs. The Agencies shall provide a current list of certified MWBEs to each prospective Contractor, as set forth in Article VI of these Guidelines.

v. Joint Ventures and MWBE Participation Goals. The MBE portion or the WBE portion of joint ventures shall count toward meeting the Agencies' MWBE participation goals. A firm owned by a Minority Group Member who is also a woman may be certified as a MBE, a WBE, or both, and may be counted towards either a MBE goal or a WBE goal, in regard to any Contract or any goal, set by the Agencies, but such participation may not be counted towards both such goals. Such an enterprise's participation in a Contract may not be divided between the MBE goal and the WBE goal.

vi. Waiver of Obligations of Contractor relating to MWBE Participation. The Agencies may waive obligations of the Contractor relating to MWBE participation after a showing of good faith effort to comply with the MWBE participation requirements, pursuant Chapter 174 and Chapter 175 of the laws of 2010 that amend §2879 of the Public Authorities Law and Article 15-A, §313, subdivision six, respectively, both enacted on July 15, 2010.

vii. Verification of MWBE Participation. The Agencies shall verify that MWBEs listed in a successful bid are actually participating to the extent listed in the project for which the bid was submitted, including verification that the procured primary Contractors are truly providing for the participation of MWBEs as described in the Procurement Contract. Participation of MWBEs shall be verified by (i) electronically monitoring and tracking the utilization, prompt payment and unauthorized substitutions of MWBE subcontractors and (ii) the provision of the following data, by the Contractor to the Agency, for each MWBE subcontract:

(1) name(s) of the MWBE subcontractor;

(2) total dollar amount of the MWBE's participation;

(3) scope of work of the MWBE subcontractor; and

(4) dates of participation.

viii. In the implementation of this section of this Article, the Agencies shall:

(1). consider, where practicable, the severability of construction projects and other bundled Contracts; however, unbundling must be conducted within the constraints of the Agencies' need to ensure efficiency and limit costs;

(2) implement its MWBE Program to enable the Agencies to evaluate each Contract to determine the appropriateness of the goal, as set forth in this Article, which shall include:

(a) increasing MWBE outreach and communication efforts by use of the internet to facilitate access to information and build relationships between MWBEs and potential partners by:

(i) Posting a list on the Agencies' website of Agency contracting staff; and

(ii) Requiring Agency staff to include certified MWBEs in the solicitation lists for Procurements not expected to exceed $25,000;

(b) consider the number and types of MWBEs located in the region in which the Agency Contract is to be performed;

(c) consider the total dollar value of the Agency Contract, the scope of work to be performed, and the project size and term;

(d) consider whether the Contractor has advertised in general circulation media, trade association publications, and minority-focus and women-focus media and, in such event,

(i) whether or not certified MWBEs that have been solicited by the Contractor exhibited interest in submitting proposals for a particular project by attending a pre-bid conference; and

(ii) whether certified MWBEs which have been solicited by the Contractor have responded in a timely fashion to the Contractor's solicitations for timely competitive bid quotations prior to the Agency's bid date;

(e) consider whether there has been written notification to appropriate certified MWBEs that appear in the directory of certified MWBEs, and

(f) consider whether the Contractor can reasonably structure the amount of work to be performed under subcontracts in order to increase the likelihood of participation by certified MWBEs.

3. consider compliance with the requirements of any federal law concerning opportunities for MWBEs which effectuates the purpose of this Article; and

4. consult the most recent disparity study, pursuant to Article 15-A.

ARTICLE VII

7. REQUIRED DESIGNATIONS AND DISCLOSURES UNDER LOBBYING LAW DIRECTIVES IN THE SELECTION OF PROCUREMENT VENDORS AND CONTRACTORS.

Contacts shall be regulated in accordance with Lobbying Law Directives as follows:

For any Governmental Procurement or Contract made subject to the Lobbing Law, the Agency shall notify every potential Contractor or Vendor that the Agency has a Designated Contact Officer(s) who is the only Agency representative(s) permitted to receive Designated Contacts from the Contractors or Vendors, or their representatives, during the Restricted Period with respect to such Governmental Procurement *(effective June 10, 2010, the Agencies have designated, the Vice President and Deputy Counsel or when appropriate, an Agency Senior Officer with technical knowledge of the Governmental Procurement, as the Designated Contact Officer(s) for all Governmental Procurement for which such appointment is required).* A Contractor or Vendor is restricted from making Contacts with the Agency(s) from the date of any public announcement, public notice, or public communication by any Agency to any potential Vendor of a determination of a need for a Governmental Procurement through final award and approval of the Procurement Contract by the Agency to anyone other than the Designated Contact Officer(s) with respect to the Governmental Procurement unless such communication is any one of the following Permissible Subject Matter Communications:

(a) the submission of written proposals in response to a Request for Proposals, invitation for bids or any other method for soliciting a response from Offerers intending to result in a Procurement Contract;

(b) the submission of written questions by a method set forth in a RFP, or invitation for bids, or any other method for soliciting a response from Offerers intending to result in a Procurement Contract, when all written questions and responses are to be disseminated to all Offerers who have expressed an interest in the RFP, or invitation for bids, or any other method for soliciting a response from Offerers intending to result in a Procurement Contract;

(c) participation in a demonstration, conference or other means for exchange of information in a setting open to all potential bidders provided for in a RFP, invitation for bids, or any other method for soliciting a response from Offerers intending to result in a Procurement Contract;

(d) complaints by an Offerer regarding the failure of the person or persons designated by the Agency pursuant to this section to respond in a timely manner to authorized Offerer Contacts, made in writing to the office of general counsel of the Agency, provided that any such written complaints shall become a part of the Procurement Record;

(e) Offerers who have been tentatively awarded a Contract and are engaged in communications with the Agency solely for the purpose of negotiating the terms of the Procurement Contract after being notified of tentative award;

(f) communications between designated staff of the Agency and an Offerer to request the review of a Procurement Contract award;

(g) communications by Offerers in protests, appeals or other review proceedings (including the apparent successful bidder and his or her representatives) before the Agency conducting the Governmental Procurement seeking a final administrative determination, or in a subsequent judicial proceeding; or

(h) communications between Offerers and governmental entities that solely address the determination of responsibility entity of an Offerer.

Unless the communication(s) is any one of the above Permissible Subject Matter Communications, the Vice President and Deputy Counsel or the designated Senior Officer are the only representative(s) of the Agencies permitted to receive Contacts from bidders, potential Contractors or Vendors, or their representatives, during the Restricted Period with respect to an Agency Governmental Procurement.

All Agency solicitations for proposals, bid documents and specifications for Procurement Contracts shall incorporate a summary of the Agencies' policies and prohibitions regarding Contacts under the Lobbying Law. All potential Contractors or Vendors must complete and return to the Agency with their proposal or bid response to an Agency solicitation, the *Affirmation of Understanding of and Agreement*, and *Potential Contractor or Vendor Disclosure of Prior Non-Responsibility Determinations*, Lobbying Law Forms 1 and 2, respectively. Form 1 is a written affirmation of a Contractor's or Vendor's understanding of the Governmental Procurement lobbying procedures of the Agencies and Form 2 requires the potential Contractor or Vendor to certify that all information provided to the Agencies with respect to the Lobbying Law is complete, true and accurate. Prior to awarding a Procurement Contract to which these provisions apply, the Agency shall make a final Determination of Responsibility. All solicitations for proposals by the Agency shall require that potential Contractors or Vendors disclose to the Agency any findings of non-responsibility against them within the previous four years by any other governmental agency and must contain certifications that the same are complete, true and accurate.

For Contractors or Vendors who fail to comply with the Agencies' Lobbying Law Directives, refer to Article VIII of these Guidelines and the Agencies' Lobbying Reform Law Policies.

ARTICLE VIII

8. PROMOTED AND PROHIBITED CONTRACTS & CONTRACTS SUBJECT TO OTHER LIMITATIONS

Notwithstanding the general practices of the Agencies with respect to selection of Contractors and Vendors and adherence to competitive practices, as set forth in in these Guidelines, the following shall apply or be given weight in order that certain Contracts, or the award thereof, may be promoted, prohibited or subject to certain limitations.

a. Promoted Contracts. It is the policy of the Agency to promote certain contracts as follows:

i. Minority- and Women-Owned Business Enterprises. It is the policy of the Agencies to promote and encourage the use of MWBEs and New York State subcontractors and suppliers in competition for Procurement Contracts. Furthermore, for Procurements anticipated to be in the amount of $25,000 or less, if the performance of any Contract requires or permits the use of a subcontractor, it is preference of the Agencies to encourage the participation of MWBEs, as set forth in these Guidelines. The Agencies encourage bidders to include demonstrations that their selection promotes the use of MWBEs in bid responses, for example, through proposals for joint ventures with MWBEs. Procurements exceeding $25,000 must include MWBE participation goals in solicitation documents.

In order to promote and assist participation by, and facilitate the awarding of a fair share of Contracts to, MWBEs, the Agencies have identified the following services as those areas or types of Contracts for which MWBEs may best bid: Archival Off-Site Services; Audit/Accounting Services: Appraisal Services; Architectural/Engineering Services; Equipment Maintenance Services; Information Technology Consulting/Services; Investment Banking Services; Legal Services; Management Consulting Services; and Printing Services; and Temporary Employee Services.

ii. New York State Business Enterprises and New York State Residents. It is the goal of the Agencies to promote the participation of New York State Business Enterprises and New York State residents in Procurement Contracts. Accordingly, the following procedure shall apply:

(1) The Agencies shall collect and consult the specifications of NYSBEs in developing specifications for any Procurement Contract for the purchase of goods where possible, practicable, feasible and consistent with open bidding, except for Procurement Contracts for which the Agency would be expending funds received from another state. The Agencies shall, where feasible, make use of the stock item specification forms prepared by the State Commissioner of General Services, and where necessary, consult with the State Commissioner of the Office of General Services, in developing such specifications and make such determinations;

(2) The Agencies shall, with the cooperation of the Department of Economic Development and through cooperative efforts with Contractors and Vendors, (i) notify NYSBEs of opportunities to participate as subcontractors and suppliers on Agency Procurement Contracts in amounts estimated to be equal to or greater than $1,000,000 and (ii) promulgate procedures which will assure compliance by Contractors and Vendors with such notification. Once awarded the Contract, such Contractors shall document their efforts to encourage the participation of NYSBEs as suppliers and subcontractors on Procurement Contracts equal to or greater than $1,000,000, pursuant to §2879 of the Public Authorities Law;

(3) The Agencies shall, with the cooperation of the Community Services Division of the Department of Labor and through cooperative efforts with Contractors and Vendors, notify New York State residents of employment opportunities arising out of Procurement Contracts let by the Agencies in an amount estimated to be equal to or greater than $1,000,000. Contractors shall, as supplementary materials to their bids, document their efforts to provide such notification.

(4) The Agency shall include in all bid documents, (i) a statement notifying potential bidders located in foreign countries that the Agency may assign or otherwise transfer offset credits created by the Procurement Contract to third parties located in New York State and (ii) a provision for the assignment or other form of transfer of offset credits created by such Procurement Contracts, directly or indirectly, to third parties located in the State. Such assignment or other form of transfer shall be in accordance with the written directions of the Commissioner of Economic Development. The Agency shall cooperate with the Department of Economic Development in efforts to get foreign countries to recognize offset credits assigned or transferred to third parties located in New York State created by the Agency's Procurement Contracts.

iii. Businesses with Anti-discriminatory Employment Practices. It is the Agencies' policy to have procedures in place that will ensure, to the extent of the Agencies' ability, that Contractors and Vendors comply with the federal Equal Employment Opportunity Act of 1972, as amended.

For any Contractor or Vendor with fifteen or more employees responding to an RFP, RFQ, IFB or other type of invitation for bids, included with such response must be a statement disclosing whether the Contractor or Vendor is currently operating under or negotiating, or has at some time in the last five years operated under or negotiated, a conciliation agreement with the Equal Employment Opportunity Commission ("EEOC"); has been, at some time in the last five years, or is currently the subject of a civil action brought against it by the EEOC; has been, at some time in the last five years, or is currently the subject of an action brought against it by the EEOC for permanent, temporary or preliminary relief; has operated, at some time in the last five years, or is currently operating under an order of a court to take affirmative action as a result of a civil action brought against it by EEOC.

The Agencies shall state in each Contract entered into with a Contractor or Vendor with fifteen or more employees, that it is an unlawful employment practice for such Contractor or Vendor to fail or refuse to hire or to discharge any individual, or otherwise to discriminate against any individual with respect to the individual's compensation, terms, conditions, or privileges of employment, or to limit, segregate, or classify employees or applicants for employment in any way which would deprive or tend to deprive any individual of employment opportunities or otherwise adversely affect an individual's status as an employee, because of such individual's race, color, religion, sex, or national origin, or because an individual opposed any practice made unlawful by Title VII of the Civil Rights Act of 1964, as amended, or because he or she made a charge, testified, assisted, or participated in any manner in an investigation, proceeding, or hearing under that Title; and that it shall be an unlawful employment practice to print or publish or cause to be printed or published any notice or advertisement relating to employment indicating any preference, limitation, specification, or discrimination on the basis of race, color, religion, sex, or national origin.

The Agencies shall state in each Contract entered into with a Contractor or Vendor with fifteen or more employees, that such Contractor or Vendor shall (1) make and keep such records relevant to the determinations of whether unlawful employment practices have been or are being committed, (2) preserve such records for such periods as the EEOC shall prescribe by regulation, and (3) make such reports therefrom as the EEOC shall prescribe by regulation or order.

The Agencies shall state in each Contract entered into with a Contractor or Vendor with fifteen or more employees, that such Contractor or Vendor must post and keep posted in conspicuous places upon its premises where notices to employees and applicants for employment are customarily posted a notice prepared or approved by the EEOC setting forth excerpts from, or summaries of, pertinent provisions of Title VII of the Civil Rights Act of 1964, as amended, and information pertinent to the filing of a complaint.

The Agencies' goal is to award Contracts to those Contractors and Vendors who have evidenced compliance with the laws of the State prohibiting discrimination in employment. The Agencies recognize that this goal may be achieved by awarding Procurement Contracts to those firms who have demonstrated that they do not discriminate with respect to employment.

For all Personal Services Contracts over $25,000, and for all Contracts for goods and materials over $100,000, bidders shall submit to the Agencies data regarding the race and gender of their partners, members and employees by job category. Bidders whose Affirmative Action plans are not found acceptable to the Agencies shall be rejected.

b. Prohibited Contracts and Contracts Permitted Subject to Specified Exceptions or Limitations. It is the policy of the Agencies that certain Contracts be prohibited or permitted only subject to certain exceptions or limitations as follows.

i. Special Criteria Rule for Evaluation of Architects, Engineers and Surveyors. For purposes of this subparagraph, the term "Professional Firm" shall be defined as any individual or sole proprietorship, partnership, corporation, association, or other legal entity permitted by law to practice the professions of architecture, engineering, or surveying. The Agency shall not refuse to negotiate with a Professional Firm solely because the ratio of the "allowable indirect costs" to direct labor costs or the hourly rate in any labor category of the Professional Firm exceeds a limitation generally set by the Agency in the determination of the reasonableness of the estimated cost of services to be rendered by the Professional Firm, but rather the Agency should also consider the reasonableness of cost based on the total estimated cost of the service of the Professional Firm which should include, among other things, all the direct labor costs of the Professional Firm for such services plus all "allowable indirect costs," other direct costs, and negotiated profit of the Professional Firm. For purposes of this subparagraph, "allowable indirect costs" of a Professional Firm are defined as those costs generally associated with overhead which cannot be specifically identified with a single project or Contract and are considered reasonable and allowable under specific Contract or allowability limits.

ii. Contracts with Businesses with Operations in Northern Ireland. In accordance with the MacBride Fair Employment Principles (Chapter 807 of the Laws of 1992), the Agencies shall not enter into Procurement Contracts with Vendors who have operations in Northern Ireland unless the Agencies receive contractual assurance that the Contractor shall take lawful steps in good faith to conduct any business operations in Northern Ireland in accordance with the MacBride Fair Employment Principles (as described in §165 of the New York State Finance Law), and agrees to permit independent monitoring of its compliance with such principles.

iii. Contracts with Foreign Business Enterprise. The Agencies shall notify the New York State Commissioner of Economic Development ("Commissioner") of the award of a Procurement Contract for the purchase of goods from a Foreign Business Enterprise in an amount equal to or greater than $1,000,000, simultaneously with notifying the successful bidder therefor. The Agencies shall not thereafter enter into a Procurement Contract for said goods until at least 15 days have elapsed, except for Procurement Contracts awarded as Emergency Selection Contracts or where the Commissioner waives the provisions of this section. The notification to the Commissioner shall include the name, address and telephone and facsimile numbers of the Foreign Business Enterprise, a brief description of the goods or services to be obtained pursuant to the proposed Procurement Contract, the amount of the proposed Procurement Contract, the term of the proposed Procurement Contract, and the name of the individual at the Foreign Business Enterprise or acting on behalf of the same who is principally responsible for the proposed Procurement Contract. *(The purpose of such notification is solely to allow the Commissioner to use the information to provide notification to NYSBEs of opportunities to participate as subcontractors and suppliers on such Procurement Contracts; to promote and encourage the location and development of new business in the State; to assist NYSBEs in obtaining offset credits from foreign countries; and to otherwise investigate, study and undertake means of promoting and encouraging the prosperous development and protection of the legitimate interest and welfare of NYSBEs, industry and commerce.)*

iv. Contracts with Discriminatory Jurisdiction Business Enterprises. The Agencies shall not, except as hereinafter provided, solicit bids from, or enter into a Procurement Contract with, a Foreign Business Enterprise which has its principal place of business in a jurisdiction that discriminates against New York businesses, as contained on the list prepared by the Commissioner pursuant to §165(6)(b) of the State Finance Law. *(Currently, as of the date of these revisions of these Guidelines, the states of Alaska, Hawaii, Louisiana, South Carolina, West Virginia and Wyoming have discriminatory policies against New York State bidders.)* The Agencies may waive this section only when the President, or a Senior Officer

designated by the President, determines in writing that it is in the best interest of the State to do so.

v. Vendors Failing to Comply with Lobbying Law Directives. The Agencies shall not enter into Contracts with Contractors or Vendors when:

(1) proposed Vendor or Contractor has failed to timely disclose accurate and complete information or otherwise cooperate with the Agencies in administering the Lobbying Law Directives; or

(2) there has been a finding that an Offerer has knowingly and willfully violated the provisions set forth in Article VII . of these Guidelines and the Agencies' Lobbying Reform Law Policies. This finding shall also result in a determination of non-responsibility against the Offerer. *(Violations of the Lobbying Law are expected to typically involve Contacts made to persons at the Agencies other than the Designated Contact Officer(s)).*

The Agencies shall not enter into Contracts in the case of either (1) or (2) of this subparagraph (v), section (b) of this Article, unless the Agencies determine that the award of the Procurement Contract:

(a) is necessary to protect public property or public health or safety, and
(b) that the Contractor or Vendor is the only source capable of supplying the required goods or services within the necessary time frame.

In order for the Agency determinations in (1) and (2) (a) and (b) above to be effective as exceptions, the above required findings, including a statement describing the basis of such determination by the Agency must be made a part of the Procurement Record.

Any subsequent determination of non-responsibility due to violations of the requirements of the Lobbying Law, if such determination is separated by less than four years, shall result in the proposed Vendor or Contractor being rendered ineligible to submit a proposal on or be awarded any Procurement Contract for a period of four years from the date of the second final determination of non-responsibility.

vi. Contracts with Former Agency Officers and Employees. The Agencies shall not enter into Contracts which contemplate, violate or affirmatively, by their terms, allow former Officers and Employees of the Agencies to violate §73 (8) (a) of the State Ethics Law. Specifically, and not by way of limitation, (except for employment contracts pursuant to which former Employees resume employee status to again work directly for the Agencies), the Agencies shall not enter into Contracts which provide for or

permit a former Officer or Employee of the Agencies, either as an individual contracting directly with the Agencies or as an officer or employee of a private business entity, to appear, practice, communicate or otherwise render services before the Agencies or receive compensation for any such services rendered by such former Officer or Employee on behalf of any person, firm, corporation or other entity in relation to any case, proceeding, application or transaction:

(1) with respect to which such Officer or Employee was directly concerned and in which he or she personally participated during the period of his or her service or employment, or which was under his or her active consideration or over which that Employee or Officer exercised decision-making power during the performance of his or her official duties at the Agencies, or

(2) in connection with any matter before the Agencies or its business for a period of two years after termination of such service or employment.

If the President deems it appropriate, the preceding prohibitions may be temporarily waived provided that, prior thereto, the State Ethics Commission grants an exception in accordance with the requirements of Chapter 523 of the Laws of 2004, or, for employees who left Agency employment before December 31, 1996 and otherwise qualify, a waiver has been granted pursuant to the provisions of Chapter 229 of the Laws of 1995. Notwithstanding the foregoing, the preceding prohibitions shall not apply when a former Officer or Employee carries out official duties as an elected official or employee of a federal, state or local government, or any agency of such government. Thus, a former Employee may appear, practice, communicate or render compensated services before the Agencies if he or she is acting as an elected official or employee of a federal, state or local government or one of its agencies. This exception applies only to government officials and employees; it does not apply to paid consultants of government entities.

In addition, in determining whether or not to enter into Contracts with respect to which any former Officer or Employee of the Agency plays a role, and with respect to the ethical administration thereof, the Agencies shall give due consideration to whether the execution or administration of the Contract raises an appearance of impropriety.

The Agencies shall, as it deems appropriate, include provisions in its Contracts to effect the purposes of this section.

ARTICLE IX

9. GENERAL CONTRACT PROVISIONS AND CONTINUING EVALUATION OF PROCUREMENT CONTRACTS IN EFFECT FOR LIMITED TERMS.

a. General Contract Provisions. The Agencies shall include general Contract provisions in its Procurement Contracts, as follows:

i. In Writing and Duly Executed. All Procurement Contracts shall be in writing and shall, at a minimum, be duly executed by an individual empowered to do so in accordance with the Agency By-Laws and, as the case may be, the provision for delegation of signing authority thereunder.

ii. Scope and Description. Procurement Contracts shall specifically provide for a scope of services indicating the nature of the work to be performed or goods to be provided, and for the time for performance, the monitoring or reviewing of that performance by personnel of the Agencies, any conditions generally applicable to Contracts with the Agency(s), any applicable provisions for insurance, and, where appropriate, any permitted use of supplies, facilities or personnel of the Agencies.

iii. Compensation and Payment Terms. Such Procurement Contracts shall also state the compensation for the goods or services, and the terms of payment including the conditions for receiving payment from the Agencies.

iv. Non-collusion. Formal Contracts shall, whenever appropriate, include Contractor Certifications that:

(1) The prices in the bid(s) or proposal(s) were arrived at independently, without collusion, consultation, communication, or agreement for the purpose of restricting competition, or as to any matter relating to such prices with any other Contractor or with any competitor.

(2) Unless otherwise required by law, the prices which have been quoted in the bid(s) or proposal(s) were not knowingly disclosed by a Contractor prior to the opening of bid submissions, directly or indirectly, to any other Contractor or to any competitor.

(3) No attempt was made or will be made by the Contractor to induce any other person, partnership or corporation to submit or not submit bid(s) or proposal(s) for the purpose of restricting competition.

v. False or Inaccurate Lobbying Law Directives Certifications. Every Governmental Procurement with an estimated annual expenditure over $15,000 shall contain:

(1) certifications that the representations required by the Lobbying Law Directives, if applicable, are complete, true and accurate, and
(2) a provision authorizing the Agency(s) to immediately terminate such Contract in the event that any certification in accordance with the provisions of the Lobbying Law Directives is found to be intentionally false or intentionally inaccurate.

vi. Prohibitions and violations in Contracts. In accordance with § 316-a of Article 15-A, Contracts shall include a provision expressly providing that any Contractor who willfully and intentionally fails to comply with the minority and women-owned participation requirements, as set forth in such Contract shall be liable to the Agencies for liquidated or other appropriate damages and shall provide for the appropriate remedies on account of such breach. If the Agencies elect to proceed against a Contractor for breach of Contract, the Agency shall be precluded from seeking enforcement pursuant to §316 of Article 15-A, provided however, that the Agency shall include a summary of all enforcement actions undertaken in its Annual MWBE Goal Plan, in accordance with subdivision three of §315 of Article 15-A and Article XII of these Guidelines.

b. Continuing Evaluation of Procurement Contracts in Effect for Limited Terms.

i. Limitation of Contract Terms. In order that the Agencies may enter into new Procurement Contracts for the Procurement covered as soon as might be desirable, Procurement Contracts should not commit the Agency(s) to continue to use Contractors for longer than is desirable to achieve the Contract objectives, such as obtaining the Contractor's commitment to perform services at a reasonable price. Unless specifically permitted by a resolution of the Agency's Members or Directors, Procurement Contracts shall be for a term not exceeding one year and shall be terminable by the Agency, at its option, without cause, within a period that is less than a year into the future.

ii. Continuing Evaluation of Procurement Contracts and Panels. Every Procurement Contract under which services are currently being performed or goods or materials provided shall be continually evaluated by a designated Officer or Employee. Such Officer or Employee shall review and approve all bills to be paid and continually evaluate the Contractor's performance. Such Officer or Employee shall continually give consideration to whether the further use of the Contractor's services and continuation of the Procurement Contract is desirable. Such consideration

shall extend to making a determination, at least annually, of when it would be most appropriate and effective to award the Procurement Contract again through a new competitive selection process such as a new Request for Proposals. A determination not to enter into a new competitive award process immediately can be supported, in part, by verification that services are still being provided at competitive rates, but such verification shall not be determinative of whether a new competitive process should commence. Part of the required annual review and recertification to the Agencies' Procurement Contract Officer of Agency panels shall be a consideration of whether it would be appropriate and effective to renew the competitive selection process for Procurement Contracts with firms on the panels, including, but not limited to, doing so through the issuance of a new Request for Qualifications to reestablish the panel. Any determination not to enter into a new competitive award process, as a result of which a Contract would exceed a projected five years without a new competitive award process being conducted, shall require the affirmative concurrence of each Agency's Governance Committee included in a resolution adopted by each Agency's Governance Committee, as required by Article X of these Guidelines. Such affirmative concurrence shall not be required in relation to Single Source Contracts, Sole Source Contracts, existing State Contracts or existing GSA Contracts.

ARTICLE X

10. REQUIRED AGENCY APPROVALS

a. Directors' or Members' and/or Governance Committees' Approval. All Contracts where compensation is expected to be in an amount of $100,000 or more, as well as any Contracts involving services to be provided in excess of one year, shall require initial approval of the Directors or Members of each Agency's Governance Committee or the Agency's Members or Directors. Unless specifically permitted by a resolution of the Agency's Governance Committee or the Members or Directors, Procurement Contracts shall be for a term not exceeding one year and shall be terminable by the Agency(s), at its option, without cause, within a period that is less than a year into the future. The President, or a Senior Officer designated by the President, may submit other Contracts as he or she deems appropriate to the Members or Directors for their consideration and approval.

b. Directors' or Members' and/or Governance Committees' Annual Review. The Directors and Members shall, at least annually, review any Contract lasting more than a year, each January, as part of the approval of the Annual Report on Procurement Contracts. The Governance Committees will annually review Contracts bundled with similar like goods and/or services. Contracts considered as lasting for more than a year for this purpose shall include Contracts where the

Contract itself, by virtue of its stated terms, has a period of longer than a year, and in addition, shall include Contracts where, by virtue of renewal or execution of new or subsequent Contracts, without an intervening Contractor or Vendor Selection Process, the Agency's contractual relationship with the Vendor or Contractor continues for more than a year. Annual approval or review by each Agency's Governance Committee shall be as follows:

i. Provided that timely annual review for each Contract is effected, firms on Agency panels can be brought for annual review:

(1) collectively, or in such combinations as are deemed appropriate, on a single annual review anniversary, or

(2) individually based on the dates that Procurement Contracts first required Member and/or Director approval.

ii. Any determination not to enter into a new competitive award process, pursuant to which a Contract would exceed a projected five years without a new competitive award process, shall require the affirmative concurrence of each Agency's Governance Committee included in a resolution adopted by each Agency's Governance Committee. Such affirmative concurrence shall not be required in relation to Single Source Contracts, Sole Source Contracts, existing State Contracts, or existing GSA Contracts. In any case, any Contract in excess of a $100,000 in amount or more than one year in duration must be initially approved by the Agency's Governance Committee and annually reviewed by the Agency's Governance Committee.

c. Execution of Procurement Contracts. All Procurement Contracts shall be executed by the President, or a Senior Officer, as defined under the Agencies' By-Laws or by such Vice President to whom execution authority has been appropriately delegated in writing by a Senior Officer.

d. Approval of Procurement Contracts by the Senior Vice President and Counsel. The Senior Vice President and Counsel shall approve, as to legal compliance, all Procurement Contracts. The consideration shall include the legal form and efficacy of the Procurement Contract. The Agencies' Legal Department may evidence such approval by Counsel by:

i. Signing "Approved as to form" on any Formal Contract so approved;

ii. In connection with a closing managed by the Legal Department, approving the closing and, as necessary, delivering accompanying opinions in connection therewith; or

iii. Making such arrangements as are acceptable to the Counsel to assure that the form of Contract is legally acceptable and approved by Agency Counsel.

ARTICLE XI

11. ADMINISTRATION OF PROCUREMENT, RECORDS AND RESPONSIBILITIES OF AGENCY OFFICERS AND EMPLOYEES

a. Procurement Record. A Procurement Record shall be maintained for each Procurement requiring any Formal Contract and such other Procurement as the Procurement Contract Officer deems appropriate, or as State law requires, identifying, with supporting documentation, decisions made by the Agency during the Procurement process. The Procurement Record shall include, but not be limited to, documentation of: (1) the determination of the method of Procurement from among the available methods permissible under these Guidelines *(particularly, if there is a determination of an Emergency Selection Contract, Sole Source Contract or Single Source Contract*); (2) the process to be used to determine best value, the manner in which the selection of evaluation criteria and the evaluation process shall be conducted, and the evaluation criteria, which, whenever possible, shall be quantifiable; and (3) the basis of award and circumstances leading to the selection of the Vendor, including the alternatives considered, the rationale for selecting the specific Vendor and the basis upon which cost was determined reasonable. To the extent practicable, the Agencies shall document all aspects of the solicitation process in advance of the initial receipt of offers. Each amendment to an existing Contract, and the justification for each, shall also be included in the Procurement Record. Determinations of emergency with respect to Emergency Selection Contracts and Emergency Foreign Business Enterprise Contracts shall be included in the Procurement Record.

Annual certifications of panels should be made a part of the Procurement Record.

With respect to the Lobbying Law Directives, the Procurement Record shall include complete information related to: (i) written certifications by the Contractors or Vendors with respect to affirmations that the Contractor or Vendor understands the Lobbying Law Directives and (that the Agency(s) has been informed in writing of the Vendor's prior determinations of non-responsibility over the previous four years, and that this information is complete, true and accurate; (ii) Determinations of Responsibility by the Agency;; (iii) findings of non-responsibility, whether by the Agency(s) or by other governmental entities; (iv) a record of all Contacts during the Restricted Period, including the name of the person making the Contact, as well as that person's organization, address, telephone number, place of principal employment, occupation, and whether the person/organization making the Contact was the Offerer or was retained, employed or designated by or on behalf of the Offerer to appear before or communicate with the Agency; ;(v) if applicable, a

statement regarding the basis for any required finding that the Agency may enter into a Contract with a Contractor or Vendor who has previously been the subject of any determinations of non-responsibility; and (vi) any determination to terminate a Contract pursuant to the Lobbying Law Directives .

The Procurement Record is a place where the Agencies can clearly document, as considered appropriate, the need for the Contract; required specifications; and the ways in which a competitive field, fair and equal opportunity for Vendors, which shall include, but not be limited to, certified MWBEs, and a fair and balanced method of selection have been ensured.

The Procurement Record shall be maintained at least throughout the period the Contract and any extensions thereof are in effect and for a reasonable period of time thereafter.

b. Procurement Contract Officer. The Procurement Contract Officer's responsibilities shall include keeping such portions of the Procurement Record as the Procurement Contract Officer deems appropriate, monitoring compliance with proper contracting procedures and adherence to these Guidelines.

Among the Procurement Contract Officer's responsibilities shall be the determination of when certain portions of these Guidelines shall apply to a Contract by virtue of Contract expenditures, in the aggregate, or sequential periods of time, reaching applicable thresholds stated herein. In addition, for Contracts of less than $500 per year, which are terminable at any time by the Agency(s) with less than 90 days notice, the Procurement Contract Officer may determine that such Contracts shall be considered Contracts not exceeding one year for purposes of these Guidelines.

The Procurement Contract Officer may provide guidance and counsel about proper administration of the Procurement process and Contracts but shall not be a principal directly responsible for administering any Agency Contract. The Procurement Contract Officer should be available for counsel and guidance respecting the Procurement selection process but should not be directly involved as an actual selector of Vendors.

The Procurement Contract Officer shall encourage and promote good Procurement practices, including but not limited to, proper and coordinated management of Contracts, desirable Vendor selection practices, and informed and careful bill approval procedures. Among other things, it is generally desirable that there be a single individual designated to manage each Procurement Contract, including renewals and amendments thereto, reporting thereon, and bill approvals, *(and excluding receipt of Designated Contacts)*, and that individuals managing different Contracts in the same area or from the same Vendors coordinate their work.

The Procurement Contract Officer shall, from time to time, issue such reports on Procurement as shall be appropriate or required including the Procurement Reports required under these Guidelines.

The Procurement Contract Officer shall notify the Office of General Services of all Contractors who, with respect to the Lobbying Law, have been the subject of determinations of non-responsibility by the Agency or who have been debarred.

The Procurement Contract Officer should periodically review and assess the adequacy of these Guidelines and, as appropriate, recommend changes for approval.

The Procurement Contract Officer may grant temporary technical exceptions to these Guidelines for Contracts, other than Formal Contracts, provided that such exceptions appear in the Procurement Contract Record, and that attorneys under the supervision of the Senior Vice President and Counsel determine the exceptions legally appropriate.

c. Designated Contact Officer(s). The Agencies have designated the Vice President and Deputy Counsel, or when appropriate, an Agency Senior Officer with technical knowledge of the Governmental Procurement, as the Designated Contact Officer(s) for all Governmental Procurement for which such appointment is required. In accordance with the provisions of the Lobbying Law Directives, the Designated Contact Officer, for any given Governmental Procurement or Procurement Contract, is intended to be, by virtue of his or her designation as such, the recipient of any Designated Contacts with respect to the Governmental Procurement for which he or she has been designated. The Designated Contact Officer shall have ready access to, and shall refer to, as appropriate, the Contractors' and Vendors' written affirmations of their understanding of the Agencies' Governmental Procurement lobbying procedures along with all disclosures Contractors or Vendors have provided of any findings of any determinations of non-responsibility against them under the Lobbying Law. Prior to the Agencies' awarding of a Procurement Contract to which these provisions apply, it shall be the Designated Contact Officer's responsibility to consult with the Ethics Officer and to likewise consult at any appropriate time thereafter.

d. Designated MWBE Officer(s). The Agencies' President shall appoint a Designated MWBE Officer(s) to oversee the Agencies' MWBE Program established to promote and assist: (i) participation by certified MWBEs in the Agencies' Procurement opportunities and facilitation of the award of Procurement Contracts to such enterprises; (ii) the utilization of certified MWBEs as subcontractors and suppliers by entities having Procurement Contracts with the Agencies; and (iii) the utilization of partnerships, joint ventures or other similar arrangements between certified MWBEs and other entities having Procurement Contracts with the Agencies. The Designated MWBE Officer(s) shall be familiar with the

Procurement of the types of construction, financial, legal or professional services utilized by the Agencies, report directly to the Agencies' President and, either directly or through their designees, participate in the Procurement process.

e. Ethical Administration of Contracts, Compliance with the Lobbying Law Directives: Responsibility of Officers and Employees. It shall be the responsibility of the Procurement Contract Officer, the Ethics Officer, the Designated Contact Officer(s), the MWBE Officer(s), and all Officers and Employees to ensure that Contracts of the Agencies are administered ethically with due regard for all State ethics laws and Lobbying Law Directives. Determinations respecting ethical contract administration shall be made by the Ethics Officer, to whom any allegations of impropriety or unethical administration may be reported. The Ethics Officer shall also be responsible for reviewing, investigating, monitoring and imposing sanctions relating to any noncompliance with Lobbying Law Directives. The Procurement Contract Officer shall report to the Ethics Officer such allegations of impropriety or unethical administration of Procurement, or violations of the Lobbying Law Directives, as may come to the Procurement Contract Officer's attention. Agency Officers and Employees including, but not limited to, the Designated Contact Officer(s), shall report to the Ethics Officer any allegations of impropriety or unethical administration of Procurement or violations of the Lobbying Law Directives that come to their attention. If the Ethics Officer determines that sufficient cause exists to believe that an allegation concerning a violation of the Lobbying Law Directives is true, the Ethics Officer shall give the respective Contractor or Vendor reasonable notice that an investigation is ongoing and an opportunity to be heard in response to the allegation.

Prior to the awarding of a Procurement Contract by the Agency to which the Lobbying Law Directives' provisions apply, and any time thereafter, it shall be the Ethics Officer's responsibility to consult with the Designated Contact Officer(s) and make other appropriate inquiries so as to make the findings as to whether there were any certifications in relation to the provisions of the Lobbying Law Directives that were intentionally false or intentionally inaccurate so that the Agency would have right to terminate such Contract. If the Agency(s) terminates a Procurement Contract under these termination provisions, it shall be the Designated Contact Officer's responsibility to provide the statement describing the basis for such action for inclusion in the Procurement Record.

In order to comply with the Lobbying Law Directives, all Employees must cooperate and participate in the recording of Contacts with respect to which the Lobbying Law Directives apply. The record of a Contact shall include the name, address, telephone number, place of principal employment, and occupation of the person or organization. Employees must also inquire about, and record, whether the person or organization making the Contact was the Offerer, or was retained by the Offerer to contact the Agency(s) about the Procurement. Employees must

report all recorded Contacts to the Procurement Contract Officer for inclusion in the Procurement Record of the Procurement Contract.

If the Ethics Officer finds a knowing and willful violation of the Lobbying Law Directives by any Employee, the Ethics Officer shall report the violation to the President.

It is expected that the Ethics Officer will confer, as appropriate, with the Senior Vice President and Counsel with respect to allegations of unethical conduct or violations of the Lobbying Law Directives or other violations of law and nothing in any of the forgoing is to be taken to preclude individuals from also contacting the Senior Vice President and Counsel directly with respect to any such allegations.

ARTICLE XII

12. REPORTS ON PROCUREMENT

a. Annual Procurement Report ("Annual Report"). Within 90 days after the conclusion of each fiscal year shared by the majority of the Affiliated Agencies *(October 31), excluding the Housing Trust Fund Corporation*, the Members and Directors of the Agencies shall approve an Annual Report summarizing Procurement activity for the period of the Annual Report. Such Annual Report will include these Guidelines, an explanation of these Guidelines and any amendments thereto since the last Annual Report. The Annual Report describing Procurement activity shall include: (a) a listing of all Procurement Contracts entered into; (b) all Contracts entered into with NYSBEs and the subject matter and value thereof; (c) all Procurement Contracts entered into with certified MWBEs and the subject matter and value thereof, all referrals made and all penalties imposed, pursuant to §316 of Article 15-A; (c) all Contracts entered into with Foreign Business Enterprises and the subject matter and value thereof; (d) the selection process used to select such Contractors; (e) all Procurement Contracts which were exempt from the publication requirements of Article 4-C of the Economic Development Law, the basis for any such exemption; and (f) the status of existing Procurement Contracts.

Such Annual Report shall list for each Contract the following information:

i. a description of the duties performed by the Contractor;

ii. the date of the Contract and its duration;

iii. the total value of the Contract;

iv. the full name and address of the Contractor;

v. the status of the Contract, including the amount spent or other considerations given pursuant to the Contract during the reporting period and for the life of the Contract to date;

vi. whether the Contractor is a certified Minority or Women-Owned Business Enterprise; and

vii. the total number of bids or proposals received prior to the award of the Contract.

The Annual Procurement Report, after being approved by the Members and Directors, shall be filed to the Division of the Budget and the Department of Audit and Control using the Public Authorities Reporting Information System ("PARIS") on-line Reporting System, with copies of this report to the Department of Economic Development, the Senate Finance Committee and the Assembly Ways and Means Committee.

Copies of the Annual Procurement Report shall also be available to the public upon reasonable request at the Agencies' main office.

b. Quarterly Procurement Report(s) ("Quarterly Report(s)"). Within 90 days after the conclusion of each quarter of the fiscal year shared by the majority of the Affiliated Agencies *(January 31, April 30, July 31 and October 31 and excluding the Housing Trust Fund Corporation)*, the Agencies' Members and Directors shall review a Quarterly Report. Each Quarterly Report shall describe the quarter's Procurement activity and shall include the same summary of activity information as is required in the Annual Procurement Report.

c. Consolidation of Procurement Reports. The Annual Procurement Reports and the Quarterly Procurement Reports for each of the Affiliated Agencies (excluding the Housing Trust Fund Corporation), may, respectively, as determined by the President and a Senior Officer designated by the President, be consolidated annual or quarterly reports for all the Affiliated Agencies (excluding the Housing Trust Fund Corporation), to the extent that the President or designated Senior Officer determines that doing so will be more elucidating.

d. Annual MWBE Goal Plan ("MWBE Goal Plan"). The Agencies shall report, annually, to the Governor, Legislature and the MWBE Director, on various issues pertaining to Procurements relating to MWBE, in accordance with Article VI of these Guidelines and Article 15-A, including but not limited to:

i. the annual goals, identified in the Agencies' Annual MWBE Goal Plan, for Contracts with MWBEs;

ii. providing adequate documentation of a good faith effort to meet the Agency goals described in the Agencies' Annual MWBE Goal Plan, in the event that the Agency projected goals cannot be achieved;

iii. the number of actual Contracts issued to MWBEs;

iv. the activities undertaken to promote and encourage Procurement opportunities of Minority Group Members and women and promote and increase participation by certified businesses with respect to Agency Contracts and subcontracts;

v. Agency Contracts for leases of real property by the Agency(s) to a Lessee where: the terms of such leases provide for the construction, demolition, replacement, major repair or renovation of real property and improvements thereon by such Lessee; and the cost of such construction, demolition, replacement, major repair or renovation of real property and improvements thereon exceeds the sum of $100,000;

vi. a summary of all enforcement actions undertaken by the Agency against a Contractor for breach of Contract pursuant to §316-a of Article 15-A and Article IX. of these Guidelines; and

vii. a summary of all waivers, defined in Article VI of these Guidelines, permitted by the Agencies during the period covered by the MWBE Report, including:

(1) a description of the basis of the waiver request; and

(2) the rationale for granting any such waiver.

ARTICLE XIII

13. MISCELLANEOUS PROVISIONS

a. Powers of Amendment. Any modification or amendment of these Guidelines may be made by a Supplemental Resolution adopted at any duly constituted Members' or Directors' meeting; provided, however, that no such modification or amendment shall abrogate the rights and duties of existing Agency Contracts, the terms of which were established pursuant to these Guidelines; and further provided that the President may make non-material changes in these Guidelines.

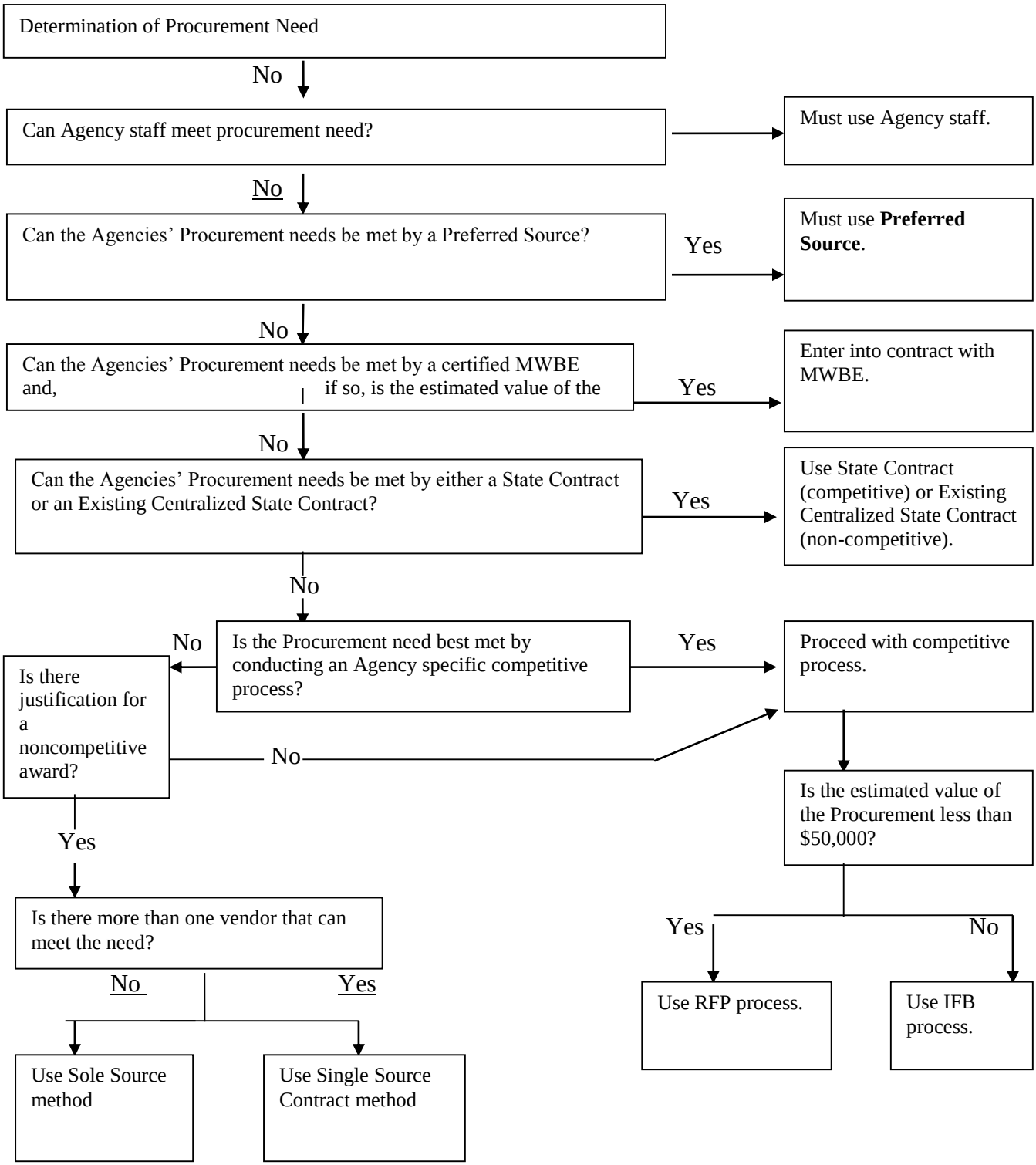
b. Supplementation with Procedural Handbooks, Practice Manuals and Other Directives. These Guidelines are only intended to provide the general framework for Agency Procurement practices. These Guidelines are not intended to preclude

supplementation of the Guidelines through the promulgation of more specific procedural handbooks, practice manuals, or other directives and guidance as may be issued from time to time, including as example, and not by way of limitation, more specific procedures for conduct of Requests For Proposals and Requests For Qualifications. It is also not intended that the existence of these Guidelines should prevent or supplant the issuance of additional Agency guidelines or regulations to deal specifically with Lobbying Law Directives and/or MWBE Directives, if appropriate.

c. No Recourse under these Guidelines. No provision of these Guidelines shall be the basis for any claim based upon these Guidelines against any Member, Director, Officer or Employee of the Agency(s) or the Agency(s) itself.

d. Effect upon Existing Agencies' Contracts. These Guidelines shall not abrogate the rights and duties of Agency Contracts with third parties executed prior to the effective date of these Guidelines.

SELECTING A PROCUREMENT PROCESS.



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TAB 4

Explanation of the Agencies' Procurement and Contract Guidelines

TAB 4

Explanation of consolidated Procurement and Contract Guidelines of the Agencies, as revised and in effect, September 12, 2013

The consolidated Procurement and Contract Guidelines (the "Guidelines") were (i) adopted on December 15, 2005, (ii) revised on June 14, 2007, June 11, 2008, and September 14, 2010 respectively, and (iii) most recently revised on September 12, 2013, pursuant to the provisions of the Acts of each of the New York State Housing Finance Agency, the State of New York Mortgage Agency, the New York State Affordable Housing Corporation, the State of New York Municipal Bond Bank Agency and the Tobacco Settlement Financing Corporation (individually, "Agency," and collectively, the "Agencies"), and Section 2879 of the Public Authorities Law.

The Guidelines were revised on September 12, 2013 to (i) incorporate certain substantive amendments intended to improve the procurement process, (ii) align our minority and women-owned business ("M/WBE") procedures with New York State ("State") law, and (iii) implement some definitional changes.

The substantive amendments include the addition of provisions to: (i) increase the monetary threshold from $15,000 to $50,000 for request for proposal ("RFP) processes in order to make the procurement process less burdensome, and a change that is in line with recent statutory changes made to the requirement to post contract opportunities in the State's Contract Reporter for solicitations, which similarly increased the threshold amount from $15,000 to $50,000; (ii) permit the Agencies to rely on the procurement processes of the Federal Government Administration ("GSA") for the purchase of goods and services, allowing the Agencies to piggy back on Federal procurements as they are permitted to do for State Contract procurements; (iii) provide for the initial approval and annual review of Contracts by each Agency's Governance Committee, with the Agencies' Board approving and/or reviewing Contracts annually each January as part of their approval of the Agencies' consolidated annual procurement report (a change that was previously authorized through charter amendments for the Governance Committees); (iv) require the Agencies' the President/CEO to authorize all Agency determinations of Single Source Contracts, Sole Source Contracts, Critical Source Contracts and Emergency Contracts after any such determination is made by an Agency Senior Officer; and (v) require any Emergency Contracts be brought before the Governance Committee for approval at the next scheduled meeting. The changes in (iv) and (v) above are intended to tighten control processes in situations where non-competitive procurement methods are used.

In addition to these changes, certain changes were made to improve our MWBE procurement contract procedures. The Guidelines were amended to (a) increase the monetary threshold amount for the waiver of competitive processes for M/WBEs from $100,000 to $200,000 to mirror the statutory limit for this type of exception to competitive processes under the amendments to Article 15-A of the State's Executive Law; and (b) delete the M/WBE goals in the Guidelines and replace them with a reference to the goals in the Agencies' Annual M/WBE Goal Plan.

Finally, certain definitional changes have been implemented. The defined term "Uniquely Qualified Source Contract" was replaced with "Single Source Contract" to mirror the State's term for this procurement method, and Housing Trust Fund Corporation was added as an agency to the defined term "Affiliated Agencies" for purposes of procurement processes. This last change is intended to align the Agencies with HTFC, all now part of HCR.

EXPLANATION OF CONSOLIDATED
PROCUREMENT AND CONTRACT GUIDELINES
OF THE AGENCIES
(as revised and in effect, September 12, 202013)

The consolidated Procurement and Contract Guidelines ("Guidelines"), pursuant to the provisions of the Acts of each of the New York State Housing Finance Agency, State of New York Mortgage Agency, New York State Affordable Housing Corporation, State of New York Municipal Bond Bank Agency and Tobacco Settlement Financing Corporation (individually, "Agency," and collectively, the "Agencies") and Section 2879 of the Public Authorities Law, apply to the Agencies' procurement of goods and services. As defined in the Guidelines, "Procurement" means the acquisition of goods, materials and services including, but not limited to, personal services, by any Agency. "Procurement Contract" is defined, (a) following the definition in Section 2879 of the Public Authorities Law, as any written agreement for Procurement in the actual or estimated amount of $5,000 or more, and (b) following the definition in the Lobbying Law in relation to any Agency Governmental Procurement with actual or anticipated annualized expenditures in excess of $15,000 in amount, as any Contract, including an amendment, extension, renewal, or change order to an existing Contract (other than amendments, extensions, renewals, or change orders that are authorized and payable under the terms of the Contract as it was finally awarded), for a Governmental Procurement. (Unless otherwise defined herein, capitalized terms adhere to their respective definitions in the Guidelines.)

A. Selection of Procurement Contractors and/or Vendors (Article IV of the Guidelines)

In selecting Procurement Contractors and/or Vendors, it is the preference of the Agencies that Contractors and Vendors be selected from as broad a spectrum of providers as is practicable, and that any Contract (defined as a written agreement whereby an Agency undertakes Procurement, including accepted Purchase Orders and Procurement Contracts) be awarded and purchases be made consistent with the quality of services or goods and materials required, at fair and reasonable prices. In addition, it is the preference of the Agencies to encourage the participation and utilization of minority owned business enterprises ("MBEs") and women-owned business enterprises ("WBEs") (and collectively, "MWBEs") in accordance with the MWBE Directives in the Guidelines and to encourage the participation of New York State Business Enterprises ("NYSBEs").

B. Competitive Processes (Article IV of the Guidelines)

The following are the main competitive processes provided for in Article IV of the Guidelines: (i) a competitive lowest price bid for goods and materials; (ii) an invitiation for bids process *(new terminology)* for Contracts not expected to exceed $50,000 *(revised amount)* in amount; (iii) a request for proposal ("RFP") without negotiation; (iv) an RFP with competitive negotiations; (v) use of a pre-qualified panel; (vi) use of a State Contract; (vi) U.S. General Services Administration Contracts ("GSA Contracts") *(new addition)* and (vii) use of an Affiliated Agency Contract, and Affiliated Agency Contract shall include the Housing Trust Fund Corporation ("HTFC") *(new addition)* entered into as a result of a competitive process, or the use of an Affiliated Agency competitive selection process as the basis for entering into a Contract and such Affiliated Agency competitive process shall include processes conducting by HTFC *(new addition)*.

C. Selection of Contractors and Vendors through a Competitive Selection Process (Article IV of the Guidelines)

In selecting Contractors and Vendors through a competitive selection process, certain standards and practices are required to be considered, including: (i) advertisement requirements including outreach efforts to MWBEs and providing information with respect thereto via the Agencies' website; and (ii) criteria for selection, including but not limited to, terms, costs, goods or services offered, reputation and experience. For procurements not expected to exceed $50,000 *(revised amount)* in amount, the Agency shall solicit prices, statements of qualifications and proposals from at least three prospective Vendors, including at least one MWBE, if feasible.

D. Selection of Contractors and Vendors on a Non-Competitive Basis (Article IV of the Guidelines)

In the selection or use of Contractors or Vendors, the following Contracts may be awarded without engaging in any one of the competitive processes set forth above: Preferred Source providers; existing centralized State Contracts; existing GSA Contracts *(new addition)*; Emergency Selection Contracts where the selection of a Contractor or Vendor cannot be delayed; Sole Source Contracts; Single Source Contracts *(new terminology)*; instances where practice in an industry does not normally involve competitive selection processes and an Agency determination that entering into a Contract is deemed cost-effective for the Agency; and the purchase of goods and services from Small Businesses and certified MWBEs, or goods or technology that are recycled or remanufactured, in amounts of $200,000 *(revised amount)* or less. Determinations to enter into Emergency Selection Contracts, Sole Source Contracts and Single Source Contracts must be made by an Agency Senior Officer and the President *(revised language).*

E. Requirements for Agency Bid Documents (Article V of the Guidelines)

For Procurements in the actual or estimated amount of $50,000 *(revised amount)* or more, the Agency shall advertise all such opportunities in the "New York State Contract Reporter. The Agencies shall include in all bid documents to potential bidders a statement that information concerning the availability of subcontractors and suppliers is available from the State Department

of Economic Development, which shall include the directory of certified MWBEs, and an affirmative statement that it is the policy of the Agencies to encourage the use of State subcontractors and suppliers, and to promote the participation of NYSBEs and MWBEs, where possible, in the Procurement of goods and services.

The Agencies also require that solicitation documents set forth the expected degree of MWBE participation based, in part, on (i) the potential subcontract opportunities available in the prime Procurement Contract, and (ii) the availability of MWBEs to respond competitively to the potential subcontract opportunities. In addition, the Agencies shall:

1. provide notice of Governmental Procurements, along with any other notice required by law, to professional and other organizations serving MWBEs that provide the types of services procured by the Agencies. For the purposes of these Procurement efforts, and for other Agency Procurement efforts, the Agencies shall maintain lists of qualified MWBEs and will provide such list(s) to Contractors in the Procurement process, requiring that potential Contractors consult and contact appropriate MWBEs to solicit their bids, in accordance with Article VI of the Guidelines;

2. incorporate a summary of the Agencies' policies and prohibitions regarding Contacts under the Lobbying Law, in accordance to the Lobbying Law Directives as described in Article VII of the Guidelines; and

3. follow the directives for the participation of promoted Contracts, as more fully described in Article VIII of the Guidelines;

F. <u>MWBE Program (Article VI of the Guidelines)</u>

The Agencies shall implement procedures for MWBE participation and utilization in Agency Procurements, including:

(i) appointing a Designated MWBE Officer by the President to oversee the Agencies' MWBE Program;

(ii) establishing appropriate numerical MWBE participation target goals (to be updated annually) for each new Procurement Contract awarded by the Agencies and for the utilization of MWBEs as subcontractors and suppliers by Contractors having Procurement Contracts with the Agencies. In addition, the MBE portion or the WBE portion of joint ventures shall count toward meeting the Agencies' MWBE participation goals. In the event that the projected goals cannot be achieved, the Agencies will provide adequate documentation of a good faith effort to meet these goals in their submission of their Annual MWBE Officer Report.

(iii) establishing procedures for maintaining lists of qualified and certified MWBEs, that have expressed an interest in doing business with the Agencies, and ensuring that such lists are updated at least annually;

(iv) establishing measures and procedures to ensure that certified MWBEs will be given the opportunity for maximum feasible participation in the performance of Agency Contracts and to assist in the Agencies' identification of those Agency Contracts for which certified MWBEs may best bid to actively and affirmatively promote and assist their participation in the performance of Agency Contracts so as to facilitate the Agencies' achievement of the maximum feasible portion of the goals for Agency Contracts to such businesses;

(v) designating the Division of Minority and Women-Owned Business Development to certify and decertify MWBEs for the Agencies;

(vi) requiring that each Contract solicitation set forth the expected degree of MWBE participation, as set forth in the Agencies' Annual MWBE Goal Plan *(new addition)*.

(vi) submitting a waiver by the Agency of obligations of Contractor relating to MWBE participation after a showing of good faith effort to comply with the MWBE participation requirements; and

(vii) verifying that MWBEs listed in a successful bid are actually participating to the extent listed in the project for which the bid was submitted.

In implementing the MWBE Directives, the Agencies shall:

(1) consider, where practicable, severability of construction projects and other bundled Contracts; however, unbundling must be conducted within the constraints of the Agencies' need to ensure efficiency and limit costs;

(2) implement its MWBE Program to enable the Agencies to evaluate each Contract to determine the appropriateness of the goal, as set forth in the Agencies' Annual MWBE Goal Plan *(new addition)*;

(3) consider compliance with the requirements of any federal law concerning opportunities for MWBEs that effectuates the purpose of Article VI of the Guidelines; and

(4) consult the most recent disparity study, pursuant to Article 15-A of the Executive Law ("Article 15-A").

G. Lobbying Law Directives (Article VII of the Guidelines)

For any Contract made subject to the "Lobbying Reform Law," the Agency is required to notify every potential Contractor or Vendor that the Agency has a "Designated Contact Officer," who is "knowledgeable of the procurement" and is the only Agency representative permitted to receive Contacts from Contractors or Vendors, or their representatives, during the "Restricted Period" with respect to such Governmental Procurement. In addition to observing the Lobbying Reform Law's proscriptions on Contacts, all potential Contractors or Vendors must complete and return to the Agency with their proposal or bid response to an Agency solicitation, a written affirmation of a Contractor's or Vendor's understanding of the Governmental Procurement lobbying procedures of the Agency, as well as disclose prior determinations of non-responsibility as a result of Lobbying Law violations over the preceding four years. Any violation of the Lobbying Reform Law over the preceding four years is considered an adverse factor in the Contractor or Vendor selection process.

H. Promoted and Prohibited Contracts & Contracts Subject to Other Limitations (Article VIII of the Guidelines)

Notwithstanding the general practices of the Agencies with respect to selection of Contractors and Vendors and adherence to competitive practices, as set forth in the Guidelines, Article VIII of the Guidelines require that certain Contracts may be "promoted," "prohibited" or "subjected to certain limitations."

It is the goal of the Agencies to both promote and assist participation by MWBEs in competition for Procurement Contracts, and award a fair share of Procurement Contracts to MWBEs. The Agencies also seek to promote the participation of New York State Business Enterprises.

In addition, as it is the goal of the Agencies to award Contracts to those Contractors or Vendors who have evidenced compliance with the laws of the State prohibiting discrimination in employment, the Agencies will seek to achieve this goal by awarding Procurement Contracts to those firms who have demonstrated that they do not discriminate with respect to employment. The Agencies have also promulgated procedures for ensuring Contractor or Vendor compliance with the Equal Opportunity Act of 1972.

Under the Guidelines, certain Contracts will be prohibited or permitted only subject to certain exceptions or limitations as follows: (i) with respect to evaluation of Architects, Engineers and Surveyors, the Agencies shall consider special criteria including the reasonableness of cost based on the total estimated cost of any legal entity permitted by law to practice such professions; (ii) in accordance with the MacBride Fair Employment Principles, the Agencies shall not enter into Procurement Contracts with Contractors or Vendors who have operations in Northern Ireland unless assurance is made that lawful steps in good faith have been made to comply with the MacBride Principles; (iii) with respect to Contracts with a Foreign Business Enterprise, the Agencies shall notify the State Commissioner of Economic Development of the award of a Procurement Contract for the purchase of goods from said Foreign Business Enterprise in an amount equal to or greater than $1,000,000. Thereafter, the Agencies shall not enter into a

Procurement Contract for said goods until at least 15 days have elapsed, except where a Contract is awarded due to Emergency. The Agencies shall not solicit bids from or enter into a Procurement Contract with a Foreign Business Enterprise which has its principal place of business in a jurisdiction that discriminates against New York business, pursuant to Section 165 (6)(b) of the State Finance Law.

In addition to the consideration of Contractor or Vendor non-compliance with Lobbying Law Directives, with respect to Contracts with former Agency Officers and Employees, the Agencies shall not enter into Contracts which contemplate, violate or affirmatively, by their terms, allow former Officers and Employees of the Agencies to violate Section 73(8)(a) of the State Ethics Law.

I. General Contract Provisions (Article IX of the Guidelines)

All Procurement Contracts shall be in writing and duly executed by an individual empowered to do so in accordance with Agency By-Laws. Procurement Contracts shall specifically provide for a scope of services indicating the nature of the work to be performed or goods to be provided, and for the time for performance, and the monitoring or reviewing of performance. Additionally, Procurement Contracts shall also state compensation and payment terms and indicate that prices in bids were arrived at independently without collusion. In addition to a provision authorizing the Agency to immediately terminate any Contract in the event that any Lobbying Law certification is found to be intentionally false or inaccurate, Contracts shall also include "a provision expressly providing that any Contractor who willfully and intentionally fails to comply with minority and women-owned participation requirements, as set forth in the Contract, shall be liable to the Agencies for liquidated or other appropriate damages and shall provide for the appropriate remedies on account of such breach".

In order that the Agencies may enter into new Procurement Contracts for the Procurement covered as soon as they may desire, Procurement Contracts should not commit the Agency(s) to continue to use Contractors for longer than is desirable to achieve the Contract objectives. Unless specifically permitted by a resolution of the Agency's Members or Directors, Procurement Contracts should be for a term not exceeding one year, and should be terminable by the Agency, at its option, without cause, within a period that is less than a year into the future. A designated Officer or Employee shall perform a continuing evaluation of Procurement Contracts and Panels.

J. Agency Approvals (Article X of the Guidelines)

All Contracts where compensation is expected to be $100,000 or more, as well as any Contracts involving services to be provided over a period of more than one year, require initial approval and annual review of the Governance Committee of each Agency *(new addition)*. The Members and Directors shall, at least annually, approve and/or review any Contract lasting more than a year, each January, as part of the approval of the Annual Report on Procurement Contracts. All Procurement Contracts shall be executed by the President and CEO, or a Senior Officer, as defined under Agency By-Laws or by such Vice President to whom execution authority has been appropriately delegated in writing by a Senior Officer or as otherwise provided for in the Bylaws.

The Senior Vice President and Counsel, or his/her designee(s), shall approve as to legal compliance all Procurement Contracts.

K. Procurement Record (Article XI of the Guidelines)

A "Procurement Record" shall be maintained for each Procurement requiring any Formal Contract and such other Procurement as the Procurement Contract Officer deems appropriate, or as State law might require, identifying, with supporting documentation, decisions made by the Agency during the Procurement process. Additionally, the Procurement Contract Officer shall be charged with responsibilities that include the retention of such portions of the Procurement Contract Record as the Procurement Contract Officer deems appropriate, monitoring compliance with proper contracting procedures and adherence to the Guidelines.

L. Reports on Procurement (Article XII of the Guidelines)

1. Annual Procurement Report

Within ninety days after the conclusion of each fiscal year shared by the majority of the Agencies, the Members or Directors of the Agency shall approve an Annual Procurement Report, summarizing procurement activity for the period of the report. Such report shall include for each Procurement Contract listed (including MWBEs): a description of the duties performed by the Contractor; the date of the Contract and its duration; the total value of the Contract; the full name and address of the Contractor; the status of the Contract including the amount spent or other considerations given pursuant to the Contract during the reporting period and for the life of the Contract to date; whether the Contractor is a Minority or Women-Owned Business Enterprise; and the total number of bids or proposals received prior to the award of the Contract.

The Annual Procurement Report, after being approved by the Members and Directors, shall be filed using the Pubic Authorities Reporting Information System ("PARIS") on-line reporting system.

2. Quarterly Procurement Report

Within ninety days after the close of each quarter of the fiscal year shared by the majority of the Affiliated Agencies, the Agencies shall prepare and deliver to the Members and Directors a report summarizing procurement activity for the period of the report.

3. Annual MWBE Officer Report

The Agencies annually file an MWBE Officer Report that includes: (i) Agency annual MWBE goals; (ii) documentation of a good faith effort to meet Agency goals, in the event that these goals cannot be achieved; (iii) the number of actual Contracts issued to MWBEs; (iv) the activities undertaken to promote and

encourage Procurement opportunities of MWBEs and increase participation by certified MWBEs; (v) Agency Contracts for leases of real property by the Agency to a Lessee (a) where the terms of such leases provide for the construction, demolition, replacement, major repair or renovation of real property and improvements thereon by such Lessee and (b) the cost of such construction, demolition, replacement, major repair or renovation of real property and improvements thereon exceeds the sum of $100,000; (vi) a summary of all enforcement actions undertaken by the Agency against a Contractor for breach of Contract; and (vii) a summary of all waivers, permitted by the Agencies during the period covered by the MWBE Officer Report.