

Procurement Report for Herkimer Tobacco Asset Securitization Corporation

Fiscal Year Ending: 12/31/2019

Run Date: 03/31/2020

Status: CERTIFIED

Certified Date : 03/31/2020

Procurement Information:

Question	Response	URL (If Applicable)
1. Does the Authority have procurement guidelines?	Yes	http://herkimer.yourtasc.com
2. Are the procurement guidelines reviewed annually, amended if needed, and approved by the Board?	Yes	
3. Does the Authority allow for exceptions to the procurement guidelines?	No	
4. Does the Authority assign credit cards to employees for travel and/or business purchases?	No	
5. Does the Authority require prospective bidders to sign a non-collusion agreement?	Yes	
6. Does the Authority incorporate a summary of its procurement policies and prohibitions in its solicitation of proposals, bid documents, or specifications for procurement contracts?	Yes	
7. Did the Authority designate a person or persons to serve as the authorized contact on a specific procurement, in accordance with Section 139-j(2)(a) of the State Finance Law, "The Procurement Lobbying Act"?	Yes	
8. Did the Authority determine that a vendor had impermissible contact during a procurement or attempted to influence the procurement during the reporting period, in accordance with Section 139-j(10) of the State Finance Law?	No	
8a. If Yes, was a record made of this impermissible contact?		
9. Does the Authority have a process to review and investigate allegations of impermissible contact during a procurement, and to impose sanctions in instances where violations have occurred, in accordance with Section 139-j(9) of the State Finance Law?	Yes	

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Procurement Transactions Listing:

1. Vendor Name	D'Arcangelo & Company	Address Line1	200 East Garden Street
Type of Procurement	Financial Services	Address Line2	PO Box 4300
Award Process	Non Contract Procurement/Purchase Order	City	ROME
Award Date		State	NY
End Date		Postal Code	13440
Fair Market Value		Plus 4	4325
Amount		Province/Region	
Amount Expended For Fiscal Year	\$6,500.00	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Audit Services

2. Vendor Name	RJ Malone	Address Line1	16 Lewis Street
Type of Procurement	Legal Services	Address Line2	
Award Process	Non Contract Procurement/Purchase Order	City	LITTLE FALLS
Award Date		State	NY
End Date		Postal Code	13365
Fair Market Value		Plus 4	
Amount		Province/Region	
Amount Expended For Fiscal Year	\$5,000.00	Country	United States
Explain why the Fair Market Value is Less than the Amount		Procurement Description	Legal Services

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Additional Comments

I certify that this Annual Report submission is complete and to the best of my knowledge after reasonable inquiry the information provided in this submission is accurate and correct. This information will be presented to and accepted by the Authority Board at its annual meeting.