

**Procurement-Information:**

| Question   | Response | URL (if applicable)   |
|--|----------|---|
| 1. Does the Authority have procurement guidelines?   | Yes      | <a href="http://www.dutchessny.gov/CountyGov/Departments/DTASC/DTindex.htm">http://www.dutchessny.gov/CountyGov/Departments/DTASC/DTindex.htm</a> |
| 2. Are the procurement guidelines reviewed annually, amended if needed, and approved by the Board?   | Yes      |   |
| 3. Does the Authority allow for exceptions to the procurement guidelines?  | No       |   |
| 4. Does the Authority assign credit cards to employees for travel and/or business purchases?   | No       |   |
| 5. Does the Authority require prospective bidders to sign a non-collusion agreement?   | 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? | No       |   |

Procurement Transactions Listing:

1. Vendor Name: Barclay Damon

2. Vendor Name: Drescher & Malecki

Type of Procurement: Legal Services  
 Award Process: Authority Contract - Non-Competitive Bid  
 Award Date: 12/04/2003  
 End Date:  
 Amount: \$6,290  
 Amount Expended for Fiscal Year: \$6,290  
 Fair market value: \$6,290

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

Address Line1: 80 Beaver Street  
 Address Line2:  
 City: ALBANY  
 State: NY  
 Postal Code: 12207  
 Plus 4:  
 Province Region:  
 Country: USA  
 Procurement Description: Legal Counsel to DTASC

Type of Procurement: Financial Services  
 Award Process: Authority Contract - Non-Competitive Bid  
 Award Date: 01/01/2015  
 End Date: 12/31/2015  
 Amount: \$9,500  
 Amount Expended for Fiscal Year: \$9,500  
 Fair market value: \$9,500

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

Address Line1: 3803 William Street  
 Address Line2: Suite 5  
 City: CHEEKTOWAGA  
 State: NY  
 Postal Code: 14227  
 Plus 4:  
 Province Region:  
 Country: USA  
 Procurement Description: Audit Services

Procurement Transactions Listing:

3. Vendor Name: Marshall & Sterling Inc.

Type of Procurement: Other Professional Services  
Award Process: Authority Contract - Non-Competitive Bid  
Award Date: 11/24/2014  
End Date: 11/23/2015  
Amount: \$11,235  
Amount Expended for Fiscal Year: \$11,235  
Fair market value: \$11,235

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

Address Line1: 103 Executive Drive  
Address Line2: Suite 300  
City: NEW WINDSOR  
State: NY  
Postal Code: 12553  
Plus 4:  
Province Region:  
Country: USA

Procurement Description: D&O Insurance

Procurement Report for Dutchess Tobacco Asset Securitization Corporation

Run Date: 03/30/2016

Fiscal Year Ending: 12/31/2015

Status: CERTIFIED

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Procurement Transactions Listing:

Additional Comments: