

Financial Advisors & Swap Advisors Questions and Answers

- 1) **Question:** I received an email confirmation last Friday June 2 that we were approved as an Interested Supplier for this RFP. However, as of this morning there are still no vendors identified as such for this RFP. Can you advise? I just registered again just in case.

Answer: Vendors are identified in advance for (i) construction projects and (ii) professional service contracts that include an Expression of Interest prior to release of the RFP. Procurements, such as this procurement, that immediately allow Vendors/Consultants access to the RFP will not list the Vendors/Consultants until proposals are received. However, you can add your firm as an Interested Sub/Supplier so that Vendors/Consultants can identify potential subcontractors as they develop their proposals. Please note in your information if your firm is an MWBE or SDVOB.

- 2) **Question:** Regarding Section 4, C. DASNY'S Rights and Prerogatives: DASNY reserves to right to exercise the following prerogatives...
Item 10. DASNY is requiring firms to identify an MWBE and a SDVOB subcontractor firm. Can you clarify whether all firms must submit a proposal with an MWBE and a SDVOB?

Answer: Yes firms must submit a proposal with an MWBE subcontractor and a SDVOB subcontractor.

- 3) **Question:** Section 4, Part C, #10 indicates that "DASNY is requiring firms to identify an MWBE subcontractor firm and a SDVOB subcontractor firm in an effort to meet MWBE and SDVOB goals. MWBE and SDVOB firms are also encouraged to apply as the financial advisor/prime contractor or the swap advisor/prime contractor." If our firm is MWBE-certified and applying as prime contractor, is it necessary to identify any such subcontracting firms?

Answer: If your firm is an MWBE firm, it is not necessary to identify an MWBE subcontractor. However, you must identify a SDVOB subcontractor.

- 4) **Question:** With respect to the Financial Advisor RFP Questions included in Appendix A, if our firm's expertise is best demonstrated in one area in particular (for example, Part III – Pricing and Marketing Initiatives), is it possible to answer only the questions contained in such section?

Answer: Yes, you may only answer the questions in one area.

- 5) **Question:** As part of the responses to Swap Advisor RFP Questions #2 and #6 in Appendix B, may the resumes and form of qualified hedge opinion be included in an Appendix, outside of the page limit?

Answer: Yes, resumes and the form of qualified hedge option may be included in an Appendix outside of the page limit.

- 6) **Question:** Are responses to both proposals allowed to include other exhibits/appendices that do not count towards the page limit?

Answer: See question 5. Information that is not requested in the RFP should not be included as an exhibit/appendix.

- 7) **Question:** If responding for both Financial Advisor and Swap Advisor, should separate sets of References be included for each service?

Answer: Yes, separate sets of references should be included for each service (Financial Advisor and Swap Advisor).

- 8) **Questions:** We are a State certified MWBE and have interest in participating in Request for Proposals 2017 Financial Advisors and/or Swap Advisors. Can you please let us know the following?

- Is DASNY already in discussions with vendors that have a "Vendor Management Solution"? We can provide the professional staff but not the system.
- Question: What level of staff would you be seeking?
- Can you assess what's the average length of assignment 3 months – 6 months etc.?
- What are the top 3-5 items that's key?

Answer: DASNY does not require a "Vendor Management Solution" pursuant to this RFP. With respect to the services that DASNY is seeking, staff should be appropriate to the specific engagement. Each engagement will have a different length of assignment which is not known at this time. We do not know the top 3-5 items at this time.

- 9) **Question:** Does DASNY require that a non-minority respondent (as regards the Financial Advisor section of the RFP) use a minority or woman-owned firm (MBE/WBE) as a subcontractor financial advisor? If so, is it required that the MBE/WBE subcontractor be registered as such with the State of New York?

Answer: Yes, DASNY requires that a non-minority respondent use an MWBE subcontractor. Such subcontractor should be registered as such with the State of New York.

- 10) **Question:** Do the same requirements apply to a respondent regarding the swap advisor section of the RFP?

Answer: Yes, the same requirements apply to a respondent regarding the Swap Advisor section of the RFP.

11)Question: Are firms able to submit joint proposals with MWBE firms?

Answer: Firms are allowed to submit joint proposals with MWBE firms as well as use MWBE firms as subcontractors.