

Notice



Identification

Reference Number: 22039948
 Request ID: 17-000000101081
 Date First Offered: 01/12/2017
 Title: THA - 16-0155 Bond Underwriting Services

Agency Reference Number: THA - 17-000000101081
 Agency: THA - Toll Highway Authority
 Purchasing Agency: THA - Toll Highway Authority
 Purchasing Agency: Victoria Santiago
 SPO:

Status: Closed

Overview

Description and Specifications:

The Illinois Tollway is giving notice of intent to award contracts to thirteen (13) financial firms available to provide services as Senior Managing Underwriter and fourteen (14) financial firms available to provide services as Co-Managing Underwriter.

The two pools of financial firms include: (1) a "Senior Pool" of firms qualified to serve as Senior Managing Underwriter, Co-Senior Manager Managing Underwriter and (2) a "Co-Manager Pool" of firms qualified to serve as Co-Managing Underwriter.

This award notice only lists eleven (11) of the thirteen (13) firms for the Senior Managers and all of the fourteen (14) firms for the Co-Managers. An addendum to add the names of the remaining two (2) Senior Managers will be published at a later date.

The total amount of award for the eleven (11) Senior Managers: \$3,850,000.00
 The total amount of award for the fourteen (14) Co-Managers: \$2,100,000.00

For each Senior-Manager: The initial term of the contract shall not exceed \$240,000.00 without a formal change order.

For each Co-manager: The initial term of the contract shall not exceed \$103,200.00 without a formal change order.

Senior Pool:

1. Citigroup Global Markets Inc.
2. Goldman, Sachs & Co. LLC.
3. Jefferies, LLC
4. J.P. Morgan Securities LLC
5. Loop Capital Markets LLC
6. Merrill Lynch Pierce Fenner & Smith Incorporated
7. Piper Jaffray & Co.
8. RBC Capital Markets, LLC
9. Samuel A. Ramirez & Co., Inc.
10. Siebert Cisneros Shank & Co. LLC;
11. Wells Fargo Bank, N.A.

Co-Manager Pool:

1. Academy Securities, Inc.
2. Bernardi Securities Inc.
3. Blaylock Van, LLC
4. Cabrera Capital Markets, LLC
5. George K. Baum & Company
6. Hutchinson Shockey Erley & Co.
7. Janney Montgomery Scott LLC
8. KeyBanc Capital Markets Inc.
9. Mesirov Financial, Inc.
10. Oppenheimer & Co. Inc.
11. Raymond James & Associates, Inc.
12. Rice Securities LLC
13. Robert W. Baird & Co. Incorporated
14. Stifel Nicolaus & Company, Inc.

The contract start and end dates are estimated and will begin upon execution of the contract.

Key Information

Notice Type:	Contract Award Notice
Published:	08/08/2017
Notice Expiration Date:	08/29/2017
Professional & Artistic:	No
Small Business Set-Aside:	No
	No

Does this solicitation contain
a BEP or DBE requirement?:

Does this solicitation contain No
a Veteran requirement?:

Relevant Category: General Services

Total Amount of Award: \$5,950,000.00 (Total Dollar Value Only/Includes Any
Renewal Options)

Estimated/Actual Value
Description:

Length of Initial Term: 36
Contract Begin Date: 09/01/2017
Contract End Date: 08/31/2020
Renewal Terms: 12

Bidder(s)

Number of Responding Bidders:	41
Number of Unsuccessful Bidders:	14
Total Number Awarded:	27

Listing of All Bidders/Offerors Considered But Not Selected:

1. Barclays Capital, Inc.
 2. Drexel Hamilton, LLC
 3. Fifth Third Securities, Inc.
 4. First Tennessee Bank N.A.
 5. J.J.B. Hilliard, W.L. Lyons, LLC
 6. Melvin Securities LLC
 7. Mischler Financial Group, LLC
 8. North South Capital
 9. Podesta & Co.
 10. Stern Brothers & Co
 11. The Williams Capital Group, LP
 12. U.S. Bank / Bancorp Investments, Inc.
 13. Valdes & Moreno Inc.
 14. William Blair & Company, LLC.
- Source Selection: RFP

Vendor(s) Selected for Award

Vendor Name	Amount of Award	BEP Goal	% DBE
Wells Fargo Bank, N. A.	\$350,000.00	0%	0%

Stifel, Nicolaus and Company, Inc.	\$150,000.00	0%	0%
Siebert Cisneros Shank & Co., L.L.C.	\$350,000.00	0%	0%
Samuel A. Ramirez & Co., Inc.	\$350,000.00	0%	0%
Robert W. Baird & Co. Incorporated	\$150,000.00	0%	0%
Rice Securities, LLC	\$150,000.00	0%	0%
RBC Capital Markets, LLC	\$350,000.00	0%	0%
Raymond James & Associates, Inc.	\$150,000.00	0%	0%
Piper Jaffray & Co.	\$350,000.00	0%	0%
Oppenheimer & Co. Inc	\$150,000.00	0%	0%
Mesirow Financial Inc.	\$150,000.00	0%	0%
Merril Lynch Pierce, Fenner & Smith Incorporated	\$350,000.00	0%	0%
Loop Capital Markets LLC	\$350,000.00	0%	0%
KeyBanc Capital Markets Inc.	\$150,000.00	0%	0%
J. P. Morgan Securities LLC	\$350,000.00	0%	0%
Jefferies, LLC	\$350,000.00	0%	0%
Janney Montgomery Scott LLC	\$150,000.00	0%	0%
Hutchinson Shockey Erley & Co.	\$150,000.00	0%	0%
Goldman Sachs & Co. LLC.	\$350,000.00	0%	0%
George K. Baum Company	\$150,000.00	0%	0%
Citigroup Global Markets Inc.	\$350,000.00	0%	0%
Cabrera Capital Markets LLC	\$150,000.00	0%	0%
Blaylock Van, LLC	\$150,000.00	0%	0%
Bernardi Securities Inc.	\$150,000.00	0%	0%
Academy Securities Inc.	\$150,000.00	0%	0%

Notice Contact

Name: Desiree Liberti
 Street Address: 2700 Ogden Avenue
 City: Downers Grove
 State: IL
 Zip Code: 60515
 Phone: 630-241-6800
 Fax Number: 630-795-7908
 EMail Address: Desiree.Liberti@getipass.com

Class Code

Class Codes:

NIGP Code

NIGP Commodity/Service Code: 946 30 Cash/Securities and Bonding Services
 946 36 Credit Investigation and Reporting
 946 38 Custom Brokerage Services (Incl; Stock and

Bonds)

946 49 Financial Services (Not Otherwise Classified)

Attachments

To download file(s), click on filename(s) located below. Not all Notices will have files to download.

File Attachments:

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Created By: Julia Shaw

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Reference Number: 22039948
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Vendor Selected for Award

Vendor Name: Wells Fargo Bank, N. A.
Vendor Contact Name: Larry Richardson
Vendor Street: 10 S. Wacker Dr. 15th Floor
Address:
Vendor City: Chicago
Vendor State: IL
Vendor Zip Code: 60606
Vendor Phone: 312-920-3535
Number:
Vendor Fax Number: 000-000-0000

Key Information

Amount of Award: \$350,000.00 (Total Dollar Value Only)
Cost of Initial Term: \$200,000.00 (Total Dollar Amount of Initial Term)
Cost of Renewals: \$150,000.00 (Total Dollar Amount of Renewals)
BEP Goal Amount: 0.00%
(Percentage):
DBE Goal Amount: 0.00%
(Percentage):
Will Sub-Contractors Be Utilized? No

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Vendor Selected for Award

Vendor Name: Stifel, Nicolaus and Company, Inc.
Vendor Contact Name: Omar Daghestani
Vendor Street: 501 N Broadway
Address:
Vendor City: St Louis
Vendor State: MO
Vendor Zip Code: 63102
Vendor Phone: 312-454-3845
Number:
Vendor Fax Number: 000-000-0000

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Vendor Selected for Award

Vendor Name: Siebert Cisneros Shank & Co., L.L.C.
Vendor Contact Name: Karen Walker
Vendor Street: 111 East Wacker Drive Suite 2605
Address:
Vendor City: Chicago
Vendor State: IL
Vendor Zip Code: 60601
Vendor Phone: 312-759-1044
Number:
Vendor Fax Number: 000-000-0000

Key Information

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Vendor Selected for Award

Vendor Name: Samuel A. Ramirez & Co., Inc.
Vendor Contact Name: Phil Cuppepper
Vendor Street: 200 N. LaSalle St. Suite 1900
Address:
Vendor City: Chicago
Vendor State: IL
Vendor Zip Code: 60601
Vendor Phone: 312-630-20004
Number:
Vendor Fax Number: 000-000-0000

Key Information

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Vendor Selected for Award

Vendor Name: Robert W. Baird & Co. Incorporated
Vendor Contact Name: Thomas Gavin
Vendor Street: 300 East Fifth Avenue Suite 200
Address:
Vendor City: Naperville
Vendor State: IL
Vendor Zip Code: 60563
Vendor Phone: 630-778-9100
Number:
Vendor Fax Number: 000-000-0000

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Vendor Selected for Award

Vendor Name: Rice Securities, LLC
Vendor Contact Name: Kevin Schuyler
Vendor Street: 55 Broad Street , 27th Floor
Address:
Vendor City: New York
Vendor State: NY
Vendor Zip Code: 10004
Vendor Phone: 212-908-9200
Number:
Vendor Fax Number: 000-000-0000

Key Information

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Vendor Selected for Award

Vendor Name: RBC Capital Markets, LLC
Vendor Contact Name: Kevin Hoecker
Vendor Street: 500 W. Madison Street, Suite 2500
Address:
Vendor City: Chicago
Vendor State: IL
Vendor Zip Code: 60661
Vendor Phone: 312-559-3877
Number:
Vendor Fax Number: 000-000-0000

Key Information

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Vendor Selected for Award

Vendor Name: Raymond James & Associates, Inc.
Vendor Contact Name: Kevin Thompson
Vendor Street: 50 North Front Street, Suite 1600
Address:
Vendor City: Memphis
Vendor State: TN
Vendor Zip Code: 38103
Vendor Phone: 901-579-4393
Number:
Vendor Fax Number: 000-000-0000

Key Information

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Vendor Selected for Award

Vendor Name: Piper Jaffray & Co.
Vendor Contact Name: Neil Pritz
Vendor Street: 800 Nicollet Mall Suite 800
Address:
Vendor City: Minneapolis
Vendor State: MN
Vendor Zip Code: 55402
Vendor Phone: 312-267-5193
Number:
Vendor Fax Number: 000-000-0000

Key Information

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Vendor Selected for Award

Vendor Name: Oppenheimer & Co. Inc
Vendor Contact Name: Alistair Featherstone
Vendor Street: 85 Broad Street
Address:
Vendor City: New York
Vendor State: NY
Vendor Zip Code: 10007
Vendor Phone: 212-667-6139
Number:
Vendor Fax Number: 000-000-0000

Key Information

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Vendor Selected for Award

Vendor Name: Mesirow Financial Inc.
Vendor Contact Name: Todd E. Waldrop
Vendor Street: 353 N. Clark Street
Address:
Vendor City: Chicago
Vendor State: IL
Vendor Zip Code: 60654
Vendor Phone: 312-595-6242
Number:
Vendor Fax Number: 000-000-0000

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Vendor Selected for Award

Vendor Name: Merrill Lynch Piecre, Fenner & Smith Incorporated
Vendor Contact Name: Phillip Rooney
Vendor Street: 540 West Madison Street, 28th Floor
Address:
Vendor City: Chicago
Vendor State: IL
Vendor Zip Code: 60661
Vendor Phone: 312-537-6363
Number:
Vendor Fax Number: 000-000-0000

Key Information

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Vendor Selected for Award

Vendor Name: Loop Capital Markets LLC
Vendor Contact Name: Clarence Bourne
Vendor Street: 111 W. Jackson Blvd Suite 1901
Address:
Vendor City: Chicago
Vendor State: IL
Vendor Zip Code: 60604
Vendor Phone: 312-931-4900
Number:
Vendor Fax Number: 000-000-0000

Key Information

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Vendor Selected for Award

Vendor Name: KeyBanc Capital Markets Inc.
Vendor Contact Name: Thomas Coverick
Vendor Street: 227 W. Monroe Suite 1700
Address:
Vendor City: Chicago
Vendor State: IL
Vendor Zip Code: 60606
Vendor Phone: 312-730-2715
Number:
Vendor Fax Number: 000-000-0000

Key Information

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Vendor Selected for Award

Vendor Name: J. P. Morgan Securities LLC
Vendor Contact Name: Matthew D. Couch
Vendor Street: 10 S. Dearborn Street
Address:
Vendor City: Chicago
Vendor State: IL
Vendor Zip Code: 60603
Vendor Phone: 312-385-8484
Number:
Vendor Fax Number: 000-000-0000

Key Information

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Vendor Selected for Award

Vendor Name: Jefferies, LLC
Vendor Contact Name: Nic Malas
Vendor Street: 520 Madison Avenue
Address:
Vendor City: New York
Vendor State: NY
Vendor Zip Code: 10022
Vendor Phone: 212-336-7421
Number:
Vendor Fax Number: 000-000-0000

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Vendor Selected for Award

Vendor Name: Janney Montgomery Scott LLC
Vendor Contact Name: Vivian Altman
Vendor Street: 1717 Arch Street
Address:
Vendor City: Philadelphia
Vendor State: PA
Vendor Zip Code: 19103
Vendor Phone: 646-840-3202
Number:
Vendor Fax Number: 000-000-0000

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Vendor Selected for Award

Vendor Name: Hutchinson Shockey Erley & Co.
Vendor Contact Name: Douglas P. DeAngelis
Vendor Street: 222 West Adams Street Suite 1700
Address:
Vendor City: Chicago
Vendor State: IL
Vendor Zip Code: 60606
Vendor Phone: 312-443-1567
Number:
Vendor Fax Number: 000-000-0000

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Vendor Selected for Award

Vendor Name: Goldman Sachs & Co. LLC.
Vendor Contact Name: Carlos Pineiro
Vendor Street: 200 West Street
Address:
Vendor City: New York
Vendor State: NY
Vendor Zip Code: 10282
Vendor Phone: 312-655-6156
Number:
Vendor Fax Number: 000-000-0000

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Vendor Selected for Award

Vendor Name: Citigroup Global Markets Inc.
Vendor Contact Name: Thomas Coomes
Vendor Street: 227 West Monroe Street 25th Floor
Address:
Vendor City: Chicago
Vendor State: IL
Vendor Zip Code: 60606
Vendor Phone: 312-876-3562
Number:
Vendor Fax Number: 000-000-0000

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Vendor Selected for Award

Vendor Name: George K. Baum Company
Vendor Contact Name: Anthony N. Fratto
Vendor Street: 1 N. La Salle St Suite 1725
Address:
Vendor City: Chicago
Vendor State: IL
Vendor Zip Code: 60602
Vendor Phone: 312-641-3611
Number:
Vendor Fax Number: 000-000-0000

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Vendor Selected for Award

Vendor Name: Cabrera Capital Markets LLC
Vendor Contact Name: Brian King
Vendor Street: 10 S. LaSalle Suite 1050
Address:
Vendor City: Chicago
Vendor State: IL
Vendor Zip Code: 60603
Vendor Phone: 312-236-8888
Number:
Vendor Fax Number: 000-000-0000

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Vendor Selected for Award

Vendor Name: Blaylock Van, LLC
Vendor Contact Name: Richard Hanley
Vendor Street: 600 Lexington Avenue
Address:
Vendor City: New York
Vendor State: NY
Vendor Zip Code: 10022
Vendor Phone: 212-526-2134
Number:
Vendor Fax Number: 000-000-0000

Key Information

Amount of Award: \$150,000.00 (Total Dollar Value Only)
Cost of Initial Term: \$86,000.00 (Total Dollar Amount of Initial Term)
Cost of Renewals: \$64,000.00 (Total Dollar Amount of Renewals)
BEP Goal Amount: 0.00%
(Percentage):
DBE Goal Amount: 0.00%
(Percentage):
Will Sub-Contractors Be Utilized? No

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Vendor Award Information



Created Date: 08/08/2017
Created By: Julia Shaw

Identification

Reference Number: 22039948
Title: THA - 16-0155 Bond Underwriting Services

Vendor Selected for Award

Vendor Name: Bernardi Securities Inc.
Vendor Contact Name: Robert P. Vail
Vendor Street: 20 S. Clark Street Suite 2700
Address:
Vendor City: Chicago
Vendor State: IL
Vendor Zip Code: 60603
Vendor Phone: 312-281-2014
Number:
Vendor Fax Number: 000-000-0000

Key Information

Amount of Award: \$150,000.00 (Total Dollar Value Only)
Cost of Initial Term: \$86,000.00 (Total Dollar Amount of Initial Term)
Cost of Renewals: \$64,000.00 (Total Dollar Amount of Renewals)
BEP Goal Amount: 0.00%
(Percentage):
DBE Goal Amount: 0.00%
(Percentage):
Will Sub-Contractors Be Utilized? No

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Vendor Award Information

[?](#)
Help

Created Date: 08/08/2017
Created By: Julia Shaw

Identification

Reference Number: 22039948
Title: THA - 16-0155 Bond Underwriting Services

Vendor Selected for Award

Vendor Name: Academy Securities Inc.
Vendor Contact Name: Frank Paul
Vendor Street: 550 W. Van Buren Suite 1410
Address:
Vendor City: Chicago
Vendor State: IL
Vendor Zip Code: 60607
Vendor Phone: 312-635-0867
Number:
Vendor Fax Number: 000-000-0000

Key Information

Amount of Award: \$150,000.00 (Total Dollar Value Only)
Cost of Initial Term: \$86,000.00 (Total Dollar Amount of Initial Term)
Cost of Renewals: \$64,000.00 (Total Dollar Amount of Renewals)
BEP Goal Amount: 0.00%
(Percentage):
DBE Goal Amount: 0.00%
(Percentage):
Will Sub-Contractors Be Utilized? Yes