VENDOR ACKNOWLEDGEMENT OF ADDENDUM

Amendment Number: One (Also, see attached Q & A Summary & Revised Pricing Proposal)

Date Issued: February 15, 2017

Summary of Amendments not included in Q & A Summary:

- RFP Section 1.5, Minimum Qualifications, is revised to add the following provision:

  Sub-contractors cannot be used to meet the minimum qualifications.

- The staffing requirements under the RFP are clarified and the relevant language of the RFP is amended as reflected below. A revised Attachment 2 – Pricing Proposal form is included with this Amendment One. This revised Pricing Proposal form must be used in submission of a proposal under this RFP.

- RFP Section 1.2 – Responsibilities Pursuant to Contract Award – the last item is deleted and replaced with the following:

  Make every attempt to utilize Fund staff, when available, in carrying out projects detailed in this RFP to reduce charges against the Account Budget.

- RFP Section 3.1.B (1) Staffing Plan is deleted in its entirety and replaced with the following:

  Representatives of the Fund are expected to be available at all of the county fair series events, but not necessarily at the county series finals, annual horse sales, or annual banquets. Representatives of the Fund should be used when available.

  The successful bidder will provide staffing for the county race series finals, horse sales, annual banquets, and for any additional events proposed by the successful bidder. The staff provided by the successful bidder will be expected to interact with attendees, distribute promotional materials and answer general questions. The staff does not need to have specific equine knowledge, but must be able to field questions from attendees and relay same to a representative of the Fund. At least one representative of the Fund will be on-site at all events throughout the season and will be able to address specific questions.

  Compensation for staff outside of representatives of the Fund will be from the Account Budget and will be based upon the regional, hourly rates proposed by the bidder in the Pricing Proposal form, Attachment 2 (revised per this Addendum One)."
• RFP Section 4.3 – Project Management and Staffing is clarified as follows:

Reference to “staff” throughout this section is relative to current or proposed (TBD) staff of the company.

Item 7 of this section applies to the use, or non-use, of subcontractors. This applies to subcontracting any of the work under this project, including event staffing.

➤ RFP Section 3.1.B (2)(ii) – Banquets – Night of Champions Event:

• The first sentence is deleted in its entirety and replaced with the following:

Contractor shall plan, direct, and implement the Night of Champions “NOC” event. This event is generally held in the evening, but may change year to year. For 2017, the event is planned to begin at 11:00 a.m.

• The second sentence reference to “account budget” is revised to reflect Account Budget.

➤ RFP Section 3.1.C(4) is deleted in its entirety and replaced with the following:

Produce a New York Sire Stakes calendar as a promotional item for the Fund. Currently, 3500 calendars are produced and distributed to classrooms throughout New York State, but the Fund would welcome ideas from the successful bidder on how better to utilize this promotional item at other events to reach a different or wider audience. It may be that more than 3500 calendars will be needed.

➤ RFP Section 3.2.A – Account Budget – the first sentence is deleted in its entirety and replaced with the following:

The annual Account Budget under the resulting agreement shall not exceed $200,000 and, with the exception of promotional items, which shall be covered under the Promotional Budget ($50,000), will cover all costs associated with carrying out the Scope of Work, such as the fixed annual fee; hourly event staff (outside of Fund staff); and media placements.

➤ RFP Section 4.4 (1) is deleted in its entirety and replaced with the following:

Describe how your firm is going to approach a successful and comprehensive advertising/marketing plan for the Fund, including concept of the project and methodology to be used to achieve the goals of the project; approach to staffing events, such as whether staffing will be accomplished through the successful bidder’s staff or outsourced and to whom; strategy and tactics by which you would segment the market, geographically and demographically, to best attain the Fund’s overall goals.

By signing below, the bidder attests to receiving and responding to the amendment number indicated above.

FIRM NAME: _________________________________________

REPRESENTATIVE SIGNATURE: ________________________
REQUEST FOR PROPOSALS
Equine Marketing and Public Relations
Round 1 – Questions and Answers
Release Date: February 15, 2017

Q.1: How much weight is placed on the bidder being a New York-based business? Any clarity you could give us on this would be much appreciated.

A.1: There is no requirement under this RFP that the bidder be a New York-based business, only a requirement (4.1.1) that each bidder state whether they are qualified and/or registered to do business in the State of New York. And, there is no specific weight placed on the bidder being a New York-based business. The weights allocated under each of the technical criteria will take into consideration many factors of the Proposal response, such as relevant experience as it relates to the scope of work, financial viability, experience in the equine industry or demonstration of the company’s approach to learning in order to carry out the work required under the RFP, company philosophy, staffing, etc. These factors, among others, are outlined in Part 4 of the RFP.

Q.2: Whether companies from Outside USA can apply for this (like, from India or Canada)?

A.2: No. Companies outside of the USA cannot submit a proposal.

Q.3: Whether we need to come over there for meetings?

A.3: It is not anticipated that there will be a need for regular in-person meetings throughout the contract period, but there may be instances in which a meeting may be held depending on program events, collaboration on different venues, etc.

Q.4: Can we perform the tasks (related to RFP) outside USA (like, from India or Canada)?

A.4: See A.2.

Q.5: Can we submit the proposals via email?

A.5: No. Proposals may not be submitted via email or fax. See RFP Section 1.16.C.
Q.6: My biggest, and most important question does not pertain to the scope of work being requested, but to better understand the strategy of shoring up a sport that peaked in the 1980's, instead of supporting NYS breeders with a campaign or incentive push to rehome or breed expressly for non-racing purposes, more in line with the OTTB efforts in recent years.

Creating a wider market outside of racing for a breed that excels in events that require stamina (endurance, eventing) would offer new opportunities for owners and breeders of retired and non-raced horses. I’d very much like to understand your direction of enticing new racing owners in more detail.

A.6: This question is not relevant to the RFP in relation to bidder responses; therefore it is not being addressed in this summary.

Q.7: Part 2.20 SUB-CONTRACT APPROVAL

(a) Are interns felt to be an appropriate solution? There are many young people looking for internships in the field of Equine Marketing, and would provide a low cost solution in many instances.

(b) Please define what is considered to be "local/regional staffing" for horse show and other event dates. Are these hires also considered "sub-contractors" to the State?

A.7: (a) It is the responsibility of the bidder to determine how they will fulfill the requirements under the RFP and to present such in their proposal. The use of interns would be permissible.

(b) This language under Section 1.2 of the RFP as well as other language related to staffing (Sections 3.1.B (1) and 4.3) have been revised. See revisions in the Acknowledgement Form that precedes this Q & A Summary.

Q.8: GOALS

(a) What is the overall defined goal for this project? Is there a defined goal for the number of horses to be bred, sold/purchased, or raced?

(b) How will success be measured? Does the state have the option to cancel the contract if these goals are not reached?

(c) Is there a defined target demographic for new owners in place?

(d) Is a portion of this fund to be used to promote the racinos themselves as part of this contract?
A.8:  (a) There is no specific defined goal for this project in the sense presented in this question. The “goal” of the project is to promote the Fund and help it achieve its mission to promote agriculture through the breeding of horses and to increase attendance at racing events, as described in the RFP.

(b) There is no specific measure as it relates to the success of the project. The “goal” of the project, as noted above in A.8.a, is to promote the Fund and help it achieve its mission to promote agriculture through the breeding of horses. If it is determined that the work being provided by a successful bidder is not meeting the needs of the Fund or the purpose of the work to be performed under the contract, the contract does contain termination language that the Fund could impose.

(c) No. It will be the responsibility of the awardee to develop that as part of the scope of service.

(d) The Budget allocated under the contract resulting from this solicitation is not intended to promote the racinos.

Q.9:  (a) What is the annual budget for the Awards banquet? What is the annual budget for the Night of Champions Event? What is the annual budget for the New Owner Seminar series?

(b) Can this be a webinar instead of an on-site event at each track to save investment?

A.9:  (a) The annual budget is $250,000. Section 3.2 of the RFP outlines the breakdown of the budget into an Account Budget (NTE $200,000) and Promotional Budget (NTE $50,000). The Account Budget will be used to cover all expenses not directly related to the purchase of promotional items to be used at events. Note, as provided in Section 3.1.B.2 of the RFP, it is expected that tickets will be sold for the annual awards banquet to offset the cost of the banquet.

(b) A webinar may be used as an adjunct to an on-site event, but not instead of an on-site presence. It is important to have a face-to-face presence at these events and to engage interesting and knowledgeable speakers.

Q.10:  Creative Development.

(a) Is the Media placement contracted with the Contractor or with the State directly? Who is responsible for resulting penalties if the media contract is reduced mid-way through the year?

(b) Stakes calendar for 3500 classrooms. What classrooms are these and what level of education?
A.10 (a) The media placement is the responsibility of the contractor; therefore any contracts will be between the contractor and the media company. It is not anticipated that a contract would be reduced mid-way. As provided in the RFP, Scope of Work, each year, the Contractor will be required to develop an annual advertising and promotional (the “Plan”). The Plan will be reviewed by the Fund and a response provided to the Contractor either of acceptance or discussion and further revision.

(b) The language under Section 3.1.C(4) has been revised. See revision in the Acknowledgement Form that precedes this Q & A summary.

Q.11: Fund Website

(a) Who is providing the website development (non-content) changes to code or ensuring uptime? Does this also fall under this Contract’s responsibility, or is this separate?

(b) What platform/CSS does the Fund website use?

(c) Are there plans to rebuild the website within the next three years?

A.11: (a) The Fund utilizes a webmaster for the non-content web work. The successful bidder will be responsible for creative development and content management, as described in Section 3.1.E of the RFP.

(b) The Fund website does not use a specific named platform or CSS. The website is hosted in Unix using HTML and PHP. Software for the site is leased through TechnoMosaic LLC from Shelbyville, Indiana. The software that TecnoMOSAIC leases allows remote updates.

The website does have a PayPal access feature, but that is not operated by TechnoMOSAIC LLC.

TechnoMOSAIC is a software company that provides support in the thoroughbred and harness industry. They have representatives who live in Saratoga Springs and Vermont.

(c) There are no plans to rebuild the website, but the Fund would welcome ideas from the successful bidder. If it is determined that the website should be rebuilt, that work would be covered outside of the contract resulting from this solicitation.
**Pricing Proposal Form**

**DIRECTIONS FOR COMPLETING THIS FORM:** Bidder must complete each of the categories enumerated below as directed for each category. Bidder must use this Attachment 2. Alternate forms or a variation of this form will deem the Pricing Proposal non-responsive.

1. **Annual Fixed Fee:** the Annual Fixed Fee will cover all responsibilities and efforts required of the successful bidder to carry out the services under the Scope of Work.

   **Note:** Hourly rates for staffing of events will be paid at the rates outlined below in this form. All costs for annual fees, event staffing, media placements and any other activities needed to carry out the scope of work will be paid out of the Account Budget. Promotional items will be covered under the Promotional Budget as defined in the RFP.

<table>
<thead>
<tr>
<th></th>
<th>April 1, 2017 - March 31, 2018</th>
<th>April 1, 2018 - March 31, 2019</th>
<th>April 1, 2019 - March 31, 2020</th>
<th>Sum of Annual Fees for three years</th>
</tr>
</thead>
<tbody>
<tr>
<td>Annual Fixed Fee</td>
<td>$ ___________</td>
<td>$ ___________</td>
<td>$ ___________</td>
<td>(1) $ ___________</td>
</tr>
</tbody>
</table>

2. **Racing Finals, Horse Sales, and Banquets:** It is anticipated that staffing of the events below will be accomplished utilizing contract staffing. The rates stated herein will be utilized, and the associated costs will be charged to the Account Budget. Enter the staffing rate for each category below for each contract year (columns a through c). Enter the sum of all years in column d. Multiply the sum from column (d) by the estimated number of hours per event in column (e). Enter the total cost in column (f) for each event. **Note:** Quantities are an estimate only. Payment will be based on actual hours worked.

<table>
<thead>
<tr>
<th>Event</th>
<th>(a)</th>
<th>(b)</th>
<th>(c)</th>
<th>(d) Sum of Rates for three years</th>
<th>(e) Estimated # of Hours Per Event</th>
<th>(f) Total Estimated Three Year Cost Per Event</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Racing Finals</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>County Fair Racing Final</td>
<td>$ _____</td>
<td>$ _____</td>
<td>$ _____</td>
<td>$ _____ x 6</td>
<td>$ ___________</td>
<td></td>
</tr>
<tr>
<td>Sire Stakes Racing Series Final</td>
<td>$ _____</td>
<td>$ _____</td>
<td>$ _____</td>
<td>$ _____ x 6</td>
<td>$ ___________</td>
<td></td>
</tr>
<tr>
<td>Excelsior Racing Series Final</td>
<td>$ _____</td>
<td>$ _____</td>
<td>$ _____</td>
<td>$ _____ x 6</td>
<td>$ ___________</td>
<td></td>
</tr>
<tr>
<td><strong>Annual Horse Sales</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Goshen, NY (one-day event)</td>
<td>$ _____</td>
<td>$ _____</td>
<td>$ _____</td>
<td>$ _____ x 8</td>
<td>$ ___________</td>
<td></td>
</tr>
<tr>
<td>Morrisville, NY (one-day event)</td>
<td>$ _____</td>
<td>$ _____</td>
<td>$ _____</td>
<td>$ _____ x 8</td>
<td>$ ___________</td>
<td></td>
</tr>
<tr>
<td>Harrisburg, PA (five-day event)</td>
<td>$ _____</td>
<td>$ _____</td>
<td>$ _____</td>
<td>$ _____ x 40</td>
<td>$ ___________</td>
<td></td>
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<tr>
<td><strong>Annual Banquets (staffing only)</strong></td>
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<tr>
<td>Annual Awards Banquet</td>
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<td>$ _____</td>
<td>$ _____</td>
<td>$ _____ x 8</td>
<td>$ ___________</td>
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<tr>
<td>&quot;Night of Champions&quot; Event</td>
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<td>$ _____</td>
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<td>$ _____ x 8</td>
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</tr>
<tr>
<td><strong>Total</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>(2) $ ___________</td>
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</tbody>
</table>
### (3) Additional Events:
The regional rates below will apply to staffing of the county fair racing series events (excluding finals), by the successful bidder in the event Fund staff is not available, as well as staffing of events proposed by the successful bidder in their Plan. In cases where the Fund staff may be utilized, their time is not charged to the Account Budget (RFP §3.2). In cases where the contractor will provide staffing, the rates stated herein will be utilized, and the associated costs will be charged to the Account Budget. A regional map of New York State is attached to this Pricing Proposal Form. Bidder shall enter the hourly rates specific to each region for each year of the contract (a - c). Enter the sum of all years in column (d). Multiply the sum from column (d) by the estimated number of hours per event in column (e). Enter the total cost in column (f) for each event. **Note:** Quantities are an estimate only. Payment will be based on actual hours worked.

<table>
<thead>
<tr>
<th>Region</th>
<th>(a) April 1, 2017 - March 31, 2018</th>
<th>(b) April 1, 2018 - March 31, 2019</th>
<th>(c) April 1, 2019 - March 31, 2020</th>
<th>(d) Sum of Rates for three years</th>
<th>(e) Estimated # of Hours Per Event</th>
<th>(f) Total Cost Per Event</th>
</tr>
</thead>
<tbody>
<tr>
<td>Region 1</td>
<td>$_________</td>
<td>$_________</td>
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<td>$_________</td>
<td>x 8</td>
<td>$_________</td>
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<tr>
<td>Region 2</td>
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<td>x 8</td>
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<tr>
<td>Region 3</td>
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<td>$_________</td>
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<tr>
<td>Region 4</td>
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<td>$_________</td>
<td>$_________</td>
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<tr>
<td>Region 5</td>
<td>$_________</td>
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<td>$_________</td>
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<td>Region 6</td>
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<td>Region 7</td>
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<td>Region 8</td>
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### Grand Total (sum of (1) (2) (3))

$_________