



Finance Department – Treasury Division

MEMORANDUM

To: Mayor and Members of the City Council

From: James C. Goins, Finance Director/Treasurer
Tracey T. Lovely, Investment Analyst

A handwritten signature in blue ink, appearing to be "J.C. Goins", written over the printed name of James C. Goins.

Date: December 4, 2012

Subject: MONTHLY CASH BALANCES & INVESTMENT REPORTS –
October 2012

Enclosed for your information are the Portfolio Summary, Investment Report, and Cash Report for the month of October 2012 prepared by the City Treasurer pursuant to the statutory requirements of the State of California.

City of Richmond
 Investment Report for OCTOBER 2012
 Pooled Investment Portfolio Analysis

Investment Composition:

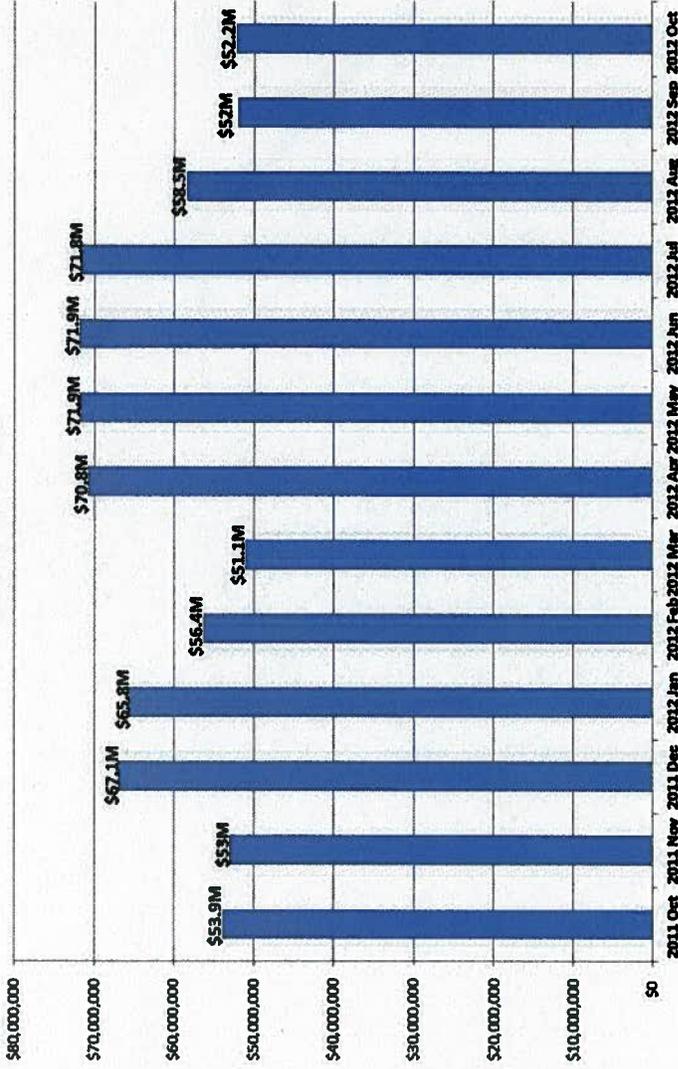
Book Value of Investments Held \$52,812,215.73
 Market Value of Investments Held 53,170,545.73
 Unrealized Gain (Loss) - amount 358,330.00
 Unrealized Gain (Loss) - percentage 0.67%

	Amount	%
Federal Agency Securities	36,495,950.00	69.11%
Money Market	2,422,010.67	4.59%
LAIF	5,124,347.55	9.70%
Commercial Paper	2,000,000.00	3.79%
Sweep Account	6,769,907.51	12.82%
	<u>52,812,215.73</u>	<u>100.00%</u>

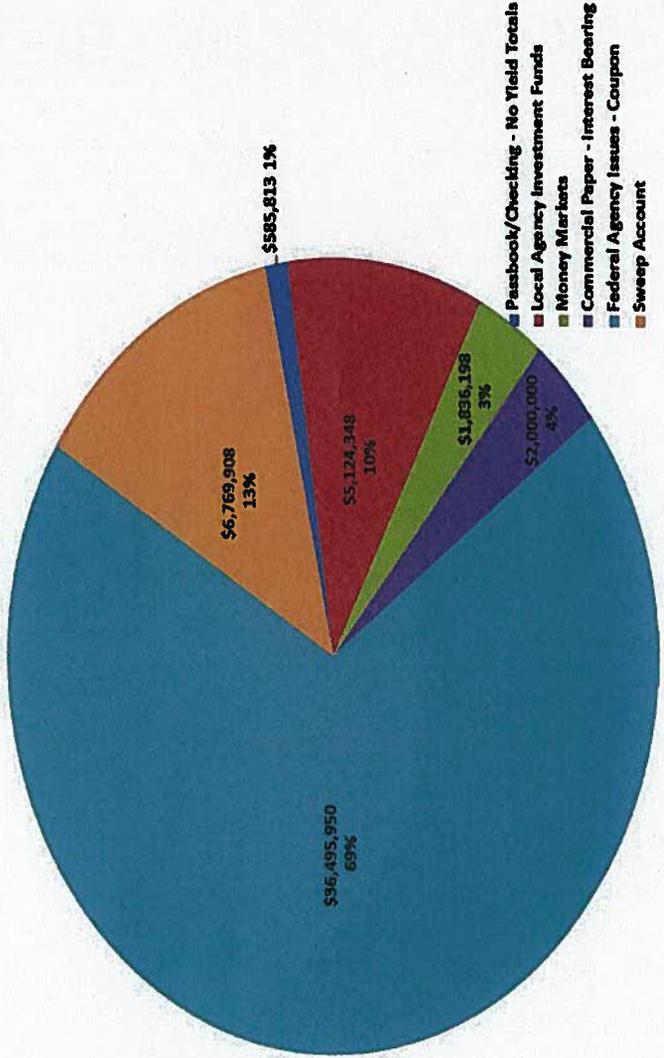
Cash Summary:

Pooled Investments 52,812,215.73
 Fiscal Agent Investments (City & Successor Agency-RCRA) 111,462,446.33
 Checking Accounts & Other Activity (13,840,680.89)
 Successor Agency-RCRA & Other Restricted Investments 11,360,045.87
 Total Cash Balance (detail attached) 161,794,027.04
 179,005,358.10
 (17,211,331.06)

Book Value History



Book Value by Investment Type





**City of Richmond
Portfolio Management
Portfolio Summary
October 31, 2012**

City of Richmond
Finance Department
450 Civic Center Plaza
Richmond, CA 94804
(510)620-6740

Investments	Par Value	Market Value	Book Value	% of Portfolio	Term	Days to Maturity	YTM/C 360 Equiv.	YTM/C 365 Equiv.
Local Agency Investment Funds	5,124,347.55	5,124,347.55	5,124,347.55	9.81	1	1	0.335	0.340
Money Markets	1,836,197.91	1,836,197.91	1,836,197.91	3.52	1	1	0.134	0.136
Commercial Paper - Interest Bearing	2,000,000.00	1,993,680.00	2,000,000.00	3.83	1,468	1,194	1.550	1.572
Federal Agency Issues - Coupon	36,500,000.00	36,860,600.00	36,495,950.00	69.88	1,826	300	1.365	1.384
Sweep Account	6,769,907.51	6,769,907.51	6,769,907.51	12.96	1	1	0.089	0.100
Investments	52,230,452.97	52,584,732.97	52,226,402.97	100.00%	1,333	255	1.063	1.078
Cash								
Passbook/Checking (not included in yield calculations)	585,812.76	585,812.76	585,812.76		1	1	0.000	0.000
Total Cash and Investments	52,816,265.73	53,170,545.73	52,812,215.73		1,333	255	1.063	1.078

Total Earnings	October 31	Month Ending	Fiscal Year To Date
Current Year	121,161.36		300,760.24
Average Daily Balance	53,655,085.93		63,673,801.30
Effective Rate of Return	2.66%		1.40%

The above investments are consistent with the City's Investment Policy and allowable under current legislation of the State of California. Investments were selected using safety, liquidity and yield as the criteria. The source of the market values for the investments are provided by Union Bank of California in accordance with the California Government Code requirement. The City has sufficient cash flow to cover anticipated expenditures through the next six months.

James Goins, Director of Finance/Treasurer *[Signature]* 12/5/2012

**City of Richmond
Portfolio Management
Portfolio Details - Investments
October 31, 2012**

CUSIP	Investment #	Issuer	Average Balance	Purchase Date	Par Value	Market Value	Book Value	Stated Rate	S&P	YTM/C 365	Days to Maturity	Maturity Date
Local Agency Investment Funds												
11-07-003	200676	L.A.I.F. - TRAN			13.49	13.49	13.49	0.340		0.340	1	
98-07-724	1000	L.A.I.F. - City of Richmond			5,124,334.06	5,124,334.06	5,124,334.06	0.340		0.340	1	
SYS200751	200751	L.A.I.F. - Redevelopment			0.00	0.00	0.00	0.348		0.348	1	
		Subtotal and Average	4,379,586.23		5,124,347.55	5,124,347.55	5,124,347.55			0.340	1	
Money Markets												
SYS200595	200595	Torrey Pines/Alta Alliance			438,397.54	438,397.54	438,397.54	0.150		0.152	1	
SYS200601	200601	Cal Trust			301,541.01	301,541.01	301,541.01	0.340		0.345	1	
1601111884	200581	Wells Fargo Bank			344,695.60	344,695.60	344,695.60	0.100		0.101	1	
SYS1030	1030	Mechanics Bank			479,710.17	479,710.17	479,710.17	0.090		0.091	1	
431114503	200534	Union Bank of Calif. - Safekeep			271,853.59	271,853.59	271,853.59			0.000	1	
		Subtotal and Average	2,535,047.17		1,836,197.91	1,836,197.91	1,836,197.91			0.136	1	
Commercial Paper - Interest Bearing												
36962G5T7	200727	General		02/01/2012	2,000,000.00	1,993,680.00	2,000,000.00	1.550		1.572	1,194	02/08/2016
		Subtotal and Average	2,000,000.00		2,000,000.00	1,993,680.00	2,000,000.00			1.572	1,194	
Federal Agency Issues - Coupon												
31331G2Y4	200673	Federal Farm Credit Bank		11/05/2009	3,000,000.00	3,143,400.00	3,000,000.00	2.800	AAA	2.800	734	11/05/2014
3134G25G3	200725	Federal Home Loan Mortgage Cor		11/21/2011	3,000,000.00	3,001,950.00	2,999,700.00	1.500	AAA	1.510	20	11/21/2016
3134G3ZM5	200748	Federal Home Loan Mortgage Cor		08/01/2012	2,500,000.00	2,503,200.00	2,500,000.00	1.070	AAA	1.070	92	08/01/2017
31398AZ54	200898	Federal National Mortgage Asso		08/04/2010	3,000,000.00	3,152,250.00	2,998,950.00	2.150	AAA	2.157	1,006	08/04/2015
3136FTME6	200724	Federal National Mortgage Asso		11/16/2011	3,000,000.00	3,001,530.00	2,999,700.00	1.550	AAA	1.560	15	11/16/2016
3136G0JX0	200737	Federal National Mortgage Asso		05/30/2012	3,000,000.00	3,011,070.00	2,999,400.00	1.250	AAA	1.270	210	05/30/2017
3136G0JB8	200739	Federal National Mortgage Asso		05/30/2012	3,000,000.00	3,011,190.00	2,998,950.00	1.200	AAA	1.235	210	05/30/2017
3136G0NC1	200743	Federal National Mortgage Asso		06/28/2012	3,000,000.00	3,006,960.00	2,999,250.00	0.750	AAA	0.775	239	06/28/2017
3136G0QG6	200744	Federal National Mortgage Asso		06/29/2012	2,000,000.00	2,003,040.00	2,000,000.00	1.125	AAA	1.125	239	06/28/2017
3135G0MNO	200745	Federal National Mortgage Asso		06/29/2012	3,000,000.00	3,012,980.00	3,000,000.00	1.125	AAA	1.125	239	06/28/2017
3136G0UN9	200746	Federal National Mortgage Asso		07/26/2012	3,000,000.00	3,002,400.00	3,000,000.00	1.010	AAA	1.010	267	07/26/2017
3135G0MW0	200747	Federal National Mortgage Asso		08/09/2012	2,500,000.00	2,505,325.00	2,500,000.00	1.050	AAA	1.050	281	08/09/2017
3135G0MW0	200749	Federal National Mortgage Asso		08/09/2012	2,500,000.00	2,505,325.00	2,500,000.00	1.050	AAA	1.050	281	08/09/2017
		Subtotal and Average	39,312,642.06		36,500,000.00	36,860,600.00	36,495,950.00			1.384	300	
Sweep Account												
1001	1001	Mechanics Bank		04/12/2006	6,769,907.51	6,769,907.51	6,769,907.51	0.100		0.100	1	

Portfolio CITY
CP
PM (PRF_PMT) 7.3.0

**City of Richmond
Portfolio Management
Portfolio Details - Investments
October 31, 2012**

CUSIP	Investment #	Issuer	Average Balance	Purchase Date	Par Value	Market Value	Book Value	Stated Rate	S&P	YTM/C 365	Days to Maturity
		Subtotal and Average	3,331,533.86		6,769,907.51	6,769,907.51	6,769,907.51			0.100	1
		Total and Average	53,655,085.93		52,230,452.97	52,584,732.97	52,226,402.97			1.078	255

**City of Richmond
Portfolio Management
Portfolio Details - Cash
October 31, 2012**

CUSIP	Investment #	Issuer	Average Balance	Purchase Date	Par Value	Market Value	Book Value	Stated Rate	S&P	YTM/C 365	Days to Maturity
Cash In Banks											
SYS200723	200723	Mechanics Bank	0.00	07/01/2012	585,812.76	585,812.76	585,812.76			0.000	1
		Average Balance	0.00								1
		Total Cash and Investments	53,655,085.93		52,816,265.73	53,170,545.73	52,812,215.73			1.078	255

**CITY OF RICHMOND
CASH BALANCES BY FUND
OCTOBER 2012**

		<u>OCTOBER 2012</u>	
<u>FUND</u>	<u>FUND DESCRIPTION</u>	<u>AMOUNT</u>	<u>TOTAL</u>
<u>GENERAL FUND</u>			
0001	GENERAL FUND	15,770,161.26	15,770,161.26
<u>SPECIAL REVENUE FUNDS</u>			
1001	SECURED PENSION OVERRIDE	1,214,708.18	
1002	STATE GAS TAX	3,248,993.97	
1003	PARATRANSIT OPERATIONS	(194,628.25)	
1004	ASSET SEIZURE FUND	412,024.44	
1005	LIBRARY FUND	677,853.87	
1006	OUTSIDE FUNDED SVCS - GRANTS	289,378.37	
1007	EMERGENCY MED SERV	157,311.27	
1008	PT MOLATE SEC & MAINT	(364,758.04)	
1009	VEOLIA MITIGATION	64,812.16	
1010	N.RICHMOND WASTE	355,721.90	
1011	OUTSIDE FUNDED SVCS - DONATION	39,369.96	
1012	HILLTOP LANDSCAPE MAINT DIST	637,197.56	
1013	HAZMAT FUND	338,684.54	
1014	EDA GRANT FUND	166,362.29	*
1015	MARINA BAY LNDSCP & LIGHT DIST	780,036.64	
1050	CR-PLANNING & BUILDING	(4,236,685.21)	
1051	CR-ENGINEERING	1,788,053.41	
1053	CR-CODE ENFORCEMENT	(1,082,202.73)	
1054	ENGINEERING GRANTS	(3,522,575.73)	
1201	CDBG	765,679.51	
1202	HOME PROGRAM	(115,247.77)	
1203	NEIGHBORHOOD STABILIZATION	(352,208.24)	
1204	CDBG RECOVERY	14,151.56	
1205	EMPLOYMENT & TRAINING	815,396.64	
1206	CDBG HOMELESS PREV RAPID RESP	(30,056.31)	
1208	SUCCESSOR HOUSING AGENCY	24,986.87	*
1209	CAL-HOME GRANT FUND	(606,016.18)	*
			1,286,344.68

<u>FUND</u>	<u>FUND DESCRIPTION</u>	<u>AMOUNT</u>	<u>TOTAL</u>
<u>CAPITAL PROJECT FUNDS</u>			
2001	GENERAL CAPITAL FUND	3,558,574.71	
2002	MEASURE J	745,424.57	
2003	CIP LSE REV BOND 01	607,008.73	
2004	CIVIC CENTER	838,089.95	
2006	PARKS FUND	(1,038,081.77)	
2007	HARBOR FUND	837,344.88	
2008	TRANSPORTATION FUND	1,013.62	
2009	STATE HIGHWAY FUND	711,624.78	
2110	IMPACT FEE - PARKS	1,765,135.31	
2111	IMPACT FEE - TRAFFIC	(2,860,659.79)	
2113	IMPACT FEE - FIRE	47,908.71	
2114	IMPACT FEE - POLICE	121,016.37	
2115	IMPACT FEE - COMM/AQUATC	168,496.14	
2116	IMPACT FEE - PARKS/OPEN	(660,401.63)	
2117	IMPACT FEE - LIBRARY	205,157.48	
2118	IMPACT FEE - HILLTOP	(2,127.50)	
2119	IMPACT FEE - STORM DRAINAGE	(183,588.29)	4,861,936.27
<u>DEBT SERVICE FUNDS</u>			
3001	DS - 2005 TAXABLE POB	226,030.54	
3002	DS - 99A PENSION OBLIG BOND	(7,666.71)	
3003	DS - 95A SER REV RFDG BDS	733,889.93	
3005	DS-2007 REFNDING&CVC CTR	555,423.44	1,507,677.20
<u>ENTERPRISE FUNDS</u>			
4001	PORT OF RICHMOND	6,921,937.90	
4003	WASTEWATER	30,586,627.36	
4005	MARINA	2,698,150.68	
4006	STORMWATER	(2,241,211.90)	
4008	KCRT - CABLE TELEVIS	(5,604.13)	37,959,899.91

FUND FUND DESCRIPTION

INTERNAL SERVICE FUNDS

5001 INSURANCE RESERVES
5002 INFORMATION TECHNOLOGY
5003 EQUIPMENT SERVICES
5004 FACILITIES MANAGEMENT
5005 CAD DISPATCH SYSTEM
5006 RMS RECORDS SERVICES
5007 800 MHZ TELECOM SYSTEM

AMOUNT

21,258,268.98
25.00
2,612,902.51
202.90
351,553.46
103,402.96
6,488.89

TOTAL

24,332,844.70

TRUST & AGENCY FUNDS

6001 GENERAL TRUST & AGENCY
6002 JOHNSON TRUST
6003 CUBA FRIENDSHIP
6004 COMMISSION ON AGING
6005 SEAVER GALLERY TRUST FUND
6006 POLICE GENERAL TRUST
6007 SENIOR TRUST DEPOSIT
6049 PT MOLATE NAVY GRANT
6050 GENERAL PENSION FUND
6051 POLICE & FIRE PENSION
6052 GARFIELD PENSION FUND
6055 HILLTOP REDEMPTION F
6056 SAN PABLO 854 ASSES
6057 HARBOR NAVIGATION IM
6058 MARINA WESTSHORE DEB
6059 COUNTRY CLUB VISTA
6060 REASSESSMENT DISTRICT 2003-1
6999 PAYROLL LIABILITIES FUND

46,917.69
10,088.19
1,955.19
34,339.07
156,711.37
844,722.43
33,974.00
21,092,879.86
583,094.80
14,665,487.23
224,493.53
(250.00)
248,127.83
584,380.60
833,764.25
1,496,195.80
2,626,519.19
1,506,689.04

9999 TREASURER'S FUND -

10,757.19

44,990,090.07

10,757.19

TOTAL

AMOUNT

FUND DESCRIPTION

FUND

SUCCESSOR AGENCY - RCRA

COR SUCCESSOR AGENCY ADMIN

7001	COR SUCCESSOR AGENCY ADMIN	17,810,934.93
7101	RCRA ADMIN	(1,298,988.88)
7102	HSNG ADMIN	(997,077.65)
7201	CIP/RCRA	(7,289,212.40)
7202	CIP/HSNG	1,151,508.44
7203	CIP/HENSLY	55,194.93
7204	CIP/DTOWN	387,000.71
7205	CIP/HAR11A	1,859,100.62
7206	CIP/L-MHSG	(989,907.76)
7207	CIP/JP-00A	690,225.30
7208	CIP/JP-00B	1,068,532.34
7209	CIP/DTOWN	96,079.06
7310	CIP/HAR11A	4,938,013.73
7312	CIP/2003B	308,258.89
7313	CIP/04A-RA	1,641,033.07
7314	CIP/04A-HS	816,915.42
7315	CIP/04B-HS	1,171,334.09
7316	CIP/07A-BD	5,202,797.77
7317	CIP/07B-BD	3,442,311.21
7401	DS/ESTSHRE	(248,390.16)
7402	DS/POTRERO	(453,020.15)
7403	DS/PILOT	592,501.22
7404	DS/HENSLEY	(774,660.49)
7405	DS/DTOWN	(663,325.96)
7406	DS/GALVIN	(455,595.65)
7407	DS/NEVIN	(57,399.07)
7408	DS/N-RCHD	(31,465.86)
7409	DS/HRBR DS	(4,316,934.64)
7510	DS/91HRBR	79,807.63
7511	DS/98HRBR	2,644,458.96
7512	DS/6AHRBR	(485,060.99)
7513	DS/WF02LN	(503,835.43)
7601	2003A DEBT	556,558.89
7602	2003B DEBT	623,345.59
7603	2004A DEBT	2,658,981.45
7604	2000A DEBT	1,931,043.52

<u>FUND</u>	<u>FUND DESCRIPTION</u>	<u>AMOUNT</u>	<u>TOTAL</u>
7701	2004A HSNG	1,688,171.95	
7702	2004B HSNG	194,639.53	
7703	2007B HSNG	938,339.41	
7996	CO-07A&10A TARBS RS-TMP 01.31	2,471,065.76 *	
7997	CO-07B TARBS-HSNG RS-TMP 01.31	2,671,933.45 *	39,125,212.78
<u>RICHMOND HOUSING AUTHORITY</u>			
8101	RHA - CONVENTIONAL FUND	(8,050,897.02)	(8,050,897.02)
TOTAL CASH			161,794,027.04
			161,794,027.04

* - New Funds created in September 2012

