



**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 

**Date:** February 8, 2013

**Subject:** **MONTHLY CASH BALANCES & INVESTMENT REPORTS –  
December 2012**

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



**City of Richmond  
Portfolio Management  
Portfolio Summary  
December 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	20,124,347.55	20,124,347.55	20,124,347.55	30.58	1	1	0.322	0.326
Money Markets	3,609,697.79	3,609,697.79	3,609,697.79	5.49	1	1	0.063	0.064
Commercial Paper - Interest Bearing	2,000,000.00	1,982,300.00	2,000,000.00	3.04	1,468	1,133	1.550	1.572
Federal Agency Issues - Coupon	34,500,000.00	34,843,600.00	34,494,450.00	52.42	1,826	272	1.298	1.316
Sweep Account	5,580,765.63	5,580,765.63	5,580,765.63	8.48	1	1	0.128	0.130
<b>Investments</b>	<b>65,814,810.97</b>	<b>66,120,710.97</b>	<b>65,809,260.97</b>	<b>100.00%</b>	<b>1,002</b>	<b>178</b>	<b>0.840</b>	<b>0.852</b>
<b>Cash</b>								
Passbook/Checking (not included in yield calculations)	100,000.00	100,000.00	100,000.00		1	1	0.000	0.000
<b>Total Cash and Investments</b>	<b>65,914,810.97</b>	<b>66,220,710.97</b>	<b>65,909,260.97</b>		<b>1,002</b>	<b>178</b>	<b>0.840</b>	<b>0.852</b>

Total Earnings	December 31 Month Ending	Fiscal Year To Date
Current Year	45,391.41	392,197.66
Average Daily Balance	57,888,120.96	60,778,029.69
Effective Rate of Return	0.92%	1.28%

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

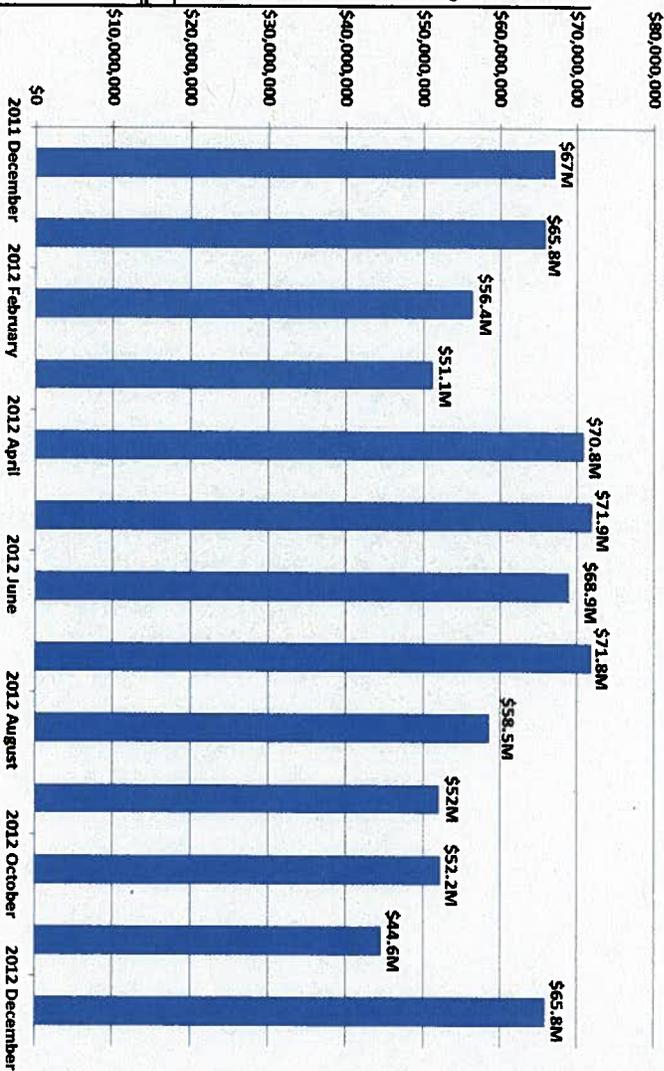
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Reporting period 12/01/2012-12/31/2012

Run Date: 02/08/2013 - 14:03

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

Book Value History

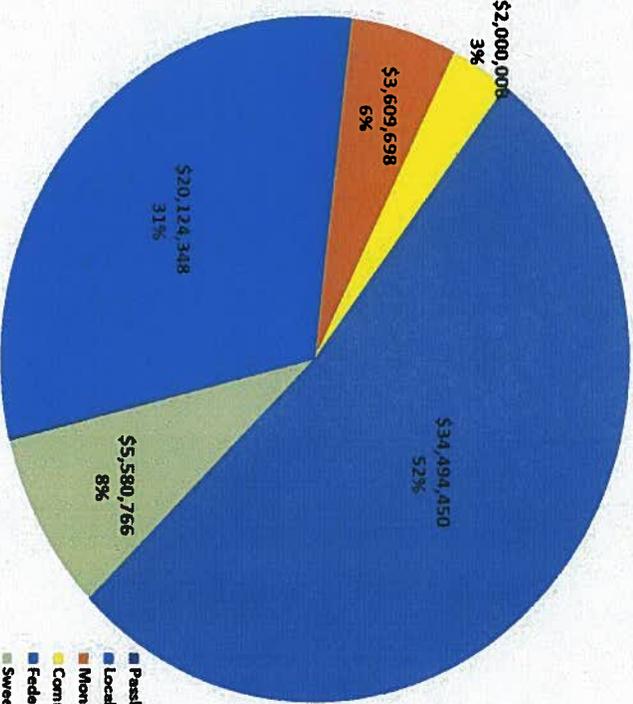


**Investment Composition:**  
 Book Value of Investments Held  
 Market Value of Investments Held  
 Unrealized Gain (Loss) - amount  
 Unrealized Gain (Loss) - percentage

	%	Amount
Federal Agency Securities	52.34%	34,494,450.00
Money Market	5.63%	3,709,697.79
LAI	30.53%	20,124,347.55
Commercial Paper	3.03%	2,000,000.00
Sweep Account	8.47%	5,580,765.63
	100.00%	65,909,260.97

**Cash Summary:**

Pooled Investments	65,909,260.97
Fiscal Agent Investments (City & Successor Agency-RCRA)	102,862,016.98
Successor Agency-RCRA & Other Restricted Investments	10,323,824.75
Checking Accounts & Other Activity	(1,118,541.92)
Total Cash Balance (detail attached)	177,976,560.78



- Pasbook/Checking - No Yield Totals
- Local Agency Investment Funds
- Money Markets
- Commercial Paper - Interest Bearing
- Federal Agency Issues - Coupon
- Sweep Account

**City of Richmond  
Portfolio Management  
Portfolio Details - Investments  
December 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
<b>Local Agency Investment Funds</b>												
11-07-003	200676	L.A.I.F. - TRAN			13.49	13.49	13.49	0.326		0.326	1	
98-07-724	1000	L.A.I.F. - City of Richmond			20,124,334.06	20,124,334.06	20,124,334.06	0.326		0.326	1	
SYS200751	200751	L.A.I.F. - Redevelopment			0.00	0.00	0.00	0.348		0.348	1	
		<b>Subtotal and Average</b>	<b>9,640,476.58</b>		<b>20,124,347.55</b>	<b>20,124,347.55</b>	<b>20,124,347.55</b>			<b>0.326</b>	<b>1</b>	
<b>Money Markets</b>												
SYS200595	200595	Torrey Pines/Alta Alliance			438,507.45	438,507.45	438,507.45	0.150		0.152	1	
SYS200801	200801	Cal Trust			301,720.72	301,720.72	301,720.72	0.300		0.304	1	
1601111894	200581	Wells Fargo Bank			344,753.21	344,753.21	344,753.21	0.100		0.101	1	
SYS1030	1030	Mechanics Bank			479,774.31	479,774.31	479,774.31	0.080		0.081	1	
431114503	200534	Union Bank of Calif - Safekeep			2,044,942.10	2,044,942.10	2,044,942.10	0.000		0.000	1	
		<b>Subtotal and Average</b>	<b>1,910,836.76</b>		<b>3,609,697.79</b>	<b>3,609,697.79</b>	<b>3,609,697.79</b>			<b>0.064</b>	<b>1</b>	
<b>Commercial Paper - Interest Bearing</b>												
36962G5T7	200727	General		02/01/2012	2,000,000.00	1,962,300.00	2,000,000.00	1.550		1.572	1,133	02/08/2016
		<b>Subtotal and Average</b>	<b>2,000,000.00</b>		<b>2,000,000.00</b>	<b>1,962,300.00</b>	<b>2,000,000.00</b>			<b>1.572</b>	<b>1,133</b>	
<b>Federal Agency Issues - Coupon</b>												
31331G2Y4	200673	Federal Farm Credit Bank		11/05/2009	3,000,000.00	3,134,550.00	3,000,000.00	2.800	AAA	2.800	673	11/05/2014
3133813R4	200754	Federal Home Loan Bank		11/09/2012	2,000,000.00	2,004,280.00	1,999,400.00	1.006	AAA	1.066	128	11/09/2017
3133813D5	200755	Federal Home Loan Bank		11/16/2012	2,000,000.00	2,003,660.00	1,999,100.00	1.009	AAA	1.100	134	11/15/2017
3133813R4	200756	Federal Home Loan Bank		11/09/2012	2,000,000.00	2,004,280.00	1,999,400.00	1.006	AAA	1.012	128	11/09/2017
3134G3ZM5	200748	Federal Home Loan Mortgage Cor		08/01/2012	2,500,000.00	2,501,900.00	2,500,000.00	1.070	AAA	1.070	31	08/01/2017
31398AZ54	200698	Federal National Mortgage Asso		08/04/2010	3,000,000.00	3,131,190.00	2,999,950.00	2.150	AAA	2.157	945	08/04/2015
3136G0JX0	200737	Federal National Mortgage Asso		05/30/2012	3,000,000.00	3,010,080.00	2,999,400.00	1.250	AAA	1.270	149	05/30/2017
3136G0JB8	200739	Federal National Mortgage Asso		05/30/2012	3,000,000.00	3,010,080.00	2,999,950.00	1.200	AAA	1.235	149	05/30/2017
3136G0NC1	200743	Federal National Mortgage Asso		06/28/2012	3,000,000.00	3,007,590.00	2,999,250.00	0.750	AAA	0.775	178	06/28/2017
3135G0MN9	200745	Federal National Mortgage Asso		06/29/2012	3,000,000.00	3,012,240.00	3,000,000.00	1.125	AAA	1.125	178	06/29/2017
3136G0JW0	200746	Federal National Mortgage Asso		07/26/2012	3,000,000.00	3,007,800.00	3,000,000.00	1.010	AAA	1.010	206	07/26/2017
3135G0MNV0	200747	Federal National Mortgage Asso		08/09/2012	2,500,000.00	2,507,975.00	2,500,000.00	1.050	AAA	1.050	220	08/09/2017
3135G0MNV0	200749	Federal National Mortgage Asso		08/09/2012	2,500,000.00	2,507,975.00	2,500,000.00	1.050	AAA	1.050	220	08/09/2017
		<b>Subtotal and Average</b>	<b>36,236,385.48</b>		<b>34,500,000.00</b>	<b>34,843,600.00</b>	<b>34,494,450.00</b>			<b>1.316</b>	<b>272</b>	
<b>Sweep Account</b>												
1001	1001	Mechanics Bank		04/12/2006	5,580,765.63	5,580,765.63	5,580,765.63	0.130		0.130	1	

Portfolio CITY

CP  
PM (PRF\_PMD) 7.3.0

Report Ver: 7.3.3b

**City of Richmond  
Portfolio Management  
Portfolio Details - Investments  
December 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
	<b>Subtotal and Average</b>		<b>5,324,664.77</b>		<b>5,590,765.63</b>	<b>5,590,765.63</b>	<b>5,590,765.63</b>			<b>0.130 1</b>
	<b>Total and Average</b>		<b>57,898,120.96</b>		<b>66,814,810.97</b>	<b>66,120,710.97</b>	<b>65,809,260.97</b>			<b>0.852 178</b>

**City of Richmond  
Portfolio Management  
Portfolio Details - Cash  
December 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
<b>Cash In Banks</b>										
SVS200723	200723	Mechanics Bank	0.00	07/01/2012	100,000.00	100,000.00	100,000.00			0.000 1
		Average Balance								1
		<b>Total Cash and Investments</b>	<b>57,888,120.96</b>		<b>65,914,810.97</b>	<b>66,220,710.97</b>	<b>65,909,260.97</b>			<b>0.852 178</b>

CITY OF RICHMOND  
 CASH BALANCES BY FUND  
 December 2012

DECEMBER 2012

<u>FUND</u>	<u>FUND DESCRIPTION</u>	<u>AMOUNT</u>	<u>TOTAL</u>
<b>GENERAL FUND</b>			
0001	GENERAL FUND	26,467,318.20	26,467,318.20
<b>SPECIAL REVENUE FUNDS</b>			
1001	SECURED PENSION OVERRIDE	2,205,289.84	
1002	STATE GAS TAX	2,545,326.10	
1003	PARATRANSIT OPERATIONS	(333,826.75)	
1004	ASSET SEIZURE FUND	413,902.39	
1005	LIBRARY FUND	662,123.08	
1006	OUTSIDE FUNDED SVCS - GRANTS	198,800.04	
1007	EMERGENCY MED SERV	143,699.35	
1008	PT MOLATE SEC & MAINT	(364,758.04)	
1009	VEOLIA MITIGATION	71,229.64	
1010	N.RICHMOND WASTE	339,974.18	
1011	OUTSIDE FUNDED SVCS - DONATION	39,471.18	
1012	HILLTOP LANDSCAPE MAINT DIST	819,575.47	
1013	HAZMAT FUND	364,442.05	
1014	EDA GRANT FUND	167,112.29	*
1015	MARINA BAY LNDSCP & LIGHT DIST	906,739.18	
1016	DOWNTOWN BUSINESS IMPRV DIST	83,360.20	*
1050	CR-PLANINING & BUILDING	(4,714,332.51)	
1051	CR-ENGINEERING	2,420,378.20	
1053	CR-CODE ENFOCEMENT	(1,473,005.30)	
1054	ENGINEERING GRANTS	29,479.04	
1201	CDBG	410,447.05	
1202	HOME PROGRAM	(120,461.75)	
1203	NEIGHBORHOOD STABILIZATION	(353,488.37)	
1204	CDBG RECOVERY	14,151.56	
1205	EMPLOYMENT & TRAINING	475,706.62	
1206	CDBG HOMELESS PREV RAPID RESP	(30,056.31)	*
1208	SUCCESSOR HOUSING AGENCY	64,736.85	*
1209	CAL-HOME GRANT FUND	(606,207.64)	*
			<b>4,379,807.64</b>

<u>FUND</u>	<u>FUND DESCRIPTION</u>	<u>AMOUNT</u>	<u>TOTAL</u>
<b><u>CAPITAL PROJECT FUNDS</u></b>			
2001	GENERAL CAPITAL FUND	2,014,827.18	
2002	MEASURE J	704,125.88	
2003	CIP LSE REV BOND 01	608,569.46	
2004	CIVIC CENTER	756,139.71	
2006	PARKS FUND	(1,038,081.77)	
2007	HARBOR FUND	773,677.84	
2008	TRANSPORTATION FUND	1,037.98	
2009	STATE HIGHWAY FUND	621,832.37	
2110	IMPACT FEE - PARKS	1,700,403.05	
2111	IMPACT FEE - TRAFFIC	(2,860,659.79)	
2113	IMPACT FEE - FIRE	48,031.89	
2114	IMPACT FEE - POLICE	120,782.49	
2115	IMPACT FEE - COMM/AQUATC	166,436.50	
2116	IMPACT FEE - PARKS/OPEN	(660,401.63)	
2117	IMPACT FEE - LIBRARY	203,605.48	
2118	IMPACT FEE - HILLTOP	(2,127.50)	
2119	IMPACT FEE - STORM DRAINAGE	(183,588.29)	
2125	SECTION 108 IRON TRIANGLE	1,510,867.41	
			4,485,478.26
<b><u>DEBT SERVICE FUNDS</u></b>			
3001	DS - 2005 TAXABLE POB	4,674,019.81	
3002	DS - 99A PENSION OBLIG BOND	(7,666.71)	
3003	DS - 95A SER REV RFDG BDS	734,085.06	
3005	DS-2007 REFNDING&CVC CTR	556,541.29	
			5,956,979.45
<b><u>ENTERPRISE FUNDS</u></b>			
4001	PORT OF RICHMOND	7,510,692.20	
4003	WASTEWATER	36,951,852.73	
4005	MARINA	2,733,866.72	
4006	STORMWATER	(1,455,346.87)	
4008	KCRT - CABLE TELEVIS	173,309.36	
			45,914,374.14

<u>FUND</u>	<u>FUND DESCRIPTION</u>	<u>AMOUNT</u>	<u>TOTAL</u>
<b>INTERNAL SERVICE FUNDS</b>			
5001	INSURANCE RESERVES	19,232,180.49	
5003	EQUIPMENT SERVICES	2,722,371.08	
5004	FACILITIES MANAGEMENT	202.90	
5005	CAD DISPATCH SYSTEM	309,404.86	
5006	RMS RECORDS SERVICES	155,353.61	
5007	800 MHZ TELECOM SYSTEM	6,505.58	
			<b>22,426,018.52</b>

<u>FUND</u>	<u>FUND DESCRIPTION</u>	<u>AMOUNT</u>	<u>TOTAL</u>
<b>TRUST &amp; AGENCY FUNDS</b>			
6001	GENERAL TRUST & AGENCY	(170.00)	
6002	JOHNSON TRUST	10,114.13	
6003	CUBA FRIENDSHIP	1,960.22	
6004	COMMISSION ON AGING	26,049.23	
6005	SEAVER GALLERY TRUST FUND	157,086.33	
6006	POLICE GENERAL TRUST	918,826.87	
6007	SENIOR TRUST DEPOSIT	31,427.84	
6049	PT MOLATE NAVY GRANT	20,893,596.51	
6050	GENERAL PENSION FUND	494,740.20	
6051	POLICE & FIRE PENSION	14,223,205.22	
6052	GARFIELD PENSION FUND	210,485.15	
6055	HILLTOP REDEMPTION F	(250.00)	
6056	SAN PABLO 854 ASSES	248,765.81	
6057	HARBOR NAVIGATION IM	506,577.51	
6058	MARINA WESTSHORE DEB	612,825.38	
6059	COUNTRY CLUB VISTA	1,364,371.54	
6060	REASSESSMENT DISTRICT 2003-1	2,358,166.84	
6999	PAYROLL LIABILITIES FUND	1,672,429.89	
			<b>43,730,208.67</b>

<u>FUND</u>	<u>FUND DESCRIPTION</u>	<u>AMOUNT</u>	<u>TOTAL</u>
<b>SUCCESSOR AGENCY - FIDUCIARY FUNDS</b>			
6101	SA - PROPERTY TAX TRUST FUND	10,753,395.87	
6102	SA-ADMINISTRATION	78,829.14	
6103	SA-CAPITAL PROJECT FUNDS	(4,896,149.28)	
6104	SA-LOW/MOD INCOME HOUSING	(240,128.81)	
6105	SA-WELLS FARGO 2002 LOAN	(501,875.00)	
6201	SA-CIP 00A TAR BND PRCD S-JPFA	689,905.88	
6202	SA-CIP 00B TAR BND PRCD S-HSNG	945,057.01	
6203	SA-CIP 03B TAR BND PRCD S	308,258.89	

Cash Bal by FUND Dec 12

<u>FUND</u>	<u>FUND DESCRIPTION</u>	<u>AMOUNT</u>	<u>TOTAL</u>
6204	SA-CIP 04A TARB BND PRCD	1,634,429.90	*
6205	SA-CIP 04A TARB BND PRCD	756,477.95	*
6206	SA-CIP 04B TARB BND PRCD	1,218,447.97	*
6207	SA-CIP 07A TARB BND PRCD	1,399,943.76	*
6208	SA-CIP 07B TARB BND PRCD	2,107,444.45	*
6300	SA-DS HARBOR 98 TARB	3,104,041.67	*
6301	SA-DS 2000A TARB	2,472,743.61	*
6302	SA-DS 2000B TARB - HOUSING	709,480.16	*
6303	SA-DS 2003A TARB	1,514,905.66	*
6304	SA-DS 2003B TARB	1,296,830.52	*
6305	SA-DS 2004A TARB 2/3	1,849,710.62	*
6306	SA-DS 2004A TARB - 1/3 HSING	924,855.31	*
6307	SA-DS 2004B TARB - HOUSING	232,235.74	*
6308	SA-DS 2007/10A TARB	6,262,433.86	*
6309	SA-DS 2007/10B TARB - HOUSING	1,684,999.25	*
6996	SUCCESSOR AGENCY - GLTDAG	-	*
6997	SUCCESSOR AGENCY - GFAAG	-	*
			34,306,274.13

**SUCCESSOR AGENCY - RCRA (OLD FUNDS)**

7101	RCRA ADMIN	(868,992.68)
7102	HSNG ADMIN	(132,034.21)
7201	CIP/RCRA	(2,180,283.27)
7202	CIP/HSNG	1,245,878.03
7203	CIP/HENSLY	55,194.93
7204	CIP/DTOWN	378,939.15
7205	CIP/HAR11A	1,783,263.92
7206	CIP/L-MHSG	(990,293.80)
7207	CIP/JP-00A	319.42
7208	CIP/JP-00B	123,475.33
7209	CIP/DTOWN	31,586.59
7310	CIP/HAR11A	2,225,908.30
7313	CIP/04A-RA	6,603.17
7314	CIP/04A-HS	60,437.47
7315	CIP/04B-HS	(47,113.88)
7316	CIP/07A-BD	(1,059,639.68)
7317	CIP/07B-BD	1,757,311.96
7401	DS/ESTSHRE	(248,390.64)
7402	DS/POTRERO	(453,020.40)
7403	DS/PILOT	592,499.75

<u>FUND</u>	<u>FUND DESCRIPTION</u>	<u>AMOUNT</u>	<u>TOTAL</u>
7404	DS/HENSLEY	(774,660.84)	
7405	DS/DTOWN	(663,327.91)	
7406	DS/GALVIN	(455,595.85)	
7407	DS/NEVIN	(57,399.07)	
7408	DS/N-RCHD	(31,465.91)	
7409	DS/HRBR DS	(4,316,935.17)	
7510	DS/91HRBR	79,807.63	
7511	DS/98HRBR	1,604,681.04	
7512	DS/6AHRBR	(485,075.61)	
7513	DS/MF02LN	(172.69)	
7601	2003A DEBT	(602,503.02)	
7602	2003B DEBT	(337,265.93)	
7603	2004A DEBT	1,052,360.83	
7604	2000A DEBT	(183,925.09)	
7701	2004A HSNB	884,861.64	
7702	2004B HSNB	(5,327.46)	
7703	2007B HSNB	350,491.64	
7996	CO-07A&10A TARBS RS-TMP 01.31	-	*
7997	CO-07B TARBS-HSNB RS-TMP 01.31	-	*
			(1,659,802.31)

RICHMOND HOUSING AUTHORITY

8101 RHA - CONVENTIONAL FUND

(8,146,962.24)

(8,146,962.24)

TREASURER'S FUNDS

9999 TREASURER'S FUND -

116,866.32

116,866.32

**TOTAL CASH**

**177,976,560.78**

\* - New Funds

177,976,560.78