



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: December 14, 2011

Subject: **MONTHLY CASH BALANCES & INVESTMENT REPORTS –
November 2011**

Enclosed for your information are the Portfolio Summary, Investment Report, and Cash Report for the month of November 2011 prepared by the City Treasurer pursuant to the statutory requirements of the State of California.



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

**City of Richmond
 Portfolio Management
 Portfolio Summary
 November 30, 2011**

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	511,297.54	511,297.54	511,297.54	0.97	1	1	0.396	0.401
Money Markets	1,713,873.36	1,713,873.36	1,713,873.36	3.23	1	1	0.265	0.269
Federal Agency Issues - Coupon	46,050,000.00	46,514,793.00	45,980,575.66	86.79	1,794	580	2.218	2.249
Sweep Account	4,775,350.09	4,775,350.09	4,775,350.09	9.01	1	1	0.168	0.170
Investments	53,050,520.99	53,515,313.99	52,981,096.65	100.00%	1,557	504	1.953	1.980
Cash and Accrued Interest								
Passbook/Checking (not included in yield calculations)	389,830.45	389,830.45	389,830.45		1	1	0.000	0.000
Accrued Interest at Purchase		750.00	750.00					
Subtotal		390,580.45	390,580.45					
Total Cash and Investments	53,440,351.44	53,905,894.44	53,371,677.10		1,557	504	1.953	1.980

Total Earnings	November 30 Month Ending	Fiscal Year To Date
Current Year	80,745.85	490,433.37
Average Daily Balance	51,873,277.89	62,223,959.30
Effective Rate of Return	1.89%	1.88%

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]* 12-22-11

Reporting period 11/01/2011-11/30/2011

Portfolio CITY
 NLI AP
 PM (PRF_PM1) SymRept 6.41.202b
 Report Ver. 5.00

City of Richmond
Portfolio Management
Portfolio Details - Investments
November 30, 2011

CUSIP	Investment #	Issuer	Average Balance	Purchase Date	Par Value	Market Value	Book Value	Stated Rate	Moody's	YTM/C 365	Days to Maturity	Maturity Date
Local Agency Investment Funds												
11-07-003	200676	L.A.I.F. - TRAN		07/01/2010	13.45	13.45	13.45	0.401		0.401	1	
98-07-724	1000	L.A.I.F. - City of Richmond		07/01/2010	91,555.29	91,555.29	91,555.29	0.401		0.401	1	
55-07-001	1020	L.A.I.F. - Pension Fund		07/01/2010	190,393.05	190,393.05	190,393.05	0.401		0.401	1	
65-07-007	1010	L.A.I.F. - Redevelopment		07/01/2010	229,335.75	229,335.75	229,335.75	0.401		0.401	1	
		Subtotal and Average	13.45		511,297.54	511,297.54	511,297.54			0.401	1	
Money Markets												
SYS200595	200595	Torrey Pines/Alta Alliance		07/01/2010	437,524.62	437,524.62	437,524.62	0.400		0.406	1	
SYS200707	200707	CALTRUST TRAN		12/31/2010	7,410.09	7,410.09	7,410.09	0.560		0.568	1	
SYS200601	200601	Cal Trust		07/01/2010	300,955.50	300,955.50	300,955.50	0.560		0.568	1	
1601111894	200581	Wells Fargo Bank		07/01/2010	344,379.75	344,379.75	344,379.75	0.020		0.020	1	
SYS1030	1030	Mechanics Bank		07/01/2010	497,110.58	497,110.58	497,110.58	0.200		0.203	1	
SYS200684	200684	Mechanics Bank - 2009 TRAN Acc		07/01/2010	0.00	0.00	0.00	0.050		0.051	1	
431114503	200534	Union Bank of Calif - Safekeep		07/01/2010	126,492.82	126,492.82	126,492.82	0.001		0.001	1	
SYS200692	200692	Wells Fargo CSCDA TRAN 2009		07/01/2010	0.00	0.00	0.00	0.500		0.507	1	
		Subtotal and Average	7,410.09		1,713,873.36	1,713,873.36	1,713,873.36			0.269	1	
Federal Agency Issues - Coupon												
31331G2Y4	200673	Federal Farm Credit Bank		11/05/2009	3,000,000.00	3,175,860.00	3,000,000.00	2.800	Aaa	2.800	1,070	11/05/2014
313373L59	200710	Federal Home Loan Bank		04/27/2011	2,000,000.00	2,013,660.00	1,999,139.87	2.000	Aaa	2.051	148	07/27/2015
31398AZ54	200698	Federal National Mortgage Asso		08/04/2010	3,000,000.00	3,122,250.00	2,999,228.25	2.150	Aaa	2.157	1,342	08/04/2015
3136FPTL1	200713	Federal National Mortgage Asso		05/05/2011	3,000,000.00	3,020,460.00	2,944,148.46	1.500	Aaa	2.981	333	10/29/2015
3136FPYV3	200700	Federal National Mortgage Asso		12/02/2010	3,000,000.00	3,008,250.00	3,000,000.00	3.500	Aaa	3.500	1,462	12/02/2015
3136FP4R5	200708	Federal National Mortgage Asso		04/19/2011	5,000,000.00	5,016,000.00	5,000,000.00	2.375	Aaa	2.375	1,518	01/27/2016
3134G2LY6	200717	Federal Home Loan Mortgage Cor		06/29/2011	2,000,000.00	2,018,340.00	1,996,337.78	2.000	Aaa	2.042	211	06/29/2016
3136FRUM3	200716	Federal National Mortgage Asso		06/29/2011	3,000,000.00	3,021,390.00	2,997,253.33	2.000	Aaa	2.102	211	06/29/2016
3136FRV2	200714	Federal National Mortgage Asso		07/06/2011	4,050,000.00	4,056,723.00	4,048,138.13	2.150	Aaa	2.251	36	07/06/2016
31331KSN1	200718	Federal Farm Credit Bank		07/27/2011	3,000,000.00	3,027,990.00	3,000,000.00	2.040	Aaa	2.040	239	07/27/2016
3134G2TH5	200721	Federal Home Loan Mortgage Cor		07/27/2011	3,000,000.00	3,028,260.00	2,999,720.67	2.050	Aaa	2.060	239	07/27/2016
3136FRE58	200719	Federal National Mortgage Asso		07/27/2011	3,000,000.00	3,020,550.00	2,997,905.00	2.000	Aaa	2.076	239	07/27/2016
3136FRET4	200720	Federal National Mortgage Asso		08/01/2011	3,000,000.00	3,019,410.00	2,999,300.00	2.000	Aaa	2.025	244	08/01/2016
3136FTME6	200724	Federal National Mortgage Asso		11/16/2011	3,000,000.00	2,979,000.00	2,999,702.50	1.500	Aaa	1.560	351	11/16/2016
3134G25G3	200725	Federal Home Loan Mortgage Cor		11/21/2011	3,000,000.00	2,986,650.00	2,999,701.67	1.500	Aaa	1.510	356	11/21/2016
		Subtotal and Average	2,499,750.97		46,050,000.00	46,514,793.00	45,980,575.66			2.249	580	

**City of Richmond
Portfolio Management
Portfolio Details - Investments
November 30, 2011**

CUSIP	Investment #	Issuer	Average Balance	Purchase Date	Par Value	Market Value	Book Value	Stated Rate	Moody's	YTM/C 365	Days to Maturity	Maturity Date
1001	1001	Mechanics Bank		04/12/2006	4,775,350.09	4,775,350.09	4,775,350.09	0.170		0.170	1	
		Subtotal and Average	6,282,909.78		4,775,350.09	4,775,350.09	4,775,350.09			0.170	1	
		Total and Average	9,544,793.77		53,050,520.99	53,515,313.99	52,981,096.65			1.980	504	

Sweep Account

**City of Richmond
Portfolio Management
Portfolio Details - Cash
November 30, 2011**

CUSIP	Investment #	Issuer	Average Balance	Purchase Date	Par Value	Market Value	Book Value	Stated Rate	Moody's	YTM/C 365	Days to Maturity
Cash In Banks											
SYS200723	200723	Mechanics Bank	0.00	02/08/2011	389,830.45	389,830.45	389,830.45			0.000	1
		Average Balance	0.00	Accrued Interest at Purchase		750.00	750.00				1
		Subtotal				390,580.45	390,580.45				
		Total Cash and Investmentss	51,873,277.89		53,440,351.44	53,905,894.44	53,371,677.10			1.980	504

City of Richmond

Investment Report for November 2011

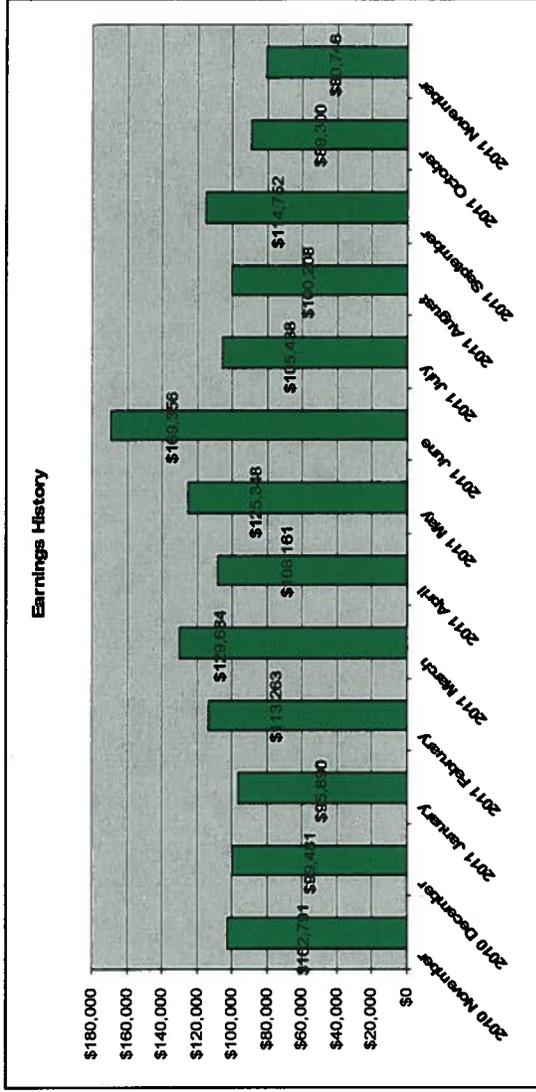
Pooled Investment Portfolio Analysis

Return on Investments:

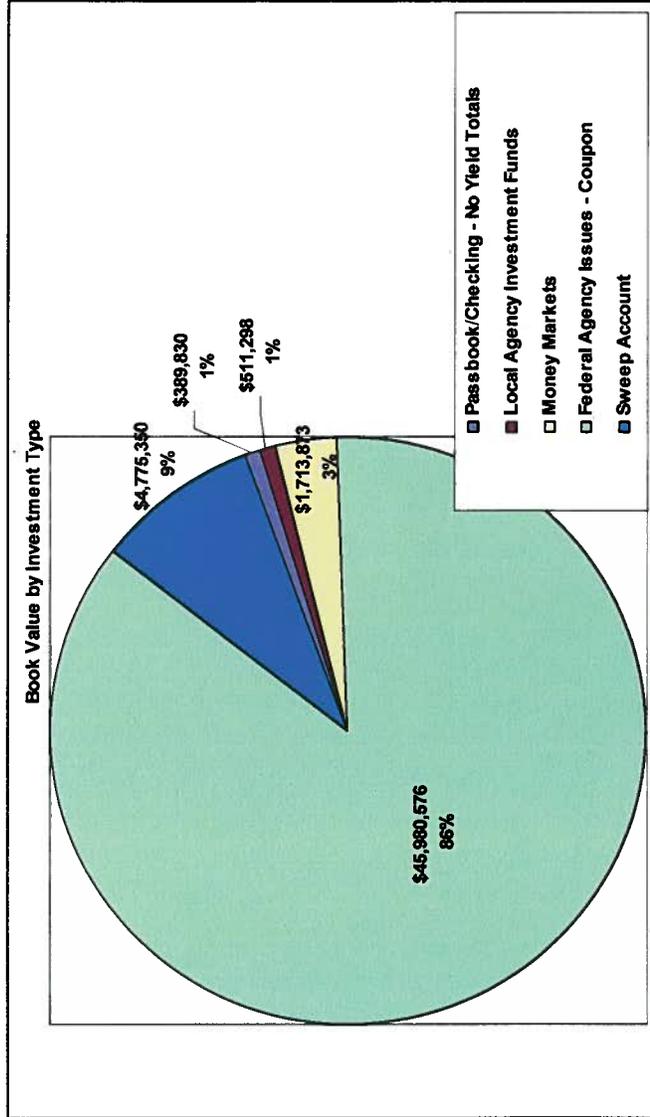
\$53,371,677.10
 53,905,894.44
 534,217.34
 1%

Investment Composition:

Book Value of Investments Held
 Market Value of Investments Held
 Unrealized Gain (Loss) - amount
 Unrealized Gain (Loss) - percentage



November 2010 to November 2011



	%	Amount
Federal Agency Securities	86.15%	45,980,576.00
Money Market	3.21%	1,713,873.00
LAIF	0.96%	511,298.00
Sweep Account	9.68%	5,165,930.10
	100.00%	53,371,677.10

Cash Summary:

Pooled Investments
 Fiscal Agent Investments
 Outstanding Checks and Misc.
 Checking Accounts & Other Activity
 RCRA Fiscal Agent Accts & Others
 Total Cash Balance (detail attached)

\$52,981,096.65
 118,864,981.02
 (3,748,129.33)
 1,341,294.45
 12,235,879.79
 181,675,122.58

CITY OF RICHMOND
CASH BALANCES BY FUND TYPE
NOVEMBER 30, 2011

FUND DESCRIPTION

GENERAL FUND	9,267,999.95
SPECIAL REVENUE FUNDS	(4,277,030.13)
CAPITAL PROJECT FUNDS	11,622,333.99
DEBT SERVICE FUNDS	1,296,651.69
ENTERPRISE FUNDS	49,622,702.83
INTERNAL SERVICE FUNDS	32,780,642.99
TRUST & AGENCY FUNDS	52,192,703.01
REDEVELOPMENT AGENCY	36,182,075.59
RICHMOND HOUSING AUTHORITY	<u>(7,012,957.34)</u>
TOTAL CASH	<u><u>181,675,122.58</u></u>

CITY OF RICHMOND
 CASH BALANCES BY FUND
 NOVEMBER 30, 2011

<u>FUND</u>	<u>FUND DESCRIPTION</u>	<u>AMOUNT</u>	<u>TOTAL</u>
<u>GENERAL FUND</u>			
0001	GENERAL FUND	9,267,999.95	9,267,999.95
<u>SPECIAL REVENUE FUNDS</u>			
1001	SECURED PENSION OVERRIDE	(783,480.18)	
1002	STATE GAS TAX	4,624,924.40	
1003	PARATRANSIT OPERATIONS	(752,046.00)	
1004	ASSET SEIZURE FUND	241,012.27	
1005	LIBRARY FUND	465,232.20	
1006	OUTSIDE FUNDED SVCS - GRANTS	292,950.28	
1007	EMERGENCY MED SERV	135,099.64	
1008	PT MOLATE SEC & MAINT	76,064.63	
1009	VEOLIA MITIGATION	47,897.78	
1010	N.RICHMOND WASTE	167,582.76	
1011	OUTSIDE FUNDED SVCS - DONATION	39,752.57	
1012	HILLTOP LANDSCAPE MAINT DIST	(132,041.66)	
1013	HAZMAT FUND	429,896.34	
1015	MARINA BAY LNDSCP & LIGHT DIST	348,794.18	
1050	CR-PLANNING & BUILDING	(5,597,299.40)	
1051	CR-ENGINEERING	314,300.41	
1053	CR-CODE ENFORCEMENT	(2,986,494.48)	
1054	ENGINEERING GRANTS	(2,261,700.93)	
1201	CDBG	1,390,892.66	
1202	HOME PROGRAM	(492,081.30)	
1203	NEIGHBORHOOD STABILIZATION	933,498.91	
1204	CDBG RECOVERY	(22,454.44)	
1205	EMPLOYMENT & TRAINING	(662,256.46)	
1206	CDBG HOMELESS PREV RAPID RESP	(95,074.31)	
			(4,277,030.13)

<u>FUND</u>	<u>FUND DESCRIPTION</u>	<u>AMOUNT</u>	<u>TOTAL</u>
<u>REDEVELOPMENT AGENCY</u>			
7101	RCRA ADMIN	(990,767.78)	
7102	HSNG ADMIN	(689,828.64)	
7201	CIP/RCRA	1,532,952.06	
7202	CIP/HSNG	(524,174.95)	
7203	CIP/HENSLY	53,194.93	
7204	CIP/DTOWN	667,004.40	
7205	CIP/HAR11A	2,304,183.28	
7206	CIP/L-MHSG	4,128,280.63	
7207	CIP/JP-00A	690,210.61	
7208	CIP/JP-00B	1,068,512.74	
7209	CIP/DTOWN	289,682.56	
7310	CIP/HAR11A	4,137,399.85	
7312	CIP/2003B	308,253.38	
7313	CIP/04A-RA	1,640,998.47	
7314	CIP/04A-HS	816,900.42	
7315	CIP/04B-HS	1,171,309.89	
7316	CIP/07A-BD	6,740,340.10	
7317	CIP/07B-BD	5,477,715.48	
7401	DS/ESTSHRE	11,389.54	
7402	DS/POTRERO	14,090.39	
7403	DS/PILOT	592,495.42	
7404	DS/HENSLEY	18,529.07	
7405	DS/DTOWN	54,030.37	
7406	DS/GALVIN	19,957.41	
7407	DS/NEVIN	26,011.36	
7408	DS/N-RCHD	1,651.54	
7409	DS/HRBR DS	105,649.90	
7510	DS/91HRBR	79,807.63	
7511	DS/98HRBR	1,039,901.71	
7512	DS/6AHRBR	8,372.92	
7513	DS/WF02LN	(116.28)	
7601	2003A DEBT	57,617.46	
7602	2003B DEBT	198,393.02	
7603	2004A DEBT	2,542,449.98	
7604	2000A DEBT	266,431.93	
7701	2004A HSNG	1,629,896.55	
7702	2004B HSNG	118,416.76	
7703	2007B HSNG	574,931.48	
			36,182,075.59

<u>FUND</u>	<u>FUND DESCRIPTION</u>	<u>AMOUNT</u>	<u>TOTAL</u>
	<u>RICHMOND HOUSING AUTHORITY</u>		
8101	RHA - CONVENTIONAL FUND	<u>(7,012,957.34)</u>	(7,012,957.34)
	TOTAL CASH		181,675,122.58