
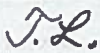




Finance Department – Treasury Division

MEMORANDUM

To: Mayor and Members of the City Council

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

Date: December 6, 2013

Subject: **MONTHLY CASH BALANCES & INVESTMENT REPORTS –
September 2013**

Enclosed for your information are the Portfolio Summary, Investment Report, and Cash Report for the month of September 2013 prepared by the City Treasurer pursuant to the statutory requirements of the State of California.

City of Richmond
Investment Report for September 2013
Pooled Investment Portfolio Analysis

Investment Composition:

Book Value of Investments Held	36,178,571.99
Market Value of Investments Held	35,573,262.99
Unrealized Gain (Loss) - amount	(605,309.00)
Unrealized Gain (Loss) - percentage	-1.70%

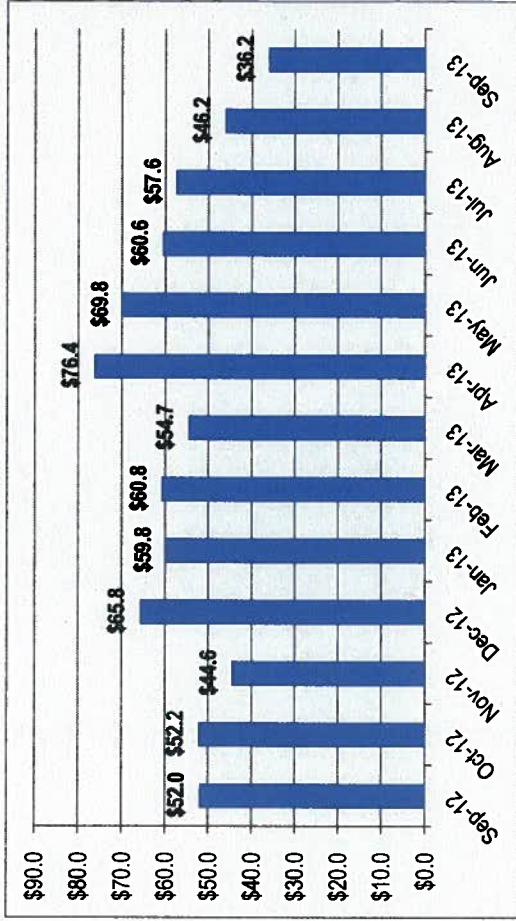
	%	Amount
Federal Agency Securities	84.27%	30,486,750.00
Money Market	3.00%	1,086,761.63
LAIF	0.13%	45,722.28
Certificates of Deposit	2.07%	750,000.00
Sweep Account	10.53%	3,809,338.08
	<u>100.00%</u>	<u>36,178,571.99</u>

Cash Summary:

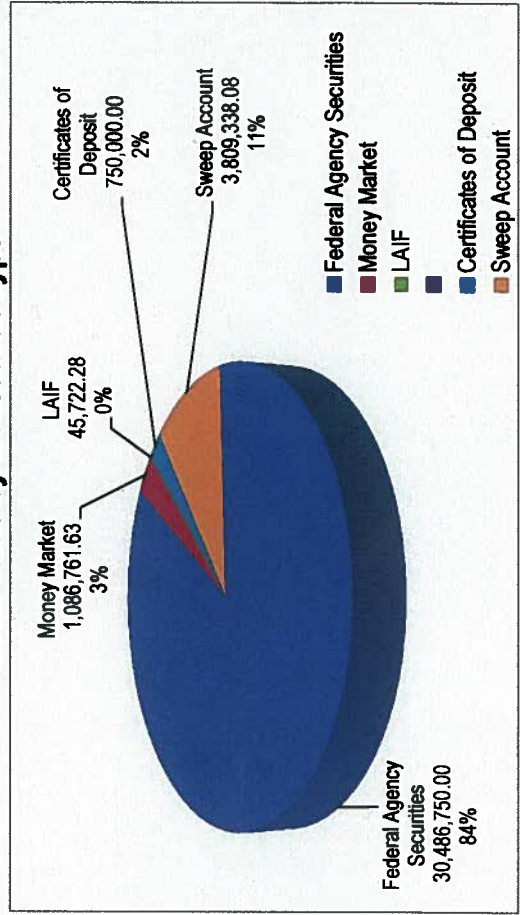
Pooled Investments	36,178,571.99
Fiscal Agent & Other Restricted Investments:	
City	76,933,072.41
Successor Agency to the RCRA	39,422,286.04 *
Total Fiscal Agent & Other Investments	<u>116,355,358.45</u>
Checking Accounts & Other Activity	<u>(4,300,432.77)</u>
Total Cash Balance (detail attached)	<u>148,233,497.67</u>

* Successor Agency cash accounts in Gen Ledger is overstated by \$7,413,940 (net) as of 9/30/13. Bank balance for the same period is \$32,008,346. Will be corrected in Oct 2013.

Book Value History
(in millions)



Book Value by Investment Type





**City of Richmond
Portfolio Management
Portfolio Summary
September 30, 2013**

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 366 Equiv.
Local Agency Investment Funds	45,722.28	45,722.28	45,722.28	0.13	1	1	0.253	0.257
Certificates of Deposit	250,000.00	243,607.50	250,000.00	0.69	1,826	1,673	1.150	1.166
Money Markets	1,086,761.63	1,086,761.63	1,086,761.63	3.02	1	1	0.184	0.187
Federal Agency Issues - Coupon	30,500,000.00	29,890,576.00	30,486,750.00	84.71	1,822	967	1.047	1.062
Certificates of Deposit-Bank	500,000.00	497,257.50	500,000.00	1.39	1,012	801	0.666	0.675
Sweep Account	3,621,043.72	3,621,043.72	3,621,043.72	10.06	1	1	0.059	0.060
Investments	36,003,527.63	35,384,968.63	35,990,277.63	100.00%	1,571	842	0.916	0.929

Cash and Accrued Interest

Passbook/Checking (not included in yield calculations)	188,294.36	188,294.36	188,294.36		1	1	0.000	0.000
Accrued Interest at Purchase		81.67	81.67					
Subtotal		188,376.03	188,376.03					
Total Cash and Investments	36,191,821.99	35,573,344.66	36,178,653.66		1,571	842	0.916	0.929

Total Earnings	September 30	Month Ending	Fiscal Year To Date
Current Year	-113,389.38		107,967.57
Average Daily Balance	77,332,312.80		64,348,226.53
Effective Rate of Return	-1.78%		0.67%

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

11-20-13

**City of Richmond
Portfolio Management
Portfolio Details - Investments
September 30, 2013**

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			13.52	13.52	13.52	0.257		0.257	1	
98-07-724	1000	L.A.I.F. - City of Richmond			45,708.76	45,708.76	45,708.76	0.257		0.257	1	
SYS200751	200751	L.A.I.F. - Redevelopment			0.00	0.00	0.00	0.348		0.348	1	
		Subtotal and Average	45,722.28		45,722.28	45,722.28				0.257	1	
Certificates of Deposit												
254671NJ5	200788	Discover Bank		05/01/2013	250,000.00	243,607.50	250,000.00	1.150		1.166	1,673	05/01/2018
		Subtotal and Average	250,000.00		250,000.00	243,607.50				1.166	1,673	
Money Markets												
SYS200595	200595	Torrey Pines/Alta Alliance			438,999.70	438,999.70	438,999.70	0.150		0.152	1	
SYS200601	200601	Cal Trust			302,459.10	302,459.10	302,459.10	0.330		0.335	1	
160111894	200581	Wells Fargo Bank			345,011.16	345,011.16	345,011.16	0.100		0.101	1	
431114503	200534	Union Bank of Calif - Safekeep			291.67	291.67	291.67	0.000		0.000	1	
		Subtotal and Average	1,086,899.44		1,086,761.63	1,086,761.63				0.187	1	
Federal Agency Issues - Coupon												
3133ECFA7	200767	Federal Farm Credit Bank		02/13/2013	2,500,000.00	2,463,100.00	2,499,200.00	1.080	AAA	1.112	135	02/13/2018
3133ECMF8	200784	Federal Farm Credit Bank		04/25/2013	3,000,000.00	2,928,930.00	2,996,250.00	0.980	AAA	1.106	205	04/24/2018
313382FP3	200779	Federal Home Loan Bank		03/20/2013	3,000,000.00	2,910,540.00	2,995,500.00	1.030	AAA	1.061	1,631	03/20/2018
313382L76	200782	Federal Home Loan Bank		04/16/2013	3,000,000.00	2,945,610.00	2,998,500.00	1.104	AAA	1.114	1,658	04/16/2018
313382GQ0	200785	Federal Home Loan Bank		04/24/2013	3,000,000.00	2,944,590.00	3,000,000.00	1.050	AAA	1.050	1,631	03/20/2018
3134G33Y4	200766	Federal Home Loan Mortgage Cor		01/22/2013	2,000,000.00	1,962,580.00	1,997,000.00	0.950	AAA	1.026	478	01/22/2018
3134G42G2	200786	Federal Home Loan Mortgage Cor		04/30/2013	3,000,000.00	2,928,000.00	3,000,300.00	1.050	AAA	1.040	211	04/30/2018
3134G43V8	200787	Federal Home Loan Mortgage Cor		05/15/2013	3,000,000.00	2,916,150.00	3,000,000.00	1.050	AAA	1.050	1,687	05/15/2018
3134G43V8	200789	Federal Home Loan Mortgage Cor		05/15/2013	3,000,000.00	2,941,926.00	3,000,000.00	1.050	AAA	1.050	45	05/15/2018
3136G0UN9	200746	Federal National Mortgage Asso		07/26/2012	3,000,000.00	2,968,590.00	3,000,000.00	1.010	AAA	1.010	1,394	07/26/2017
3135G0MW0	200747	Federal National Mortgage Asso		08/09/2012	1,000,000.00	990,280.00	1,000,000.00	1.050	AAA	1.050	1,408	08/09/2017
3135G0MW0	200749	Federal National Mortgage Asso		08/09/2012	1,000,000.00	990,280.00	1,000,000.00	1.050	AAA	1.050	1,408	08/09/2017
		Subtotal and Average	35,152,376.67		30,500,000.00	29,890,576.00	30,486,760.00			1.062	967	
Certificates of Deposit-Bank												
05568P2U0	200775	BMW BANK		03/04/2013	250,000.00	248,415.00	250,000.00	0.700		0.700	889	03/08/2016
38147JB0	200774	GOLDMAN SACHS		03/04/2013	250,000.00	248,842.50	250,000.00	0.650		0.650	713	09/14/2015
		Subtotal and Average	500,000.00		500,000.00	497,257.50	500,000.00			0.675	801	

**City of Richmond
Portfolio Management
Portfolio Details - Investments
September 30, 2013**

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
1001	1001	Mechanics Bank		04/12/2006	3,621,043.72	3,621,043.72	3,621,043.72	0.060		0.060	1	
		Subtotal and Average	6,689,271.26		3,621,043.72	3,621,043.72	3,621,043.72			0.060	1	
		Total and Average	77,332,312.80		36,003,527.63	36,384,966.63	36,990,277.63			0.329	842	

**City of Richmond
Portfolio Management
Portfolio Details - Cash
September 30, 2013**

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		07/01/2013	188,294.36	188,294.36	188,294.36			0.000	1
		Average Balance	0.00	Accrued Interest at Purchase		81.67	81.67				1
		Subtotal				188,376.03	188,376.03				
		Total Cash and Investments	77,332,312.80		36,191,821.99	35,573,344.66	36,178,653.66			0.929	842

CITY OF RICHMOND
 CASH BALANCES BY FUND (before FY 2013 Closing - run date 10/24/13)
 COMPARATIVE REPORT - SEPTEMBER 2013 AND SEPTEMBER 2012

FUND	FUND DESCRIPTION	SEPT 2012		SEPT 2013		% Change
		AMOUNT	TOTAL	AMOUNT	TOTAL	
GENERAL FUND						
0001	GENERAL FUND	25,403,799.95	25,403,799.95	15,145,051.05	15,145,051.05	59.6%
SPECIAL REVENUE FUNDS						
1001	SECURED PENSION OVERRIDE	1,214,339.00		358,032.27		
1002	STATE GAS TAX	3,309,380.70		1,947,133.91		
1003	PARATRANSIT OPERATIONS	(671,687.06)		(574,150.03)		
1004	ASSET SEIZURE FUND	325,392.54		421,694.06		
1005	LIBRARY FUND	660,980.13		684,959.14		
1006	OUTSIDE FUNDED SVCS - GRANTS	443,902.88		149,972.59		
1007	EMERGENCY MED SERV	161,005.56		99,915.98		
1008	PT MOLATE SEC & MAINT	(364,758.04)		(364,758.04)		
1009	VEOLIA MITIGATION	64,805.29		90,449.16		
1010	N.RICHMOND WASTE	367,617.68		145,392.70		
1011	OUTSIDE FUNDED SVCS - DONATION	39,365.20		26,476.56		
1012	HILLTOP LANDSCAPE MAINT DIST	610,046.96		175,939.87		
1013	HAZMAT FUND	338,692.39		648,822.74		
1014	EDA GRANT FUND	166,362.29 *		308,476.36		
1015	MARINA BAY LNDSCP & LIGHT DIST	553,061.29		436,207.45		
1016	DOWNTOWN BUSINESS IMPRV DIST			70.18		
1050	CR-PLANNING & BUILDING	(5,191,392.83)		(5,563,938.79)		
1051	CR-ENGINEERING	937,870.79		816,567.44		
1053	CR-CODE ENFORCEMENT	(3,114,589.10)		(3,384,064.44)		
1054	ENGINEERING GRANTS	(1,162,982.79)		599,912.12		
1200	HOUSING ADMINISTRATION			(378,497.52)		
1201	CDBG	825,810.60		417,699.71		
1202	HOME PROGRAM	475,726.14		(136,080.52)		
1203	NEIGHBORHOOD STABILIZATION	(352,208.24)		41,298.22		
1204	CDBG RECOVERY	14,151.56				
1205	EMPLOYMENT & TRAINING	819,268.89		1,030,223.66		
1206	CDBG HOMELESS PREV RAPID RESP	(30,056.31)		0.54		
1207	COR-NEIGHBORHOOD STAB(CITY)			(443,033.74)		
1208	SUCCESSOR HOUSING AGENCY	24,986.87 *		357,212.68		
1209	CAL-HOME GRANT FUND	(606,016.18) *	(140,923.79)	73,193.48	(2,014,872.26)	1429.8%

SEPT 2012

SEPT 2013

% Change

TOTAL

AMOUNT

TOTAL

AMOUNT

FUND DESCRIPTION

FUND

CAPITAL PROJECT FUNDS

2001	GENERAL CAPITAL FUND	3,837,181.49	
2002	MEASURE J	789,455.63	
2003	CIP LSE REV BOND 01	606,937.47	
2004	CIVIC CENTER	964,956.46	
2006	PARKS FUND	(1,038,081.77)	
2007	HARBOR FUND	1,087,257.74	
2008	TRANSPORTATION FUND	41,254.78	
2009	STATE HIGHWAY FUND	671,299.97	
2110	IMPACT FEE - PARKS	1,808,400.02	
2111	IMPACT FEE - TRAFFIC	(2,860,659.79)	
2113	IMPACT FEE - FIRE	47,903.08	
2114	IMPACT FEE - POLICE	121,002.12	
2115	IMPACT FEE - COMM/AQUATC	190,128.91	
2116	IMPACT FEE - PARKS/OPEN	(660,401.63)	
2117	IMPACT FEE - LIBRARY	205,130.29	
2118	IMPACT FEE - HILLTOP	(2,127.50)	
2119	IMPACT FEE - STORM DRAINAGE	(183,588.29)	
2125	SECTION 108 IRON TRIANGLE	-	
		5,626,048.98	

DEBT SERVICE FUNDS

3001	DS - 2005 TAXABLE POB	226,024.81	
3002	DS - 99A PENSION OBLIG BOND	(7,666.71)	
3003	DS - 95A SER REV RFDG BDS	733,878.42	
3005	DS-2007 REFNDING&CVC CTR	(1,143,595.56)	
		(191,359.04)	

ENTERPRISE FUNDS

4001	PORT OF RICHMOND	7,098,838.20	
4003	WASTEWATER	32,801,339.54	
4005	MARINA	2,645,496.49	
4006	STORMWATER	(2,103,880.28)	
4008	KCRT - CABLE TELEVIS	181,799.95	
		40,623,593.90	

		8,099,561.53	
		726,176.45	
		77,066.59	
		18,179.39	
		(1,038,081.77)	
		774,469.91	
		1,043.94	
		126,112.40	
		1,219,971.83	
		(2,857,523.79)	
		49,063.55	
		121,627.65	
		120,582.17	
		(649,327.63)	
		124,588.53	
		(177,243.29)	
		1,510,867.41	
		8,247,134.87	146.6%

		224,201.37	
		(13,056.71)	
		-	
		(1,106,884.94)	
		(895,740.28)	468.1%

		4,899,752.04	
		29,737,870.37	
		2,786,621.02	
		(2,128,712.11)	
		373,626.22	
		35,669,157.54	87.8%

SEPT 2012

SEPT 2013

FUND FUND DESCRIPTION
INTERNAL SERVICE FUNDS

AMOUNT TOTAL % Change

5001	INSURANCE RESERVES	24,317,582.71	13,801,026.53	
5002	INFORMATION TECHNOLOGY	25.00	-	
5003	EQUIPMENT SERVICES	1,402,325.50	1,652,814.60	
5004	FACILITIES MANAGEMENT	(1,633.12)	-	
5005	CAD DISPATCH SYSTEM	297,825.24	627,435.28	
5006	RMS RECORDS SERVICES	156,549.00	167,063.09	
5007	800 MHZ TELECOM SYSTEM	6,488.13	-	62.1%
			16,248,339.50	

TRUST & AGENCY FUNDS

6001	GENERAL TRUST & AGENCY	46,840.82	1,923.45	
6002	JOHNSON TRUST	10,087.01	10,171.21	
6003	CUBA FRIENDSHIP	1,954.96	1,971.31	
6004	COMMISSION ON AGING	34,432.80	37,022.50	
6005	SEAVER GALLERY TRUST FUND	203,414.72	161,650.57	
6006	POLICE GENERAL TRUST	1,058,451.94	975,387.62	
6007	SENIOR TRUST DEPOSIT	34,524.30	43,500.13	
6049	PT MOLATE NAVY GRANT	21,092,879.86	19,606,877.34	
6050	GENERAL PENSION FUND	628,444.27	884,292.09	
6051	POLICE & FIRE PENSION	14,898,675.34	17,056,969.50	
6052	GARFIELD PENSION FUND	231,364.71	146,207.39	
6055	HILLTOP REDEMPTION F	-	(1,343.04)	
6056	SAN PABLO 854 ASSES	248,098.71	250,169.14	
6057	HARBOR NAVIGATION IM	584,755.42	581,451.75	
6058	MARINA WESTSHORE DEB	835,199.00	842,195.19	
6059	COUNTRY CLUB VISTA	1,497,472.75	1,526,124.63	
6060	REASSESSMENT DISTRICT 2003-1	2,627,209.25	2,712,551.50	
6999	PAYROLL LIABILITIES FUND	3,943,442.51	1,828,821.03	
			46,665,943.31	97.3%

SUCCESSOR AGENCY - FIDUCIARY FUNDS

6101	SA - PROPERTY TAX TRUST FUND	11,122,477.99		
6102	SA-ADMINISTRATION	(415,109.08)		
6103	SA-CAPITAL PROJECT FUNDS	(808,706.16)		
6104	SA-LOW/MOD INCOME HOUSING	122,772.81		
6105	SA-WELLS FARGO 2002 LOAN	-		
6201	SA-CIP 00A TAR BND PRCD S-JPFA	372,752.89		
6202	SA-CIP 00B TAR BND PRCD S-HSNG	945,107.34		
6203	SA-CIP 03B TAR BND PRCD S	308,274.16		
6204	SA-CIP 04A TAR BND PRCD S	829,922.77		
6205	SA-CIP 04A TAR BND PRCD S-HSG	276,698.16		
6206	SA-CIP 04B TAR BND PRCD S-HSG	1,218,510.93		
6207	SA-CIP 07A TAR BND PRCD S	1,400,149.04		
6208	SA-CIP 07B TAR BND PRCD S-HSG	2,127,678.84		
6300	SA-DS HARBOR 98 TAR B	1,068,054.26		
6301	SA-DS 2000A TAR B	2,707,457.42		
6302	SA-DS 2000B TAR B - HOUSING	677,000.70		

SEPT 2012

SEPT 2013

FUND	FUND DESCRIPTION	AMOUNT	TOTAL	AMOUNT	TOTAL	% Change
6303	SA-DS 2003A TAR B			1,094,119.47		
6304	SA-DS 2003B TAR B			877,579.27		
6305	SA-DS 2004A TAR B 2/3			1,903,868.88		
6306	SA-DS 2004A TAR B -1/3 HSING			951,780.52		
6307	SA-DS 2004B TAR B - HOUSING			239,670.44		
6308	SA-DS 2007/10A TAR B			7,927,019.72		
6309	SA-DS 2007/10B TAR B - HOUSING			2,313,300.55		
6996	SUCCESSOR AGENCY - GLTDAG			-		
6997	SUCCESSOR AGENCY - GFAAG			-		#DIV/0!

SUCCESSOR AGENCY - RCRA OLD FUNDS (Note: RCRA Payroll & A/P are still posting to these old Funds)

7001	COR SUCCESSOR AGENCY ADMIN	17,810,934.93				
7101	RCRA ADMIN	(1,136,836.67)		(11,524.66)		
7102	HSNG ADMIN	(880,444.50)		(816.27)		
7201	CIP/RCRA	(4,884,429.57)				
7202	CIP/HSNG	603,640.37				
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	105,421.90		(1,043.12)		
7310	CIP/HAR11A	5,204,076.08				
7311	CIP/2003A					
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	79,807.63				
7510	DS/91HRBR	2,644,458.96				
7511	DS/98HRBR	(485,060.99)				
7512	DS/6AHRBR	(503,835.43)				
7513	DS/WF02LN	556,558.89				
7601	2003A DEBT	623,345.59				
7602	2003B DEBT	2,658,981.45				
7603	2004A DEBT	1,931,043.52				
7604	2000A DEBT					

FUND	FUND DESCRIPTION	SEPT 2012		SEPT 2013		% Change
		AMOUNT	TOTAL	AMOUNT	TOTAL	
7701	2004A HSNG	1,688,171.95				
7702	2004B HSNG	194,639.53				
7703	2007B HSNG	938,339.41			37,246,996.87	#DIV/0!
<u>RICHMOND HOUSING AUTHORITY</u>						
8101	RHA - CONVENTIONAL FUND	(8,011,530.82)	(8,011,530.82)	(8,430,072.62)	(8,430,072.62)	105.2%
<u>TREASURER'S FUNDS</u>						
9999	TREASURER'S FUND -	3,000.00	3,000.00	351,559.69	351,559.69	11718.7%
TOTAL CASH			179,005,358.10		148,233,497.67	82.8%
			<small>179,005,358.10</small>		<small>148,233,497.67</small>	