

**CITY OF SANTA BARBARA**  
**Activity and Interest Report**  
September 30, 2016

**INVESTMENT ACTIVITY**

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**PURCHASES OR DEPOSITS**

9/15 Toyota Motor Credit Corp (TOYOTA)	\$ 2,000,000
9/15 Wells Fargo Bank NA (WFC)	2,000,000
9/29 Federal National Mortgage Association (FNMA)	2,000,000
9/29 Federal Home Loan Mortgage Corp (FHLMC)	2,000,000
9/30 Blackrock FedFund (TDDXX)	2,000,000
<b>Total</b>	<b>\$ 10,000,000</b>

**SALES, MATURITIES, CALLS OR WITHDRAWALS**

9/12 Federal National Mortgage Association (FNMA) - Call	\$ (2,000,000)
9/15 Toyota Motor Credit Corp (TOYOTA) - Maturity	(2,000,000)
9/30 Federal Home Loan Mortgage Corp (FHLMC) - Call	(2,000,000)
<b>Total</b>	<b>\$ (6,000,000)</b>

**ACTIVITY TOTAL**

**\$ 4,000,000**

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**INVESTMENT INCOME**

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**POOLED INVESTMENTS**

Interest Earned on Investments	\$ 128,177
Amortization	(1,390)
<b>Total</b>	<b>\$ 126,788</b>

**INCOME TOTAL**

**\$ 126,788**

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**CITY OF SANTA BARBARA**

**Investment Portfolio**

**September 30, 2016**

DESCRIPTION	PURCHASE DATE	MATURITY DATE	QUALITY RATING		STATED RATE	YIELD AT 365	FACE VALUE	BOOK VALUE	MARKET VALUE	BOOK GAIN/(LOSS)	COMMENTS
			MOODY'S	S & P							
<b>LOCAL AGENCY INVESTMENT FUNDS</b>											
LOCAL AGENCY INVESTMENT FUND	-	-	-	-	0.634	0.634	50,000,000.00	50,000,000.00	50,000,000.00	0.00	
<b>Subtotal, LAIF</b>							50,000,000.00	50,000,000.00	50,000,000.00	0.00	
<b>CERTIFICATES OF DEPOSIT</b>											
ALLY BANK	09/24/15	09/25/17	-	-	1.250	1.250	250,000.00	250,000.00	251,105.00	1,105.00	FDIC Certificate 57803
AMERICAN EXPRESS BANK FSB	10/23/14	10/23/19	-	-	2.200	2.200	250,000.00	250,000.00	257,295.00	7,295.00	FDIC Certificate 35328
AMERICAN EXPRESS CENTURION BK	09/30/15	09/30/20	-	-	2.250	2.250	250,000.00	250,000.00	259,187.50	9,187.50	FDIC Certificate 27471
BMO HARRIS BANK NA	09/30/15	09/29/17	-	-	1.100	1.100	250,000.00	250,000.00	251,082.50	1,082.50	FDIC Certificate 16571
BMW BK NORTH AMERICA	09/30/15	09/30/20	-	-	2.200	2.200	250,000.00	250,000.00	259,197.50	9,197.50	FDIC Certificate 35141
CAPITAL ONE BANK USA NA	10/29/14	10/29/19	-	-	1.900	1.900	250,000.00	250,000.00	257,347.50	7,347.50	FDIC Certificate 33954
CAPITAL ONE NA	09/30/15	09/30/20	-	-	2.250	2.250	250,000.00	250,000.00	259,187.50	9,187.50	FDIC Certificate 4297
DISCOVER BANK	09/30/15	09/30/20	-	-	2.300	2.300	250,000.00	250,000.00	260,167.50	10,167.50	FDIC Certificate 5649
EVERBANK	09/30/15	09/29/17	-	-	1.100	1.100	250,000.00	250,000.00	251,082.50	1,082.50	FDIC Certificate 34775
GE CAPITAL BANK	10/17/14	10/17/19	-	-	2.000	2.000	250,000.00	250,000.00	257,230.00	7,230.00	FDIC Certificate 33778
GOLDMAN SACHS BANK USA	10/29/14	10/29/19	-	-	2.150	2.150	250,000.00	250,000.00	257,315.00	7,315.00	FDIC Certificate 33124
KEY BANK NA	09/30/15	10/02/17	-	-	1.150	1.150	250,000.00	250,000.00	251,102.50	1,102.50	FDIC Certificate 17534
UNION BANK	08/31/12	08/31/17	-	-	1.490	1.511	4,000,000.00	4,000,000.00	4,000,000.00	0.00	
<b>Subtotal, Certificates of deposit</b>							7,000,000.00	7,000,000.00	7,071,300.00	71,300.00	
<b>TREASURY SECURITIES - COUPON</b>											
U S TREASURY NOTE	02/22/13	02/28/17	Aaa	AA+	0.875	0.607	2,000,000.00	2,002,172.80	2,004,200.00	2,027.20	
<b>Subtotal, Treasury Securities</b>							2,000,000.00	2,002,172.80	2,004,200.00	2,027.20	
<b>FEDERAL AGENCY ISSUES - COUPON</b>											
FED AGRICULTURAL MTG CORP	10/03/13	10/03/18	-	-	1.720	1.720	2,000,000.00	2,000,000.00	2,031,220.00	31,220.00	
FED AGRICULTURAL MTG CORP	12/12/13	12/12/18	-	-	1.705	1.705	2,000,000.00	2,000,000.00	2,033,240.00	33,240.00	
FEDERAL FARM CREDIT BANK	09/18/13	09/18/17	Aaa	AA+	1.550	1.550	2,000,000.00	2,000,000.00	2,016,060.00	16,060.00	
FEDERAL FARM CREDIT BANK	07/17/13	07/17/17	Aaa	AA+	1.300	1.300	2,000,000.00	2,000,000.00	2,010,400.00	10,400.00	
FEDERAL FARM CREDIT BANK	06/24/15	06/24/19	Aaa	AA+	1.520	1.520	2,000,000.00	2,000,000.00	2,027,420.00	27,420.00	
FEDERAL HOME LOAN BANK	09/13/13	09/14/18	Aaa	AA+	2.000	1.910	2,000,000.00	2,003,333.49	2,042,100.00	38,766.51	
FEDERAL HOME LOAN BANK	01/17/14	04/17/18	Aaa	AA+	1.480	1.480	2,000,000.00	2,000,000.00	2,019,620.00	19,620.00	
FEDERAL HOME LOAN BANK	01/26/16	04/26/19	Aaa	AA+	1.500	1.500	2,000,000.00	2,000,000.00	2,003,200.00	3,200.00	Callable 01/26/17, once
FEDERAL HOME LOAN BANK	12/16/13	12/14/18	Aaa	AA+	1.750	1.650	2,000,000.00	2,004,207.58	2,036,100.00	31,892.42	
FEDERAL HOME LOAN BANK	06/18/14	06/09/17	Aaa	AA+	1.000	1.003	2,000,000.00	1,999,953.69	2,005,280.00	5,326.31	
FEDERAL HOME LOAN BANK	10/22/14	11/18/16	Aaa	AA+	0.750	0.500	2,000,000.00	2,000,647.67	2,000,980.00	332.33	
FEDERAL HOME LOAN MTG CORP	11/20/13	09/29/17	Aaa	AA+	1.000	1.030	1,000,000.00	999,706.18	1,003,120.00	3,413.82	
FEDERAL HOME LOAN MTG CORP	09/29/16	09/29/21	Aaa	AA+	1.250	1.858	2,000,000.00	2,000,000.00	1,999,720.00	(280.00)	SU 1.25%-3.5% Call 03/29/17, then qtrly
FEDERAL NATL MORTGAGE ASSN	01/30/13	01/30/18	Aaa	AA+	1.030	1.030	3,000,000.00	3,000,000.00	2,998,740.00	(1,260.00)	Callable 10/30/16, then qtrly
FEDERAL NATL MORTGAGE ASSN	11/15/13	10/26/17	Aaa	AA+	0.875	1.062	2,000,000.00	1,996,093.10	2,003,280.00	7,186.90	
FEDERAL NATL MORTGAGE ASSN	12/11/13	11/27/18	Aaa	AA+	1.625	1.606	2,000,000.00	2,000,782.08	2,032,300.00	31,517.92	
FEDERAL NATL MORTGAGE ASSN	05/26/16	05/26/20	Aaa	AA+	1.375	1.375	2,000,000.00	2,000,000.00	2,002,480.00	2,480.00	Callable 05/26/17, once

**CITY OF SANTA BARBARA**

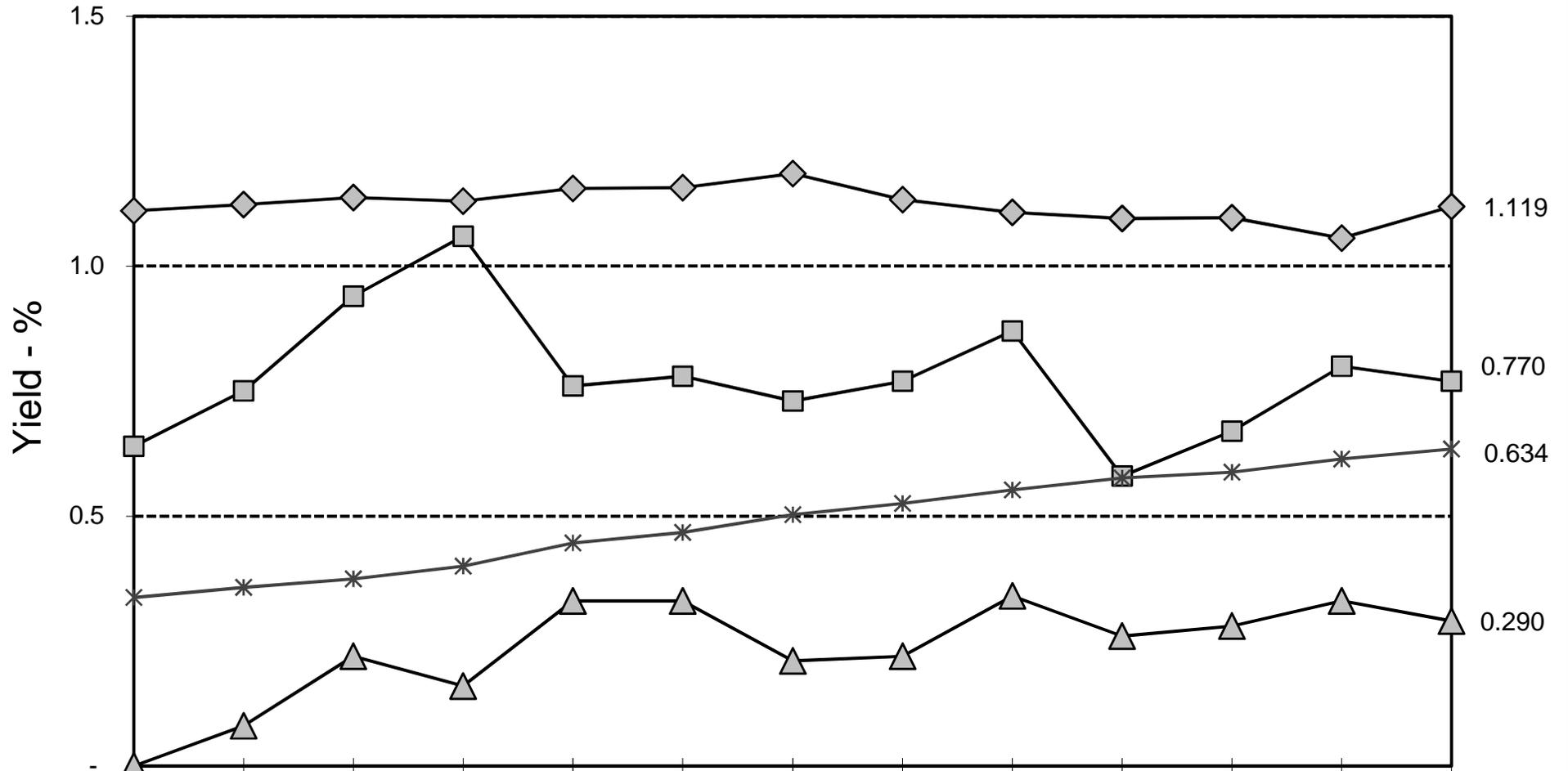
**Investment Portfolio**

**September 30, 2016**

DESCRIPTION	PURCHASE DATE	MATURITY DATE	QUALITY RATING MOODY'S	QUALITY RATING S & P	STATED RATE	YIELD AT 365	FACE VALUE	BOOK VALUE	MARKET VALUE	BOOK GAIN/(LOSS)	COMMENTS
FEDERAL NATL MORTGAGE ASSN	08/16/16	08/16/21	Aaa	AA+	1.500	1.500	2,000,000.00	2,000,000.00	1,995,120.00	(4,880.00)	Callable 08/16/17, then qtrly
FEDERAL NATL MORTGAGE ASSN	12/26/12	12/26/17	Aaa	AA+	1.000	1.000	4,000,000.00	4,000,000.00	4,001,800.00	1,800.00	Callable 12/26/16, then qtrly
FEDERAL NATL MORTGAGE ASSN	11/27/15	11/27/19	Aaa	AA+	1.125	1.678	2,000,000.00	2,000,000.00	2,010,720.00	10,720.00	SU 1.125%-2.250%, Call 11/27/17, once
FEDERAL NATL MORTGAGE ASSN	07/26/16	07/26/19	Aaa	AA+	1.125	1.125	2,000,000.00	2,000,000.00	1,997,340.00	(2,660.00)	Callable 07/26/17, once
FEDERAL NATL MORTGAGE ASSN	09/29/16	09/29/21	Aaa	AA+	1.600	1.600	2,000,000.00	2,000,000.00	1,998,620.00	(1,380.00)	Callable 03/29/17, then qtrly
FEDERAL NATL MORTGAGE ASSN	02/05/13	02/05/18	Aaa	AA+	1.000	1.000	2,000,000.00	2,000,000.00	2,000,080.00	80.00	Callable 11/05/16, then qtrly
FEDERAL NATL MORTGAGE ASSN	11/20/13	10/26/17	Aaa	AA+	0.875	1.070	2,000,000.00	1,995,921.61	2,003,280.00	7,358.39	
FEDERAL NATL MORTGAGE ASSN	11/27/15	11/28/18	Aaa	AA+	1.200	1.200	2,000,000.00	2,000,000.00	2,001,240.00	1,240.00	Callable 11/28/16, once
FEDERAL NATL MORTGAGE ASSN	05/26/16	11/26/19	Aaa	AA+	1.300	1.300	2,000,000.00	2,000,000.00	2,006,520.00	6,520.00	Callable 05/26/17, once
<b>Subtotal, Federal Agencies</b>							54,000,000.00	54,000,645.40	54,279,980.00	279,334.60	
<b>CORPORATE/MEDIUM TERM NOTES</b>											
BERKSHIRE HATHAWAY INC	11/29/13	02/09/18	Aa2	AA	1.550	1.550	2,000,000.00	2,000,000.00	2,011,600.00	11,600.00	
GENERAL ELECTRIC CAPITAL CORP	01/14/14	01/14/19	A1	AA-	2.300	2.250	2,000,000.00	2,002,148.94	2,049,740.00	47,591.06	
TOYOTA MOTOR CREDIT	11/20/15	07/13/18	Aa3	AA-	1.550	1.408	2,000,000.00	2,004,944.68	2,010,820.00	5,875.32	
TOYOTA MOTOR CREDIT	09/15/16	05/20/19	Aa3	AA-	1.400	1.307	2,000,000.00	2,004,799.09	2,002,520.00	(2,279.09)	
WELLS FARGO BANK NA	09/15/16	05/24/19	Aa2	AA-	1.750	1.377	2,000,000.00	2,019,296.04	2,009,000.00	(10,296.04)	
<b>Subtotal, Corporate Securities</b>							10,000,000.00	10,031,188.75	10,083,680.00	52,491.25	
<b>SB AIRPORT PROMISSORY NOTE (LT)</b>											
SANTA BARBARA AIRPORT	07/14/09	06/30/29	-	-	3.500	4.195	4,775,295.56	4,775,295.56	4,775,295.56	0.00	
<b>Subtotal, SBA Note</b>							4,775,295.56	4,775,295.56	4,775,295.56	0.00	
<b>MONEY MARKET FUNDS</b>											
BLACKROCK FEDFUND	09/30/16	-	Aaa-mf	AAAm	0.120	0.120	2,000,000.00	2,000,000.00	2,000,000.00	0.00	
<b>Subtotal, Money Market</b>							2,000,000.00	2,000,000.00	2,000,000.00	0.00	
<b>CHECKING ACCOUNT</b>											
MUFG UNION BANK NA CHKNG ACCNT	-	-	-	-	0.400	0.400	10,871,176.48	10,871,176.48	10,871,176.48	0.00	
<b>Subtotal, Checking Account</b>							10,871,176.48	10,871,176.48	10,871,176.48	0.00	
<b>CASH</b>											
UB TRUST CASH	-	-	-	-	0.000	0.400	9,375.00	9,375.00	9,375.00	0.00	
<b>Subtotal, Cash</b>							9,375.00	9,375.00	9,375.00	0.00	
<b>TOTALS</b>							140,655,847.04	140,689,853.99	141,095,007.04	405,153.05	

Market values have been obtained from the City's safekeeping agent, MUFG Union Bank NA - The Private Bank (UBTPB). UBTPB uses Interactive Data Pricing Service, Bloomberg and DTC.

# INVESTMENT YIELDS



Market Gain/Loss (Dollars in Millions)

Sep'15	Oct'15	Nov'15	Dec'15	Jan'16	Feb'16	Mar'16	Apr'16	May'16	Jun'16	Jul'16	Aug'16	Sep'16
\$0.498	\$0.401	\$0.201	\$0.027	\$0.429	\$0.444	\$0.525	\$0.479	\$0.398	\$0.590	\$0.521	\$0.412	\$0.405

