**Unified Government of Wyandotte County and Kansas City, Kansas**  
*Investment Portfolio Compliance Report*  
*September 30, 2017*

## Investment Summary - Aggregate Portfolio By Type of Investment

<table>
<thead>
<tr>
<th>Security Type</th>
<th>Original Cost</th>
<th>Market Value</th>
<th>Amortized Cost</th>
<th>% of Portfolio</th>
<th>% Permitted by Policy</th>
<th>In Compliance</th>
<th># of Days to Maturity</th>
<th>Average Yield</th>
</tr>
</thead>
<tbody>
<tr>
<td>Property Tax Held for Entities⁴</td>
<td>$1,818,000</td>
<td>$1,818,000</td>
<td>na</td>
<td>see note 4</td>
<td>✓</td>
<td></td>
<td>3</td>
<td>1.01%</td>
</tr>
<tr>
<td>Cash Equivalents</td>
<td>$31,825,000</td>
<td>$31,825,000</td>
<td>$31,825,000</td>
<td>19.1%</td>
<td>100%</td>
<td>✓</td>
<td>3</td>
<td>1.01%</td>
</tr>
<tr>
<td><strong>Total Liquidity</strong></td>
<td>$31,825,000</td>
<td>$31,825,000</td>
<td>$31,825,000</td>
<td>19.1%</td>
<td>100%</td>
<td>✓</td>
<td>3</td>
<td>1.01%</td>
</tr>
<tr>
<td>Certificates of Deposit</td>
<td>$125,470,000</td>
<td>$125,470,000</td>
<td>$125,470,000</td>
<td>75.4%</td>
<td>100%</td>
<td>✓</td>
<td>559</td>
<td>1.39%</td>
</tr>
<tr>
<td>Federal Agency Securities</td>
<td>$9,083,973</td>
<td>$9,026,288</td>
<td>$9,018,504</td>
<td>5.4%</td>
<td>50%</td>
<td>✓</td>
<td>428</td>
<td>0.81%</td>
</tr>
<tr>
<td><strong>Total Securities</strong></td>
<td>$134,553,973</td>
<td>$134,496,288</td>
<td>$134,488,504</td>
<td>80.9%</td>
<td></td>
<td></td>
<td>445</td>
<td>1.36%</td>
</tr>
<tr>
<td><strong>Total Portfolio</strong></td>
<td>$166,378,973</td>
<td>$166,321,288</td>
<td>$166,313,504</td>
<td>100%</td>
<td></td>
<td></td>
<td>445</td>
<td>1.29%</td>
</tr>
</tbody>
</table>

1. Market values provided by UMB Bank, Third-Party Safekeeping Custodial Agent.
2. Amortized cost is the original cost of the principal of the security adjusted for the amount of the periodic reduction of any discount or premium from the purchase date until the date of the report.
3. Averages shown are weighted averages calculated based on original cost. Average maturity is shown as days.
4. Property Tax collections temporarily held by the County on behalf of other governmental entities is not a part of the Unified Government's cash and investment value for financial reporting purposes. The cash being held in trust is presented here for informational purposes.

### Maturity Distribution

<table>
<thead>
<tr>
<th>Maturity</th>
<th>% of Portfolio</th>
</tr>
</thead>
<tbody>
<tr>
<td>Under 1 Year</td>
<td>49%</td>
</tr>
<tr>
<td>1- to 2 Years</td>
<td>31%</td>
</tr>
<tr>
<td>2- to 3 Years</td>
<td>16%</td>
</tr>
<tr>
<td>3- to 4 Years</td>
<td>5%</td>
</tr>
</tbody>
</table>

### Sector Distribution

- **Certificates of Deposit** 76%
- **Federal Agency Securities** 5%
- **Cash Equivalents** 19%
- **Other** 0%
Unified Government of Wyandotte County and Kansas City, Kansas
Investment Portfolio Compliance Report
September 30, 2017

Compliance

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>Liquidity</td>
<td>☑</td>
</tr>
<tr>
<td>Permitted types of investments</td>
<td>☑</td>
</tr>
<tr>
<td>Limits within investment categories</td>
<td>☑</td>
</tr>
<tr>
<td>Limits within single agency/institution</td>
<td>☑</td>
</tr>
<tr>
<td>Limits relating to maturity</td>
<td>☑</td>
</tr>
</tbody>
</table>

The investment report herein shown along with ongoing income provides sufficient liquidity to meet estimated expenditures for next 6 months.

Historic Portfolio Size

<table>
<thead>
<tr>
<th>Date</th>
<th>Market Value</th>
<th>Aggregate Portfolio Yield</th>
<th>90-Day T-Bill</th>
</tr>
</thead>
<tbody>
<tr>
<td>Dec-14</td>
<td>$-</td>
<td>$200,000</td>
<td>$-</td>
</tr>
<tr>
<td>Mar-15</td>
<td>$50</td>
<td>$400,000</td>
<td>$50</td>
</tr>
<tr>
<td>Jun-15</td>
<td>$100</td>
<td>$600,000</td>
<td>$100</td>
</tr>
<tr>
<td>Sep-15</td>
<td>$150</td>
<td>$800,000</td>
<td>$150</td>
</tr>
<tr>
<td>Dec-15</td>
<td>$200</td>
<td>$1,000,000</td>
<td>$200</td>
</tr>
<tr>
<td>Mar-16</td>
<td>$250</td>
<td>$1,200,000</td>
<td>$250</td>
</tr>
<tr>
<td>Jun-16</td>
<td>$300</td>
<td>$1,400,000</td>
<td>$300</td>
</tr>
<tr>
<td>Sep-16</td>
<td>$350</td>
<td>$1,600,000</td>
<td>$350</td>
</tr>
<tr>
<td>Dec-16</td>
<td>$400</td>
<td>$1,800,000</td>
<td>$400</td>
</tr>
<tr>
<td>Mar-17</td>
<td>$450</td>
<td>$2,000,000</td>
<td>$450</td>
</tr>
<tr>
<td>Jun-17</td>
<td>$500</td>
<td>$2,200,000</td>
<td>$500</td>
</tr>
<tr>
<td>Sep-17</td>
<td>$550</td>
<td>$2,400,000</td>
<td>$550</td>
</tr>
</tbody>
</table>

Aggregate Yield vs. 90-Day T-Bill Rate

CFO Note: The 30% limit within a single banking institution per the investment policy compliance parameters was exceeded. Capital Federal Bank holdings totaled 40% of the total aggregate portfolio. In the upcoming quarters, the CFO will adjust investment strategies to come into compliance with the policy.

Kathleen VonAchen
Chief Financial Officer

September 30, 2017
Date
### Issuer Detail - Aggregate Portfolio by Issuer

<table>
<thead>
<tr>
<th>Issuer</th>
<th>Original Cost</th>
<th>Market Value</th>
<th>% of Portfolio</th>
<th>% Permitted by Issuer</th>
<th>In Compliance</th>
<th>Weighted Maturity</th>
<th>Weighted Yield</th>
</tr>
</thead>
<tbody>
<tr>
<td>Property Tax Held for Entities³</td>
<td>1,818,000</td>
<td>1,818,000</td>
<td>na</td>
<td>See note 3</td>
<td>✓</td>
<td>3</td>
<td>1.01%</td>
</tr>
<tr>
<td>UMB, Wyandotte Operating</td>
<td>30,231,000</td>
<td>30,231,000</td>
<td>18%</td>
<td>30%</td>
<td>✓</td>
<td>3</td>
<td>1.01%</td>
</tr>
<tr>
<td>UMB, Wyandotte Health</td>
<td>1,594,000</td>
<td>1,594,000</td>
<td>1%</td>
<td>30%</td>
<td>✓</td>
<td>3</td>
<td>1.01%</td>
</tr>
<tr>
<td>Cash Equivalents</td>
<td>31,825,000</td>
<td>31,825,000</td>
<td>19%</td>
<td>30%</td>
<td>✓</td>
<td>3</td>
<td>1.01%</td>
</tr>
<tr>
<td>Capital Federal Bank</td>
<td>67,000,000</td>
<td>67,000,000</td>
<td>40%</td>
<td>30%</td>
<td>✓</td>
<td>922</td>
<td>1.68%</td>
</tr>
<tr>
<td>Commerce Bank</td>
<td>50,000,000</td>
<td>50,000,000</td>
<td>30%</td>
<td>30%</td>
<td>✓</td>
<td>228</td>
<td>1.07%</td>
</tr>
<tr>
<td>Security Bank</td>
<td>5,235,000</td>
<td>5,235,000</td>
<td>3%</td>
<td>30%</td>
<td>✓</td>
<td>605</td>
<td>1.50%</td>
</tr>
<tr>
<td>Liberty Bank</td>
<td>3,000,000</td>
<td>3,000,000</td>
<td>2%</td>
<td>30%</td>
<td>✓</td>
<td>701</td>
<td>1.44%</td>
</tr>
<tr>
<td>Bank Midwest</td>
<td>235,000</td>
<td>235,000</td>
<td>0%</td>
<td>30%</td>
<td>✓</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Certificates of Deposit</td>
<td>125,470,000</td>
<td>125,470,000</td>
<td>75%</td>
<td>30%</td>
<td>✓</td>
<td>559</td>
<td>1.39%</td>
</tr>
<tr>
<td>FHLB</td>
<td>8,085,008</td>
<td>8,025,200</td>
<td>5%</td>
<td>30%</td>
<td>✓</td>
<td>583</td>
<td>1.36%</td>
</tr>
<tr>
<td>FREDDIE MAC</td>
<td>998,966</td>
<td>1,001,088</td>
<td>1%</td>
<td>30%</td>
<td>✓</td>
<td>1766</td>
<td>1.64%</td>
</tr>
<tr>
<td>Federal Agency Securities</td>
<td>9,083,973</td>
<td>9,026,288</td>
<td>5%</td>
<td>30%</td>
<td>✓</td>
<td>428</td>
<td>0.81%</td>
</tr>
<tr>
<td>Grand Total</td>
<td>166,378,973</td>
<td>166,321,288</td>
<td>100%</td>
<td></td>
<td></td>
<td>445</td>
<td>1.29%</td>
</tr>
</tbody>
</table>

1. Market values provided by UMB Bank, Third-Party Safekeeping Custodial Agent.
2. Averages shown are weighted averages calculated based on original cost. Average maturity is shown as days.
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## Quarterly Transactions Detail - Aggregate Portfolio

<table>
<thead>
<tr>
<th>Settlement Date</th>
<th>CUSIP</th>
<th>Issuer</th>
<th>Coupon</th>
<th>Maturity Date</th>
<th>Par</th>
<th>Original Cost</th>
</tr>
</thead>
<tbody>
<tr>
<td>Thru Q3</td>
<td>NA</td>
<td>UMB, Wyandotte Operating</td>
<td>1.014%</td>
<td>10/2/2017</td>
<td>(42,911,000)</td>
<td>(42,911,000)</td>
</tr>
<tr>
<td>Thru Q3</td>
<td>NA</td>
<td>UMB, Wyandotte Health Reserve</td>
<td>1.014%</td>
<td>10/2/2017</td>
<td>(338,000)</td>
<td>(338,000)</td>
</tr>
<tr>
<td><strong>Cash Equivalents</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>(43,249,000)</td>
<td>(43,249,000)</td>
</tr>
<tr>
<td>7/28/2017</td>
<td>1150008660</td>
<td>Security Bank</td>
<td>1.234%</td>
<td>7/28/2018</td>
<td>235,000</td>
<td>235,000</td>
</tr>
<tr>
<td>8/18/2017</td>
<td>66000543</td>
<td>Commerce</td>
<td>1.222%</td>
<td>8/17/2018</td>
<td>1,000,000</td>
<td>1,000,000</td>
</tr>
<tr>
<td>8/18/2017</td>
<td>66000543</td>
<td>Commerce</td>
<td>1.320%</td>
<td>2/19/2019</td>
<td>1,000,000</td>
<td>1,000,000</td>
</tr>
<tr>
<td>8/18/2017</td>
<td>66000543</td>
<td>Commerce</td>
<td>1.340%</td>
<td>5/17/2019</td>
<td>1,000,000</td>
<td>1,000,000</td>
</tr>
<tr>
<td>7/31/2017</td>
<td>1565570771</td>
<td>Bank Midwest</td>
<td>1.360%</td>
<td>7/31/2019</td>
<td>235,000</td>
<td>235,000</td>
</tr>
<tr>
<td>8/18/2017</td>
<td>66000543</td>
<td>Commerce</td>
<td>1.370%</td>
<td>8/18/2019</td>
<td>1,000,000</td>
<td>1,000,000</td>
</tr>
<tr>
<td>8/18/2017</td>
<td>66000543</td>
<td>Commerce</td>
<td>1.500%</td>
<td>8/17/2020</td>
<td>2,000,000</td>
<td>2,000,000</td>
</tr>
<tr>
<td>8/18/2017</td>
<td>66000543</td>
<td>Commerce</td>
<td>1.530%</td>
<td>2/17/2021</td>
<td>2,000,000</td>
<td>2,000,000</td>
</tr>
<tr>
<td>8/18/2017</td>
<td>3134G92Y2</td>
<td>Freddie Mac</td>
<td>1.875%</td>
<td>8/17/2021</td>
<td>990,000</td>
<td>990,000</td>
</tr>
<tr>
<td><strong>Purchases</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>9,460,000</td>
<td>9,460,000</td>
</tr>
<tr>
<td>2/27/2014</td>
<td>Temp Note</td>
<td>Temp Note 2014-IV</td>
<td>1.100%</td>
<td>8/1/2017</td>
<td>(82,125)</td>
<td>(73,160)</td>
</tr>
<tr>
<td>1/8/2015</td>
<td>343007273</td>
<td>Commerce</td>
<td>0.950%</td>
<td>8/11/2017</td>
<td>(7,000,000)</td>
<td>(7,000,000)</td>
</tr>
<tr>
<td>9/25/2014</td>
<td>3133EDVU3</td>
<td>FFCB</td>
<td>1.125%</td>
<td>9/22/2017</td>
<td>(1,000,000)</td>
<td>(1,000,858)</td>
</tr>
<tr>
<td><strong>Calls/Maturities</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>(8,082,125)</td>
<td>(8,074,018)</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>(41,871,125)</td>
<td>(41,863,018)</td>
</tr>
</tbody>
</table>