



NOTICE OF ADJOURNMENT

NOTICE IS HEREBY GIVEN that the Brea City Council at its Special Meeting of January 23, 2015, adjourned said meeting to January 27, 2015 at 12:45 p.m. in the Executive Conference Room, Third Floor of the Brea Civic & Cultural Center, 1 Civic Center Circle, Brea, California.

FURTHER INFORMATION may be obtained at the Office of the City Clerk or by calling (714) 990-7756.

Dated this 23rd day of January, 2015.

A handwritten signature in blue ink, appearing to be "Cheryl Balz", is written over a horizontal line.

Cheryl Balz, MMC
City Clerk



City Council Agenda Special Meeting

Friday, January 23, 2015
12:45 p.m. - General Session

Marty Simonoff, Mayor

Christine Marick, Mayor Pro Tem

Cecilia Hupp, Council Member

Glenn Parker, Council Member

Steven Vargas, Council Member

This agenda contains a brief general description of each item Council will consider. The City Clerk has on file copies of written documentation relating to each item of business on this Agenda available for public inspection. Contact the City Clerk's Office at (714) 990-7756 or view the Agenda and related materials on the City's website at www.cityofbrea.net. Materials related to an item on this agenda submitted to the Council after distribution of the agenda packet are available for public inspection in the City Clerk's Office at 1 Civic Center Circle, Brea, CA during normal business hours. Such documents may also be available on the City's website subject to staff's ability to post documents before the meeting.

Procedures for Addressing the Council

The Council encourages interested people to address this legislative body by making a brief presentation on a public hearing item when the Mayor calls the item or address other items under **Matters from the Audience**. State Law prohibits the City Council from responding to or acting upon matters not listed on this agenda.

The Council encourages free expression of all points of view. To allow all persons the opportunity to speak, please keep your remarks brief. If others have already expressed your position, you may simply indicate that you agree with a previous speaker. If appropriate, a spokesperson may present the views of your entire group. Council rules prohibit clapping, booing or shouts of approval or disagreement from the audience. PLEASE SILENCE ALL PAGERS, CELL PHONES AND OTHER ELECTRONIC EQUIPMENT WHILE COUNCIL IS IN SESSION. Thank you.

Special Accommodations

In compliance with the Americans with Disabilities Act, if you need special assistance to participate in this meeting, please contact the City Clerk's Office at (714) 990-7757. Notification 48 hours prior to the meeting will enable City staff to make reasonable arrangements to ensure accessibility. (28 CFR 35.102.35.104 ADA Title II)

Important Notice

The City of Brea shows both live broadcasts and replays of City Council Meetings on Brea Cable Channel 3 and over the Internet at www.cityofbrea.net. Your attendance at this public meeting may result in the recording and broadcast of your image and/or voice as previously described.

GENERAL SESSION
12:45 p.m. - Executive Conference Room
Level Three

CALL TO ORDER / ROLL CALL - COUNCIL

1. **Matters from the audience** - Communications from the public are limited to Items listed on the agenda.

DISCUSSION ITEMS

2. **Conduct interviews and appoint City Treasurer to fill unexpired term ending December 31, 2016**

[Applications](#)

[Applications Continued](#)

ADJOURNMENT

NOTE: This agenda is subject to amendments up to 72 hours prior to the meeting date.



City of Brea

NOTICE OF

**SPECIAL MEETING OF THE
BREA CITY COUNCIL**

NOTICE IS HEREBY GIVEN that a Special Meeting of the Brea City Council will be held on **January 23, 2015 at 12:45 p.m.** in the Executive Conference Room, Third Floor of the Brea Civic & Cultural Center, 1 Civic Center Circle, Brea, California.

Said special meeting shall be to conduct interviews and appoint a City Treasurer to fill the unexpired term ending December 31, 2016.

FURTHER INFORMATION may be obtained at the Office of the City Clerk or by calling (714) 990-7756.

Dated this 21st day of January, 2015.



Marty Simonoff, Mayor

City Council

Marty Simonoff
Mayor

Christine Marick
Mayor Pro Tem

Cecilia Hupp
Council Member

Glenn Parker
Council Member

Steven Vargas
Council Member

Civic & Cultural Center • 1 Civic Center Circle • Brea, California 92821-5732 • 714/990-7600 • FAX 714/990-2258 • www.cityofbrea.net

[Return to agenda](#)

CITY TREASURER INTERVIEW SCHEDULE
FRIDAY, JANUARY 23, 2015

TIME	APPLICANT NAME
1:00	Don Parker
1:25	Michael Becher
1:50	Marlan Merhab
2:15	Roy Moore

[Applications continued](#)



CITY OF BREA APPLICATION
AND
INTEREST STATEMENT FOR
CITY OF BREA TREASURER

RECEIVED

JAN 09 2015

OFFICE OF THE
CITY CLERK

ALL APPLICANTS MUST BE RESIDENTS AND REGISTERED VOTERS WITHIN THE CITY OF BREA THE ELECTED TREASURER IS REQUIRED TO FILE A STATEMENT OF ECONOMIC INTEREST PURSUANT TO THE POLITICAL REFORM ACT OF 1974

DESCRIPTION OF RESPONSIBILITIES:

This is an elected position, which, because of a resignation, is being filled by appointment by the City Council. The City Treasurer is a member of the City's Investment Advisory Committee, participates in investment strategy discussions and reviews monthly and quarterly investment reports.

DESIRABLE QUALIFICATIONS

A working knowledge of managing institutional portfolios, investments, and implementing sound fiscal strategies for the management of large sums of money, plus a bachelor's degree in business or finance is preferred.

Applications must be returned by 5:00 p.m. on January 14, 2015	To: City Clerk's Office 1 Civic Center Circle Brea, CA 92821
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Name: Donald L. Parker, CPA

Home Address: 622 Lennox Ct., Brea, CA 92821

Phone: 714-905-4176 Email: dparker92821@roadrunner.com

How long have you lived in Brea: 15 years

Employer: City of Montclair

Employer Address: 5111 Benito Street, Montclair, CA 91763

Employer Phone: 909-625-9418 Email: dparker@cityofmontclair.org

How Long: 2 1/2 years Occupation: Finance Director

Education: (please circle highest grade completed) 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18

Degree or course of study in College: BS degree in Business Administration with option in Accounting

Licenses or special certificates held: Certified Public Accountant

Have you ever been convicted of any crime of violation of any law or statute other than minor traffic violations? Yes No (If yes, please attached a separate sheet of explanation)

Prior or Current Civic Experience (Include Membership in Professional, Charitable or Community organizations)	Office Held (If any)	Dates of Membership
City of Montclair - Finance Director		2012-Present
Financial Consultant - Cities & Redevelopment Agencies		2011
Brea Successor Agency	Oversight Board	2012-Present
Partner-Public Accounting Firm - Municipal Auditing		1976-2010

Appointment to this position is intended to fill a 2-year vacancy created by a resignation.

This questionnaire has been designed to provide detailed information regarding your background, experience and community involvement so we may better evaluate your qualifications for the Brea City Treasurer position. It identifies significant areas of responsibility for the position. Please provide a full response to each item. A response such as, "Refer to attached resume" is not considered a full response.

Please attach your responses to this form. Responses that do not provide the information as requested may disqualify you from further participation in the selection process.

The City of Brea application form and supplemental response sheets must be completed and submitted to the City of Brea City Clerk, 1 Civic Center Circle, Brea, CA 92821, no later than **5:00 p.m., January 14, 2015**. Postmarks and facsimiles will not be accepted. Based upon a review of information, as submitted, those applicants who are determined to be most qualified will be invited to participate in an oral appraisal interview before the City Council at a special meeting on January 23, 2015.

If you have any questions, please feel free to contact Brea City Clerk Cheryl Balz at (714) 990-7757.

Please answer the following question on a separate piece of paper. Responses must be double-spaced and not exceed three pages total.

1. Why do you want serve as the Brea City Treasurer? What do you feel you will bring to the position? I
2. What do you see as the role of the elected City Treasurer? What do you see as the role of appointed City Staff?
3. Give an example of how you would resolve a situation where your personal philosophy is at odds with what is best for the City.
4. What would you do if you were contacted directly by a resident or business to resolve a city related problem?
5. What do you think are the top three issues facing the Brea Community and why?
6. What is your understanding of the relationship between the treasurer function and the budget?

I certify under penalty of perjury that all statements in response to this Application and Interest Statement are made by me and are true, correct, and complete to the best of my knowledge or belief. I understand that any misrepresentation, falsification, or omission of the facts herein may subject me to disqualification or dismissal.

Applicant's Signature: Donald L. Parker Date: January 9, 2015

Applicant's printed name: Donald L. Parker

Donald L. Parker, CPA
Treasurer's Application Questions

1. Why do you want to serve as the Brea City Treasurer? What do you feel you will bring to the position?

I have and continue to feel that members of the community should participate and contribute to their local government. In this approach the governing board of the City and its staff receive input from the community and gain from an outside perspective while taking advantage of the abilities of the residents.

I have 40 years of experience in local municipal auditing and accounting. My experience is unique as I have been exposed to city financial operations from an external and internal perspective. For 37 years I was external auditor for cities (staff and ultimately partner in a public accounting firm specializing in municipal auditing) looking over cities financial affairs, advising them on how to improve internal controls and preparing their reporting. Additionally, for the last 2 1/2 years I have been the Finance Director for the City of Montclair managing its treasury and accounting operations. I have been involved in accomplishing and reporting all types of City investments and bonding arrangements. In performing these functions, I have streamlined accounting procedures and assisted cities in complying with legal requirements applicable to their financial operations.

2. What do you see as the role of the elected City Treasurer? What do you see as the role of appointed City Staff?

I believe the role of the City Treasurer is that of a guardian of City financial resources. That individual should be reviewing the cash and investment positions and decisions of the City and making sure that they are in conformance with laws and regulations and at the same time those resources are producing the most income possible for the City. Safety and liquidity is of monumental concern and should always be considered so that these assets are not put at risk.

City Staff, either appointed or direct employees, are the ones that are directly involved in accomplishing the financial procedures of the City. However, they perform these under the policies and direction provided to them by the City's elected and/or appointed management and they should serve and strive to follow those decisions. The information provided by staff must be independently considered by the Treasurer to fulfill the responsibility of overseeing the operation and protecting the assets.

3. Give an example of how you would resolve a situation where your personal philosophy is at odds with what is best for the City.

My personal ethics and philosophy are always directed at operations and or decisions that I feel are in the best interests of the City of Brea and its residents. While I have spoken on issues that involved City decisions, once those decisions were made I have respected those actions. The City Council is charged with directing the operations of the City and its actions are law and must be complied with. That is not to say that I will always agree with those but I do feel we all are doing what we feel is in the best interests of the City of Brea.

4. What would you do if you were contacted directly by a resident or business to resolve a city related problem?

City elected and appointed officials must always be careful to not be perceived as granting favors for selected residents and/or businesses. If approached by either to resolve a city related problem I would direct them to the appropriate City department and/or individual which could provide them with information and/or action. I would not grant or promise them any favors and/or actions that would result in a preferential treatment as I believe to do so could expose the City, its elected boards and employees to unwarranted criticism.

5. What do you think are the top three issues facing the Brea Community and why?

Transparency - I believe that all actions of the City should be done in view of the public since the residents need to feel confident that City operations are not hidden. Toward this end, I have spoken on the need to have study sessions done at times when working residents can attend and in front of the cameras where the public can later view what happened.

Pension Costs - Current and future increases in the employer cost components of the City pension cost is of monumental concern to the City's financial health. CalPERS is increasing those substantially as it has badly managed the pension system and is recovering from its deficit by increasing the burden on cities. In some cases this additional burden is unsustainable for cities and it must be addressed to maintain our financial health.

Landfill Resource Utilization - The monies received from the utilization of our landfill while segregated in our financial records have been utilized for general operations and I have spoken about getting our community's input and direction on how those are to be utilized in the future.

6. What is your understanding of the relationship between the treasurer function and the budget?

The budget is the legal financial plan for the City's financial operations. It provides the legal authority for expenditures and takes into consideration the utilization of anticipated revenues. As previously mentioned, the function of the Treasurer is to oversee and safeguard the cash and investment resources of the City while utilizing those resources to generate revenues for City operations. Ultimately the treasury and budgeting functions all fit together and serve to provide legal authority and a plan for the financial operations of the City. Since the budget is the legal authority for accomplishing expenditures of City resources, expenditures of monies without appropriate budgets should not occur and the Treasurer should be an overseeing function to make sure internal controls are in place to prevent this.



CITY OF BREA APPLICATION
AND
INTEREST STATEMENT FOR
CITY OF BREA TREASURER

RECEIVED

JAN 13 2015

OFFICE OF THE
CITY CLERK

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Name: Michael B. Becher

Home Address: 1220 Ponderosa Avenue

Phone: 714-256-1174 Email: mbecher@mngcpa.com

How long have you lived in Brea: 30 years

Employer: Miller Giangrande LLP

Employer Address: 915 W. Imperial Highway, Suite 110

Employer Phone: 714-494-2216 Email: mbecher@mngcpa.com

How Long: 13 years Occupation: Partner, public accounting firm

Education: (please circle highest grade completed) 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18

Degree or course of study in College: Bachelor of Arts, Economics

Licenses or special certificates held: Certified Public Accountant

Have you ever been convicted of any crime of violation of any law or statute other than minor traffic violations? Yes No (If yes, please attached a separate sheet of explanation)

Prior or Current Civic Experience (Include Membership in Professional, Charitable or Community organizations)	Office Held (If any)	Dates of Membership
Brea Chamber of Commerce	Chairman	2005-present
Santa Fe Springs Chamber of Commerce	Director	2007-2014
American Institute of Certified Public Accountants		1981-present
California Society of Certified Public Accountants		1981-present

Appointment to this position is intended to fill a 2-year vacancy created by a resignation.

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Please attach your responses to this form. Responses that do not provide the information as requested may disqualify you from further participation in the selection process.

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4. What would you do if you were contacted directly by a resident or business to resolve a city related problem?
5. What do you think are the top three issues facing the Brea Community and why?
6. What is your understanding of the relationship between the treasurer function and the budget?

I certify under penalty of perjury that all statements in response to this Application and Interest Statement are made by me and are true, correct, and complete to the best of my knowledge or belief. I understand that any misrepresentation, falsification, or omission of the facts herein may subject me to disqualification or dismissal.

Applicant's Signature:  Date: January 13, 2015

Applicant's printed name: Michael B. Becher

CITY OF BREA APPLICATION
AND
INTEREST STATEMENT FOR
CITY OF BREA TREASURER

1. Why do you want serve as the Brea City Treasurer? What do you feel you will bring to the position?

As a 30+ year resident of, and a business owner in, our city I often ponder my civic responsibility to serve our community. To date I have done so as a parent in some of our youth organizations and as a professional in our Chamber of Commerce. Furthering my service to our community in an elected capacity has often attracted my interest. When I was made aware of the announcement that this vacated position would be filled by appointment, it seemed like an opportune way for me to consider expanding my public service.

Having spent my career in accounting and finance in both the public accounting profession and in privately owned companies, I would bring a solid base of business acumen to the office. I am a proven leader as evidenced during my chairmanship at the Brea Chamber of Commerce, navigating the chamber through a very difficult year of transition. Discussions with those that know me will also affirm that I will bring unwavering integrity to the position.

2. What do you see as the role of the elected City Treasurer? What do you see as the role of appointed City Staff?

The City Treasurer's role lies significantly in his/her participation on the City's Investment Advisory Committee. Here policies and strategies are implemented to manage the City's investment portfolio with an eye on compliance with permitted investments, investment risk assessment and cash flow. The Treasurer is also responsible for the monthly filing of the City's investments with the City Clerk's office.

City Staff are the engine of the city. Under the direction of elected officials, City Staff provide information and advice on all pertinent matters and implement the directives of such officials.

3. Give an example of how you would resolve a situation where your personal philosophy is at odds with what is best for the City.

To begin with I would certainly hope that my personal philosophies would not be at odds with what is best for our City. Having said this, we are a community of ideas and opinions. "Best for the City" may not always be as clear as the contrast between black and white. More likely it will be the ideas and opinions of representative individuals entrusted by our community. I believe that I can serve

well as one of those representatives. In the end I would at all times seek to carry out my responsibilities and duties of this office to further the best interest of the City.

Resolution of conflict comes easy on matters of preference; the difficulty lies when the matter at hand pivots on divisive subjects. It is precisely for these matters that our community deserves to have representative individuals in place with the information, integrity and confidence to act in the best interest of the City.

4. What would you do if you were contacted directly by a resident or business to resolve a city related problem?

If I were contacted directly by a resident or a business the first thing I would do is listen. My experience is that many times people just want to be heard. After gaining a better understanding of their concern, I would seek to direct them to the appropriate city department or person that could help them with their concern.

5. What do you think are the top three issues facing the Brea Community and why?

100 Year Celebration 1917-2017

Issues are not always negative! Our upcoming centennial is a wonderful opportunity for our community to join together in celebration of this historic milestone.

Regional Traffic

Residents and businesses of our community bear the burden of commuters seeking alternate routes to congested freeways on their way home.

Pension Reform

The historic model of public retirement plans is not sustainable; the private sector recognized this and made necessary changes decades ago. Retirement plans should be designed as a reward which allows a dedicated employee a means to live once they have retired. They should not be designed with economic incentives that encourage employees to retire early.

6. What is your understanding of the relationship between the treasurer function and the budget?

The budget is the responsibility of the City Council. Preparation and submittal to the City Council of a proposed budget is the responsibility of the City Manager. In the spirit of departmental co-operation, the City Treasurer may assist the City Manager with the preparation of the proposed budget.



CITY OF BREA APPLICATION AND INTEREST STATEMENT FOR CITY OF BREA TREASURER

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Table with 2 columns: Applications must be returned by 5:00 p.m. on January 14, 2015; To: City Clerk's Office 1 Civic Center Circle Brea, CA 92821

Name: Marlan M. Merhab
Home Address: 1001 Eadington Drive, Brea, CA 92821
Phone: 714-529-7460 Email: emerhab@aol.com
How long have you lived in Brea: 28 years
Employer: Retired-VP Morgan Stanley 2014
Employer Address:
Employer Phone: Email:
How Long: 45 years Occupation: VP
Education: (please circle highest grade completed) 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18
Degree or course of study in College: BA Business Administration/ Finance
Licenses or special certificates held: Various Securities Licenses

Have you ever been convicted of any crime of violation of any law or statute other than minor traffic violations? Yes X No (If yes, please attached a separate sheet of explanation)

I certify under penalty of perjury that all statements in response to this Application and Interest Statement are made by me and are true, correct, and complete to the best of my knowledge or belief. I understand that any misrepresentation, falsification, or omission of the facts herein may subject me to disqualification or dismissal.

Applicant's Signature:  Date: 1/8/15

Applicant's printed name: MARLAN M. MERHAB

Prior or Current Civic Experience (Include Membership in Professional, Charitable or Community organizations)	Office Held (If any)	Dates of Membership
Brea Investment Advisory Committee		2012-2014

Appointment to this position is intended to fill a 2-year vacancy created by a resignation.

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5. What do you think are the top three issues facing the Brea Community and why?
6. What is your understanding of the relationship between the treasurer function and the budget?

1. Recently retired; want to feel useful. Also want to give back. Bring many years experience in financial matters. Should be much help with investment bankers in bond issuance, redemption or re-finance. Also, having served on Brea Investment Advisory Committee may provide some continuity.
2. See Treasurer as providing advice, assistance and support to city staff as needed or requested. Also, participation in investing strategy decisions as part of the committee and reviewing periodic reports. See staff as collecting, assembling and analyzing data and preparing reports for review.
3. Not possible. Given Treasurer's job, my personal philosophy would never be in conflict with the City's best interest.
4. For a city-related problem, I would respond by referring him/her to the City Counsel.
5. Unaware of macro issues facing Brea. Am interested in maintaining fiscal integrity for the City.
6. View the Treasurer's job as overseeing preparation of the budget while assisting staff as needed or requested. Ultimately reviewing budget with staff prior to submission to City Counsel.



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Name: Roy Moore

Home Address: 1011 DELAY ST

Phone: (562) 697-6274 Email: RMOOREBREA@ACL.COM

How long have you lived in Brea: 54 YEARS

Employer: RETIRED

Employer Address: _____

Employer Phone: _____ Email: _____

How Long: _____ Occupation: _____

Education: (please circle highest grade completed) 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19

Degree or course of study in College: BS IN FINANCE

Licenses or special certificates held: _____

Have you ever been convicted of any crime or violation of any law or statute other than minor traffic violations? ___ Yes X No (If yes, please attached a separate sheet of explanation)

Prior or Current Civic Experience (Include Membership in Professional, Charitable or Community organizations)	Office Held (If any)	Dates of Membership
CULTURAL ARTS COMMISSION	CHAIR	1994-98
CITY COUNCIL	MAYOR	1998-2014

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1. Why do you want serve as the Brea City Treasurer? What do you feel you will bring to the position?
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Why do you want to serve as the Brea City Treasurer? What do you feel you will bring to the Position?

I would like to be appointed Treasurer because I believe I can contribute in a positive way to maintain Brea's strong financial record. I can bring value to the position by virtue of my strong financial background.

1. Education: B.S. Business Administration, UCLA, major: finance and insurance. M.S. Administrative Management, CSULA. LLB Law degree, Lasalle Extension University.
2. Chief Financial Executive, Reuland Electric Company, responsible for all accounting, banking, profit sharing, and insurance functions.
3. Financial Management Manager, Rockwell International
4. Sixteen years City Council experience several as Council representative on Investment Committee.
5. Will require minimal training by staff with which I have a very positive relationship.
6. Have familiarity with Chandler Asset Management and City's Investment Policy.

What do you see as the role of the elected City Treasurer? What do you see as the role of staff?

The Treasurer is the financial officer for the City and oversees the investment of City assets as managed by Chandler Asset Management. He is a member of the Investment Committee and acts advisor to the City Council. His job is to preserve, protect and maintain cash and investments. The City staff performs all the functions to operate the city efficiently. From a financial perspective staff would prepare an annual budget, supervise accounts receivable and payables, payroll, audit support, fee collections, etc.

Give an example of how you would resolve a situation where your personal philosophy is at odds With what is best for the City.

As City Treasurer, if my personal philosophy differs with staff, then I would appreciate being able

to discuss with staff the issue, recognizing the Treasurer's responsibility is somewhat limited to investment management. Of course, if my position is at odds with what is best for the City I would obviously defer to the City's position.

What would you do if you were contacted directly by a resident or business to resolve a city related Problem?

I would listen respectfully, record pertinent information and inform the resident that I will turn over the information to the City Manager and that a staff member will get back to him.

What do you think are the top three issues facing the Brea community and why?

1. Growth of the City's unfunded liabilities. There is a need to reduce them (as Tustin and Irvine have) using funds from sources such as the 560 Fund and future landfill revenues.
2. The need to make a greater effort to not only listening to our residents but hearing them. Fracking might be a good example.
3. Replacing lost funding due to the elimination of the Redevelopment Agency.

What is your understanding of the relationship between the treasurer function and the budget?

The Treasurer has not played a major role in developing the budget. It is prepared by staff and presented to the City Council for review and ultimate approval. I believe it would not be inappropriate to include the Treasurer in the planning process to utilize his financial knowledge but his role would be simply advisory

I certify under penalty of perjury that all statements in response to this Application and Interest Statement are made by me and are true, correct, and complete to the best of my knowledge or belief. I understand that any misrepresentation, falsification, or omission of the facts herein may subject me to disqualification or dismissal.

Applicant's Signature: Roy Moore Date: 12/31/14

Applicant's printed name: ROY MOORE

[Return to agenda](#)

REVISED

CITY TREASURER INTERVIEW SCHEDULE
TUESDAY, JANUARY 27, 2015

TIME	APPLICANT NAME
1:15	Jim Grosse
1:40	Gary Terrazas
2:05	Joseph Galligan
4:00	Bill Christensen
4:25	Phillip Anton
4:50	Gill Realon
5:15	Kenneth Palmer



CITY OF BREA APPLICATION
AND
INTEREST STATEMENT FOR
CITY OF BREA TREASURER

ALL APPLICANTS MUST BE RESIDENTS AND REGISTERED VOTERS WITHIN THE CITY OF BREA THE ELECTED TREASURER IS REQUIRED TO FILE A STATEMENT OF ECONOMIC INTEREST PURSUANT TO THE POLITICAL REFORM ACT OF 1974

DESCRIPTION OF RESPONSIBILITIES:

This is an elected position, which, because of a resignation, is being filled by appointment by the City Council. The City Treasurer is a member of the City's Investment Advisory Committee, participates in investment strategy discussions and reviews monthly and quarterly investment reports.

DESIRABLE QUALIFICATIONS

A working knowledge of managing institutional portfolios, investments, and implementing sound fiscal strategies for the management of large sums of money, plus a bachelor's degree in business or finance is preferred.

Applications must be returned by 5:00 p.m. on January 14, 2015	To: City Clerk's Office 1 Civic Center Circle Brea, CA 92821
--	--

Home Address: 575 Buttonwood Drive, Brea, CA 92821

Phone: 714-343-1428 / 714-990-1261 Email: grosseone@aol.com

How long have you lived in Brea: 33 Years

Employer: Self, 1099 Contractor: Pacific Realty, AmeriEstate Legal Plan, Reinert Properties

Employer Address: 575 Buttonwood Drive Brea / Home Office

Employer Phone: _____ Email: N/A _____

How Long: 6 Years Occupation: Real Estate Sales, Property Management

Education (please circle the highest grade completed) 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18

Degree or course of study in College: Business Administration & Management / Marketing

Licences or special certificates held: California Real Estate License, State of California Notary
Dale Carnegie Certificate in Human Relations, CIEA Certificate in Commercial Real Estate,
CAI Certificate in Association Management

Have you ever been convicted crime of violation of any law or statute other than minor

traffic violations? ____ Yes X No (If yes, please attached a separate sheet of explanation)

Prior or Current Civic Experience (Include Membership in Professional, charitable or Community Organizations)	Office Held (if any)	Dates of Membership
Brea Planning Commission	Member/Chair 2X	2004-12
Canyon Country Club Estados Home Owners Association	President	2008- Present
Brea Historical Society/Museum Board	President/Treasurer	2001-2010
Brea Olinda High School Pep Squad Boosters	President/Treasurer	1999-2001
Please Reference More Complete List Attached		

Appointment to this position is intended to fill a 2-year vacancy created by a resignation.

This questionnaire has been designed to provide detailed information regarding your background, experience and community involvement so we may better evaluate your qualifications for the Brea City Treasurer position. It identifies significant areas of responsibility for the position. Please provide a full response to each item. A response such as, "Refer to attached resume" is not considered a full response.

Please attach your responses to this form. Responses that do not provide the information as requested may disqualify you from further participation in the selection process.

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If you have any questions, please feel free to contact Brea City Clerk Cheryl Balz at (714) 990-7757.

Please answer the following question on a separate piece of paper. Responses must be double-spaced and not exceed three pages total.

1. Why do you want serve as the Brea City Treasurer? What do you feel you will bring to the position?
2. What do you see as the role of the elected City Treasurer? What do you see as the role of appointed City Staff?
3. Give an example of how you would resolve a situation where your personal philosophy is at odds with what is best for the City.
4. What would you do if you were contacted directly by a resident or business to resolve a city related problem?
5. What do you think are the top three issues facing the Brea Community and why?
6. What is your understanding of the relationship between the treasurer function and the budget?

Response to Questions on Page #2 of the Application
And
Interest Statement For
City of Brea Treasurer

1. **Why do you want to serve as the Brea City Treasurer? What do you feel you bring to the position?**
 - A. This position will give me opportunity to enhance and improve the treasurer role.
 - B. I bring 40 years of executive level professional successful experience in financial matters, including oversight and management of budgeting, gross profit, inventory, sales forecast and labor control. I also have similar experience and accomplishments volunteering in non-profit and community service.
2. **What do you see as the role of the elected City Treasurer? What do you see as the role of the appointed City Staff?**
 - A. The city treasurer is an oversight position to communicate with the City Council, offering sound advice for council consideration.
 - B. The city staff has an advisory role within their own expertise. Each of them to provide city elected/appointed officials information to make informed decisions.
3. **Give an example of how you would resolve a situation where your personal philosophy is at odds with what is best for the City.**

The bottom line is what is best for the city. Personal philosophy can play in discussion but in the end the community's best interest is the goal.

4. What would you do if you were contacted directly by a resident or business to resolve a city related problem?

Any role in public service, the first interest is that you do not mislead anyone.

Best direction is to point them to the appropriate expert on City Staff or Council.

Follow-up as appropriate.

5. What do you think are the top three issues facing the Brea Community and why?

A. Unfunded Pension Liability

- Formulate a plan to catch-up and recover. Unless addressed this will continue be a festering problem that will adversely effect our future financial success.

B. Secure and retain executive staff members under the constraints of "Measure T".

- This measure could eliminate many qualified applicants for positions and cause an abnormal turnover in the executive positions.


C. Reserves and the 560 Fund.

Use of these funds need to be for specific purpose and not allowed to offset the general fund expenses.

6, What is your understanding of the relationship between the treasurer function and the budget?

This is most important. The treasurer has a fiduciary responsibility to protect the community's best interest. The relationship between treasurer and budget should be close.

I certify under penalty of perjury that all statements in response to this Application and Interest Statement are made by me and are true, correct, and complete to the best of my knowledge or belief. I understand that any misrepresentation, falsification, or omission of the facts herein may subject me to disqualification or dismissal.

Applicant's Signature:  Date: JAN 10 2015
Applicant's printed name: James Michael Grosse

James Michael Grosse

Professional Experience

Ralphs Grocery Company, Compton California / Director 1973-2008

Responsibilities include all aspects of store operations including customer service, sales, P&L, merchandising, recruitment training/development and performance/productivity improvement. Have managed eleven multi-million dollar locations including remodeled and 4 new ground up locations. Sales range from 10 to 25 million annually with 60-200 employees. Additionally, multiple location responsibility.

VR Business Broker 2008-09

Listing and sales of small businesses.

CVS Pharmacy, Management 2009-2010

Responsibilities included all phases of the retail component and pharmacy management.

Total Wine, Brea / Human Resource Manager 2010-2011

Responsibilities included hiring, scheduling and all responsibilities to government compliance, company policy pertaining to counseling and review of staff associates.

Pacific Realty, Sales 2010 –Present

Commercial & Residential Real Estate Sales.

Reinert Properties 2010- Present

Exclusive sales agent and property manager.

AmeriEstate Legal Plan, 2013-2014

Sales, presentation and delivery of living trusts.

Licenses/Certificates/Association

California Real Estate License, California Notary License, L.A. County Food Handlers License, Human Relations Certificate, Member-Community Associations Institute, CMCA Credential-NBC-CAM.

Community Service

Brea Museum & Heritage Center / Board of Directors / President / Treasurer, 2002-10

Public Service. Responsibility for the opening of a community museum and educational center, including construction, operations, administrative organization, fund raising and grant writing.

City of Brea, Planning Commissioner 2004-2013

Appointed to post at the municipal level. Responsibility to make decisions in line with the city's general plan.

Board of Directors Canyon Country Club Estados, President, 2006-Current

Elected to serve making business and operation decisions for a 120 unit condominium project, Palm Springs, California.

President/Treasurer/Property Manager Clearview Homeowners 1987-1991

Responsibility to all functions of the community association.

Education

University of Phoenix	Business Administration/Marketing
Dale Carnegie	Human Relations
Realty Institute	Real Estate Principles/Practice/Finance
Goldenwest College	Business Management

575 EAST BUTTONWOOD DRIVE, BREA, CA 92821
PHONE 714-343-1428 E-MAIL GROSSEONE@AOL.COM

Misc. ATTRIBUTES & ACHIEVEMENTS JIM GROSSE

PERSONAL

- President/Board Member CCCE HOA (Palm Springs) Board of Directors 2008-Present
- Treasurer Clearview Homeowners 1987-89
- President Clearview Homeowners 1989-91

COMMUNITY

- Planning Commission :City of Brea 2004-2012
- Brea "Tracks" Committee
- Brea "Birch Hills Community Facility" Committee
- Chair, Brea Senior Citizen Advisory Board 2008
- Board Member Brea Art in Public Places Committee 2005-06
- City of Brea "General Plan Housing Update" 2007-08
- Orange County Transit Authority "Go Local" Task Force 2007
- President, Brea Museum "Board of Directors" 2001-10
- Brea Art Association "Board of Directors", Treasurer 2002
- City of Brea General Plan Advisory Committee 2001
- Treasurer BOHS Pep Squad Boosters 1998-99
- President BOHS Pep Squad Boosters 1999-01
- BOHS PTA 1999
- Awarded for "Dedication & Service" to Brea 1998
- "Citizen Committee for the Brea City of Brea Trust" 1999
- La County Department of Education Advisory Board 1996-97
- Downey Unified School District ROP 1996-97
- Board Member Ralphs Food 4 Less Foundation 1996-97
- Member Hacienda Height's Chamber of Commerce 1995-96
- Affiliation with the Downey Y.M.C.A.
- Affiliation with the Downey Chapter of ARC
- Sponsor /Volunteer – St John Vianney Church Festival 1994-95
- Sponsor Wilshire Development School for the Handicapped Athletic department
- Top Honors received for fund raising March of Dimes 2001
- Habitat for Humanity 2001
- BOHS Grad Night Committee 2001-04

PROFESSIONAL

- 2005 Special Assignment-charged to evaluate, reorganize to build sales/profit in 5 struggling locations
- Rated in the top ten by John Martin & Associates In Managerial Aptitude 1989
- Awarded Educational Grant from "Integrated Resource Company" for the hiring and development of the handicapped 1989
- Attended "Kantor Course for Business Writing" 1990
- Appointed "District Auditor for Shrink Control and Inventory Management" 1998-2006
- Cited as "Warehouse Example Store" 1999
- Rated "Top Retail Food Store " by the City of Downey 1999
- Recognized and Awarded by "The Best Foods Baking Company" for conducting partnership seminar training new members 1999
- Achieved top results and certificate – "Serv-Safe Food Handling Course" 1998
- Earned L.A. County Food Handlers License

JIM GROSSE REFERENCE

I have known Mr. Grosse for roughly eight years. For the last six of those years we have both been directors of the Canyon Country Club Estados Homeowners Association in Palm Springs, California.

He has served as President and I as Treasurer.

Mr. Grosse has a good understanding of Financial Statements, including balance sheet, income statement and cash flows. He also has a good grasp of budgets and followed closely the monthly operating results as compared to the operating budgets.

He also has a good understanding of our Reserve Accounts, their allocation and the timing of their expenditures.

He is very thorough in his quest to understand the operations and finances of our Association.

He would be a good City Treasurer.

Charles E. House
Certified Public Accountant,
(Inactive - Retired)

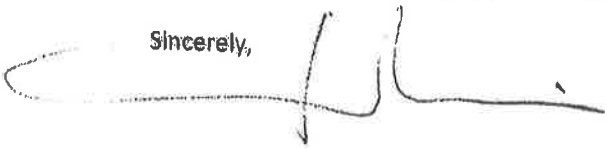
January 6, 2015

To Whom It May Concern,

Re: Jim Grosse

I have had the pleasure of knowing and working with Jim Grosse for approximately eight years. During that time I have observed his leadership, communication and financial skills to be far above average. Combined with his knowledge of logistics and drive to "get the job done!" he has earned my respect and am happy to give him a top level reference.

Sincerely,

A handwritten signature in black ink, appearing to read "Jim Lewis". The signature is fluid and cursive, with a long horizontal stroke at the end.

Jim Lewis
Owner & President
Desert Management
42427 Rancho Mirage Lane,
Rancho Mirage, CA 92270
760-862-1202

Jim Grosse

Work History with Ralphs Grocery Company

Store Director

Long Beach #831 April 2007 – February 2008
Wiltern #16 March 2006- January 2007
Glendale & Willson #134 June 2005-March 2006
Passons & Slauson #40 March 2004 – June 2005
- Grand Opening Location
South Pasadena #21 September 2002 – March 2004
- Grand Opening Location
Whittier Quad #162 February 2001 – September 2002
Firestone & Patton #295 July 1996 – February 2001
- Grand Opening Location
Hacienda Heights #214 March 1995-July 1996
- Grand Opening Location
Beach & Malvern #158 November 1993-March 1995
Crossroads #67 July 1989 - November 1993
- Major Remodel/Expansion
Brookhurst & Adams #60 March 1989 – July 1989

Manager of Operations

Brookhurst & Mc Fadden #23
Newport Hills #12

Azuza Avenue "Giant"

- Grand Opening Location
- Assignment to Internal Audit

Boyle Heights "Giant" #134

- Grand Opening Location
- Assignment to Internal Audit

Beach & Garfield #157

Goldenwest #69

Fountain Valley #171

Assistant Manager Merchandising

Fountain Valley #171
- Grand Opening Location

Service Manager

San Juan Capistrano #163
- Grand Opening Location

San Clemente #160

- Grand Opening Location

Assistant Service/Grocery Manager

Laguna Hills #28

Food Clerk-Courtesy Clerk

Goldenwest 1973
- Grand Opening Location



CITY OF BREA APPLICATION
AND
INTEREST STATEMENT FOR
CITY OF BREA TREASURER

RECEIVED

JAN 14 2015

OFFICE OF THE
CITY CLERK

ALL APPLICANTS MUST BE RESIDENTS AND REGISTERED VOTERS WITHIN THE CITY OF BREA THE ELECTED TREASURER IS REQUIRED TO FILE A STATEMENT OF ECONOMIC INTEREST PURSUANT TO THE POLITICAL REFORM ACT OF 1974

DESCRIPTION OF RESPONSIBILITIES:

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DESIRABLE QUALIFICATIONS

A working knowledge of managing institutional portfolios, investments, and implementing sound fiscal strategies for the management of large sums of money, plus a bachelor's degree in business or finance is preferred.

Applications must be returned by 5:00 p.m. on January 14, 2015	To: City Clerk's Office 1 Civic Center Circle Brea, CA 92821
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Name: GARY TERRAZAS

Home Address: 719 Oakcrest Ave., Brea, CA 92821

Phone: 714-529-5976 Email: gary.terrazas@gmail.com

How long have you lived in Brea: 34 years

Employer: Retired

Employer Address: —

Employer Phone: — Email: —

How Long: 38 years Occupation: Real Estate Commercial Lending

Education: (please circle highest grade completed) 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 (18)

Degree or course of study in College: MBA Finance Stanford University; BA Economics UCLA

Licenses or special certificates held: Real Estate Studies Certificate NYU; Real Estate California Brokers License.

Have you ever been convicted of any crime of violation of any law or statute other than minor traffic violations? Yes No (If yes, please attached a separate sheet of explanation)

Prior or Current Civic Experience (Include Membership in Professional, Charitable or Community organizations)	Office Held (If any)	Dates of Membership
Brea Investment Advisory Committee	Member	2014 - 2015
Brea Planning Commission	Chairman member	1991 - 1998
Brea Olinda H.S. Baseball Booster Club	President	2000 - 2002
Brea Soccer Association	Board member	1990 - 1994
Brea Project Task Force	Chairman	1988 - 1989

Appointment to this position is intended to fill a 2-year vacancy created by a resignation.

This questionnaire has been designed to provide detailed information regarding your background, experience and community involvement so we may better evaluate your qualifications for the Brea City Treasurer position. It identifies significant areas of responsibility for the position. Please provide a full response to each item. A response such as, "Refer to attached resume" is not considered a full response.

Please attach your responses to this form. Responses that do not provide the information as requested may disqualify you from further participation in the selection process.

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If you have any questions, please feel free to contact Brea City Clerk Cheryl Balz at (714) 990-7757.

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5. What do you think are the top three issues facing the Brea Community and why?
6. What is your understanding of the relationship between the treasurer function and the budget?

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Applicant's Signature: Gary Terrazas Date: 1/14/14
Applicant's printed name: Gary Terrazas

Gary Terrazas
Responses to
City of Brea Treasurer Application
page 1 of 3

1. I feel that my education and career devoted to finance makes me a good fit for the Treasurer's position.

While serving on the Investment Advisory Committee for one year in 2014, I have demonstrated the ability to work with other members, staff and the investment manager, Chandler Asset Management, with respect to Brea's investment portfolio.

2. The Treasurer will annually prepare and submit an investment policy to Brea City Council for review and adoption. On a monthly basis, the Treasurer will provide various investment reports to the City Council.

The Treasurer serves on the Investment Advisory Committee (IAC) which reviews the status of the investment portfolio on a quarterly basis. Other responsibilities include the authority to execute warrants, open accounts with banks and other duties.

The Treasurer works with City Staff on investment matters and other duties. The role of the Treasurer is somewhat advisory in nature and provides independent opinion/judgement on financial matters.

Gary Terrazas

page 2 of 3

3. I can give you a real life example which occurred at the IAC last month. I voiced some concerns about the lack of narrative about certain aspects of the short term investment bond portfolio. Specifically, the subprime portion of the Asset Backed Securities (ABS) segment is showing serious deterioration in asset quality attributes such as increase in delinquencies and decline in underwriting standards. Even though Brea's ABS bonds are A rated, lower quality bonds can affect the overall ABS market. For example, the collapse of the subprime segment of the Mortgage Backed Securities market created the Great Recession in 2008-2009. At this time, there is no evidence of financial stress in the overall ABS market but more monitoring is needed. Therefore, next month I will initially meet with Bill Gallardo and recommend some added changes to the quarterly reports. Then we will talk to Chandler Asset Management for feedback. Finally, suggested changes will be presented at the next IAC quarterly meeting.

4. I would make no effort to become involved with a city related difficulty. I would refer the individual to the appropriate Brea department such as City Manager, Finance, Planning, Community Services, City Clerk, etc.

Gary Terrazas

page 3 of 3

5. The most earnest issue is the unfunded liabilities associated with the employee pension fund. A long term agreement must be established in order to eliminate under funded liabilities.

The evolution of Brea's Downtown is a pressing issue. Some concerns are vacancies, tenant mix repositioning and parking.

Given the significant financial pressures on the public sector in the last seven years, continued resource sharing should be considered in order to be more efficient and reduce expenses.

6. The Treasurer's function does not have any direct involvement with the budget process. The only general budget impact may stem from when revenue declines generating lower cash flows and ultimately affecting liquidity and the investment portfolios.

GARY TERRAZAS

719 Oakcrest Ave.
Brea, CA 92821

gary.terrazas@gmail.com

(714)529-5976 (H)
(714)397-2283 (C)

RISK MANAGEMENT EXECUTIVE

Results oriented manager/MBA with proven success directing risk management and driving profitable growth for financial institutions. Key competencies include:

- Risk management
- Basel II risk process
- Loan Administration:
- Banking regulations and compliance
- Portfolio management and acquisition
- Strategic planning
- Team building and training
- SOX

EXPERIENCE

UNION BANK/UNION BANK OF CALIFORNIA (acquired JFB), Brea, CA **2004-2011**
(Commercial Mortgage Operations (CMO). An originator of income property permanent loans)

SVP and Division Manager – Loan Administration (2009-2011)

Managed a staff of 20 in: Loan Servicing, Loan Closing and Special Assets. The Loan Servicing and Loan Closing departments were transferred to the Services unit effective 12/2010.

- Increased efficiency and productivity by proactively managing the three-year process of introducing a new CMO-Basel II risk grading system.

SVP and Division Manager – Credit (2004-2009)

Held full responsibility for the credit and portfolio management departments with assets over \$3 billion. Handled strategic planning for CMO which initiated geographic expansion of loan production offices from 2005-2008.

- Underwrote over \$1 billion in loan origination in 2008.
- Absorbed another division with \$1 billion in loans.

JACKSON FEDERAL BANK (Acquired HFB), Brea, CA **2000-2004**
(Originators of construction and permanent mortgage loans)

Senior Vice President, Chief Credit Officer

Responsible for managing Credit, Appraisal and IAR functions. Extensive experience in project environmental and inspection due diligence.

- Originated over \$200 million in purchase of single-family loan pools.
- Underwrote over \$325 million in income property loans in 2003.

HIGHLAND FEDERAL BANK, Burbank, CA

1994-2000

(Originators of construction and permanent mortgage loans)

Senior Vice President, Chief Credit Officer

Managed underwriting, appraisal and Internal Asset Review functions. Raised equity (equity recap) in conjunction with Sandler O'Neal.

- Engineered purchase of discounted \$6.3 million loan portfolio, which generated approximately \$2 million in profits.
- Assisted with Bank turnaround. Totally revamped credit, appraisal and IAR functions
- Significant participant in successful stock offering

ARTHUR ANDERSON & CO., Los Angeles, CA

1991-1994

Manager/Consultant

Reviewed/ classified real estate loans of failed savings and loans in preparation for sale by RTC. Reviewed major bank real estate loans for compliance / classification procedures.

MEYER PROPERTIES, INC., Santa Fe Springs, CA

1988-1990

Vice President for Finance and CFO

Originated and administered all secured real estate loans. Established unsecured lines of credit. Cultivated major debt and joint venture prospects for commercial and residential projects.

- Supported sale of largest single asset, Silverado Country Club and Resort, which involved complicated tax, legal and accounting issues.
- Designed strategy and selected money managers for management of large portfolio of securities.

Earlier experience included:

FIRST INTERSTATE MORTGAGE COMPANY, Costa Mesa, CA

COLWELL FINANCIAL CORPORATION, Los Angeles, CA

CITICORP REAL ESTATE INC., Los Angeles and Costa Mesa, CA

CITIBANK, N.A., New York, NY

EDUCATION

M.B.A., Finance concentration, Stanford University Graduate School of Business

B.A., Economics, University of California at Los Angeles

Certificate in Real Estate Studies, New York University

COMMUNITY ACTIVITIES

City of Brea, Planning Commissioner, 1991-1999

President, Brea Olinda High School Baseball Booster Club, 2000-2002

Brea Soccer Association, Board of Directors, 1991-1994

Referee Coordinator and Certified Referee

Brea Project, Chairman of Development/Redevelopment Task Force, 1988-1989



CITY OF BREA APPLICATION AND INTEREST STATEMENT FOR CITY OF BREA TREASURER

RECEIVED

JAN 14 2015

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Table with 2 columns: Applications must be returned by 5:00 p.m. on January 14, 2015; To: City Clerk's Office 1 Civic Center Circle Brea, CA 92821

Name: JOSEPH R. GALLIGAN

Home Address: 1377 STRATTFORD ST., BREA CA 92821

Phone: 714-671-0633 Email: jrgalligan@sbcglobal.net

How long have you lived in Brea: 23 YEARS

Employer: SELF

Employer Address: 1377 STRATTFORD ST., BREA CA 92821

Employer Phone: 714-397-3758 Email: jrgalligan@sbcglobal.net

How Long: 6 YEARS Occupation: CPA

Education: (please circle highest grade completed) 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18

Degree or course of study in College: ACCOUNTING

Licenses or special certificates held: CPA LICENSE

Have you ever been convicted of any crime of violation of any law or statute other than minor traffic violations? Yes No (checked) (If yes, please attached a separate sheet of explanation)

Prior or Current Civic Experience (Include Membership in Professional, Charitable or Community organizations)	Office Held (If any)	Dates of Membership
AMERICAN INSTITUTE OF CERTIFIED		
PUBLIC ACCOUNTANTS	NONE	1976-CURRENT

Appointment to this position is intended to fill a 2-year vacancy created by a resignation.

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3. Give an example of how you would resolve a situation where your personal philosophy is at odds with what is best for the City.
4. What would you do if you were contacted directly by a resident or business to resolve a city related problem?
5. What do you think are the top three issues facing the Brea Community and why?
6. What is your understanding of the relationship between the treasurer function and the budget?

I certify under penalty of perjury that all statements in response to this Application and Interest Statement are made by me and are true, correct, and complete to the best of my knowledge or belief. I understand that any misrepresentation, falsification, or omission of the facts herein may subject me to disqualification or dismissal.

Applicant's Signature: Joseph R. Galligan Date: 1/9/15

Applicant's printed name: JOSEPH R. GALLIGAN

JOSEPH R. GALLIGAN
1377 STRATTFORD STREET
BREA, CA 92821
(714) 397-3758
jrgalligan@sbcglobal.net

January 11, 2015

City Clerk's Office
1 Civic Center Drive
Brea, CA 92821

Re: City of Brea Treasurer

To Whom It May Concern:

I am enclosing the paperwork requested in response to your posting to fill the City of Brea Treasurer position. I have completed all required paperwork and have also attached a resume for your review.

Thank you very much for your time and consideration. I look forward to speaking with you and learning more about this position.

Very truly yours,


Joseph R. Galligan
Certified Public Accountant

Responses to questions for Brea City Treasurer application

1. I feel the Treasurer position is an excellent fit for my skills and my experience lends itself well to the requirements of the position. I have been a CFO in the investing and venture capital business since 1997 dealing with a wide variety of investors and investments. Although the portfolio for Brea consists mostly of fixed income investments, this type of investment is simpler to deal with and understand than some of the more complex equity investments I have dealt with over the years. I have dealt with large pension funds and investment arms of banks and am aware of how they operate, the reporting requirements they have and what is required to administer a portfolio such as the City of Brea has. I am familiar with all the applicable reporting requirements and audit issues on such a portfolio. I feel I could quickly take on the role and require a minimal amount of time to ramp up to fulfill the duties of this position. My experience would allow a quick start and should be an ideal match for an interim two-year period required by this position. I understand this business going in and have the background to hit the ground running. In addition to my background in the investment management field, I have been a CPA for many years and an auditor for both a national and local CPA firm, and now a sole practitioner in Brea specializing in financial consulting and contract CFO work.
2. Although I don't have a detailed job specification, I assume the role of the City Treasurer is to ensure that investments are made in accordance with the parameters of the guidelines given to the investment manager and report the results to the City Council. There would be communications with the investment manager regarding the portfolio to make sure all sides are operating under the same philosophy and parameters. I would assume there would be some budgeting aspects of the position to ensure funds are available as required by the needs of the city. As a member of the Investment Advisory Committee I would expect to become involved

and have a voice in the decisions made by that committee. I do not have first-hand knowledge of the types of decisions they deal with as I know government agencies generally have a very strict set of guidelines and rules for the types of investments they can make.

I do not know what appointed staff might be involved with this position so I cannot honestly comment on what role I see them in without fully understanding the structure more thoroughly.

3. In making investments, the City is required to preserve capital at the expense of investing in more aggressive products such as venture capital and derivatives. I believe that both of these products are beneficial in the long run if used sparingly and managed wisely. In my own investing I make investments which are riskier other than bonds and fixed income products. I realize the City has to be more conservative since they are a custodian of taxpayer money and can ill-afford any significant losses. My personal philosophy would be to take a little more risk but I understand and agree with the make-up of the current portfolio as prudent.
4. I suspect that the City Treasurer would not be in a position to have great influence or contacts to help a citizen or residence solve a problem. I view this position as more administrative. I would most likely encourage the person or business to contact someone more appropriate to help them deal with their particular issue. I would hope that I would be able to learn the roles of the other administrators and City Council members so that I could point the person or business to someone who might be able to give them help.
5. a.) Development of the foothill properties in the canyons – This has long term implications on both city revenues and traffic and infrastructure issues for years to come.
b.) Tower Records building – This building is an eyesore and albatross in an otherwise greatly successful Birch Street development. How this is resolved also has ramifications on dealing with parking problems on the east end of Birch Street.

- c.) Unfunded pension liabilities – Any entity with a defined benefit pension plan which has been in existence has issues maintaining the funding for upcoming benefits.
6. Without a full job specification, I don't know the exact relationship between the treasurer and budget. I would suspect the Treasurer is involved with dealing with the ramifications of funding the budget although I don't know if the Treasurer is involved in developing the budget. I have been involved in budgeting and administration/reporting on all levels and am flexible enough to be able to assist at whatever level is required.

JOSEPH R. GALLIGAN, CPA
1377 Stratford Street
Brea, CA 92821
(714) 397-3758
jrgalligan@sbcglobal.net

FINANCIAL EXECUTIVE

BA in Accounting, CPA and MBA classes combined with extensive broad based experience in large and small companies, specializing in venture capital and investment partnerships. Highly organized and detail oriented professional with thorough knowledge of all aspects of executive level financial management and control system implementation. Extensive multi-industry background in all disciplines relating to finance, administration and internal controls. Key areas of expertise include:

Venture Capital/Hedge Funds
Strategic Planning
Due Diligence/Investment Analysis

Internal/External Audit
Financial Modeling & Budgeting
Portfolio and SBA Reporting

Business Administration
Tax Planning & Management
Partnership Accounting

ACCOMPLISHMENT OVERVIEW

JOSEPH R. GALLIGAN, CPA

2005-PRESENT

Part-time **CFO/Controller** for small businesses (primarily Venture Capital, Private Equity, SBIC and Hedge funds) as independent contractor. Performed all CFO functions including filing incorporation/partnership documents, establishing legal entities, maintaining ledgers and capital accounts and all finance management functions. Responsibilities include:

- All general ledger functions (for multiple entities) through preparation of audit and tax returns, including K-1s
- Maintain investor relations including execution of capital calls and distributions
- Filing of all pertinent tax returns and regulatory filings, including SBA reporting
- Track fund performance and IRR information
- Assist in due diligence and investment analysis

Representative clients:

GKM Venture Advisors
GKM Newport (Fund of Funds)
Marwit Capital
LeVasseur Capital Partners
LaGal's Tool & Supply, Inc.
Glaspro, Inc.
Smart Technology Ventures
Edwards Holdings LLC
Stone Canyon Ventures
Huntington Capital

FORREST BINKLEY & BROWN
Irvine, California

1997- Present

One of largest Southern California venture capital/private equity firms (funded primarily by Bass family interests from Ft. Worth, TX) whose principals have a 30-year history of producing double digit annual IRR. Established position of **Chief Financial Officer** responsible for all administrative, regulatory, tax and accounting matters for \$250 million investment partnerships investing through the SBA's Small Business Investment Company (SBIC) program and non-SBIC funds. Established liaison between fund manager, limited partners and SBA.

- Established reporting systems between partnership and limited partners, SBA, external auditors, banks and legal counsel. Developed and presented IRR data of all funds.
- Performed duties of de-facto administrative partner responsible for selection of banking, legal counsel and outside auditor and consultants.
- Participated in due diligence and evaluation of validity of financial projections and assumptions of potential portfolio companies.

AUTOMOTIVE SAFETY COMPONENTS INTERNATIONAL
Costa Mesa, California / Ensenada, Mexico

1995-1997

Leading manufacturer of automotive airbags and other sewn products. As **Division Controller**, responsible for all accounting and financial functions of maquiladora operations in Ensenada, Mexico plant as well as administrative functions in corporate office in Costa Mesa.

- Implemented perpetual inventory system and cycle counting procedures in Mexican plant dramatically decreasing time required for physical inventory and increasing accuracy of inventory records.
- Established cost accounting function to provide senior management with accurate costing information in a highly competitive, low margin product.
- Automated budgeting process providing more accurate and timely financial information to line management with which to manage the daily operation.

OREGON STEEL MILLS, INC.
Fontana, California

1993-1995

World class, Fortune 500 steel mini-mill with over \$1 Bil in sales specializing in high quality, low cost steel products. Established position of **Plant Controller** at Plate Mill in Fontana, CA, reporting to General Manager. Responsible for General Accounting, Cost Accounting, A/P, MIS, Capital Expenditures, Inventory Control and all Budget functions. Coordinated transition of controller function and corresponding duties from Corporate office to branch location.

- Responsible for all PC applications and software purchased and used by branch personnel as well as establishing priorities of corporate MIS group in dealing with division issues.
- Accountable for all physical inventories including compilation, costing issues and coordinating internal and external audit review during physical inventory.
- Implemented on-site budgeting and standard cost applications. Coordinated and assisted branch management in developing, monitoring and analyzing standard costs and budget variations.

WURTH & COMPANY, CERTIFIED PUBLIC ACCOUNTANTS
Orange, California

1988-1993

Firm specialized in Audit, Tax Services, Litigation Support and Business Consulting with 30 employees in two branches. Reported directly to the corporate partners as **Audit Manager**, managed staff accountants in audit, review and compilation functions of financial management for client companies.

McMASTER CARR SUPPLY COMPANY
Santa Fe Springs, California / Elmhurst, Illinois

1981-1988

High volume distributor of industrial supplies with two thousand employees in four branches doing \$1 Bil in sales. Hired as the **Corporate Audit Manager** and promoted to **Director of Finance and Division Controller** reporting to the Vice President of Finance. Managed a budget of \$700,000 and four area managers from General Accounting, A/R Credit, Office Services and a staff of 35. Established operational Audit Department interfacing with all areas of company evaluating internal controls and efficiency of operations.

ARTHUR ANDERSEN & CO.
Chicago, Illinois

1976 -1981

National CPA firm providing full service tax, audit and consulting services. As **Audit Senior** was responsible for performance of certified financial audits as assigned by Partners of the firm. Developed expertise in auditing, internal controls, regulatory compliance and practice development.

EDUCATION AND TRAINING

MBA, University of Chicago, continuing California State University, Fullerton
 BA, Accounting, University of Northern Iowa
 CPA, State of California

ATTENTION: PLEASE ALLOW ME TO PHONE THE INTERVIEW

WE WILL BE ON A SMP OFF VICTIM.



CITY OF BREA APPLICATION
AND
INTEREST STATEMENT FOR
CITY OF BREA TREASURER

THANK YOU RECEIVED

JAN 13 PM 2:08 BREA

JAN 13 2015

OFFICE OF THE
CITY CLERK

ALL APPLICANTS MUST BE RESIDENTS AND REGISTERED VOTERS WITHIN THE CITY OF BREA THE ELECTED TREASURER IS REQUIRED TO FILE A STATEMENT OF ECONOMIC INTEREST PURSUANT TO THE POLITICAL REFORM ACT OF 1974

DESCRIPTION OF RESPONSIBILITIES:

This is an elected position, which, because of a resignation, is being filled by appointment by the City Council. The City Treasurer is a member of the City's Investment Advisory Committee, participates in investment strategy discussions and reviews monthly and quarterly investment reports.

DESIRABLE QUALIFICATIONS

A working knowledge of managing institutional portfolios, investments, and implementing sound fiscal strategies for the management of large sums of money, plus a bachelor's degree in business or finance is preferred.

Applications must be returned by 5:00 p.m. on January 14, 2015	To: City Clerk's Office 1 Civic Center Circle Brea, CA 92821
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Name: WILLIAM LEROY "BILL" CHRISTENSEN

Home Address: 816 E. BUCHANAN CT, BREA, CA 92821

Phone: (714) 990-6860 Email: CHRISTENSENWL@ATT.NET

How long have you lived in Brea: 27 YEARS

Employer: RETIRED; INVESTMENTS, COMMERCIAL BANKING

Employer Address: NA

Employer Phone: NA Email: NA | LOAN OFFICER

How Long: 42 YEARS Occupation: PORTFOLIO MANAGER / INVESTMENT ADVISOR

Education: (please circle highest grade completed) 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 (18)

Degree or course of study in College: BUSINESS - FINANCE

Licenses or special certificates held: FINRA SERIES 7 (SINCE 1984)
STATE OF CALIFORNIA LIFE # ACO3210

Have you ever been convicted of any crime of violation of any law or statute other than minor traffic violations? Yes No (If yes, please attached a separate sheet of explanation)

ONE DUI IN ANAHEIM 5 YEARS AGO AFTER A PARTY. THAT WILL NEVER HAPPEN AGAIN

Prior or Current Civic Experience:

William "Bill" Christensen

1955, age 8: Founding members of a Church in Bakersfield, Ca. ; usher, landscape maintenance

1961, age 14: earned Rank of Eagle Scout, Bakersfield and for 3 Summer on Staff at Camp

1963, age 16: President of the Youth Fellowship at the Church

1964, age 17: Drum Major of High School Band and Varsity Basketball

1965, age 18: represented Bakersfield as a ROTARY Summer exchange student to Norway

1967-9 age 20-21: Fraternity Leader

1972-7, age 25-30: Volunteer Mentor in the Big Brother Program

1984-current: Rotarian, Whittier, Brea, Orange, Brea. In Orange I was the Community Service Director of a 150 member Club.

1997, age 50: Board of Director, Orange County Council, Boy Scouts. I was on the Investment Committee, with a Portfolio of \$20 mil. I wrote an RFP and led the Committee in selecting the Money Manager.

Current, age 67: Cal State University at Fullerton, donor to Athletics and volunteer fundraiser

Current, Member of Homeowners Association Board

1. Why? To give back to Brea, What do I bring? Experience, Ethics, Time and Energy
At 24 I was the Buyer for a \$50 mil Bond Portfolio at City National Bank in Beverly Hills.
At 30 I had Credit Authority in Accounts Receivable/Inventory Financing at Crocker Bank, LA
After Selling to small Banks and being a Stockbroker at Morgan Stanley, Santa Ana
My last 7 years I managed \$100 mil in Clients Life Savings for AIG-Valic. Retired in 2011
2. Role of Treasurer? Do everything it says in the attached Overview of Duties and Responsibilities.
Role of Staff: Help as needed; but don't waste their time.
3. My personal philosophy will never interfere with what's best for the City.
4. If contacted by a resident to resolve a problem? I would direct them to the Staff who has the responsibility for the problem.
5. Top three issues? 1) Protect and manage the City's Reserves , 2) Balanced Budget and unfunded Pension obligations, 3) Friendly Business environment that includes quality Public Safety and Schools
6. Relationship between Treasurer and the Budget? Meet with Bill Gallardo as needed.

I certify under penalty of perjury that all statements in response to this Application and Interest Statement are made by me and are true, correct, and complete to the best of my knowledge or belief. I understand that any misrepresentation, falsification, or omission of the facts herein may subject me to disqualification or dismissal.

Applicant's Signature:  Date: JANUARY 13, 2015

Applicant's printed name: WILLIAM LEROY CHRISTENSEN

City of Brea

ELECTED CITY TREASURER

Overview

The California Government Code established the position of City Treasurer in cities in California. Cities have individually determined how to provide for the position within their city structure, either by appointment or by election. In the City of Brea, the position of City Treasurer was determined to be an elected position. Over the years, the position has evolved and the elected City Treasurer shall serve the City of Brea in the manner described below.

The elected City Treasurer shall:

- Protect, preserve and maintain intact cash, investments and other assets placed in trust with the Treasurer on behalf of the residents of the community.
- Be dedicated to the highest ideals of honor, integrity, and objectivity in all public and professional relationships, and function within existing legal guidelines.
- Promote principles of good government and be dedicated to the concepts of effective and efficient government service.
- Seek no personal advantage or gain as a result of the position, or due to the commission of a questionable act.
- Maintain personal conduct in such a manner as will enhance the stature of the position and reflect positively upon the City of Brea.

Duties and Responsibilities

The elected City Treasurer shall participate as a member of the City's Investment Advisory Committee, which meets quarterly (March, June, September and December) throughout the calendar year.

As a member of the Investment Advisory Committee, the elected City Treasurer shall be responsible to:

- Review quarterly investment reports;
- Review monthly investment reports;
- Participate in investment strategy discussions with representatives of the City's contracted investment management firm;
- Participate in the development of the Annual Statement of Investment Policy;
- Provide status reports, as needed, to the City Council at Council Study Sessions.

The elected City Treasurer shall act in concert with all Fiscal Policy Statements adopted by the City Council.

The elected City Treasurer's signature shall appear as one of the authorizing signatures used on all City of Brea and Brea Redevelopment Agency bank accounts.

The elected City Treasurer shall meet with the Financial Services Director on an as needed basis to discuss treasury-related City issues.

October 5, 2004

JAN 14 PM 2:15 BREA



CITY OF BREA APPLICATION
AND
INTEREST STATEMENT FOR
CITY OF BREA TREASURER

RECEIVED
JAN 14 2015
OFFICE OF THE
CITY CLERK

ALL APPLICANTS MUST BE RESIDENTS AND REGISTERED VOTERS WITHIN THE CITY OF BREA THE ELECTED TREASURER IS REQUIRED TO FILE A STATEMENT OF ECONOMIC INTEREST PURSUANT TO THE POLITICAL REFORM ACT OF 1974

DESCRIPTION OF RESPONSIBILITIES:

This is an elected position, which, because of a resignation, is being filled by appointment by the City Council. The City Treasurer is a member of the City's Investment Advisory Committee, participates in investment strategy discussions and reviews monthly and quarterly investment reports.

DESIRABLE QUALIFICATIONS

A working knowledge of managing institutional portfolios, investments, and implementing sound fiscal strategies for the management of large sums of money, plus a bachelor's degree in business or finance is preferred.

Applications must be returned by 5:00 p.m. on January 14, 2015	To: City Clerk's Office 1 Civic Center Circle Brea, CA 92821
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Name: Phillip R. Anton

Home Address: 236 Camphor Circle, Brea, CA 92821-5930

Phone: (914) 815-9562 Email: PANTON72@ROADRUNNER.COM

How long have you lived in Brea: SINCE AUGUST 1972

Employer: NEWPORT COAST SECURITIES

Employer Address: 1290 W. LAMBERT RD, Ste A-1, BREA, CA 92821-2824

Employer Phone: (914) 529-1201 Email: PANTON@ROADRUNNER.COM

How Long: 12/09 Occupation: REGISTERED INVESTMENT ADVISOR

Education: (please circle highest grade completed) 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 (18)

Degree or course of study in College: BUSINESS ADM, FINANCE AB/OCCIDENTAL COLLEGE
GRAD COURSES FROM UC IRVINE + NEW YORK INSTITUTE OF FINANCE

Licenses or special certificates held: JUST ABOUT EVERY SECURITIES LICENSE THERE IS
INCLUDING SERIES 7, 24, 62, 63, LIFE INSUR., LIFE + DISABILITY, VARIABLE ANNUITIES,
BRANCH MGR.

Have you ever been convicted of any crime of violation of any law or statute other than minor traffic violations? Yes X No (If yes, please attached a separate sheet of explanation)

City of Brea Treasurer

Phil Anton

Answers (page 2):

1. I feel it is my way of contributing to the health and positive state of the City utilizing my vast professional experience as president of a securities brokerage, large institutional money manager, & former head of B of A & Security Pacifics' Investment Counseling Services; former manager of B of A's growth mutual fund; bond portfolio manager & municipal bond specialist. I bring to the City a known and trusted individual who has worked with several of city staff over the years, including Finance Directors Larry Hurst, Bill Gallardo & former Treasurers John Sutton & Glenn Parker.

I have a working knowledge of the City Investment Advisory Committee after having been a key member of it for over 12 years, and one of a few who truly understood the investment portfolios under management of the city's outside investment management firm in San Diego. Even after I was off the committee, the City Treasurer would send me investment statements for both the City's General and Redevelopment investment accounts to look over, and help answer any questions that may arise. I do feel that I have earned the trust of city staff.

2 As City Treasurer I see my role as being an oversight of the Financial Services Department headed by Mr. Gallardo. I trust city staff, but one must be there in order to implement a system of checks and balances. Appointed City Staff should be just as responsible as elected officials as we are there to represent the best interest of the City and most importantly it's citizens. As City Treasurer, as stated above, I will look over the budgets and investment portfolios, and will be involved with investment strategy while reviewing monthly and quarterly investment reports as I have faithfully done for over 12 years.

3. As for giving an example as how I would resolve a situation here my personal philosophy is at odds with what is best for the City, I hope I do not ever have to be in that position, but am not afraid to face adversity. I remember back in 2009 during the Fannie Mae meltdown where the day after a pretty serious automobile accident I was there with a broken hand to address City Staff and several department heads to discuss our Fannie Mae and other government agency issues in both our City and Redevelopment portfolios. I was one of the few who led this discussion, and was not afraid to express my opinions.

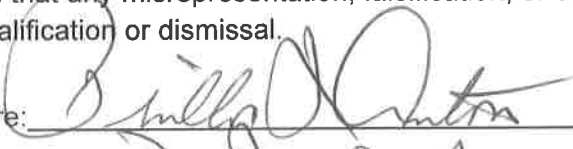
If I ever felt my personal philosophy were at odds with what is best for the City, I would express it in writing, at the Investment Advisory Committee meetings, and at Council Study Sessions if needed. I believe it is best to handle problems and differences internally without going public unless dire reponse is warranted. If it were just a matter of being uncomfortable with City Staff due to major differences, I would resign my position if needed (hopefully, we never get to that point).

4. If I were contacted directly by a resident or business to resolve a City related problem, I would either point that individual or business to the proper department, or contact the city department that should be addressing this issue. I may refer it to a City Councilmember to follow up with the problem as unless it relates to city finances, this is none of my business.

5. There are always new issues facing the Brea Community. Presently, and in no particular order is the Madrona Project (fracking, fire danger, water supply, & traffic). There is a major downtown parking problem which needs to be addressed, and how to fund a parking structure near the Tower Records building. A major convoluted issue is the possible merger/consolidations between the Brea and Fullerton Fire Departments. All of these change the traffic and environment of our great City. We'd like to preserve the hillsides, alleviate traffic, yet be able to continue the fine services our citizens have been provided for several year. Of course, the City's pension problem may be the biggest of all, and probably should be placed at the top!

6. I believe I answered this question in #2 (above), but the Treasurer should be able to understand budgets, and work with the City's Finance Director and City Staff to provide oversight of the budget, and offer input if called or needed. The Treasurer must make sure the investment portfolio is able to cover the budget while maintaining City reserves for emergencies.

I certify under penalty of perjury that all statements in response to this Application and Interest Statement are made by me and are true, correct, and complete to the best of my knowledge or belief. I understand that any misrepresentation, falsification, or omission of the facts herein may subject me to disqualification or dismissal.

Applicant's Signature:  Date: 1/13/2015

Applicant's printed name: PHILLIP R. ANTON



CITY OF BREA APPLICATION
AND
INTEREST STATEMENT FOR
CITY OF BREA TREASURER

RECEIVED
JAN 14 2015
OFFICE OF THE
CITY CLERK

ALL APPLICANTS MUST BE RESIDENTS AND REGISTERED VOTERS WITHIN THE CITY OF BREA THE ELECTED TREASURER IS REQUIRED TO FILE A STATEMENT OF ECONOMIC INTEREST PURSUANT TO THE POLITICAL REFORM ACT OF 1974

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Applications must be returned by 5:00 p.m. on January 14, 2015	To: City Clerk's Office 1 Civic Center Circle Brea, CA 92821
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Name: Gill Realon

Home Address: 2241 Shadetree Circle, Brea, CA 92821

Phone: 714.454.7600 Email: gillrealon@db.com

How long have you lived in Brea: since 1986

Employer: DBS Bank Ltd.

Employer Address: 725 S.Figueroa St, Suite 2000, Los Angeles, CA90017

Employer Phone: 213.627.0222 Email: no general email

How Long: June 17, 2013 began Occupation: banker

Education: (please circle highest grade completed) 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 **18**

Degree or course of study in College: MBA

Licenses or special certificates held: earned a series 7 and 63 while with BofA Merrill Lynch

Have you ever been convicted of any crime of violation of any law or statute other than minor traffic violations? Yes xx No (If yes, please attached a separate sheet of explanation)

Prior or Current Civic Experience (Include Membership in Professional, Charitable or Community organizations)	Office Held (If any)	Dates of Membership
see attached experience and community work		
Brea Community Emergency Council	Treasurer	2010 -present
Volunteer for Junior Achievement	----	2010 -present
Friends of the Fullerton Arboretum	----	1990 -present
Brea Historical Society	-----	20+ years to present.

Appointment to this position is intended to fill a 2-year vacancy created by a resignation.

This questionnaire has been designed to provide detailed information regarding your background, experience and community involvement so we may better evaluate your qualifications for the Brea City Treasurer position. It identifies significant areas of responsibility for the position. Please provide a full response to each item. A response such as, "Refer to attached resume" is not considered a full response.

Please attach your responses to this form. Responses that do not provide the information as requested may disqualify you from further participation in the selection process.

The City of Brea application form and supplemental response sheets must be completed and submitted to the City of Brea City Clerk, 1 Civic Center Circle, Brea, CA 92821, no later than **5:00 p.m., January 14, 2015**. Postmarks and facsimiles will not be accepted. Based upon a review of information, as submitted, those applicants who are determined to be most qualified will be invited to participate in an oral appraisal interview before the City Council at a special meeting on January 23, 2015.

If you have any questions, please feel free to contact Brea City Clerk Cheryl Balz at (714) 990-7757.

Please answer the following question on a separate piece of paper. Responses must be double-spaced and not exceed three pages total.

1. Why do you want serve as the Brea City Treasurer? What do you feel you will bring to the position?
2. What do you see as the role of the elected City Treasurer? What do you see as the role of appointed City Staff?
3. Give an example of how you would resolve a situation where your personal philosophy is at odds with what is best for the City.
4. What would you do if you were contacted directly by a resident or business to resolve a city related problem?
5. What do you think are the top three issues facing the Brea Community and why?
6. What is your understanding of the relationship between the treasurer function and the budget?

I certify under penalty of perjury that all statements in response to this Application and Interest Statement are made by me and are true, correct, and complete to the best of my knowledge or belief. I understand that any misrepresentation, falsification, or omission of the facts herein may subject me to disqualification or dismissal.

Applicant's Signature: Gill Realon Date: Jan 13, 2015
Applicant's printed name: Gill Realon

1. Why do you want to serve as the Brea City Treasurer?

Answer: Over the many years I have been involved in community activities, I've enjoyed giving back to the city I live in, and see the opportunity to continue to provide some value to the residents of our city in the role as our city's treasurer.

What do you feel you will bring to the position?

Answer: Over a 30-plus year banking career (as my attached work experience summary highlights), I have represented a diverse group of global financial institutions in providing solutions to public and private companies on issues from investment management, 401K and pension administration, treasury management and accessing the debt capital markets. I believe I can use my expertise to help the leadership of our city assess financial issues.

2. What do you see as the role of the elected City Treasurer?

Answer: Unless altered by the city council and city staff leadership, I do not feel it would diverge from the job description that has been established for the position and posted to the city website.

What do you see as the role of appointed City Staff?

Answer: Our city staff manages the day-to-day liquidity needs of our city and implements the policies established by our city council.

3. Give an example of how you would resolve a situation where your personal philosophy is at odds with what is best for the City.

Answer: What is "best for the city" is, in my view, established by our city's governing decision-making processes and all roads lead to the leadership of our city council and staff in approving/establishing the priorities and action steps in implementing those priorities for our community.

The role of a treasurer working with city staff is to insure that we operate in compliance with the investment and funding guidelines/policies of the city. In my professional life as a banker, good process leads to appropriate decisions and outcomes.

The city treasurer should raise their thoughts during the decision making process, but once a decision is made by the city's leadership team, it is the responsibility of all the involved stakeholders (e.g. city staff, city council, and the treasurer) to implement the decisions of our city council.

4. What would you do if you were contacted directly by a resident or business to resolve a city related problem?

Answer: Seek guidance from a member of our city staff and refer that resident to the appropriate area of our city's organization.

5. What do you think are the top three issues facing the Brea Community and why?

Answer:

- 1) From a financial perspective, I would have an interest in our forecasts of city revenues through January 2015. Are we on track with our revenue sources/cash flow forecast when compared with the city's funding needs and how do our revenues compare to our city's business plan?
- 2) Talent retention remains a key issue within the corporate community and I would suggest it will be an area of concern for our city leadership and our residents. Retaining and developing our city staff has a clear impact on the level of services we provide our residents long-term.
- 3) The Birch Golf course development is a visible asset of our community that has fallen behind schedule. Not that the treasurer has any impact on the progress of the development, it would be good to complete the project on the revised timetable which I think is some time during 2015.

6. What is your understanding of the relationship between the treasurer function and the budget?

Answer: According to the job description posted to our city's website, the treasurer is not involved in the budget process.

GILL REALON
2241 Shadetree Circle
Brea, CA 92821
Cell: (714) 454-7600
Email: gillrealon@dbs.com

EXPERIENCE

DBS Bank Ltd. Los Angeles, CA

June 2013 to Present

Senior Relationship Manager, Institutional Banking Group

Client manager responsible for developing new business with Fortune 500 companies with operations in Asia. Current client focus is the healthcare and food industries. Clients include Pfizer, Amgen, Baxter, Abbott Labs, Fresenius Group, Valeant, Cargill and Bunge.

BofA Merrill Lynch Los Angeles, CA

September 2009 to June 2012

Senior Vice President, Global Commercial Banking

Client manager responsible for expanding existing client relationships and developing new business in the middle market of Southern California. Responsibilities included managing client relationships with approximately \$300 million in credit commitments.

- Worked closely with Merrill Lynch financial advisors and product partners in proposing 401K retirement solutions to Alorica, Robertson's Ready Mix, Watermarke, plus early stage discussions with EPIC Management.
- Successfully established interest rate swaps with Trojan Battery and Scheu Management Company.
- Guided the successful multi-bank syndication of a \$200 million line of credit to Alorica. The initial bank syndication refinanced an existing BofA commitment into a multi-bank syndicated bank facility and provided financing for a \$70 million acquisition. The follow-up syndication, completed approximately a year later, provided a dividend recap to the owners.
- Initiated wealth management referrals to US Trust and Merrill Lynch financial advisors.

COMMERZBANK AG Los Angeles, CA

June 2008 to August 2009

First Vice President, Corporate Banking Group

Client manager responsible for maintaining and developing the branch's diversified corporate portfolio. Responsibilities included developing new corporate relationships, managing existing relationships, and cross-selling product line offerings.

- Established 3 new corporate relationships for the bank by providing credit support to Republic Services, LIFE Technologies and PACCAR, Inc.
- Cross-sold: (a) interest rate swap to LIFE Technologies and Gaylord Entertainment, (b) foreign exchange to CB Richard Ellis; (c) investment management of proceeds of the sale of MIBRAG JV in Germany to URS.
- Successfully worked with bank leadership and state bank regulators to close the LA office in August 2009.

CREDIT AGRICOLE GROUP Los Angeles, CA

August 2004 to June 2008

Managing Director, Calyon Corporate and Investment Bank

Team leader for the bank's global gaming team. Responsibilities included managing gaming client relationships and developing new relationships in the industry.

- Established new customer relationships with 12 gaming operators including Wynn Resorts (Las Vegas and Macau), Las Vegas Sands Corp. (Singapore, Macau and Las Vegas), MGM Mirage (Macau), Harrah's Cherokee, Kerzner, BLB Wembley, Fiesta Palms, Aliante, Ameristar, Forest County Potawatomi, Pinnacle Entertainment, and Pocono Manor.
- Generated product line income of approximately \$8.7 million which included syndication fees, debt capital markets fees, interest rate swap and equity capital markets income.
- Won CALYON Gaming Group's only joint-lead arranger roles for Peppermill Casinos and Mohegan Tribal Gaming Authority.

MELLON FINANCIAL CORPORATION Los Angeles, CA

1998 to 2004

Vice President, Mellon Bank, N.A.

Client manager responsible for retaining existing non-credit business and maintaining relationships while implementing Mellon's credit/capital reduction strategy with large corporate clients located in the western US.

- Identified non-credit service opportunities and successfully closed on over \$4 million in annualized fee income that included investment management/retirement solutions, private wealth management and human resources consulting.
- Successfully managed the bank's FX exposure to a customer with a deteriorating credit profile by proactively negotiating a cash collateralized FX facility with the cash collateral held at the bank. This allowed the bank to retain an FX customer generating \$1 million in income.
- Project managed the implementation of bank services for Teledyne Technologies, a company being spun-off to shareholders from its Pittsburgh-based parent. In addition to establishing a credit commitment, our relationship team successfully won product service mandates, including investment management services, pension administration services, cash management services, and stock transfer services for the spin-off company.
- Proactively communicated with customers on the bank's credit strategies, including exiting certain relationships that did not meet the changing focus of the bank, which resulted in the successful reduction in commitments by approximately \$200 million.
- Successfully sold a bundled pension administration and pension investment management solution to Viad Corp. This allowed the client to reduce its overall pension administration costs while the bank increased the assets under management and its fee income.

THE SANWA BANK, LIMITED Los Angeles, CA

1991 to 1997

Vice President, US Banking Department-West

Client manager responsible for developing new business opportunities with Fortune 1000 prospects and customers based in the western United States while also focusing on identifying opportunities in Japan for the domestic branch network (e.g. depository and FX services).

- Developed new relationships with Amgen, Boise Cascade, Smith Food and Drug, Huntsman Corporation, Idaho Power, Northrop Grumman, US Bancorp, and Vastar Resources.
- Guided the bank's entry into the gaming industry by establishing new credit/customer relationships with Mirage Resorts, MGM Grand, Boyd Gaming, Circus Circus and Hilton.
- Guided Micron Computer's entry into Japan, establishing a depository and foreign exchange relationship with the Japanese subsidiary.

GOLDEN STATE SANWA BANK/SANWA BANK CALIFORNIA Los Angeles, CA

1985 to 1991

Vice President, US Corporate-East

Business development officer responsible for introducing The Sanwa Group to Fortune 1000 companies headquartered in the Eastern United States.

- Developed new customer relationships with American Home Products, Beneficial Corporation, Mutual Benefit Life, Prime Motors Inns, Allied Signal, Toys R Us, Macmillan, VF Corporation, Prudential Securities, NYNEX, Bell Communications Research, and Hanson Industries.
- Negotiated and successfully closed on a Euro-yen loan to American Home Products.
- Established the bank as one of Berlitz School's primary cash management and foreign exchange providers in Japan.
- Negotiated a Japanese yen overdraft line to finance the entry of Toys R Us into Japan.

CROCKER NATIONAL BANK New York, NY

1982 to 1985

Assistant Vice President, Corporate Banking Division

Client manager responsible for maintaining customer relationships and identifying new business opportunities for companies headquartered in New Jersey.

- Agented a \$17.5 million standby letter of credit support facility for the commercial paper program of Equilease Corporation (an Allied Corporation).
- Advocated and gained approval for participating in two innovative financings for Metromedia Inc. with aggregate credit commitments exceeding \$100 million.
- Maintained the bank's position as the primary western US cash management bank for Nabisco Brands, Minolta, Warner-Lambert, and AT&T Long Lines.

CHEMICAL BANK New York, NY

1979 to 1982

Corporate Banking Officer, Financial Institutions Group

Credit analyst responsible for completing annual credit reviews and credit renewals extended by the bank to financial institutions based in the state of New York. Supported relationship managers by tracking customer activities including relationship and portfolio profitability, incremental product/service sales and customer inquiries.

EDUCATION

- University of Southern California, Los Angeles, CA (MBA-Finance)
- University of the Pacific, Stockton, CA (BS-Accounting)
- Securities Training Corporation (general securities training to become registered with FINRA--- obtained Series 7 and Series 63 licenses while with BofA Merrill Lynch)

PROFESSIONAL DEVELOPMENT

- DBS Bank (compliance, credit and capital markets training in Los Angeles)
- BofA Merrill Lynch (compliance, investment management, credit and capital markets training)
- Credit Agricole (credit and capital markets training in Los Angeles and Paris)
- Mellon Financial (ongoing investment management and product training in the US)
- Sanwa Bank (derivatives, FX and product training courses in Tokyo and the US)
- Chemical Bank (credit training program and ongoing credit and product training courses in NY)

COMMUNITY INVOLVEMENT

- Treasurer and board member of Brea Community Emergency Council -- volunteer from 2010 to present
- Volunteer with Junior Achievement in providing job interview skills to seniors at Garfield High School in East Los Angeles -- 2010 to present
- Friends of the Fullerton Arboretum -- member (20+ years)
- Los Angeles County Library Foundation -- member (5+ years)
- Brea Historical Society -- member (20+ years)
- Past president and board member of Country Hills of Brea Homeowners' Association (4 years)



CITY OF BREA APPLICATION AND INTEREST STATEMENT FOR CITY OF BREA TREASURER

RECEIVED JAN 12 2015 OFFICE OF THE CITY CLERK

ALL APPLICANTS MUST BE RESIDENTS AND REGISTERED VOTERS WITHIN THE CITY OF BREA THE ELECTED TREASURER IS REQUIRED TO FILE A STATEMENT OF ECONOMIC INTEREST PURSUANT TO THE POLITICAL REFORM ACT OF 1974

DESCRIPTION OF RESPONSIBILITIES:

This is an elected position, which, because of a resignation, is being filled by appointment by the City Council. The City Treasurer is a member of the City's Investment Advisory Committee, participates in investment strategy discussions and reviews monthly and quarterly investment reports.

DESIRABLE QUALIFICATIONS

A working knowledge of managing institutional portfolios, investments, and implementing sound fiscal strategies for the management of large sums of money, plus a bachelor's degree in business or finance is preferred.

Table with 2 columns: Applications must be returned by 5:00 p.m. on January 14, 2015; To: City Clerk's Office 1 Civic Center Circle Brea, CA 92821

Name: KENNETH M. PALMER
Home Address: 275 MORNING GLORY ST.
Phone: 714-854-0027 Email: kenpalmen@soc91-cpa.com
How long have you lived in Brea: 30 YEARS
Employer: KEN PALMER CPA
Employer Address: 319 E PALM DR STE C PLACENTIA 92870
Employer Phone: 714-996-1947
How Long: 20 YEARS Occupation: CPA
Education: (please circle highest grade completed) 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18
Degree or course of study in College: BS ACCOUNTANCY U of I MBA FINANCE DePaul
Licenses or special certificates held: PLEASE SEE ATTACHED ADDENDUM

Have you ever been convicted of any crime of violation of any law or statute other than minor traffic violations? Yes No (If yes, please attached a separate sheet of explanation)

Prior or Current Civic Experience (Include Membership in Professional, Charitable or Community organizations)	Office Held (If any)	Dates of Membership
KMIGHTS OF COLUMBUS 9511 COUNCIL	3RD DEGREE	2002-2014
BREA CHAMBER OF COMMERCE		1992-2014
PLACENTIA CHAMBER OF COMMERCE		2004-2014

Appointment to this position is intended to fill a 2-year vacancy created by a resignation.

This questionnaire has been designed to provide detailed information regarding your background, experience and community involvement so we may better evaluate your qualifications for the Brea City Treasurer position. It identifies significant areas of responsibility for the position. Please provide a full response to each item. A response such as, "Refer to attached resume" is not considered a full response.

Please attach your responses to this form. Responses that do not provide the information as requested may disqualify you from further participation in the selection process.

The City of Brea application form and supplemental response sheets must be completed and submitted to the City of Brea City Clerk, 1 Civic Center Circle, Brea, CA 92821, no later than **5:00 p.m., January 14, 2015**. Postmarks and facsimiles will not be accepted. Based upon a review of information, as submitted, those applicants who are determined to be most qualified will be invited to participate in an oral appraisal interview before the City Council at a special meeting on January 23, 2015.

If you have any questions, please feel free to contact Brea City Clerk Cheryl Balz at (714) 990-7757.

Please answer the following question on a separate piece of paper. Responses must be double-spaced and not exceed three pages total.

1. Why do you want serve as the Brea City Treasurer? What do you feel you will bring to the position?
2. What do you see as the role of the elected City Treasurer? What do you see as the role of appointed City Staff?
3. Give an example of how you would resolve a situation where your personal philosophy is at odds with what is best for the City.
4. What would you do if you were contacted directly by a resident or business to resolve a city related problem?
5. What do you think are the top three issues facing the Brea Community and why?
6. What is your understanding of the relationship between the treasurer function and the budget?

I certify under penalty of perjury that all statements in response to this Application and Interest Statement are made by me and are true, correct, and complete to the best of my knowledge or belief. I understand that any misrepresentation, falsification, or omission of the facts herein may subject me to disqualification or dismissal.

Applicant's Signature: Kenneth Palmer Date: 1/12/15

Applicant's printed name: KENNETH M. PALMER

ADDENDUM TO CITY OF BREA TREASURER APPLICATION

1. My wife Mary and I have thrived in the City of Brea for 30 years. It would be an honor to repay the City in an appropriate way for the opportunities it has provided through the years. We purchased two homes (selling one). We raised four children, attending St Angela Merici, Brea Olinda High School, Boy Scouts, Girl Scouts, Club and Recreational Soccer. As a CPA / MBA with experience serving as one of the founding members of the City of Placentia Financial Planning Oversight Committee I can add an independent and professional perspective to City finances.
2. I see the role of the elected City Treasurer as expanding from the present duties and responsibilities to include participation in a City Council appointed Audit Committee. City of Brea Staff function as the backbone of the organization, without which little could actually be accomplished.
3. What is best for the City of Brea? I believe this is an opinion, subject to interpretation. However, the citizens of Brea have elected the Council as their spokesperson. Therefore, I will respect and abide by the Council's direction. For example, I would sign a check approved to pay for consulting services, even though I personally thought it was an unnecessary expenditure.
4. If contacted directly by a party to resolve a city related problem, I would refer the circumstance to the appropriate department head. If resolution is not forthcoming, I would elevate the issue.

5. I think the top three issues facing the Brea Community are:
 - a. Government Transparency – people trust is too valuable to squander.
 - b. Government Accountability – people see wasteful spending.
 - c. Development – people want to live and work here.

6. The budget is the City's guide to reaching its' financial objectives. As such, expenditures in excess of budget must be flagged; as well as revenue shortfalls investigated. I do not see a direct link between the treasurer function and development of the budget, except in assistance with the annual interest income / cash flow forecast.

Licenses or Certificates held:

California State Board of Accountancy Certified Public Accountant 60511

California Department of Insurance Life Health & Accident Agent 0F42341

Investment Advisor Representative California and Florida

National Assn of Security Dealers (NASD):

Series 6 - Investment Co and Variable Contracts Rep.

Series 63 – Uniform Securities Agent State Law

Series 65 – Uniform Investment Advisor Law