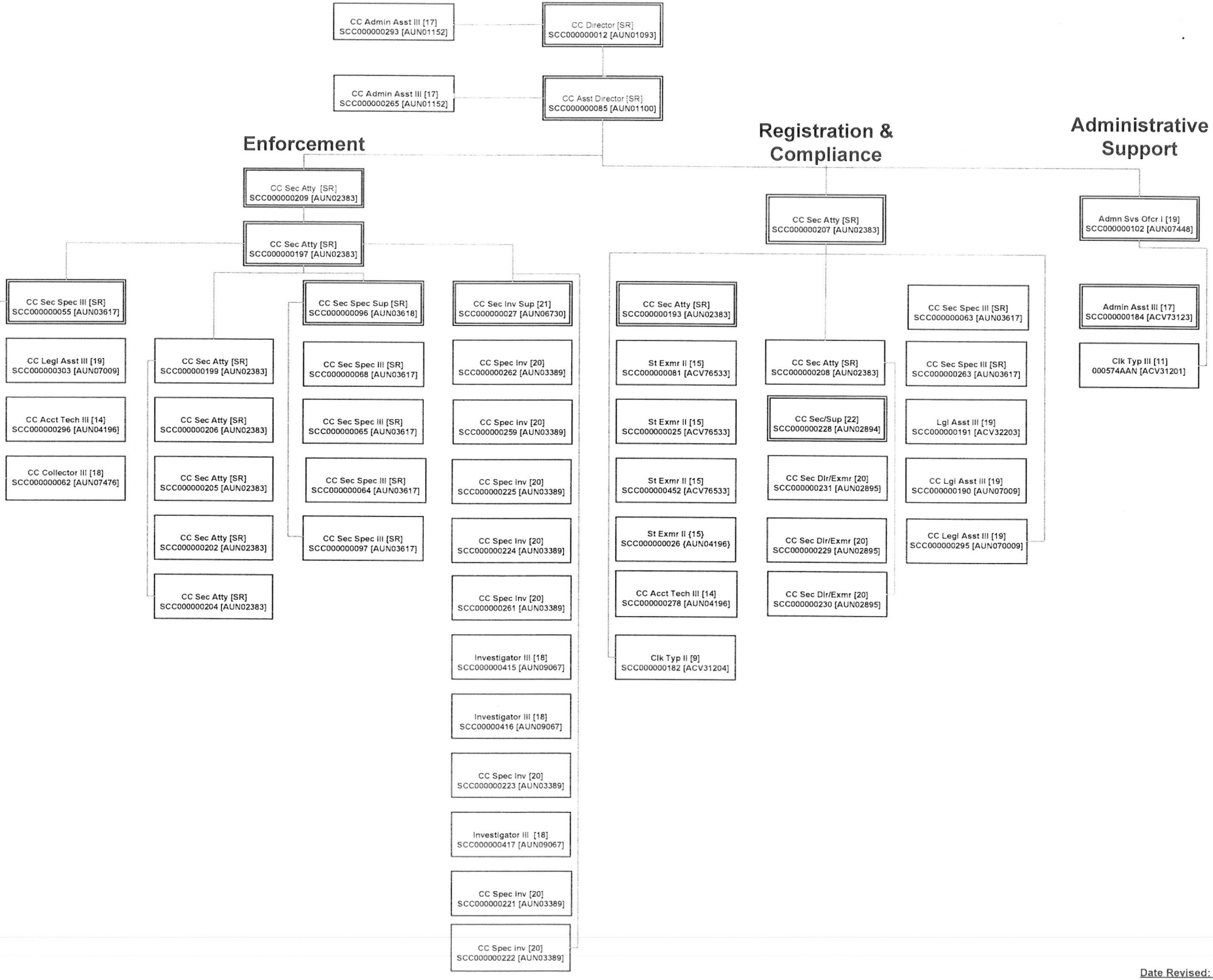
Arizona Corporation Commission - Securities Division



Date Revised: 7/23/2013

Program Summary of Expenditures and Budget Request

Agency: CCA Corporation Commission
Program: 4 Securities

		FY 2013 Actual	FY 2014 Expd. Plan	FY 2015 Fund. Issue	FY 2015 Total
Program Summary					
4-1	Securities	4,381.4	4,500.0	890.0	5,390.0
	Program Summary Total:	4,381.4	4,500.0	890.0	5,390.0
Expenditure Categories					
0000	FTE Positions	53.4	53.4	1.0	54.4
6000	Personal Services	2,860.3	2,963.5	100.0	3,063.5
6100	Employee Related Expenses	1,109.7	1,124.8	40.0	1,164.8
6200	Prof. And Outside Services	41.6	50.0	0.0	50.0
6500	Travel In-State	20.4	15.0	0.0	15.0
6600	Travel Out of State	8.4	5.0	0.0	5.0
6700	Food (Library for Universities)	0.0	0.0	0.0	0.0
6800	Aid to Organizations and Individuals	0.0	0.0	0.0	0.0
7000	Other Operating Expenses	323.7	341.7	750.0	1,091.7
8000	Equipment	17.3	0.0	0.0	0.0
8100	Capital Outlay	0.0	0.0	0.0	0.0
8600	Debt Service	0.0	0.0	0.0	0.0
9000	Cost Allocation	0.0	0.0	0.0	0.0
9100	Transfers	0.0	0.0	0.0	0.0
	Expenditure Categories Total:	4,381.4	4,500.0	890.0	5,390.0
Fund Source					
Appropriated Funds					
2264-A	Securities Regulatory & Enforcement (Appropriate	3,673.8	3,784.6	890.0	4,674.6
2404-A	Securities Investment Management Fund (Appropri	707.6	715.4	0.0	715.4
		4,381.4	4,500.0	890.0	5,390.0
	Fund Source Total:	4,381.4	4,500.0	890.0	5,390.0

All dollars are presented in thousands (not FTE).

Program Group Summary of Expenditures and Budget Request for Selected Funds

Agency: CCA Corporation Commission

Program: 4 Securities

	FY 2013 Actual	FY 2014 Expd. Plan	FY 2015 Fund. Issue	FY 2015 Total
Fund: 2264-A Securities Regulatory & Enforcement (Appropriated)				
Program Expenditures				
COST CENTER/PROGRAM BUDGET UNIT				
4-1 Securities	3,673.8	3,784.6	890.0	4,674.6
Total	3,673.8	3,784.6	890.0	4,674.6
Appropriated Funding				
Expenditure Categories				
FTE Positions	43.4	43.4	1.0	44.4
Personal Services	2,376.9	2,447.1	100.0	2,547.1
Employee Related Expenses	889.1	926.0	40.0	966.0
Prof. And Outside Services	41.6	50.0	0.0	50.0
Travel In-State	19.8	15.0	0.0	15.0
Travel Out of State	8.3	5.0	0.0	5.0
Food (Library for Universities)	0.0	0.0	0.0	0.0
Aid to Organizations and Individuals	0.0	0.0	0.0	0.0
Other Operating Expenses	320.8	341.5	750.0	1,091.5
Equipment	17.3	0.0	0.0	0.0
Capital Outlay	0.0	0.0	0.0	0.0
Debt Service	0.0	0.0	0.0	0.0
Cost Allocation	0.0	0.0	0.0	0.0
Transfers	0.0	0.0	0.0	0.0
Expenditure Categories Total:	3,673.8	3,784.6	890.0	4,674.6
Fund 2264-A Total:	3,673.8	3,784.6	890.0	4,674.6

All dollars are presented in thousands (not FTE).

Program Group Summary of Expenditures and Budget Request for Selected Funds

Agency: CCA Corporation Commission

Program: 4 Securities

	FY 2013 Actual	FY 2014 Expd. Plan	FY 2015 Fund. Issue	FY 2015 Total
Fund: 2404-A Securities Investment Management Fund (Appropriated)				
Program Expenditures				
COST CENTER/PROGRAM BUDGET UNIT				
4-1 Securities	707.6	715.4	0.0	715.4
Total	707.6	715.4	0.0	715.4
Appropriated Funding				
Expenditure Categories				
FTE Positions	10.0	10.0	0.0	10.0
Personal Services	483.4	516.4	0.0	516.4
Employee Related Expenses	220.6	198.8	0.0	198.8
Prof. And Outside Services	0.0	0.0	0.0	0.0
Travel In-State	0.6	0.0	0.0	0.0
Travel Out of State	0.1	0.0	0.0	0.0
Food (Library for Universities)	0.0	0.0	0.0	0.0
Aid to Organizations and Individuals	0.0	0.0	0.0	0.0
Other Operating Expenses	2.9	0.2	0.0	0.2
Equipment	0.0	0.0	0.0	0.0
Capital Outlay	0.0	0.0	0.0	0.0
Debt Service	0.0	0.0	0.0	0.0
Cost Allocation	0.0	0.0	0.0	0.0
Transfers	0.0	0.0	0.0	0.0
Expenditure Categories Total:	707.6	715.4	0.0	715.4
Fund 2404-A Total:	707.6	715.4	0.0	715.4
Program 4 Total:	4,381.4	4,500.0	890.0	5,390.0

All dollars are presented in thousands (not FTE).

Program Budget Unit Summary of Expenditures and Budget Request for Selected Funds

Agency: CCA Corporation Commission

Program: 4-1 Securities

		FY 2013 Actual	FY 2014 Expd. Plan	FY 2015 Fund. Issue	FY 2015 Total
Fund: 2264-A Security Regulatory and Enforcement Fund					
Appropriated					
0000	FTE	43.4	43.4	1.0	44.4
6000	Personal Services	2,376.9	2,447.1	100.0	2,547.1
6100	Employee Related Expenses	889.1	926.0	40.0	966.0
6200	Prof. And Outside Services	41.6	50.0	0.0	50.0
6500	Travel In-State	19.8	15.0	0.0	15.0
6600	Travel Out of State	8.3	5.0	0.0	5.0
6700	Food (Library for Universities)	0.0	0.0	0.0	0.0
6800	Aid to Organizations and Individuals	0.0	0.0	0.0	0.0
7000	Other Operating Expenses	320.8	341.5	750.0	1,091.5
8000	Equipment	17.3	0.0	0.0	0.0
8100	Capital Outlay	0.0	0.0	0.0	0.0
8600	Debt Service	0.0	0.0	0.0	0.0
9000	Cost Allocation	0.0	0.0	0.0	0.0
9100	Transfers	0.0	0.0	0.0	0.0
Appropriated Total:		3,673.8	3,784.6	890.0	4,674.6
Fund Total:		3,673.8	3,784.6	890.0	4,674.6
Fund: 2404-A Securities Investment Management Fund					
Appropriated					
0000	FTE	10.0	10.0	0.0	10.0
6000	Personal Services	483.4	516.4	0.0	516.4
6100	Employee Related Expenses	220.6	198.8	0.0	198.8
6200	Prof. And Outside Services	0.0	0.0	0.0	0.0
6500	Travel In-State	0.6	0.0	0.0	0.0
6600	Travel Out of State	0.1	0.0	0.0	0.0
6700	Food (Library for Universities)	0.0	0.0	0.0	0.0
6800	Aid to Organizations and Individuals	0.0	0.0	0.0	0.0
7000	Other Operating Expenses	2.9	0.2	0.0	0.2
8000	Equipment	0.0	0.0	0.0	0.0
8100	Capital Outlay	0.0	0.0	0.0	0.0

All dollars are presented in thousands (not FTE).

Program Budget Unit Summary of Expenditures and Budget Request for Selected Funds

Agency: CCA Corporation Commission

Program: 4-1 Securities

Fund: 2404-A Securities Investment Management Fund

		FY 2013 Actual	FY 2014 Expd. Plan	FY 2015 Fund. Issue	FY 2015 Total
Appropriated					
8600	Debt Service	0.0	0.0	0.0	0.0
9000	Cost Allocation	0.0	0.0	0.0	0.0
9100	Transfers	0.0	0.0	0.0	0.0
Appropriated Total:		707.6	715.4	0.0	715.4
Fund Total:		707.6	715.4	0.0	715.4
Program Total For Selected Funds:		4,381.4	4,500.0	890.0	5,390.0

All dollars are presented in thousands (not FTE).

Program Budget Unit Summary of Expenditures and Budget Request for All Funds

Agency: CCA Corporation Commission
Program: 4-1 Securities

Expenditure Categories		FY 2013 Actual	FY 2014 Expd. Plan	FY 2015 Fund. Issue	FY 2015 Total
0000	FTE	53.4	53.4	1.0	54.4
6000	Personal Services	2,860.3	2,963.5	100.0	3,063.5
6100	Employee Related Expenses	1,109.7	1,124.8	40.0	1,164.8
6200	Prof. And Outside Services	41.6	50.0	0.0	50.0
6500	Travel In-State	20.4	15.0	0.0	15.0
6600	Travel Out of State	8.4	5.0	0.0	5.0
6700	Food (Library for Universities)	0.0	0.0	0.0	0.0
6800	Aid to Organizations and Individuals	0.0	0.0	0.0	0.0
7000	Other Operating Expenses	323.7	341.7	750.0	1,091.7
8000	Equipment	17.3	0.0	0.0	0.0
8100	Capital Outlay	0.0	0.0	0.0	0.0
8600	Debt Service	0.0	0.0	0.0	0.0
9000	Cost Allocation	0.0	0.0	0.0	0.0
9100	Transfers	0.0	0.0	0.0	0.0
	Expenditure Categories Total:	4,381.4	4,500.0	890.0	5,390.0

Fund Source				
Appropriated Funds				
2264-A Securities Regulatory & Enforcement (Appropriate	3,673.8	3,784.6	890.0	4,674.6
2404-A Securities Investment Management Fund (Appropri	707.6	715.4	0.0	715.4
	4,381.4	4,500.0	890.0	5,390.0
Fund Source Total:	4,381.4	4,500.0	890.0	5,390.0

All dollars are presented in thousands (not FTE).

Program Expenditure Schedule

Agency: CCA Corporation Commission

Program: 4-1 Securities

Expenditure Category	FY 2013 Actual	FY 2014 Expd. Plan
FTE Positions		
FTE	53.4	53.4
Expenditure Category Total	**53.4**	**53.4**
Fund Source		
Appropriated		
2264-A Securities Regulatory & Enforcement (Appropriated)	43.4	43.4
2404-A Securities Investment Management Fund (Appropriated)	10.0	10.0
	53.4	**53.4**
Fund Source Total	**53.4**	**53.4**

Expenditure Category	FY 2013 Actual	FY 2014 Expd. Plan
Personal Services		
Personal Services	2,764.5	2,963.5
Boards and Commissions	0.0	0.0
Uniform Allowance	0.0	0.0
Retention	95.8	0.0
Expenditure Category Total	**2,860.3**	**2,963.5**
Fund Source		
Appropriated		
2264-A Securities Regulatory & Enforcement (Appropriated)	2,376.9	2,447.1
2404-A Securities Investment Management Fund (Appropriated)	483.4	516.4
	2,860.3	**2,963.5**
Fund Source Total	**2,860.3**	**2,963.5**

Expenditure Category	FY 2013 Actual	FY 2014 Expd. Plan
Employee Related Expenses		
Employee Related Expenses	1,109.7	1,124.8
Expenditure Category Total	**1,109.7**	**1,124.8**
Fund Source		
Appropriated		
2264-A Securities Regulatory & Enforcement (Appropriated)	889.1	926.0
2404-A Securities Investment Management Fund (Appropriated)	220.6	198.8
	1,109.7	**1,124.8**
Fund Source Total	**1,109.7**	**1,124.8**

Expenditure Category	FY 2013 Actual	FY 2014 Expd. Plan
Professional & Outside Services		
Financial Services from Other State Agy	0.0	0.0
External Investment Services	0.0	0.0
Other External Financial Services	0.0	0.0
Attorney General Legal Services	0.0	0.0
External Legal Services	38.1	38.0
Preliminary Engineering	0.0	0.0
Construction Engineering	0.0	0.0
Other Design	0.0	0.0
Temporary Agency Services	0.2	1.0

Program Expenditure Schedule

Agency: CCA Corporation Commission

Program: 4-1 Securities

Expenditure Category	FY 2013 Actual	FY 2014 Expd. Plan
Professional & Outside Services		
Hospital Services	0.9	1.0
Other Medical Services	0.0	0.0
Institutional Care	0.0	0.0
Education & Training	2.3	0.0
Non-Employee Travel	0.0	0.0
Other Professional & Outside Services	0.1	10.0
Expenditure Category Total	**41.6**	**50.0**
Fund Source		
Appropriated		
2264-A Securities Regulatory & Enforcement (Appropriated)	41.6	50.0
	41.6	**50.0**
Fund Source Total	**41.6**	**50.0**

Expenditure Category	FY 2013 Actual	FY 2014 Expd. Plan
Travel In-State		
Travel In-State	20.4	15.0
Expenditure Category Total	**20.4**	**15.0**
Fund Source		
Appropriated		
2264-A Securities Regulatory & Enforcement (Appropriated)	19.8	15.0
2404-A Securities Investment Management Fund (Appropriated)	0.6	0.0
	20.4	**15.0**
Fund Source Total	**20.4**	**15.0**

Expenditure Category	FY 2013 Actual	FY 2014 Expd. Plan
Travel Out-of-State		
Travel Out of State	8.4	5.0
Expenditure Category Total	**8.4**	**5.0**
Fund Source		
Appropriated		
2264-A Securities Regulatory & Enforcement (Appropriated)	8.3	5.0
2404-A Securities Investment Management Fund (Appropriated)	0.1	0.0
	8.4	**5.0**
Fund Source Total	**8.4**	**5.0**

Expenditure Category	FY 2013 Actual	FY 2014 Expd. Plan
Food (Library for Universities)		
Food (Library for Universities)	0.0	0.0
Expenditure Category Total	**0.0**	**0.0**

Expenditure Category	FY 2013 Actual	FY 2014 Expd. Plan
Aid to Organizations & Individuals		
Aid to Organizations and Individuals	0.0	0.0

Program Expenditure Schedule

Agency: CCA Corporation Commission

Program: 4-1 Securities

Expenditure Category	FY 2013 Actual	FY 2014 Expd. Plan
Aid to Organizations & Individuals		
Expenditure Category Total	**0.0**	**0.0**

Expenditure Category	FY 2013 Actual	FY 2014 Expd. Plan
Other Operating Expenditures		
Insurance & Related Charges	3.2	0.2
Information Technology Services	40.4	45.0
Utilities	0.0	0.0
Non-Building or Land Rent	0.0	0.0
Building Rent Charges to State Agencies	199.2	212.7
COP Building Rent Charges to State Agencies	0.0	0.0
Rental of Land & Buildings	0.0	0.0
Interest Payments	0.0	0.0
Internal Acct, Budgeting and Financial Svcs.	0.0	0.0
Repair & Maintenance	6.2	6.5
Software Support and Maintenance	0.0	0.0
Operating Supplies	23.1	25.0
Resale Supplies	0.0	0.0
Sales of Assets	0.0	0.0
Conference, Education & Training	4.6	15.0
Advertising	0.5	0.0
Printing & Photography	4.9	5.0
Postage & Delivery	6.6	10.0
Miscellaneous Operating	35.0	22.3
Depreciation Expense	0.0	0.0
Expenditure Category Total	**323.7**	**341.7**

Fund Source		
Appropriated		
2264-A Securities Regulatory & Enforcement (Appropriated)	320.8	341.5
2404-A Securities Investment Management Fund (Appropriated)	2.9	0.2
	323.7	**341.7**
Fund Source Total	**323.7**	**341.7**

Expenditure Category	FY 2013 Actual	FY 2014 Expd. Plan
Equipment		
Vehicles - Capital Leases	0.0	0.0
Furniture - Capital Leases	0.0	0.0
EDP Equipment - Mainframe - Capital Leases	0.0	0.0
EDP Equipment - Midrange - Capital Leases	0.0	0.0
EDP Equipment - PCs/LAN - Capital Leases	0.0	0.0
Telecommunication Equipment - Capital Leases	0.0	0.0
Other Equipment - Capital Leases	0.0	0.0
Capital Equipment Purchases	0.0	0.0
Vehicles - Non-Capital	0.0	0.0
Furniture - Non-Capital	3.9	0.0
EDP Equipment - Mainframe - Non-Capital	0.2	0.0
EDP Equipment - Midrange - Non-Capital	0.0	0.0

Program Expenditure Schedule

Agency: CCA Corporation Commission

Program: 4-1 Securities

Expenditure Category	FY 2013 Actual	FY 2014 Expd. Plan
Equipment		
EDP Equipment - PCs/LAN - Non-Capital	0.0	0.0
Telecommunication Equipment - Non Capital	0.0	0.0
Other Equipment - Non-Capital	0.0	0.0
Non-Capitalized Software	13.2	0.0
Expenditure Category Total	**17.3**	**0.0**

Fund Source		
Appropriated		
2264-A Securities Regulatory & Enforcement (Appropriated)	17.3	0.0
	17.3	**0.0**
Fund Source Total	**17.3**	**0.0**

Expenditure Category	FY 2013 Actual	FY 2014 Expd. Plan
Capital Outlay		
Capital Outlay	0.0	0.0
Expenditure Category Total	**0.0**	**0.0**

Expenditure Category	FY 2013 Actual	FY 2014 Expd. Plan
Debt Services		
Debt Service	0.0	0.0
Expenditure Category Total	**0.0**	**0.0**

Expenditure Category	FY 2013 Actual	FY 2014 Expd. Plan
Cost Allocation		
Cost Allocation	0.0	0.0
Expenditure Category Total	**0.0**	**0.0**

Expenditure Category	FY 2013 Actual	FY 2014 Expd. Plan
Transfers		
Transfers	0.0	0.0
Expenditure Category Total	**0.0**	**0.0**

Classification Listing

Class Code	Title	Grade	Total FTE	Personal Services as of 07/01/13
AUN06	CC ACCOUNTING TECHNICIAN III	14	2.0	54.5
AUN06	CC ADMV ASST III	17	2.0	79.4
AUN01	CC ADMV SVCS OFFCR 1	19	1.0	40.4
AUN01	CC ASSISTANT DIVISION DIRECTOR	01	1.0	111.2

Program Expenditure Schedule

Agency: CCA Corporation Commission

Program: 4-1 Securities

AUN04	CC COLLECTOR III	18	1.0	34.0
AUN01	CC DIVISION DIRECTOR	01	1.0	121.5
AUN03	CC LEGAL ASSISTANT III	19	4.0	186.8
AUN02	CC SEC DEALER/INVMT ADVR EXMR	20	3.0	152.1
AUN06	CC SECURITIES INVSGN SPVR	21	1.0	57.8
AUN03	CC SECURITIES SPECIALIST III	03	7.0	506.6
AUN03	CC SECURITIES SPECIALIST SPV	04	1.0	84.0
AUN02	CC SECURITY ATTORNEY	01	11.0	1,027.7
AUN02	CC SECURITY/INVMT ADVISOR SPV	22	1.0	50.0
AUN03	CC SPECIAL INVESTIGATOR	20	8.0	375.6
ACV31	CLERK TYPIST II	09	1.0	25.6
ACV31	CLERK TYPIST III	11	1.0	28.0
AUN09	INVGTR 3	18	3.0	139.8
ACV76	STATE EXAMINER II	15	4.0	124.0
AUN02	STATE GOVERNMENT INTERN	01	0.4	20.8

Employee Retirement Coverage

Retirement System	FTE	Personal Services
State Retirement System	53.4	3,219.8

Combined Regular & Elected Positions At/Above FICA Maximum of $113,700

Total FTE	Personal Services	FTE's not eligible for Health, Dental & Life
1.0	121.5	0.0

Arizona Corporation Commission

Program 4 -1 Securities

Summary of Professional & Outside Services

The proposed base budget of $ 50.0 (thousand) for Professional & Outside Services includes the use of Temporary Agency Services, for clerical assistance as needed, the use of court reporters for legal proceedings, payments for required employee physicals, payments for expert witnesses, the use of Westlaw research tool, and for providing investor education seminars.