

State of Alaska FY2012 Governor's Operating Budget

Department of Commerce, Community, and Economic Development Banking and Securities RDU/Component Budget Summary

RDU/Component: Banking and Securities*(There is only one component in this RDU. To reduce duplicate information, we did not print a separate RDU section.)***Contribution to Department's Mission**

Protect consumers of financial services and maintain safe and sound state financial systems.

Core Services

- Register securities and license and examine those who sell and provide advice on securities
- Charter, license and examine state financial institutions
- Require accurate disclosure of election materials from Alaska Native Claims Settlement Act (ANCSA) corporations and shareholders and investigate proxy-related complaints

Results at a Glance

(Additional performance information is available on the web at <http://omb.alaska.gov/results>.)

END RESULT A: Protect Alaska investors.

- Initiated 13 investigations, resulting in one disciplinary action; some cases remain open and under investigation.

Status of Strategies to Achieve End Result

- Completed only 15% of required examinations.
- Processed and issued a response to 100% of registration and exemption requests.
- Received 68,566 annual renewals and new applications for selling securities, of which 3,350 individuals and firms received manual review; of these, 275 were denied registration, terminated, or asked to vacate their application.

END RESULT B: Protect Alaska borrowers.

- No formal enforcement actions were implemented in FY10 against banks, bank holding companies, credit unions, BIDCOs and trust companies due to unresolved weaknesses, recommendations or violations.

Status of Strategies to Achieve End Result

- There were no unlicensed financial institutions; however, a number of unlicensed payday lenders (non-depository lenders) were identified.

END RESULT C: Safe and sound state financial institutions.

- No state banks in receivership.

Status of Strategies to Achieve End Result

- Not all exams were completed in FY10. Issues with federal regulators' workload in other states prevented some joint exams from being scheduled; therefore, the 100% exam completion target was not met.
- 90% of examinations were completed according to statutory requirements, falling just short of the 100% target.

END RESULT D: ANCSA proxy and elections materials are filed.

- The division did not receive filings from 100% of the ANCSA corporations that were required to file; approximately 95% of the corporation's filed.

Status of Strategies to Achieve End Result

- Of the eight complaints filed with the division in FY10, four required further investigation, curtailing all of the complaints from being resolved.

Major Activities to Advance Strategies

- | | |
|---|--|
| <ul style="list-style-type: none"> • Conduct examinations of stated chartered and licensed financial institutions and financial service businesses | <ul style="list-style-type: none"> • Supervise the activities of registered broker/dealers, investment advisors, and registered investment representatives that are licensed in the state |
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Major Activities to Advance Strategies

- | | |
|---|---|
| <ul style="list-style-type: none"> • Prepare the division's annual Directory of Banks and Financial Institutions • Service and respond to consumers' concerns and investigate complaints concerning state supervised depository and non-depository financial institution • License and examine mortgage lenders, brokers and originators and money service businesses • Coordinate joint examinations of licensed depository and non-depository financial institutions with the FDIC, NCUA, AARMA and MTRA • Require licensed financial institutions to comply with statutes and take enforcement action against unlicensed financial services companies • License and examine state-supervised investment advisors to ensure compliance with securities laws and regulations • Register Mutual Funds for sale in the state of Alaska • Register the sale of public securities offerings • Register securities, broker/dealers, and process requests for securities exemptions | <ul style="list-style-type: none"> • Respond to investor complaints against investment firms and professionals • Conduct for-cause examinations of broker/dealers, and respond to consumer complaints regarding inappropriate sales of securities • Issue interpretive letters regarding securities laws and regulations • Provide financial education and outreach to the public with particular emphasis on seniors and youth • Conduct seminars for Alaskan consumers regarding investment accounts, choosing an investment professional, and other investment-related topics • Educate the public on ways to avoid becoming a victim of financial fraud • Provide educational programs on personal finances and money management; and work with outreach groups, such as AARP, to publicize these events • Provide oversight of ANCSA proxies and materials received by the division • Investigate complaints concerning material misstatements in proxies and related materials for certain ANCSA corporations and their shareholders |
|---|---|

Key Component Challenges

During these difficult economic times, it is important to maintain the professionalism of the division's examiners and the quality of service and examinations, in order to promote safe and sound state financial systems in Alaska. The division continues to investigate alleged or suspected violations of the statutes under its jurisdiction. Resolving these complaints in a timely manner is a priority and will likely include closure or referrals for administrative or legal action.

It is expected that the current financial crises will spur investor scams and litigation of all kinds. We need to be ready to sanction and prosecute those who break the law.

Staff recruitment and retention continue to be major challenges. The federal government has added thousands of new positions to accommodate increased closures and resolutions within the banking industry, along with the 67 required new studies and staffing of new agencies created under the Dodd-Frank Financial Reform Act. This increases competition in recruiting and retention of personnel for the division.

Significant Changes in Results to be Delivered in FY2012

No significant changes are expected.

Major Component Accomplishments in 2010

Conducted 38 examinations of depository and non-depository institutions utilizing approximately 1,100 examiner hours.

Prepared the 2009 Overview of Payday Lending in Alaska based on annual report filings of 37 licensed payday loan offices and posted at the division home page.

Prepared the 2009 Overview of Premium Finance Lending in Alaska based on annual report filings from 29 licensed premium finance offices and posted at our home page.

Prepared and distributed the 2009 Business Industrial Development Corporation Report on Economic Development to the Legislature.

Prepared the quarterly Statement of Financial Condition for all banks headquartered in Alaska and posted on the division home page.

Conducted investigations of consumer complaints and enforcement actions against unlicensed entities.

Received applications for a money transmitter license and issued 38 licenses. Investigated eight cases involving money transmitter businesses and collected \$29,476 in fines due to investigator's efforts.

Issued 205 new mortgage licenses, and conducted 14 investigations involving complaints, suspected violations, or unlicensed activity.

Received 3,350 broker/dealer and investment advisers applications to sell securities, of these, 275 were denied registration, terminated, or asked to vacate their application.

The securities section registered 5,325 mutual fund filings (including renewals).

The section reviewed and approved 329 securities registrations and processed 191 exemptions, and issued nine no action letters.

The section received written auction rate securities complaints totaling over \$240 million from Alaskan investors. The division worked with other lead states in acquiring Alaska's share of global settlements with investment firms and is finalizing the written agreements with each firm.

Eight ANCSA complaints were received. Of those, four were determined not to be within the division's authority and four were investigated.

Securities section collected about \$11.4 million in fees in FY09.

The division participated with AARP for education outreach in 10 communities across Alaska. The division provided a grant from the Investor Protection Trust (IPT) to AARP in the amount of \$123,000 to fund the production of course materials, site reservations, and travel costs.

The division created a newsletter for state investment advisers containing articles about filing requirements, updates on disclosure documents, and client record retention.

Statutory and Regulatory Authority

AS 06	Financial Institutions
AS 10.13	Business and Industrial Development Corporation Act
AS 34.55	Land Sales Act
AS 45.55 and AS 45.57	Securities
3 AAC 01, 02, 03, 06, 07, 12, 13 & 14	Financial Institutions
3 AAC 08	Securities

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Banking and Securities Component Financial Summary

All dollars shown in thousands

	FY2010 Actuals	FY2011 Management Plan	FY2012 Governor
Non-Formula Program:			
Component Expenditures:			
71000 Personal Services	1,621.4	2,176.5	2,267.5
72000 Travel	135.4	320.6	313.6
73000 Services	1,022.6	886.9	856.9
74000 Commodities	59.8	46.4	46.4
75000 Capital Outlay	6.8	28.0	28.0
77000 Grants, Benefits	0.0	0.0	0.0
78000 Miscellaneous	0.0	0.0	0.0
Expenditure Totals	2,846.0	3,458.4	3,512.4
Funding Sources:			
1005 General Fund/Program Receipts	0.0	3,458.4	3,549.4
1156 Receipt Supported Services	2,846.0	0.0	-37.0
Funding Totals	2,846.0	3,458.4	3,512.4

Estimated Revenue Collections

Description	Master Revenue Account	FY2010 Actuals	FY2011 Conference Committee (Final)	FY2011 Authorized	FY2011 Authorized	FY2012 Governor
Unrestricted Revenues						
General Fund	51060	0.0	0.0	0.0	3,458.4	3,549.4
Program Receipts						
Receipt Supported Services	51073	9,392.6	0.0	0.0	0.0	0.0
Unrestricted Total		9,392.6	0.0	0.0	3,458.4	3,549.4
Restricted Revenues						
Receipt Supported Services	51073	2,846.0	0.0	0.0	0.0	-37.0
Restricted Total		2,846.0	0.0	0.0	0.0	-37.0
Total Estimated Revenues		12,238.6	0.0	0.0	3,458.4	3,512.4

**Summary of Component Budget Changes
From FY2011 Management Plan to FY2012 Governor**

All dollars shown in thousands

	<u>Unrestricted Gen (UGF)</u>	<u>Designated Gen (DGF)</u>	<u>Other Funds</u>	<u>Federal Funds</u>	<u>Total Funds</u>
FY2011 Management Plan	0.0	3,458.4	0.0	0.0	3,458.4
Adjustments which will continue current level of service:					
-FY 2011 Over/Understated GGU/SU salary adjustments	0.0	-6.5	0.0	0.0	-6.5
-Reduce funding related to Mortgage Lending SB 279	0.0	-30.0	0.0	0.0	-30.0
-Delete funding for implementation National Mortgage Lending System and Registry (HB221)	0.0	-7.0	0.0	0.0	-7.0
-FY 2012 Personal Services increases	0.0	97.5	0.0	0.0	97.5
FY2012 Governor	0.0	3,512.4	0.0	0.0	3,512.4

**Banking and Securities
Personal Services Information**

Authorized Positions			Personal Services Costs	
	<u>FY2011</u> <u>Management</u> <u>Plan</u>	<u>FY2012</u> <u>Governor</u>		
Full-time	24	24	Annual Salaries	1,499,676
Part-time	0	0	COLA	3,022
Nonpermanent	0	0	Premium Pay	0
			Annual Benefits	878,370
			<i>Less 4.77% Vacancy Factor</i>	(113,568)
			Lump Sum Premium Pay	0
Totals	24	24	Total Personal Services	2,267,500

Position Classification Summary

Job Class Title	Anchorage	Fairbanks	Juneau	Others	Total
Administrative Assistant I	0	0	1	0	1
Business Reg Examiner	1	0	2	0	3
Division Director	1	0	0	0	1
Financial Instit Exam I	0	0	2	0	2
Financial Instit Exam II	1	0	0	0	1
Financial Instit Exam III	3	0	2	0	5
Financial Instit Exam IV	0	0	1	0	1
Investigator III	1	0	0	0	1
Occup Licensing Examiner	2	0	0	0	2
Office Assistant II	0	0	1	0	1
Secretary	1	0	0	0	1
Securities Examiner I	3	0	0	0	3
Securities Examiner II	2	0	0	0	2
Totals	15	0	9	0	24

Component Detail All Funds
Department of Commerce, Community, and Economic Development

Component: Banking and Securities (2808)

RDU: Banking and Securities (536)

	FY2010 Actuals	FY2011 Conference Committee (Final)	FY2011 Authorized	FY2011 Management Plan	FY2012 Governor	FY2011 Management Plan vs FY2012 Governor	
71000 Personal Services	1,621.4	2,108.7	2,176.5	2,176.5	2,267.5	91.0	4.2%
72000 Travel	135.4	300.6	320.6	320.6	313.6	-7.0	-2.2%
73000 Services	1,022.6	843.9	886.9	886.9	856.9	-30.0	-3.4%
74000 Commodities	59.8	43.4	46.4	46.4	46.4	0.0	0.0%
75000 Capital Outlay	6.8	28.0	28.0	28.0	28.0	0.0	0.0%
77000 Grants, Benefits	0.0	0.0	0.0	0.0	0.0	0.0	0.0%
78000 Miscellaneous	0.0	0.0	0.0	0.0	0.0	0.0	0.0%
Totals	2,846.0	3,324.6	3,458.4	3,458.4	3,512.4	54.0	1.6%
Fund Sources:							
1005 GF/Prgm	0.0	3,324.6	3,458.4	3,458.4	3,549.4	91.0	2.6%
1156 Rcpt Svcs	2,846.0	0.0	0.0	0.0	-37.0	-37.0	-100.0%
Unrestricted General (UGF)	0.0	0.0	0.0	0.0	0.0	0.0	0.0%
Designated General (DGF)	2,846.0	3,324.6	3,458.4	3,458.4	3,512.4	54.0	1.6%
Other Funds	0.0	0.0	0.0	0.0	0.0	0.0	0.0%
Federal Funds	0.0	0.0	0.0	0.0	0.0	0.0	0.0%
Positions:							
Permanent Full Time	23	23	24	24	24	0	0.0%
Permanent Part Time	0	0	0	0	0	0	0.0%
Non Permanent	0	0	0	0	0	0	0.0%

Change Record Detail - Multiple Scenarios With Descriptions
Department of Commerce, Community, and Economic Development

Component: Banking and Securities (2808)

RDU: Banking and Securities (536)

Scenario/Change Record Title	Trans Type	Totals	Personal Services	Travel	Services	Commodities	Capital Outlay	Grants, Benefits	Miscellaneous	PFT	PPT	NP
***** Changes From FY2011 Conference Committee (Final) To FY2011 Authorized *****												
FY2011 Conference Committee												
	ConfCom	3,324.6	2,108.7	300.6	843.9	43.4	28.0	0.0	0.0	23	0	0
1005 GF/Prgm		3,324.6										
COMMERCIAL FISHING & AGRICULTURE BANK (SB 264)												
	Veto	-10.6	0.0	-10.6	0.0	0.0	0.0	0.0	0.0	0	0	0
1005 GF/Prgm		-10.6										
COMMERCIAL FISHING & AGRICULTURE BANK (SB 264)												
	FisNot	10.6	0.0	10.6	0.0	0.0	0.0	0.0	0.0	0	0	0
1005 GF/Prgm		10.6										
ADN 810106 Mortgage Lending CH 61 SLA 10 (SB279) (Ch 41 SLA 10 Pg 54 L 7-9) (HB300)												
	FisNot	131.0	65.0	20.0	43.0	3.0	0.0	0.0	0.0	1	0	0
1005 GF/Prgm		131.0										
Implementation of the fiscal note for CH 61 SLA 10 Mortgage Lending (SB279). This legislation brings the State of Alaska's mortgage lending statutes into compliance with the minimum federal licensing standards that are required by the federal Secure and Fair Enforcement (S.A.F.E) Act.												
ADN 810107 FY11 Non-Covered Salary Increase Yr 1 CH 56 SLA 10 (HB421) (CH 41 SLA 10 Pg 49 L 33 & Pg 50 L 3-5) (HB300)												
	FisNot	2.8	2.8	0.0	0.0	0.0	0.0	0.0	0.0	0	0	0
1005 GF/Prgm		2.8										
: \$2.8												
Subtotal 3,458.4 2,176.5 320.6 886.9 46.4 28.0 0.0 0.0 24 0 0												
***** Changes From FY2011 Authorized To FY2011 Management Plan *****												
Subtotal 3,458.4 2,176.5 320.6 886.9 46.4 28.0 0.0 0.0 24 0 0												
***** Changes From FY2011 Management Plan To FY2012 Governor *****												
FY 2011 Over/Understated GGU/SU salary adjustments												
	SalAdj	-6.5	-6.5	0.0	0.0	0.0	0.0	0.0	0.0	0	0	0
1005 GF/Prgm		-6.5										
When the SU and GGU salary adjustments were calculated, errors were made that understated some GGU amounts and overstated some SU amounts. This change record identifies the over and under stated amounts associated with these calculations: \$-6.5												

Change Record Detail - Multiple Scenarios With Descriptions
Department of Commerce, Community, and Economic Development

Component: Banking and Securities (2808)

RDU: Banking and Securities (536)

Scenario/Change Record Title	Trans Type	Totals	Personal Services	Travel	Services	Commodities	Capital Outlay	Grants, Benefits	Miscellaneous	Positions		NP
										PFT	PPT	
Reduce funding related to Mortgage Lending SB 279												
	OTI	-30.0	0.0	0.0	-30.0	0.0	0.0	0.0	0.0	0	0	0
1156 Rcpt Svcs		-30.0										
Implementation of the fiscal note for CH 61 SLA 10 Mortgage Lending (SB279) included a fiscal note of \$131.0. This transaction reduces the implementation funding to second year levels, per the fiscal note. This legislation brings the State of Alaska's mortgage lending statutes into compliance with the minimum federal licensing standards that are required by the federal Secure and Fair Enforcement (S.A.F.E) Act.												
Delete funding for implementation National Mortgage Lending System and Registry (HB221)												
	OTI	-7.0	0.0	-7.0	0.0	0.0	0.0	0.0	0.0	0	0	0
1156 Rcpt Svcs		-7.0										
Implementation of Ch 31 SLA 2009 Nationwide Mortgage Lending System and Registry (HB 221) included a fiscal note. The program is now implemented and this deletes the funding, per the fiscal note. This legislation allows the State to enroll in the National Mortgage Lending System (NMLS) database and national testing system prior to the federally mandated July 31, 2009 deadline.												
FY 2012 Personal Services increases												
	SalAdj	97.5	97.5	0.0	0.0	0.0	0.0	0.0	0.0	0	0	0
1005 GF/Prgm		97.5										
This change record includes the following personal services increases : \$97.5												
Alaska State Employees Assn (GGU) FY2012 Health Insurance Increased Costs : \$38.6												
Alaska Public Employees Assn (SU) FY2012 Health Insurance Increased Costs : \$5.6												
Non-Covered Employees FY2012 Health Insurance Increased Costs : \$1.9												
Alaska State Employees Association (GGU) FY 12 COLA increases : \$29.0												
Alaska Public Employees Association (SU) FY 12 COLA increases : \$6.3												
Non-Covered Employees FY 12 COLA increases : \$2.9												
Alaska State Employees Association - ASEA Geographic Differential for GGU : \$10.7												
Alaska Public Employees Association - APEA Geographic Differential for SU : \$2.5												

Personal Services Expenditure Detail
Department of Commerce, Community, and Economic Development

Scenario: FY2012 Governor (8665)
Component: Banking and Securities (2808)
RDU: Banking and Securities (536)

PCN	Job Class Title	Time Status	Retire Code	Barg Unit	Location	Salary Sched	Range / Step	Comp Months	Split / Count	Annual Salaries	COLA	Premium Pay	Annual Benefits	Total Costs	GF Amount
08-2041	Investigator III	FT	A	GP	Anchorage	200	18L / M	12.0		76,536	0	0	41,589	118,125	118,125
08-2110	Occup Licensing Examiner	FT	A	GP	Anchorage	200	13D / E	12.0		42,548	0	0	30,057	72,605	72,605
08-2210	Financial Instit Exam III	FT	A	GP	Anchorage	200	21C / D	12.0		71,283	0	0	39,806	111,089	111,089
08-3001	Division Director	FT	A	XE	Anchorage	AA	27J / K	12.0		118,218	3,022	0	54,411	175,651	175,651
08-3002	Administrative Assistant I	FT	A	GP	Juneau	202	12D / E	12.0		40,676	0	0	29,421	70,097	70,097
08-3003	Financial Instit Exam IV	FT	A	SS	Juneau	202	22K / L	12.0		98,375	0	0	48,523	146,898	146,898
08-3004	Securities Examiner I	FT	A	GP	Anchorage	200	21C / D	12.0		72,139	0	0	40,097	112,236	112,236
08-3008	Securities Examiner II	FT	A	SS	Anchorage	200	22A	12.0		73,224	0	0	39,989	113,213	113,213
08-3010	Securities Examiner I	FT	A	GP	Anchorage	200	21G / J	12.0		83,716	0	0	44,025	127,741	127,741
08-3014	Securities Examiner I	FT	A	GP	Anchorage	200	21D / E	12.0		73,557	0	0	40,578	114,135	114,135
08-3021	Securities Examiner II	FT	A	SS	Anchorage	200	22C / D	12.0		81,108	0	0	42,664	123,772	123,772
08-3024	Business Reg Examiner	FT	A	GP	Juneau	202	13D / E	12.0		43,881	0	0	30,509	74,390	74,390
08-3027	Financial Instit Exam III	FT	A	GP	Anchorage	200	21A	12.0		65,820	0	0	37,953	103,773	103,773
08-3028	Business Reg Examiner	FT	A	GP	Juneau	202	13G / J	12.0		48,842	0	0	32,192	81,034	81,034
08-3030	Financial Instit Exam I	FT	A	GP	Juneau	202	17C / D	12.0		55,562	0	0	34,472	90,034	90,034
08-3088	Financial Instit Exam I	FT	A	GP	Juneau	202	17A	12.0		50,976	0	0	32,916	83,892	83,892
08-3089	Secretary	FT	A	GP	Anchorage	200	11B / C	12.0		34,965	0	0	27,484	62,449	62,449
08-3095	Business Reg Examiner	FT	A	GP	Anchorage	200	13E / F	12.0		43,641	0	0	30,427	74,068	74,068
08-3098	Office Assistant II	FT	A	GP	Juneau	202	10F / G	12.0		37,835	0	0	28,457	66,292	66,292
08-3099	Financial Instit Exam II	FT	A	GP	Anchorage	200	19A	12.0		57,588	0	0	35,160	92,748	92,748
08-3100	Financial Instit Exam III	FT	A	GP	Anchorage	200	21A / B	12.0		68,020	0	0	38,699	106,719	106,719
08-NEW1	Financial Instit Exam III	FT	A	GP	Juneau	202	21A	11.0		61,545	0	0	35,201	96,746	96,746
08-NEW2	Financial Instit Exam III	FT	A	GP	Juneau	202	21A	11.0		61,545	0	0	35,201	96,746	96,746
08-NEW3	Occup Licensing Examiner	FT	A	GP	Anchorage	200	13A	12.0		38,076	0	0	28,539	66,615	66,615

Total Positions		New	Deleted	Total Salary Costs:		1,499,676
Full Time Positions:		24	0	Total COLA:		3,022
Part Time Positions:		0	0	Total Premium Pay::		0
Non Permanent Positions:		0	0	Total Benefits:		878,370
Positions in Component:		24	0	Total Pre-Vacancy:		2,381,068
Total Component Months:		286.0		Minus Vacancy Adjustment of 4.77%:		(113,568)
				Total Post-Vacancy:		2,267,500
				Plus Lump Sum Premium Pay:		0
				Personal Services Line 100:		2,267,500

Note: If a position is split, an asterisk (*) will appear in the Split/Count column. If the split position is also counted in the component, two asterisks (**) will appear in this column.
[No valid job title] appearing in the Job Class Title indicates that the PCN has an invalid class code or invalid range for the class code effective date of this scenario.

Personal Services Expenditure Detail
Department of Commerce, Community, and Economic Development

Scenario: FY2012 Governor (8665)
Component: Banking and Securities (2808)
RDU: Banking and Securities (536)

PCN Funding Sources:	Pre-Vacancy	Post-Vacancy	Percent
1005 General Fund/Program Receipts	2,381,068	2,267,500	100.00%
Total PCN Funding:	2,381,068	2,267,500	100.00%

Note: If a position is split, an asterisk (*) will appear in the Split/Count column. If the split position is also counted in the component, two asterisks (**) will appear in this column.
[No valid job title] appearing in the Job Class Title indicates that the PCN has an invalid class code or invalid range for the class code effective date of this scenario.

Line Item Detail
Department of Commerce, Community, and Economic Development
Travel

Component: Banking and Securities (2808)
RDU: Banking and Securities (536)

Line Number	Line Name		FY2010 Actuals	FY2011 Management Plan	FY2012 Governor
72000	Travel		135.4	320.6	313.6
Expenditure Account	Servicing Agency	Explanation	FY2010 Actuals	FY2011 Management Plan	FY2012 Governor
72000 Travel Detail Totals			135.4	320.6	313.6
72100	Instate Travel	Instate Transportation - Transportation costs for travel relating to field work, administration, examinations, conventions and meetings.	84.1	204.1	201.1
72400	Out Of State Travel	Out of State Transportation - Transportation costs for travel relating to field work, administration, examinations, conventions and meetings.	48.5	114.0	110.0
72700	Moving Costs	Moving and relocation costs.	2.2	2.2	2.2
72900	Other Travel Costs	Miscellaneous travel-related expenses.	0.6	0.3	0.3

Line Item Detail
Department of Commerce, Community, and Economic Development
Services

Component: Banking and Securities (2808)

RDU: Banking and Securities (536)

Line Number	Line Name		FY2010 Actuals	FY2011 Management Plan	FY2012 Governor
73000	Services		1,022.6	886.9	856.9
Expenditure Account	Servicing Agency	Explanation	FY2010 Actuals	FY2011 Management Plan	FY2012 Governor
73000 Services Detail Totals			1,022.6	886.9	856.9
73025	Education Services	Training, educational conferences, agency memberships, tuition, books and fees for work-related courses. CSBS and Supervisor Dues.	120.4	5.0	9.1
73050	Financial Services	Accounting, auditing, management consulting, grantee monitoring, loan servicing and insurance related services.	0.4	0.4	0.4
73156	Telecommunication	Local, long-distance, and cellular telephone charges, television, data/network, telecommunication equipment, and other wireless charges from outside vendors.	4.5	4.5	4.5
73225	Delivery Services	Promotional materials distribution, courier services, and product shipping.	4.5	2.0	2.0
73450	Advertising & Promos	Professional Services - Promotional programs in the domestic and export markets such as creative development for advertising, public relations services, market research, trade liaisons' and market representatives' contracts, coupons, customer rebates, retail product demonstration services, and other promotional services. Print media advertisements, quality assurance guidelines, posters, electronic media placements and public notices.	0.6	0.6	0.6
73650	Struc/Infstruct/Land	Structure, infrastructure and land repairs, maintenance, rentals and leases.	6.5	2.0	2.0
73675	Equipment/Machinery	Machinery, furniture and equipment purchase, repair, maintenance, rental, and leases.	2.2	1.0	1.0
73750	Other Services (Non IA Svcs)	Program management/consulting, economic/development, safety-related services, printing, copying, and other services.	2.1	0.2	0.2
73805	IT-Non-Telecommnctns	Admin Enterprise Technology Services - Multiple computer services - including mainframe applications, Alaska	18.1	18.1	18.1

Line Item Detail
Department of Commerce, Community, and Economic Development
Services

Component: Banking and Securities (2808)

RDU: Banking and Securities (536)

Expenditure Account		Servicing Agency	Explanation	FY2010 Actuals	FY2011 Management Plan	FY2012 Governor
73000 Services Detail Totals				1,022.6	886.9	856.9
			Budget System (ABS), antivirus and MICS.			
73805	IT-Non-Telecommnctns	E&ED	Division of Libraries, Archives and Museums - micrographic services for microfiche/microfilm	0.0	2.0	2.0
73806	IT-Telecommunication	Admin	Enterprise Technology Services - Non-telephone telecommunication services, including dedicated circuits, space and power, radio circuits, videoconferencing, etc. (EPR).	24.6	20.0	20.0
73809	Mail	Admin	Division of General Services - Pro-rated share of expenses relating to central mailroom support and services.	12.4	10.0	10.0
73810	Human Resources	Admin	Division of Personnel - Human resource and personnel services	17.8	10.0	10.0
73811	Building Leases	Admin	Rental of State-owned buildings - Juneau Community Building and Atwood Building.	68.7	68.7	68.7
73812	Legal	Law	Dept Law bills	236.2	150.0	150.0
73814	Insurance	Admin	Division of Risk Management - Risk management insurance charges for leased buildings, repossessed properties, aviation, public official bonds, and overhead.	0.3	0.3	0.3
73815	Financial	Admin	Div. of Finance – Computer services for state accounting (AKSAS) and payroll (AKPAY) systems	1.1	1.1	1.1
73816	ADA Compliance	Labor	Division of Vocational Rehabilitation - Pro-rated share of expenses relating to Americans with Disabilities Act (ADA) enforcement.	0.3	0.3	0.3
73819	Commission Sales (IA Svcs)	State Travel Office	US Travel LLC, STO Advance Only, for all US Travel payments.	2.0	2.0	2.0
73821	Hearing/Mediation (IA Svcs)	Admin	Hearing Officer services	6.7	6.7	6.7
73827	Safety (IA Svcs)	PubSaf	Mortgage Lending Fingerprinting.	16.0	14.1	0.0
73848	State Equip Fleet	Trans	State Equipment Fleet Services.	0.2	0.2	0.2
73979	Mgmt/Consulting (IA Svcs)	Administrative Services	Division of Administrative Services - Management support services.	317.0	392.5	392.5
73979	Mgmt/Consulting (IA Svcs)	Commissioner's Office	Commissioner's office - Management support services.	45.0	45.2	45.2

Line Item Detail
Department of Commerce, Community, and Economic Development
Services

Component: Banking and Securities (2808)

RDU: Banking and Securities (536)

Expenditure Account		Servicing Agency	Explanation	FY2010 Actuals	FY2011 Management Plan	FY2012 Governor
73000 Services Detail Totals				1,022.6	886.9	856.9
73979	Mgmt/Consulting (IA Svcs)	Corp, Bus & Prof Licensing	CBPL Office of Consumer Affairs Investigator Service.	115.0	110.0	110.0
73979	Mgmt/Consulting (IA Svcs)	Corp, Bus & Prof Licensing	Mortgage Lending fingerprinting service.	0.0	20.0	0.0

Line Item Detail
Department of Commerce, Community, and Economic Development
Commodities

Component: Banking and Securities (2808)
RDU: Banking and Securities (536)

Line Number	Line Name		FY2010 Actuals	FY2011 Management Plan	FY2012 Governor
74000	Commodities		59.8	46.4	46.4
Expenditure Account	Servicing Agency	Explanation	FY2010 Actuals	FY2011 Management Plan	FY2012 Governor
74000 Commodities Detail Totals			59.8	46.4	46.4
74200	Business	Standard office supplies and replacement furniture.	59.8	46.4	46.4

Line Item Detail
Department of Commerce, Community, and Economic Development
Capital Outlay

Component: Banking and Securities (2808)
RDU: Banking and Securities (536)

Line Number	Line Name		FY2010 Actuals	FY2011 Management Plan	FY2012 Governor
75000	Capital Outlay		6.8	28.0	28.0
Expenditure Account	Servicing Agency	Explanation	FY2010 Actuals	FY2011 Management Plan	FY2012 Governor
75000 Capital Outlay Detail Totals			6.8	28.0	28.0
75700	Equipment		6.8	28.0	28.0

Unrestricted Revenue Detail
Department of Commerce, Community, and Economic Development

Component: Banking and Securities (2808)
RDU: Banking and Securities (536)

Master Account	Revenue Description	FY2010 Actuals	FY2011 Management Plan	FY2012 Governor
51060	General Fund Program Receipts	0.0	3,458.4	3,549.4

Detail Information

Revenue Amount	Revenue Description	Component	Collocation Code	AKSAS Fund	FY2010 Actuals	FY2011 Management Plan	FY2012 Governor
51060	GF Program Receipts				0.0	3,458.4	3,549.4
	Banking revenue is generated from assessing semiannually each state-chartered financial institution a fee for a regular examination based on total assets; special examinations of financial institutions; fees collected for the licensing of small loan and premium finance companies; and applications for new organizations and facilities.						

Unrestricted Revenue Detail
Department of Commerce, Community, and Economic Development

Component: Banking and Securities (2808)
RDU: Banking and Securities (536)

Master Account	Revenue Description		FY2010 Actuals	FY2011 Management Plan	FY2012 Governor
51073	Receipt Supported Services		9,392.6	0.0	0.0

Detail Information

Revenue Amount	Revenue Description	Component	Collocation Code	AKSAS Fund	FY2010 Actuals	FY2011 Management Plan	FY2012 Governor
51137	DCED Banking & Securities Fees				9,392.6	0.0	0.0

Restricted Revenue Detail
Department of Commerce, Community, and Economic Development

Component: Banking and Securities (2808)
RDU: Banking and Securities (536)

Master Account	Revenue Description	FY2010 Actuals	FY2011 Management Plan	FY2012 Governor
51073	Receipt Supported Services	2,846.0	0.0	-37.0

Detail Information

Revenue Amount	Revenue Description	Component	Collocation Code	AKSAS Fund	FY2010 Actuals	FY2011 Management Plan	FY2012 Governor
51137	DCED Banking & Securities Fees				2,846.0	0.0	-37.0
	Banking revenue is generated from assessing semiannually each state-chartered financial institution a fee for a regular examination based on total assets; special examinations of financial institutions; fees collected for the licensing of small loan and premium finance companies; and applications for new organizations and facilities.						

Inter-Agency Services
Department of Commerce, Community, and Economic Development

Component: Banking and Securities (2808)

RDU: Banking and Securities (536)

Expenditure Account		Service Description	Service Type	Servicing Agency	FY2010 Actuals	FY2011 Management Plan	FY2012 Governor
73805	IT-Non-Telecommnctns	Enterprise Technology Services - Multiple computer services - including mainframe applications, Alaska Budget System (ABS), antivirus and MICS.	Inter-dept	Admin	18.1	18.1	18.1
73805	IT-Non-Telecommnctns	Division of Libraries, Archives and Museums - micrographic services for microfiche/microfilm	Inter-dept	E&ED	0.0	2.0	2.0
73805 IT-Non-Telecommnctns subtotal:					18.1	20.1	20.1
73806	IT-Telecommunication	Enterprise Technology Services - Non-telephone telecommunication services, including dedicated circuits, space and power, radio circuits, videoconferencing, etc. (EPR).	Inter-dept	Admin	24.6	20.0	20.0
73806 IT-Telecommunication subtotal:					24.6	20.0	20.0
73809	Mail	Division of General Services - Pro-rated share of expenses relating to central mailroom support and services.	Inter-dept	Admin	12.4	10.0	10.0
73809 Mail subtotal:					12.4	10.0	10.0
73810	Human Resources	Division of Personnel - Human resource and personnel services	Inter-dept	Admin	17.8	10.0	10.0
73810 Human Resources subtotal:					17.8	10.0	10.0
73811	Building Leases	Rental of State-owned buildings - Juneau Community Building and Atwood Building.	Inter-dept	Admin	68.7	68.7	68.7
73811 Building Leases subtotal:					68.7	68.7	68.7
73812	Legal	Dept Law bills	Inter-dept	Law	236.2	150.0	150.0
73812 Legal subtotal:					236.2	150.0	150.0
73814	Insurance	Division of Risk Management - Risk management insurance charges for leased buildings, repossessed properties, aviation, public official bonds, and overhead.	Inter-dept	Admin	0.3	0.3	0.3
73814 Insurance subtotal:					0.3	0.3	0.3
73815	Financial	Div. of Finance – Computer services for state accounting (AKSAS) and payroll (AKPAY) systems	Inter-dept	Admin	1.1	1.1	1.1
73815 Financial subtotal:					1.1	1.1	1.1
73816	ADA Compliance	Division of Vocational Rehabilitation - Pro-rated share of expenses relating to Americans with Disabilities Act (ADA) enforcement.	Inter-dept	Labor	0.3	0.3	0.3
73816 ADA Compliance subtotal:					0.3	0.3	0.3
73819	Commission Sales (IA Svcs)	US Travel LLC, STO Advance Only, for all US Travel payments.	Inter-dept	State Travel Office	2.0	2.0	2.0
73819 Commission Sales (IA Svcs) subtotal:					2.0	2.0	2.0
73821	Hearing/Mediation (IA Svcs)	Hearing Officer services	Inter-dept	Admin	6.7	6.7	6.7
73821 Hearing/Mediation (IA Svcs) subtotal:					6.7	6.7	6.7
73827	Safety (IA Svcs)	Mortgage Lending Fingerprinting.	Inter-dept	PubSaf	16.0	14.1	0.0

Inter-Agency Services
Department of Commerce, Community, and Economic Development

Component: Banking and Securities (2808)
RDU: Banking and Securities (536)

Expenditure Account		Service Description	Service Type	Servicing Agency	FY2010 Actuals	FY2011 Management Plan	FY2012 Governor
73827 Safety (IA Svcs) subtotal:					16.0	14.1	0.0
73848	State Equip Fleet	State Equipment Fleet Services.	Inter-dept	Trans	0.2	0.2	0.2
73848 State Equip Fleet subtotal:					0.2	0.2	0.2
73979	Mgmt/Consulting (IA Svcs)	Division of Administrative Services - Management support services.	Intra-dept	Administrative Services	317.0	392.5	392.5
73979	Mgmt/Consulting (IA Svcs)	Commissioner's office - Management support services.	Inter-dept	Commissioner's Office	45.0	45.2	45.2
73979	Mgmt/Consulting (IA Svcs)	CBPL Office of Consumer Affairs Investigator Service.	Inter-dept	Corp, Bus & Prof Licensing	115.0	110.0	110.0
73979	Mgmt/Consulting (IA Svcs)	Mortgage Lending fingerprinting service.	Inter-dept	Corp, Bus & Prof Licensing	0.0	20.0	0.0
73979 Mgmt/Consulting (IA Svcs) subtotal:					477.0	567.7	547.7
Banking and Securities total:					881.4	871.2	837.1
Grand Total:					881.4	871.2	837.1