

**State of Alaska**  
**FY2018 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 promote safe and sound financial systems.

**Results**

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

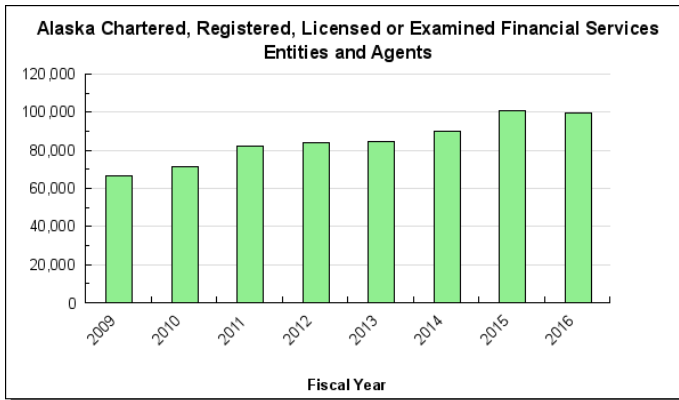
**Core Services**

- Charter, license and register financial institutions and products.
- Examine records of businesses and individuals to ensure compliance with federal and state law or regulation.
- Investigate consumer complaints and take appropriate enforcement action.
- Accept and file annual reports and election materials from Alaska Native Claims Settlement Act (ANCSA) corporations for public access and respond timely to requests for investigation.
- Provide access to financial education and information to consumers, investors and industry.

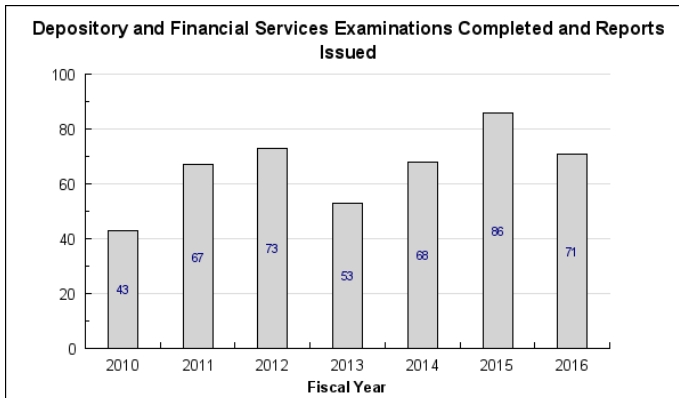
**Measures by Core Service**

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

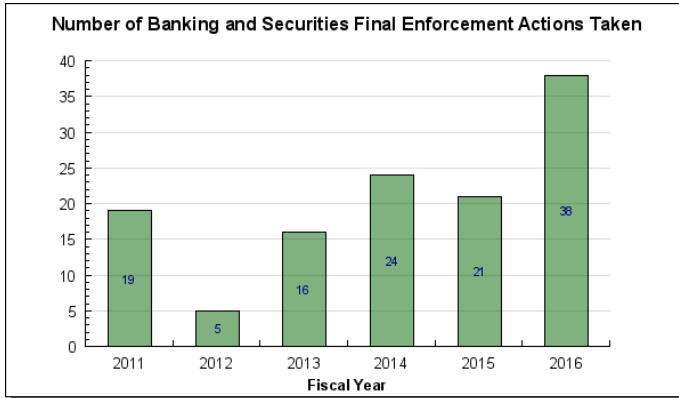
**1. Charter, license and register financial institutions and products.**



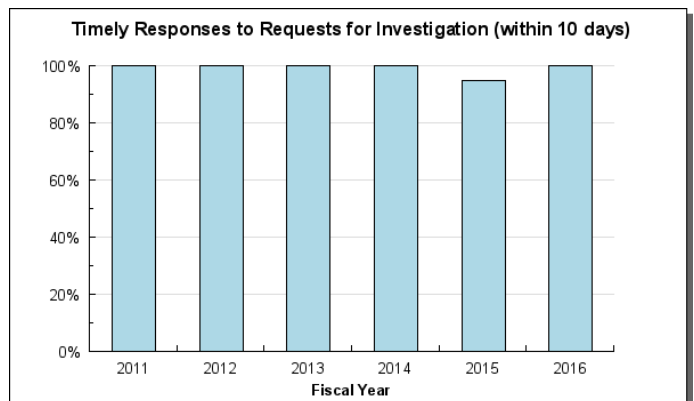
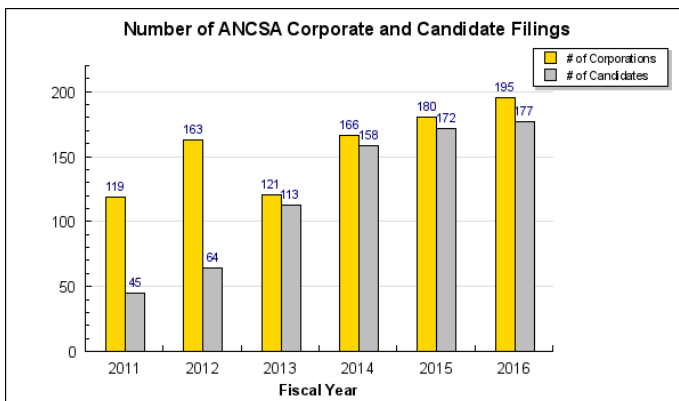
**2. Examine records of businesses and individuals to ensure compliance with federal and state law or regulation.**



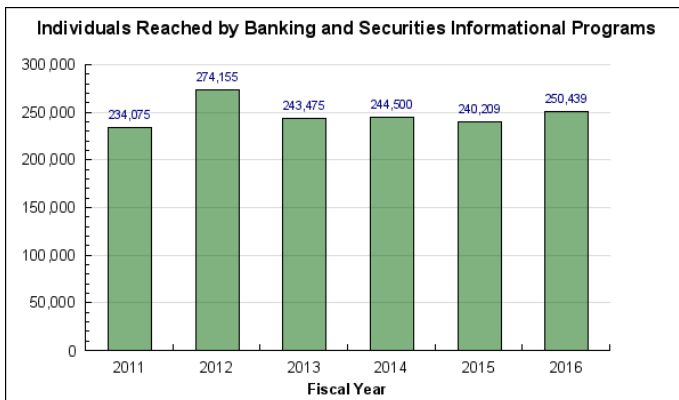
**3. Investigate consumer complaints and take appropriate enforcement action.**



**4. Accept and file annual reports and election materials from Alaska Native Claims Settlement Act (ANCSA) corporations for public access and respond timely to requests for investigation.**



**5. Provide access to financial education and information to consumers, investors and industry.**



**Major Component Accomplishments in 2016**

Collected \$15.8 million in fees, penalties, and assessments, \$12.5 million was contributed to the General Fund.

**Chartered, registered, licensed, renewed or examined financial entities, persons and filings**

- 5 depositories – banks, a credit union and a mutual savings bank
- 42 non-depositories – trusts, premium finance, small loan and bank holding companies, the Commercial Fishing and Agricultural Bank and a Business and Industrial Development Corporation (BIDCO)

- 82 money service businesses
- 27 payday lenders
- 551 mortgage broker/lenders and branches, and 1,887 mortgage loan originators
- 1,240 securities broker-dealers
- 801 securities investment advisers, and 94,976 securities broker-dealer and investment adviser sales agents
- 7,219 mutual funds/unit investment trusts
- 641 securities exemptions, registrations and no action/interpretive opinions

**Examinations conducted**

- 4 depositories
- 10 non-depositories
- 9 money service businesses
- 21 payday lenders
- 10 mortgage broker/lenders
- 8 securities broker-dealer branches
- 9 securities investment adviser firms

**Alaska Native Claims Settlement Act (ANCSA) corporation and shareholder election materials processed**

- 177 board candidate filings
- 195 corporate filings
- 115 public information requests
- 13 complaints/requests for investigation

**Investigations and Enforcement Actions**

- 504 investigations opened, 382 closed and 80 active cases at the end of FY2016
- 38 final administrative orders
- 44 license applications withdrawn at the state's request
- \$696,346 in civil penalties and \$76,675 in restitution payments ordered

**Public Information and Outreach**

The division continues to increase outreach efforts in order to further its mission to educate consumers of financial services throughout Alaska. Division staff participated in a number of varied outreach events targeting a wide variety of demographics and covering broad topic areas, including:

- "Protecting Your Investments" presentation to state and federal employees as a joint effort between the division and the U.S. Securities and Exchange Commission.
- Open house for persons interested in the Alaska Native Claims Settlement Act held during the Alaska Federation of Natives Convention in Anchorage.
- Introduction to Investing presentation given to University of Alaska Anchorage students in conjunction with their Financial Literacy Week efforts.
- A "Personal Management" financial education to a local Boy Scout troop.
- Thirteen 30 minute television program segments in partnership with the Alaska AARP on financial literacy topics of particular interest to seniors, which will air in the fall of 2016 on KTOO. These television programs are possible because of a successful joint grant request by the division and AARP through the Investor Protection Trust.
- "DASH for the STASH" outreach event cosponsored by the division and the Investor Protection Trust, in which 14 public libraries and government offices all over the state posted informational posters to educate investors and then quiz them on their knowledge, entering them to win a \$1,000 contribution to an Individual Retirement Account.
- Presentations to the Alaska Bar Association and Northwest Securities Institute.
- Crowdfunding educational presentation for entrepreneurs at the "One Million Cups" event in Anchorage.
- Nine public records and electronic services requests were filled (excludes ANCSA related requests).

## Key Component Challenges

Staffing: The division's staff realignment to functional areas of licensing and registration, enforcement and outreach, and examinations will be completed by third quarter FY2017. The initial classification study of examiner positions was extended to Business Registration and Occupational Licensing Examiner positions. While there was a delay with this extension, the result should allow the division to streamline workload, deploy staff resources to critical functions and enhance recruitment and retention efforts.

Increased registration and licensing: Increases in registration and licensing activity continue to strain division resources. The division's use of national licensing and registration repositories for several programs has reduced some routine tasks, but also increased external expectations for faster turnaround times. The division hopes to capitalize further on these national repositories as soon as the necessary legislation is in place; however, processing of each application, registration, amendment and exemption is primarily manual at this point. In FY2016, the division saw double-digit percentage growth in several non-depository programs: 13% in payday lenders, 20% in premium finance companies, 11% in money services (14% last year); 34% in mortgage loan originators (after substantial increases in mortgage broker/lenders and mortgage branch office registrations last year). This year also brought an additional 5% increase for broker-dealer and investment adviser sales agents, the same increase as last year. The division is looking at ways to increase the number of examinations commensurate with or exceeding the rate of new licensees in order to protect consumers of financial services and promote safe and sound financial systems.

Information Systems: The implementation of an integrated database should be completed in FY2017 that will consolidate data for most of the division's programs into a single repository and automate more of the manual work processes for smaller yet rapidly growing industries, including a portal for direct filing of applications or other documents. Information currently limited to program hardcopy files and electronic records will be more readily accessible yet secure.

Outdated Financial Services Laws: Financial services have changed dramatically in the last several decades. Many of the statutes and regulations that govern these programs need to be updated to include new products and programs offered through financial entities. A number of the statutes are not broad enough to allow the division to accept electronic filings through a national system, nor is there the flexibility to share information among regulators that may allow needed oversight without adding examination staff. Additionally, sanctions for misusing consumer trust and assets need to be modernized to reflect the severity of a loss. The division reallocated resources to a Regulation Specialist position to assist in modernizing regulations and resulted in several regulation packages this year with more planned for 2017 in addition to regulations needed to enact 2016 legislative bills. Unfortunately, the division can only update some of what is needed in these programs. Many changes must be initiated legislatively.

Outreach and education efforts: Consumers, small businesses, and investors need to know where to go for information regarding persons and entities selling financial products and services. They also need to recognize red flags before parting with their money, and know where to call if they need help or suspect a scam. The division continues to increase educational resources for consumers via the division website, but more outreach is needed.

## Significant Changes in Results to be Delivered in FY2018

No significant changes in results expected.

## Statutory and Regulatory Authority

AS 06	Financial Institutions
3 AAC 01, 02, 03, 06, 07, 12, 13 & 14	Financial Institutions
AS 10.13	Business and Industrial Development Corporation Act
AS 34.55	Land Sales Act
AS 44.81	Commercial Fishing and Agriculture Bank
AS 45.55 and AS 45.57	Securities
3 AAC 08	Securities
AS 60.65	Alaska Uniform Money Services Act
3 AAC 13	Alaska Uniform Money Services Act

**Contact Information**

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Banking and Securities Personal Services Information				
Authorized Positions			Personal Services Costs	
	FY2017 Management Plan	FY2018 Governor		
Full-time	23	24	Annual Salaries	1,709,508
Part-time	0	0	Premium Pay	0
Nonpermanent	0	0	Annual Benefits	996,788
			<i>Less 2.87% Vacancy Factor</i>	<i>(77,696)</i>
			Lump Sum Premium Pay	0
<b>Totals</b>	<b>23</b>	<b>24</b>	<b>Total Personal Services</b>	<b>2,628,600</b>

Position Classification Summary					
Job Class Title	Anchorage	Fairbanks	Juneau	Others	Total
Administrative Assistant I	0	0	1	0	1
Business Reg Examiner	0	0	3	0	3
Division Director	1	0	0	0	1
Division Operations Manager	0	0	1	0	1
Fin Exam II	5	0	0	0	5
Fin Exam III	6	0	0	0	6
Fin Exam IV	2	0	0	0	2
Investigator I	1	0	0	0	1
Investigator II	1	0	0	0	1
Investigator III	1	0	0	0	1
Regulations Spec II	0	0	1	0	1
Secretary	1	0	0	0	1
<b>Totals</b>	<b>18</b>	<b>0</b>	<b>6</b>	<b>0</b>	<b>24</b>

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

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

Non-Formula Component

	FY2016 Actuals	FY2017 Conference Committee	FY2017 Authorized	FY2017 Management Plan	FY2018 Governor	FY2017 Management Plan vs FY2018 Governor	
71000 Personal Services	2,335.3	2,506.8	2,506.8	2,506.8	2,628.6	121.8	4.9%
72000 Travel	110.5	198.8	198.8	198.8	122.5	-76.3	-38.4%
73000 Services	806.3	817.7	817.7	817.7	872.7	55.0	6.7%
74000 Commodities	46.3	46.4	46.4	46.4	46.4	0.0	0.0%
75000 Capital Outlay	0.0	8.0	8.0	8.0	0.0	-8.0	-100.0%
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%
<b>Totals</b>	<b>3,298.4</b>	<b>3,577.7</b>	<b>3,577.7</b>	<b>3,577.7</b>	<b>3,670.2</b>	<b>92.5</b>	<b>2.6%</b>
<b>Fund Sources:</b>							
1005GF/Prgm (DGF)	3,298.4	3,577.7	3,577.7	3,577.7	3,670.2	92.5	2.6%
<b>Unrestricted General (UGF)</b>	<b>0.0</b>	<b>0.0</b>	<b>0.0</b>	<b>0.0</b>	<b>0.0</b>	<b>0.0</b>	<b>0.0%</b>
<b>Designated General (DGF)</b>	<b>3,298.4</b>	<b>3,577.7</b>	<b>3,577.7</b>	<b>3,577.7</b>	<b>3,670.2</b>	<b>92.5</b>	<b>2.6%</b>
<b>Other Funds</b>	<b>0.0</b>	<b>0.0</b>	<b>0.0</b>	<b>0.0</b>	<b>0.0</b>	<b>0.0</b>	<b>0.0%</b>
<b>Federal Funds</b>	<b>0.0</b>	<b>0.0</b>	<b>0.0</b>	<b>0.0</b>	<b>0.0</b>	<b>0.0</b>	<b>0.0%</b>
<b>Positions:</b>							
Permanent Full Time	23	23	23	23	24	1	4.3%
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	Positions		NP
										PFT	PPT	
***** Changes From FY2017 Conference Committee To FY2017 Authorized *****												
<b>FY2017 Conference Committee</b>	ConfCom	3,577.7	2,506.8	198.8	817.7	46.4	8.0	0.0	0.0	23	0	0
1005 GF/Prgm		3,577.7										
<b>Subtotal</b>		<b>3,577.7</b>	<b>2,506.8</b>	<b>198.8</b>	<b>817.7</b>	<b>46.4</b>	<b>8.0</b>	<b>0.0</b>	<b>0.0</b>	<b>23</b>	<b>0</b>	<b>0</b>

***** Changes From FY2017 Management Plan To FY2018 Governor *****												
<b>Business Registration Examiner for Licensing</b>	Inc	74.9	74.9	0.0	0.0	0.0	0.0	0.0	0.0	1	0	0
1005 GF/Prgm		74.9										

One additional Business Registration Examiner (BRE) is necessary to adequately staff licensing and registration functions. Growth in the number of financial industry applications cannot be managed by the two existing BREs. In FY2016, the division saw an average increase of 12% in licensing and registrations across all programs, with mortgage loan originators and payday lenders showing dramatic increases of 34% and 33%, respectively. Both of these programs require complex reviews requiring significant time to complete. Without additional staff resources, review of applicants' credit, criminal, and regulatory history will be reduced to allow existing staff to process applications received within existing regulatory timelines. Delayed reviews and approvals of licenses and registrations would result in businesses and individuals being unable to work in Alaska, which would limit consumer access to financial industry goods and services such as mortgage loans, money transmitter services, payday lending, and investment options. The unique banking impacts of marijuana businesses and crowd funding investment have increased examination and enforcement activities, while other programs have grown in both the numbers of applicants and the complexity of review processes.

The division currently has two BREs managing registration and licensing tasks, down from three in FY2015. In FY2016 one vacant BRE and associated funding was deleted. The division has managed the workload since then, but it has become apparent that the work volume is too great for existing staff to handle with acceptable turnaround times and adequate consumer protection. This position will be fully funded by general fund program receipt authority collected for licensing activities.

<b>Align Authority with Anticipated Expenditures</b>	LIT	0.0	29.3	-76.3	55.0	0.0	-8.0	0.0	0.0	0	0	0
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Align unused authority in travel and capital outlay to cover anticipated expenditures in personal services and services, where additional authority is needed. The division will conduct some examinations in the office using video and teleconferencing to reduce travel costs. The division had no capital outlay expenditures in FY2015 and FY2016.

<b>FY2018 Salary and Health Insurance Increases</b>	SalAdj	9.8	9.8	0.0	0.0	0.0	0.0	0.0	0.0	0	0	0
1005 GF/Prgm		9.8										

Includes: ACOA COLA, 2.25% per contract ending 6/30/2018; GGU HI increase from \$1346 to \$1389; LTC HI increase from \$1363 to \$1432.: \$9.8

FY2018 PS Health Ins.: \$9.8

**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	
<b>Supervisory Unit 15 Hour Furlough Contract Terms</b>												
1005 GF/Prgm	SalAdj	-1.9	-1.9	0.0	0.0	0.0	0.0	0.0	0.0	0	0	0
Alaska Public Employees Association, supervisory unit, 15 hours of furlough required for each permanent full-time employee in each year from July 1, 2016 to June 30, 2018.												
<b>FY2018 Alaska Care &amp; PSEA Health Insurance Increase</b>												
1005 GF/Prgm	SalAdj	9.7	9.7	0.0	0.0	0.0	0.0	0.0	0.0	0	0	0
Alaska Care rate increase from \$1346 to \$1555 per month for APEA members. \$7.3												
Alaska Care rate increase from \$1346 to \$1555 per month for exempt and partially exempt employees. \$2.4												
<b>Totals</b>		<b>3,670.2</b>	<b>2,628.6</b>	<b>122.5</b>	<b>872.7</b>	<b>46.4</b>	<b>0.0</b>	<b>0.0</b>	<b>0.0</b>	<b>24</b>	<b>0</b>	<b>0</b>

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

**Scenario:** FY2018 Governor (13956)  
**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	UGF Amount
08-#065	Business Reg Examiner	FT	A	GP	Juneau	205	13A	12.0		42,636	0	0	31,412	74,048	0
08-1280	Regulations Spec II	FT	A	GP	Juneau	205	16A / B	12.0		53,564	0	0	35,154	88,718	0
08-2041	Investigator III	FT	A	GP	Anchorage	200	18A / B	12.0		58,951	0	0	36,999	95,950	0
08-2110	Investigator II	FT	A	GP	Anchorage	200	16A / B	12.0		51,016	0	0	34,282	85,298	0
08-2112	Investigator I	FT	A	GP	Anchorage	200	13G / J	12.0		49,948	0	0	33,916	83,864	0
08-2210	Fin Exam III	FT	A	GP	Anchorage	200	21B / C	12.0		72,953	0	0	41,793	114,746	0
08-2237	Division Operations Manager	FT	A	SS	Juneau	99	24M	12.0		128,237	0	0	62,691	190,928	0
08-3001	Division Director	FT	A	XE	Anchorage	N00	27J	12.0		126,984	0	0	62,181	189,165	0
08-3002	Administrative Assistant I	FT	A	GP	Juneau	205	12C / D	12.0		43,672	0	0	31,767	75,439	0
08-3003	Fin Exam II	FT	A	GP	Anchorage	200	19B / C	12.0		65,441	0	0	39,221	104,662	0
08-3004	Fin Exam III	FT	A	GP	Anchorage	200	21D / E	12.0		77,940	0	0	43,500	121,440	0
08-3008	Fin Exam IV	FT	A	SS	Anchorage	200	23E / F	12.0		98,265	0	0	52,492	150,757	0
08-3010	Fin Exam III	FT	A	GP	Anchorage	200	21C / D	12.0		75,217	0	0	42,568	117,785	0
08-3014	Fin Exam III	FT	A	GP	Anchorage	200	21J / K	12.0		90,283	0	0	47,727	138,010	0
08-3021	Fin Exam IV	FT	A	SS	Anchorage	200	23K	12.0		105,708	0	0	55,040	160,748	0
08-3024	Business Reg Examiner	FT	A	GP	Juneau	205	13J / K	12.0		55,682	0	0	35,879	91,561	0
08-3027	Fin Exam III	FT	A	GP	Anchorage	200	21F / G	12.0		84,233	0	0	45,655	129,888	0
08-3028	Business Reg Examiner	FT	A	GP	Juneau	205	13D / E	12.0		47,316	0	0	33,015	80,331	0
08-3030	Fin Exam II	FT	A	GP	Anchorage	200	19A	12.0		61,416	0	0	37,843	99,259	0
08-3088	Fin Exam II	FT	A	GP	Anchorage	200	19A	12.0		61,416	0	0	37,843	99,259	0
08-3089	Secretary	FT	A	GP	Anchorage	200	11G / J	12.0		43,782	0	0	31,805	75,587	0
08-3099	Fin Exam II	FT	A	GP	Anchorage	200	19A	12.0		61,416	0	0	37,843	99,259	0
08-3100	Fin Exam III	FT	A	GP	Anchorage	200	21F / G	12.0		84,920	0	0	45,890	130,810	0
08-3101	Fin Exam II	FT	A	GP	Anchorage	200	19D / E	12.0		68,512	0	0	40,272	108,784	0

<b>Total Positions</b>				<b>Total Salary Costs:</b>	1,709,508
<b>Full Time Positions:</b>	24	<b>New</b>	1	<b>Total COLA:</b>	0
<b>Part Time Positions:</b>	0	<b>Deleted</b>	0	<b>Total Premium Pay::</b>	0
<b>Non Permanent Positions:</b>	0		0	<b>Total Benefits:</b>	996,788
<b>Positions in Component:</b>	24		1	<b>Total Pre-Vacancy:</b>	2,706,296
			0	<b>Minus Vacancy Adjustment of 2.87%:</b>	(77,696)
				<b>Total Post-Vacancy:</b>	2,628,600
<b>Total Component Months:</b>	288.0			<b>Plus Lump Sum Premium Pay:</b>	0
				<b>Personal Services Line 100:</b>	2,628,600

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:** FY2018 Governor (13956)  
**Component:** Banking and Securities (2808)  
**RDU:** Banking and Securities (536)

<b>PCN Funding Sources:</b>	<b>Pre-Vacancy</b>	<b>Post-Vacancy</b>	<b>Percent</b>
1005 General Fund/Program Receipts	2,706,296	2,628,600	100.00%
<b>Total PCN Funding:</b>	<b>2,706,296</b>	<b>2,628,600</b>	<b>100.00%</b>

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 (1676)**  
**Department of Commerce, Community, and Economic Development**  
**Travel**

**Component:** Banking and Securities (2808)

Line Number	Line Name		FY2016 Actuals	FY2017 Management Plan	FY2018 Governor
2000	Travel		110.5	198.8	122.5
Object Class	Servicing Agency	Explanation	FY2016 Actuals	FY2017 Management Plan	FY2018 Governor
<b>2000 Travel Detail Totals</b>			<b>110.5</b>	<b>198.8</b>	<b>122.5</b>
2000	In-State Employee Travel	In-State Transportation - Transportation costs for travel relating to administration, conventions and meetings, boards and commissions.	52.5	99.0	60.5
2002	Out of State Employee Travel	Out-of-State Transportation - Transportation costs for travel relating to administration, conventions and meetings, boards and commissions.	57.7	98.8	61.0
2006	Other Travel Costs	Miscellaneous travel-related expenses.	0.3	1.0	1.0

**Line Item Detail (1676)**  
**Department of Commerce, Community, and Economic Development**  
**Services**

**Component:** Banking and Securities (2808)

Line Number	Line Name		FY2016 Actuals	FY2017 Management Plan	FY2018 Governor
3000	Services		806.3	817.7	872.7
Object Class	Servicing Agency	Explanation	FY2016 Actuals	FY2017 Management Plan	FY2018 Governor
<b>3000 Services Detail Totals</b>			<b>806.3</b>	<b>817.7</b>	<b>872.7</b>
3000	Education Services	Training, educational conferences, agency memberships, tuition, books and fees for work-related courses.	32.8	32.8	32.8
3003	Information Technology	Information Technology - Training, consulting, equipment and software leases, licensing and maintenance.	6.7	6.7	29.8
3004	Telecommunications	Local, long distance, and cellular telephone charges, television, data/network, telecommunication equipment, and other wireless charges from outside vendors.	8.5	19.9	30.0
3006	Delivery Services	Freight, courier services, and postage.	3.8	3.8	3.8
3007	Advertising and Promotions	Advertising, promotions and legal notices.	8.7	8.7	8.7
3008	Utilities	Electricity, heating fuel, water, sewage and disposal services.	0.3	0.3	0.3
3009	Structure/Infrastructure/Land	Structure, infrastructure and land repairs, maintenance, rentals and leases.	0.3	0.3	0.3
3010	Equipment/Machinery	Machinery, furniture and equipment purchase, repairs, maintenance, rentals, and leases.	0.5	0.5	0.5
3011	Other Services	Other services, including strategic planning services, State Travel Office fees, and printer/copy machine supplies and maintenance.	3.2	6.9	6.9

**Line Item Detail (1676)**

**Department of Commerce, Community, and Economic Development  
Services**

**Component:** Banking and Securities (2808)

Object Class		Servicing Agency	Explanation	FY2016 Actuals	FY2017 Management Plan	FY2018 Governor
<b>3000 Services Detail Totals</b>				<b>806.3</b>	<b>817.7</b>	<b>872.7</b>
3017	Inter-Agency Information Technology Non-Telecommunications	Admin - Department-wide	Enterprise Technology Services - Computer services (EPR).	17.1	17.1	17.1
3018	Inter-Agency Information Technology Telecommunications	Admin - Department-wide	Information Technology services for telecommunications (e.g. video conference, internet access, messaging, virtual private network).	37.0	37.0	37.0
3019	Inter-Agency Storage	Admin - Department-wide	Storage services, including archiving records and storage supplies.	0.4	0.4	0.4
3021	Inter-Agency Mail	Admin - Department-wide	Division of General Services - Pro-rated share of expenses relating to central mailroom support and services.	4.5	4.5	4.5
3022	Inter-Agency Human Resources	Admin - Department-wide	Division of Personnel and Labor Relations - Human resource and personnel services.	14.6	14.6	14.6
3023	Inter-Agency Building Leases	Admin - Department-wide	Parking permits.	0.3	0.0	0.0
3023	Inter-Agency Building Leases	Admin - Department-wide	Linny Pacillo Parking Garage lease.	12.3	12.6	12.6
3024	Inter-Agency Legal	Law - Department-wide	Legal services.	206.2	206.2	206.2
3024	Inter-Agency Legal	Law - Department-wide	Regulations review.	2.5	2.5	2.5
3026	Inter-Agency Insurance	Admin - Department-wide	Division of Risk Management - Risk management insurance charges for leased buildings, repossessed properties, public official bonds, and overhead.	0.4	0.4	0.4
3027	Inter-Agency Financial	Admin - Department-wide	Division of Finance - Computer services for State accounting (IRIS), payroll (AKPAY), and reporting (ALDER) systems.	1.9	1.9	1.9
3028	Inter-Agency Americans with Disabilities Act Compliance	Admin - Department-wide	Americans with Disabilities Act (ADA) enforcement.	0.1	0.1	0.1
3030	Inter-Agency Hearing/Mediation	Law - Department-wide	Hearing and mediation services.	3.0	3.0	3.0

**Line Item Detail (1676)**  
**Department of Commerce, Community, and Economic Development**  
**Services**

**Component:** Banking and Securities (2808)

Object Class	Servicing Agency	Explanation	FY2016 Actuals	FY2017 Management Plan	FY2018 Governor
<b>3000 Services Detail Totals</b>			<b>806.3</b>	<b>817.7</b>	<b>872.7</b>
3035	Inter-Agency Other Equipment/Machinery	Admin - Department-wide Surplus furniture from the Division of General Services.	3.7	0.0	0.0
3036	Inter-Agency Safety	PubSaf - Department-wide Mortgage Lending fingerprinting.	14.0	14.0	14.0
3037	State Equipment Fleet	Trans - Department-wide State equipment fleet services.	0.3	0.3	0.3
3038	Inter-Agency Management/Consulting	Commerce - Administrative Services (1028) Administrative Services and Commissioner's Office support.	333.6	333.6	350.0
3038	Inter-Agency Management/Consulting	Commerce - DCCED State Facilities Rent (2472) State-owned facility space rent.	89.6	89.6	95.0



**Line Item Detail (1676)**

**Department of Commerce, Community, and Economic Development  
Commodities**

**Component:** Banking and Securities (2808)

<b>Line Number</b>	<b>Line Name</b>		<b>FY2016 Actuals</b>	<b>FY2017 Management Plan</b>	<b>FY2018 Governor</b>
4000	Commodities		46.3	46.4	46.4
<b>Object Class</b>	<b>Servicing Agency</b>	<b>Explanation</b>	<b>FY2016 Actuals</b>	<b>FY2017 Management Plan</b>	<b>FY2018 Governor</b>
<b>4000 Commodities Detail Totals</b>			<b>46.3</b>	<b>46.4</b>	<b>46.4</b>
4000	Business	Supplies for office, library, training, and instructional needs, including small equipment, tools and subscriptions.	46.2	46.3	46.3
4002	Household/Institutional	Cleaning, food and other household supplies.	0.1	0.1	0.1

**Line Item Detail (1676)**

**Department of Commerce, Community, and Economic Development  
Capital Outlay**

**Component:** Banking and Securities (2808)

<b>Line Number</b>	<b>Line Name</b>		<b>FY2016 Actuals</b>	<b>FY2017 Management Plan</b>	<b>FY2018 Governor</b>
5000	Capital Outlay		0.0	8.0	0.0
<b>Object Class</b>	<b>Servicing Agency</b>	<b>Explanation</b>	<b>FY2016 Actuals</b>	<b>FY2017 Management Plan</b>	<b>FY2018 Governor</b>
<b>5000 Capital Outlay Detail Totals</b>			<b>0.0</b>	<b>8.0</b>	<b>0.0</b>
5004	Equipment	Equipment and furniture.	0.0	8.0	0.0

**Revenue Detail (1681)**

**Department of Commerce, Community, and Economic Development**

**Component:** Banking and Securities (2808)

<b>Revenue Type (OMB Fund Code)</b> <b>Revenue Source</b>	<b>Component</b>	<b>Comment</b>	<b>FY2016 Actuals</b>	<b>FY2017 Management Plan</b>	<b>FY2018 Governor</b>
<b>5005 GF/Prgm (1005 GF/Prgm)</b>			<b>15,882.4</b>	<b>15,749.5</b>	<b>15,749.5</b>
5102 Program Receipts Public Protection - Fines and Forfeitures		Program Receipts - Fines/forfeitures.	111.2	0.0	0.0
5103 Program Receipts - Charges for Services		Program Receipts - Charges for services.	3,298.4	3,577.7	3,662.4
5103 Program Receipts - Charges for Services		Program Receipts - Charges for services. Receipts collected in excess of appropriations lapse to the General Fund.	12,451.1	12,171.8	12,087.1
5104 Program Receipts Charges for Services - 3rd Party Collectns		Program Receipts - 3rd party collection.	21.7	0.0	0.0
<b>6004 Gen Fund (1004 Gen Fund)</b>			<b>89.6</b>	<b>0.0</b>	<b>0.0</b>
6001 General Fund Pblc Protection - Other Licenses & Permits		Originator Surety Fund.	89.6	0.0	0.0

## Inter-Agency Services (1682)

### Department of Commerce, Community, and Economic Development

**Component:** Banking and Securities (2808)

				FY2016 Actuals	FY2017 Management Plan	FY2018 Governor
<b>Component Totals</b>				<b>741.5</b>	<b>737.8</b>	<b>759.6</b>
With Department of Administration				92.3	88.6	88.6
With Department of Law				211.7	211.7	211.7
With Department of Public Safety				14.0	14.0	14.0
With Department of Transportation/Public Facilities				0.3	0.3	0.3
With Department of Commerce, Community, and Economic Development				423.2	423.2	445.0
Object Class	Servicing Agency	Explanation	FY2016 Actuals	FY2017 Management Plan	FY2018 Governor	
3017	Inter-Agency Information Technology Non-Telecommunications	Admin - Department-wide	Enterprise Technology Services - Computer services (EPR).	17.1	17.1	17.1
3018	Inter-Agency Information Technology Telecommunications	Admin - Department-wide	Information Technology services for telecommunications (e.g. video conference, internet access, messaging, virtual private network).	37.0	37.0	37.0
3019	Inter-Agency Storage	Admin - Department-wide	Storage services, including archiving records and storage supplies.	0.4	0.4	0.4
3021	Inter-Agency Mail	Admin - Department-wide	Division of General Services - Pro-rated share of expenses relating to central mailroom support and services.	4.5	4.5	4.5
3022	Inter-Agency Human Resources	Admin - Department-wide	Division of Personnel and Labor Relations - Human resource and personnel services.	14.6	14.6	14.6
3023	Inter-Agency Building Leases	Admin - Department-wide	Parking permits.	0.3	0.0	0.0
3023	Inter-Agency Building Leases	Admin - Department-wide	Linn Pacillo Parking Garage lease.	12.3	12.6	12.6
3024	Inter-Agency Legal	Law - Department-wide	Legal services.	206.2	206.2	206.2
3024	Inter-Agency Legal	Law - Department-wide	Regulations review.	2.5	2.5	2.5
3026	Inter-Agency Insurance	Admin - Department-wide	Division of Risk Management - Risk management insurance charges for leased buildings, repossessed	0.4	0.4	0.4

**Inter-Agency Services (1682)**

**Department of Commerce, Community, and Economic Development**

**Component:** Banking and Securities (2808)

<b>Object Class</b>	<b>Servicing Agency</b>	<b>Explanation</b>	<b>FY2016 Actuals</b>	<b>FY2017 Management Plan</b>	<b>FY2018 Governor</b>
		properties, public official bonds, and overhead.			
3027 Inter-Agency Financial	Admin - Department-wide	Division of Finance - Computer services for State accounting (IRIS), payroll (AKPAY), and reporting (ALDER) systems.	1.9	1.9	1.9
3028 Inter-Agency Americans with Disabilities Act Compliance	Admin - Department-wide	Americans with Disabilities Act (ADA) enforcement.	0.1	0.1	0.1
3030 Inter-Agency Hearing/Mediation	Law - Department-wide	Hearing and mediation services.	3.0	3.0	3.0
3035 Inter-Agency Other Equipment/Machinery	Admin - Department-wide	Surplus furniture from the Division of General Services.	3.7	0.0	0.0
3036 Inter-Agency Safety	PubSaf - Department-wide	Mortgage Lending fingerprinting.	14.0	14.0	14.0
3037 State Equipment Fleet	Trans - Department-wide	State equipment fleet services.	0.3	0.3	0.3
3038 Inter-Agency Management/Consulting	Commerce - Administrative Services (1028)	Administrative Services and Commissioner's Office support.	333.6	333.6	350.0
3038 Inter-Agency Management/Consulting	Commerce - DCCED State Facilities Rent (2472)	State-owned facility space rent.	89.6	89.6	95.0