

**State of Alaska
FY2020 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>.)

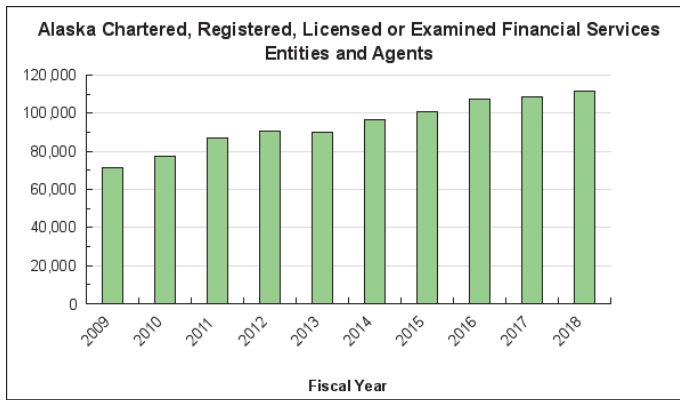
Core Services

- 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.

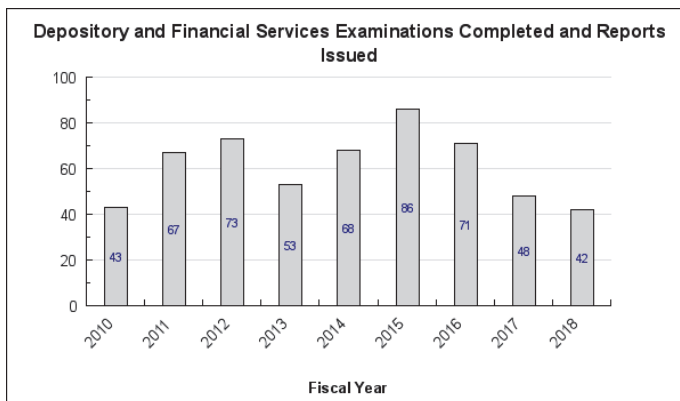
Measures by Core Service

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

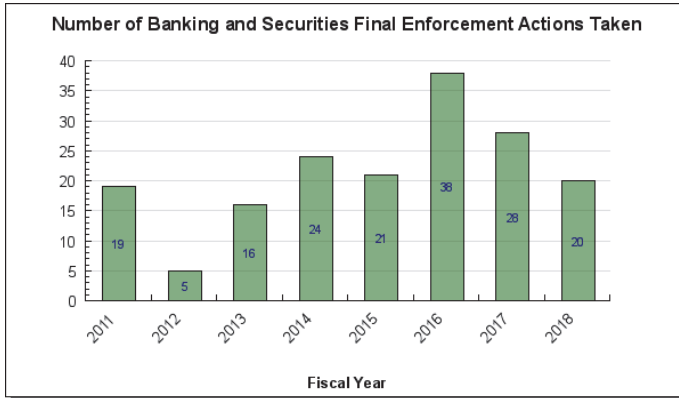
1. Charter, license and register financial institutions and products.



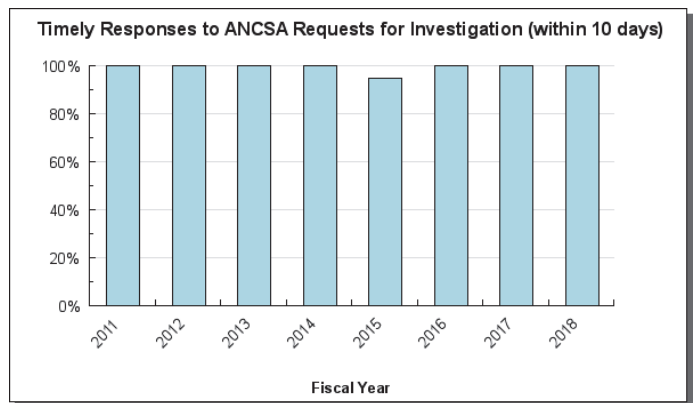
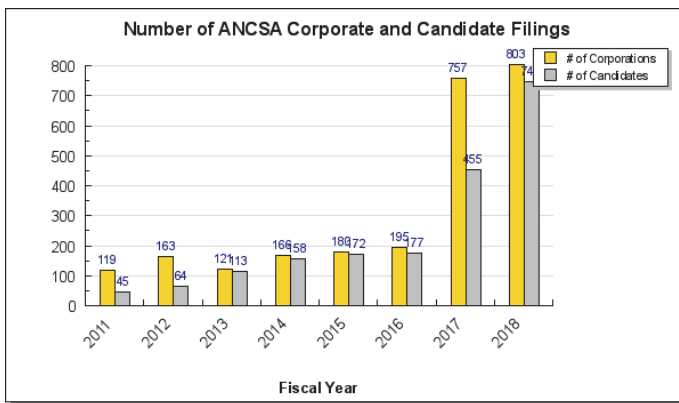
2. Examine records of businesses and individuals to ensure compliance with federal and state law or regulation.



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.



Major Component Accomplishments in 2018

Alaska Securities Act. The Alaska Securities Act was signed into law in June 2018 after passage by both legislative bodies. The new Act modernizes securities law and improves investor protections and enforcement provisions. It creates a new chapter to separate securities from the Alaska Native Claims Settlement Act provisions. The division is in the process of drafting new regulations to reflect both the separate chapters and changes in securities law.

Assessment Fees. Semi-annual assessment fees for depository institutions were recalculated and adopted for state-chartered banks and credit unions. The fees were last updated over 25 years ago and did not reflect significant changes in the regulation and examination of financial institutions implemented since the national financial crisis of 2007 to 2008.

Regulatory Streamlining. The legislature repealed the assistance program and annual examination requirement in the Alaska Business and Industrial Development Corporation (BIDCO) Act. In addition, the annual examination requirement for premium finance companies was repealed. These repeals reduce the regulatory burden on these industries for annual examinations and removed the Alaska BIDCO fund, which has not been funded by the legislature since it was established.

Money Service Businesses. Licensing of money transmitters and currency exchangers was transitioned from paper applications to the Nationwide Multistate Licensing System (NMLS) electronic registry. This was accomplished after promulgating new regulations and several months of effort to prepare current licensees to upload licensing documents via the registry. New applicants and current licensees benefit from streamlined electronic licensing and periodic reporting processes while the division is able to see and follow up on deficiencies set by other states.

Alaska Native Claims Settlement Act (ANCSA) Filings and Requests. A Financial Examiner I/II position was approved to address the continued growth in ANCSA filings, requests for investigation, and public information requests. The number of ANCSA filings in FY2018 increased 22 percent over the double-digit increase in FY2017 with almost 1,550 submissions and ANCSA public information requests increased 19 percent. The Division began assessing fees to ANCSA corporations to help cover the cost of regulation in FY2016. In FY2018, \$234,475 was collected which will help to fund the Financial Examiner.

Securities Settlement. A multi-state enforcement case was settled with LPL Financial LLC regarding the sales of unregistered, non-exempt securities. 49 states signed the order with Alaska receiving \$499,000 in civil penalties. The settlement sends a strong message that states serve a vital role in protecting investors by holding firms accountable.

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

Collected \$17.5 million in assessments, fees, and penalties; \$14.3 million was contributed to the General Fund.

- 5 depositories – banks, a credit union and a mutual savings bank
- 43 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)
- 99 money service businesses
- 27 payday lenders
- 605 mortgage broker/lenders and branches, and 2,405 mortgage loan originators
- 1,246 securities broker-dealers and 848 securities investment advisers
- 98,651 securities broker-dealer and investment adviser sales agents
- 7,017 mutual funds/unit investment trusts
- 542 securities exemptions, registrations and no action/interpretive opinions

Examinations conducted

- 4 depositories
- 15 non-depositories
- 6 money service businesses
- 7 mortgage broker/lenders
- 10 securities broker-dealers

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

- 746 board candidate filings
- 803 corporate filings
- 137 public information requests
- 28 complaints/requests for investigation

Investigations and Enforcement Actions

- 77 investigations opened, 213 closed and 34 active cases at the end of FY2018
- 28 final administrative orders
- 21 license applications withdrawn at the state's request
- \$291,867 in civil penalties ordered

Public Information and Outreach

Division staff presented or participated five business events, three community events, and one school event plus conducted outreach through the Alaska American Association of Retired Persons (AARP).

- Presentation at Alaska Startup Week regarding “Introduction to Crowdfunding” and “Getting Funded”

- Financial Fitness Fair “DASH for the STASH,” which is co-sponsored by the division and the Investor Protection Trust (IPT), in which six Alaska public libraries and government offices posted informational posters to educate then quiz investors on their knowledge, entering them to win a \$1,000 contribution to an Individual Retirement Account.
- Presentation at One Million Cups event at the Boardroom regarding Alaska’s crowdfunding statutes and regulations.
- Presentation at the Regulatory Commission of Alaska National Consumer Protection Week regarding financial scams and “DASH for the STASH.”
- Presentation at the North American Securities Administrators’ Investor Education Conference in New Orleans, LA regarding an outreach resource calendar completed by the Life Stages Project Group.
- Presentation to University of Alaska (UAA) students at the UAA Financial Literacy Resource Fair regarding saving for retirement.
- Continuing Legal Education (CLE) presentation to the Northwest Securities Institute and Washington Bar Association in Seattle, WA regarding regulatory updates in Alaska.
- Presentation to the National Association of Insurance and Financial Advisors regarding banking the marijuana industry.
- CLE presentation to the Alaska Bar Association regarding information attorneys need to know about Alaska’s crowdfunding statutes and regulations.
- 30-minute television program segment in partnership with the Alaska American Association of Retired Persons (AARP) regarding how to interview a financial advisor, which aired on July 2, 2018 on KTOO Public Media. These programs were possible because of a successful joint grant request by the division and AARP through the IPT.

Key Component Challenges

Staff Turnover. In FY2018, the division had significant staff turnover in senior personnel. A Financial Examiner III, a Financial Examiner IV, and the Division Director all left their positions after several years with the agency. Some positions were backfilled with acting status and new entry-level Financial Examiners were hired as a result of internal promotions. The resulting loss of experience and knowledge coupled with the learning curve for those in new roles hampers the division’s ability to move forward on initiatives due to the need to devote existing resources to training and mentoring.

Banking of Legal Marijuana Proceeds. The legal Alaska marijuana industry continues to mature, yet still faces challenges in finding and keeping banking and other financial services. The Division has been a resource for legislative, congressional, marijuana business and financial industry contacts relating to current and proposed law changes to financial services.

State and Municipal Banks. In the 2018 legislative session, HB376 – Establish the Alaska State Bank – was introduced to create a new public corporation within the Department of Commerce, Community, and Economic Development to promote infrastructure, education, science, technology, and other economic projects in Alaska. Serious inquiries were also received regarding a potential municipal bank to provide banking services for marijuana businesses. These represent new initiatives that require senior staff to research and provide technical assistance, often times within very short timelines.

Updated Laws and Regulations. The division has been delayed in implementing electronic filings for some industries because either a statutory change is required or there is insufficient staffing to cover day-to-day workload and implement necessary programmatic changes. Additionally, the Alaska Securities Act was signed into law in 2018 to modernize securities law, improve investor protections, and enforce provisions. This will require drafting these new regulations to reflect the new changes while still maintaining day-to-day operations.

Marijuana Business Licensing Support. The Marijuana Control Board (Board) is considering a regulation change that would require marijuana business applicants to submit financial background information for examination with an analysis provided to the Board as a component of their license approval process. The division will need to add a Financial Examiner II position to conduct the examination and analysis through a reimbursable services agreement in the FY2020 budget. The division will need to work with the Alcohol and Marijuana Control Office in FY2019 on draft regulations to conduct such examinations. This would be a new industry for the division that will require the participation of senior staff and consultation with regulators in other jurisdictions.

Significant Changes in Results to be Delivered in FY2020

No significant changes in results expected.

Statutory and Regulatory Authority

AS 06	Banks and Financial Institutions
3 AAC 01	Financial Institution General Administration
3 AAC 02	Banking
3 AAC 03	Credit Unions
3 AAC 04	Trust Companies
3 AAC 06	Mutual Savings Banks
3 AAC 07	Premium Finance Companies
3 AAC 11	Deferred Deposit Advances
3 AAC 12	Small Loans
3 AAC 13	Money Services
3 AAC 14	Mortgage Lending
AS 10.13	Alaska BIDCO Act
AS 34.55	Uniform Land Sales Practices Act
3 AAC 20.390	Land Sales
AS 37.17	Alaska BIDCO Assistance Program
AS 44.81	Commercial Fishing and Agriculture Bank
AS 45.55	Alaska Securities Act
3 AAC 08	Securities
AS 45.57	Take Over Bid Disclosure Act

Contact Information
<p>Contact: Patrice Walsh, Acting Division Director Phone: (907) 269-5496 E-mail: patrice.walsh@alaska.gov</p>

Banking and Securities Personal Services Information				
Authorized Positions			Personal Services Costs	
	FY2019 Management Plan	FY2020 Governor		
Full-time	25	26	Annual Salaries	1,931,965
Part-time	0	0	COLA	58,458
Nonpermanent	1	1	Premium Pay	0
			Annual Benefits	1,148,835
			<i>Less 4.14% Vacancy Factor</i>	(130,058)
			Lump Sum Premium Pay	0
Totals	26	27	Total Personal Services	3,009,200

Position Classification Summary					
Job Class Title	Anchorage	Fairbanks	Juneau	Others	Total
Administrative Assistant I	1	0	0	0	1
Administrative Assistant II	0	0	1	0	1
Division Director	1	0	0	0	1
Division Operations Manager	0	0	1	0	1
Fin Exam I	3	0	0	0	3
Fin Exam II	4	0	0	0	4
Fin Exam III	6	0	0	0	6
Fin Exam IV	2	0	0	0	2
Fin Reg Exam	0	0	5	0	5
Investigator II	1	0	0	0	1
Investigator III	1	0	0	0	1
Regulations Spec II	0	0	1	0	1
Totals	19	0	8	0	27

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

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

Non-Formula Component

	FY2018 Actuals	FY2019 Conference Committee	FY2019 Authorized	FY2019 Management Plan	FY2020 Governor	FY2019 Management Plan vs FY2020 Governor	
71000 Personal Services	2,417.7	2,824.0	2,824.0	2,824.0	3,009.2	185.2	6.6%
72000 Travel	105.9	122.5	122.5	122.5	122.5	0.0	0.0%
73000 Services	923.2	1,000.4	1,000.4	1,000.4	1,016.6	16.2	1.6%
74000 Commodities	53.5	46.4	46.4	46.4	50.4	4.0	8.6%
75000 Capital Outlay	0.0	0.0	0.0	0.0	0.0	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	3,500.3	3,993.3	3,993.3	3,993.3	4,198.7	205.4	5.1%
Fund Sources:							
1005 GF/Prgm (DGF)	3,500.3	3,993.3	3,993.3	3,993.3	4,078.7	85.4	2.1%
1007 I/A Rcpts (Other)	0.0	0.0	0.0	0.0	120.0	120.0	100.0%
Unrestricted General (UGF)	0.0	0.0	0.0	0.0	0.0	0.0	0.0%
Designated General (DGF)	3,500.3	3,993.3	3,993.3	3,993.3	4,078.7	85.4	2.1%
Other Funds	0.0	0.0	0.0	0.0	120.0	120.0	100.0%
Federal Funds	0.0	0.0	0.0	0.0	0.0	0.0	0.0%
Positions:							
Permanent Full Time	25	25	25	25	26	1	4.0%
Permanent Part Time	0	0	0	0	0	0	0.0%
Non Permanent	0	0	0	1	1	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		
										PFT	PPT	NP
***** Changes From FY2019 Conference Committee To FY2019 Authorized *****												
FY2019 Conference Committee	ConfCom	3,993.3	2,824.0	122.5	1,000.4	46.4	0.0	0.0	0.0	25	0	0
1005 GF/Prgm		3,993.3										
Subtotal		3,993.3	2,824.0	122.5	1,000.4	46.4	0.0	0.0	0.0	25	0	0

***** Changes From FY2019 Authorized To FY2019 Management Plan *****												
Non-Permanent Financial Registration Examiner (08-#078) for Increased Volume of Licensing Applications	PosAdj	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0	0	1

The Division of Banking and Securities (DBS) is statutorily required to license or register businesses and individuals working in regulated financial industries. Applications for small loan companies increased 50% in FY2018. Canadian Broker-Dealer and agent registrations increased 45% and 37%, respectively. Applications for mortgage licensing and money services businesses continue at peak levels in a robust national economy. A long-term non-permanent Financial Registration Examiner (FRE), range 14, in Juneau will allow DBS to maintain current levels of services to industries for licensing and registration in Alaska.

The Nationwide Multi-state Licensing System (NMLS) will deploy a new, completely redesigned, software suite known as NMLS 2.0 on March 1, 2019, and DBS will be required to assign an existing staff member to manage the transition for Alaska. All licensing and examination staff will require training on NMLS 2.0 and, based on prior experience with transitioning mortgage and money services businesses to the NMLS registry, DBS anticipates an increase of 15% to 20% in phone calls and emails from industry requesting assistance with the transition and navigation of the new registry system. DBS is challenged to assign adequate staffing resources to stay current with the design changes and pre-implementation tasks.

This FRE will take on some of the lower-level work currently assigned to other positions so that existing staff can manage the NMLS transition. This long-term non-permanent position will be established through June 30, 2021, by which time the transition to NMLS is anticipated to be complete. The division will continue to monitor license and application data to ensure that current levels of services are maintained.

This position will be funded by licensing fees. In FY2018, DBS is anticipated to lapse approximately \$14 million of licensing fees to the general fund.

Subtotal		3,993.3	2,824.0	122.5	1,000.4	46.4	0.0	0.0	0.0	25	0	1
***** Changes From FY2019 Management Plan To FY2020 Governor *****												
Financial Examiner II (08-#101) for Financial Background Examination of Marijuana Licensees	Inc	120.0	99.8	0.0	16.2	4.0	0.0	0.0	0.0	1	0	0
1007 I/A Rcpts		120.0										

The Marijuana Control Board is anticipated to adopt regulations that will require marijuana business applicants to submit financial background information for examination. The Alcohol and Marijuana Control Office (AMCO) would enter into a reimbursable services agreement (RSA) with the Division of Banking and Securities (DBS) to complete the financial review and analysis for presentation to the Board as part of the license approval process.

The Financial Examiner series is a job class exclusive to DBS which has access to national examiner trainings and resources necessary to stay current with trends and issues in conducting financial background review, examination, and regulatory enforcement. Financial Examiner II is the journey level of the series.

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	
Incumbents analyze and resolve issues with license applicants, conduct enforcement activities, and provide outreach and education to the regulated industry.												
Reverse Supervisory Unit Furlough Contract Terms												
	SalAdj	1.9	1.9	0.0	0.0	0.0	0.0	0.0	0.0	0	0	0
1005 GF/Prgm		1.9										
The Alaska Public Employees Association, supervisory unit, contractually required 15 hours of furlough for each permanent full-time employee in each year from July 1, 2016, to June 30, 2019. The furlough was removed from the contract in FY2020.												
FY2020 Salary Adjustments - GGU, CEA, TEAME												
	SalAdj	79.8	79.8	0.0	0.0	0.0	0.0	0.0	0.0	0	0	0
1005 GF/Prgm		79.8										
FY2020 Salary Adjustments - GGU, CEA, TEAME: \$79.8												
FY2020 GGU HI from \$1432 to \$1530: \$25.4												
FY2020 GGU 3% COLA: \$54.4												
Reverse Alaska State Employees Association (GGU) 15 Hour Furlough												
	SalAdj	3.7	3.7	0.0	0.0	0.0	0.0	0.0	0.0	0	0	0
1005 GF/Prgm		3.7										
The Alaska State Employees Association (representing the general government unit) contractually required 15 hours of furlough for each permanent full-time employee in each year from July 1, 2016, to June 30, 2019. The furlough requirement was removed from the contract in FY2020.												
Totals		4,198.7	3,009.2	122.5	1,016.6	50.4	0.0	0.0	0.0	26	0	1

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

Scenario: FY2020 Governor (15610)
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-#101	Fin Exam II	FT	A	GP	Anchorage	200	19A	12.0		61,416	2,471	0	39,452	103,339	0
08-1280	Regulations Spec II	FT	A	GP	Juneau	205	16D / E	12.0		59,309	2,387	0	38,732	100,428	0
08-2041	Investigator III	FT	A	GP	Anchorage	200	18C / D	12.0		63,079	2,538	0	40,019	105,636	0
08-2110	Fin Reg Exam	FT	A	GP	Juneau	205	14C / D	12.0		48,938	1,969	0	35,193	86,100	0
08-2112	Investigator II	FT	A	GP	Anchorage	200	16A / B	12.0		51,171	2,059	0	35,955	89,185	0
08-2122	Fin Reg Exam	FT	A	GP	Juneau	205	14B / C	12.0		48,240	1,941	0	34,955	85,136	0
08-2210	Fin Exam III	FT	A	GP	Anchorage	200	21E / F	12.0		80,426	3,236	0	45,940	129,602	0
08-2237	Division Operations Manager	FT	A	SS	Juneau	99	24N	12.0		145,816	0	0	67,806	213,622	0
08-3001	Division Director	FT	A	XE	Anchorage	N00	27D / E	12.0		116,814	0	0	58,555	175,369	0
08-3002	Administrative Assistant II	FT	A	GP	Juneau	205	14B / C	12.0		48,636	1,957	0	35,090	85,683	0
08-3003	Fin Exam II	FT	A	GP	Anchorage	200	19C / D	12.0		66,942	2,694	0	41,338	110,974	0
08-3004	Fin Exam III	FT	A	GP	Anchorage	200	21F / G	12.0		83,317	3,353	0	46,926	133,596	0
08-3008	Fin Exam IV	FT	A	SS	Anchorage	200	23B / C	12.0		92,519	0	0	50,407	142,926	0
08-3010	Fin Exam III	FT	A	GP	Anchorage	200	21B / C	12.0		72,861	2,932	0	43,358	119,151	0
08-3014	Fin Exam III	FT	A	GP	Anchorage	200	21K / L	12.0		93,215	3,751	0	50,305	147,271	0
08-3021	Fin Exam IV	FT	A	SS	Anchorage	200	23L	12.0		116,412	0	0	58,562	174,974	0
08-3024	Fin Reg Exam	FT	A	GP	Juneau	205	14J / K	12.0		60,113	2,419	0	39,007	101,539	0
08-3027	Fin Exam III	FT	A	GP	Anchorage	200	21C / D	12.0		76,019	3,059	0	44,436	123,514	0
08-3028	Fin Reg Exam	FT	A	GP	Juneau	205	14C / D	12.0		50,448	2,030	0	35,708	88,186	0
08-3030	Fin Exam I	FT	A	GP	Anchorage	200	17J	12.0		68,352	2,750	0	41,819	112,921	0
08-3088	Fin Exam II	FT	A	GP	Anchorage	200	19A / B	12.0		63,429	2,552	0	40,139	106,120	0
08-3089	Administrative Assistant I	FT	A	GP	Anchorage	200	12J / K	12.0		48,669	1,958	0	35,101	85,728	0
08-3099	Fin Exam II	FT	A	GP	Anchorage	200	19B / C	12.0		63,954	2,573	0	40,318	106,845	0
08-3100	Fin Exam III	FT	A	GP	Anchorage	200	21G / J	12.0		88,236	3,551	0	48,605	140,392	0
08-3101	Fin Exam I	FT	A	GP	Anchorage	200	17B / C	12.0		55,636	2,239	0	37,479	95,354	0
08-3102	Fin Exam I	FT	A	GP	Anchorage	200	17E / F	12.0		61,591	2,478	0	39,511	103,580	0
08-N18005	Fin Reg Exam	NP	A	GP	Juneau	205	14A / B	12.0		46,407	1,561	0	24,119	72,087	0

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: FY2020 Governor (15610)
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
		Total Positions	New	Deleted										Total Salary Costs:	1,931,965
														Total COLA:	58,458
	Full Time Positions:	26	1	0										Total Premium Pay::	0
	Part Time Positions:	0	0	0										Total Benefits:	1,148,835
	Non Permanent Positions:	1	0	0											
	Positions in Component:	27	1	0											
	Total Component Months:	324.0													
														Total Pre-Vacancy:	3,139,258
														Minus Vacancy Adjustment of 4.14%:	(130,058)
														Total Post-Vacancy:	3,009,200
														Plus Lump Sum Premium Pay:	0
														Personal Services Line 100:	3,009,200

PCN Funding Sources:	Pre-Vacancy	Post-Vacancy	Percent
1005 General Fund/Program Receipts	3,035,919	2,910,142	96.71%
1007 Interagency Receipts	103,339	99,058	3.29%
Total PCN Funding:	3,139,258	3,009,200	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 (1676)
Department of Commerce, Community, and Economic Development
Travel

Component: Banking and Securities (2808)

Line Number	Line Name		FY2018 Actuals	FY2019 Management Plan
2000	Travel		105.9	122.5
Object Class	Servicing Agency	Explanation	FY2018 Actuals	FY2019 Management Plan
2000 Travel Detail Totals			105.9	122.5
2000	In-State Employee Travel	In-State Transportation - Transportation costs for travel relating to administration, conventions and meetings, boards and commissions.	26.3	41.5
2002	Out of State Employee Travel	Out-of-State Transportation - Transportation costs for travel relating to administration, conventions and meetings, boards and commissions.	79.2	80.0
2006	Other Travel Costs	Miscellaneous travel-related expenses.	0.4	1.0

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

Component: Banking and Securities (2808)

Line Number	Line Name		FY2018 Actuals	FY2019 Management Plan
3000	Services		923.2	1,000.4
Object Class	Servicing Agency	Explanation	FY2018 Actuals	FY2019 Management Plan
3000 Services Detail Totals			923.2	1,000.4
3000	Education Services	Training, educational conferences, agency memberships, tuition, books and fees for work-related courses.	25.4	30.0
3003	Information Technology	Information Technology - Training, consulting, equipment and software leases, licensing and maintenance.	180.5	185.0
3004	Telecommunications	Local, long distance, and cellular telephone charges, television, data/network, telecommunication equipment, and other wireless charges from outside vendors.	6.5	8.0
3006	Delivery Services	Freight, courier services, and postage.	1.6	2.0
3007	Advertising and Promotions	Advertising, promotions and legal notices.	1.3	2.0
3009	Structure/Infrastructure/Land	Structure, infrastructure and land repairs, maintenance, rentals and leases.	0.5	1.0
3010	Equipment/Machinery	Machinery, furniture and equipment purchase, repairs, maintenance, rentals, and leases.	0.0	1.0
3011	Other Services	Other services, including strategic planning services, State Travel Office fees, and printer/copy machine supplies and maintenance.	1.7	2.5
3017	Inter-Agency Information Technology Non-Telecommunications	Admin - Department-wide Enterprise Technology Services - Computer services (EPR).	19.5	25.0

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

Component: Banking and Securities (2808)

Object Class		Servicing Agency	Explanation	FY2018 Actuals	FY2019 Management Plan
3000 Services Detail Totals				923.2	1,000.4
3018	Inter-Agency Information Technology Telecommunications	Admin - Department-wide	Information Technology services for telecommunications (e.g. video conference, internet access, messaging, virtual private network).	34.8	40.0
3019	Inter-Agency Storage	Admin - Department-wide	Storage services, including archiving records and storage supplies.	0.0	1.0
3021	Inter-Agency Mail	Admin - Department-wide	Division of General Services - Pro-rated share of expenses relating to central mailroom support and services.	3.2	5.0
3022	Inter-Agency Human Resources	Admin - Department-wide	Division of Personnel and Labor Relations - Human resource and personnel services.	16.4	20.0
3023	Inter-Agency Building Leases	Commerce - DCCED State Facilities Rent (2472)	State-owned facility space rent: Juneau State Office Building.	19.2	20.0
3023	Inter-Agency Building Leases	Commerce - DCCED State Facilities Rent (2472)	State-owned facility space rent: Atwood Building.	46.3	50.0
3023	Inter-Agency Building Leases	Commerce - DCCED State Facilities Rent (2472)	State-owned facility space rent: Linny Pacillo Parking Garage.	17.3	20.0
3024	Inter-Agency Legal	Law - Department-wide	Legal services.	134.3	161.5
3024	Inter-Agency Legal	Law - Department-wide	Regulations review.	3.1	5.0
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.	0.5	1.0
3027	Inter-Agency Financial	Admin - Department-wide	Division of Finance - Computer services for State accounting (IRIS), payroll (AKPAY), and reporting (ALDER) systems.	4.2	7.0
3028	Inter-Agency Americans with Disabilities Act Compliance	Admin - Department-wide	Americans with Disabilities Act (ADA) enforcement.	0.0	1.0

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

Component: Banking and Securities (2808)

Object Class	Servicing Agency	Explanation	FY2018 Actuals	FY2019 Management Plan	
3000 Services Detail Totals			923.2	1,000.4	
3030	Inter-Agency Hearing/Mediation	Law - Department-wide	Hearing and mediation services.	28.0	30.0
3037	State Equipment Fleet	Trans - Department-wide	State equipment fleet services.	0.1	0.4
3038	Inter-Agency Management/Consulting	Commerce - Administrative Services (1028)	Administrative Services support.	326.9	330.0
3038	Inter-Agency Management/Consulting	Commerce - Commissioner's Office (1027)	Commissioner's Office support.	51.9	52.0

Line Item Detail (1676)

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

Component: Banking and Securities (2808)

Line Number	Line Name		FY2018 Actuals	FY2019 Management Plan
4000	Commodities		53.5	46.4
Object Class	Servicing Agency	Explanation	FY2018 Actuals	FY2019 Management Plan
4000 Commodities Detail Totals			53.5	46.4
4000	Business	Supplies for office, library, training, and instructional needs, including small equipment, tools and subscriptions.	53.5	46.4

Revenue Detail (1681)

Department of Commerce, Community, and Economic Development

Component: Banking and Securities (2808)

Revenue Type (OMB Fund Code) Revenue Source	Component	Comment	FY2018 Actuals	FY2019 Management Plan
5005 GF/Prgm (1005 GF/Prgm)			17,831.2	17,522.1
5101 Program Receipts Public Protection - Licenses and Permits		Program Receipts - Licensing and permitting fees.	3,500.3	3,993.3
5101 Program Receipts Public Protection - Licenses and Permits		Program Receipts - Licensing and permitting fees. These receipts were collected in excess of appropriations and lapse to the General Fund.	14,021.8	13,528.8
5102 Program Receipts Public Protection - Fines and Forfeitures		Program Receipts - Fines/forfeitures.	280.8	0.0
5104 Program Receipts Charges for Services - 3rd Party Collectns		Program Receipts - Third party collections.	28.3	0.0
6004 Gen Fund (1004 Gen Fund)			47.4	0.0
6001 General Fund Pblc Protection - Other Licenses & Permits			47.4	0.0

Inter-Agency Services (1682)

Department of Commerce, Community, and Economic Development

Component: Banking and Securities (2808)

				FY2018 Actuals	FY2019 Management Plan
Component Totals				705.7	768.9
With Department of Administration				78.6	100.0
With Department of Commerce, Community, and Economic Development				461.6	472.0
With Department of Law				165.4	196.5
With Department of Transportation/Public Facilities				0.1	0.4
Object Class	Servicing Agency	Explanation	FY2018 Actuals	FY2019 Management Plan	
3017	Inter-Agency Information Technology Non-Telecommunications	Admin - Department-wide Enterprise Technology Services - Computer services (EPR).	19.5	25.0	
3018	Inter-Agency Information Technology Telecommunications	Admin - Department-wide Information Technology services for telecommunications (e.g. video conference, internet access, messaging, virtual private network).	34.8	40.0	
3019	Inter-Agency Storage	Admin - Department-wide Storage services, including archiving records and storage supplies.	0.0	1.0	
3021	Inter-Agency Mail	Admin - Department-wide Division of General Services - Pro-rated share of expenses relating to central mailroom support and services.	3.2	5.0	
3022	Inter-Agency Human Resources	Admin - Department-wide Division of Personnel and Labor Relations - Human resource and personnel services.	16.4	20.0	
3023	Inter-Agency Building Leases	Commerce - DCCED State Facilities Rent (2472) State-owned facility space rent: Juneau State Office Building.	19.2	20.0	
3023	Inter-Agency Building Leases	Commerce - DCCED State Facilities Rent (2472) State-owned facility space rent: Atwood Building.	46.3	50.0	
3023	Inter-Agency Building Leases	Commerce - DCCED State Facilities Rent (2472) State-owned facility space rent: Linny Pacillo Parking Garage.	17.3	20.0	
3024	Inter-Agency Legal	Law - Department-wide Legal services.	134.3	161.5	
3024	Inter-Agency Legal	Law - Department-wide Regulations review.	3.1	5.0	

Inter-Agency Services (1682)

Department of Commerce, Community, and Economic Development

Component: Banking and Securities (2808)

Object Class	Servicing Agency	Explanation	FY2018 Actuals	FY2019 Management Plan
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.	0.5	1.0
3027 Inter-Agency Financial	Admin - Department-wide	Division of Finance - Computer services for State accounting (IRIS), payroll (AKPAY), and reporting (ALDER) systems.	4.2	7.0
3028 Inter-Agency Americans with Disabilities Act Compliance	Admin - Department-wide	Americans with Disabilities Act (ADA) enforcement.	0.0	1.0
3030 Inter-Agency Hearing/Mediation	Law - Department-wide	Hearing and mediation services.	28.0	30.0
3037 State Equipment Fleet	Trans - Department-wide	State equipment fleet services.	0.1	0.4
3038 Inter-Agency Management/Consulting	Commerce - Administrative Services (1028)	Administrative Services support.	326.9	330.0
3038 Inter-Agency Management/Consulting	Commerce - Commissioner's Office (1027)	Commissioner's Office support.	51.9	52.0