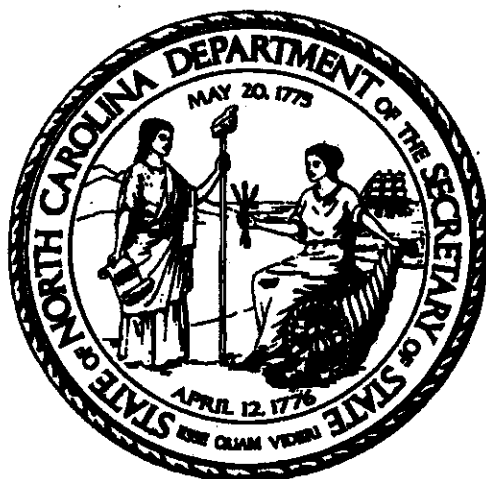


DEPARTMENT OF THE SECRETARY OF STATE

Elaine F. Marshall
Secretary of State



LEGISLATIVE OVERVIEW

For

JOINT APPROPRIATIONS SUBCOMMITTEE ON GENERAL GOVERNMENT

March 10, 2011

**NC DEPARTMENT OF THE SECRETARY OF STATE
LEGISLATIVE OVERVIEW**

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NORTH CAROLINA DEPARTMENT OF THE SECRETARY OF STATE

Primary Statutory Authority

N. C. State Constitution, Article III, Section 7(1); G.S. 143 A-11; G.S. 147-4; G.S. 147-34-54.10

Mission Statement

This agency's mission is to support economic growth, promote the public trust and fulfill statutory mandates by providing initial infrastructure for corporate organizations and transactions, protecting citizens and businesses from misrepresentation and fraud by providing public access to accurate and timely information, through law enforcement and through the issuance of professional credentials. The department fosters a well informed citizenry, business community and government, by promoting a responsive, transparent, competitive, and ethical business climate. To serve and protect citizens, the business community, and governmental agencies by facilitating business activities, by providing accurate and timely information, and by preserving documents and records.

Goal(s) and Objectives

Facilitate economic growth and investment in North Carolina by maintaining a state of the art system of business document filings to provide continuous real-time online access to the public.

Protect the integrity of commercial and personal documents used by the legal, real estate, business, and financial communities by ensuring the reliability of the signatures on those transaction documents to protect North Carolina's citizens and businesses against fraud.

Build public confidence in state government and its policy decisions through the regulation of lobbying and related activities and by bringing increased disclosure and transparency to those activities.

Protect the investing and charitable giving public, as well as innovators, intellectual property owners and others, from misrepresentations and fraud through enforcement of the state's civil and criminal laws, ensuring citizens have the best possible information when making financial decisions.

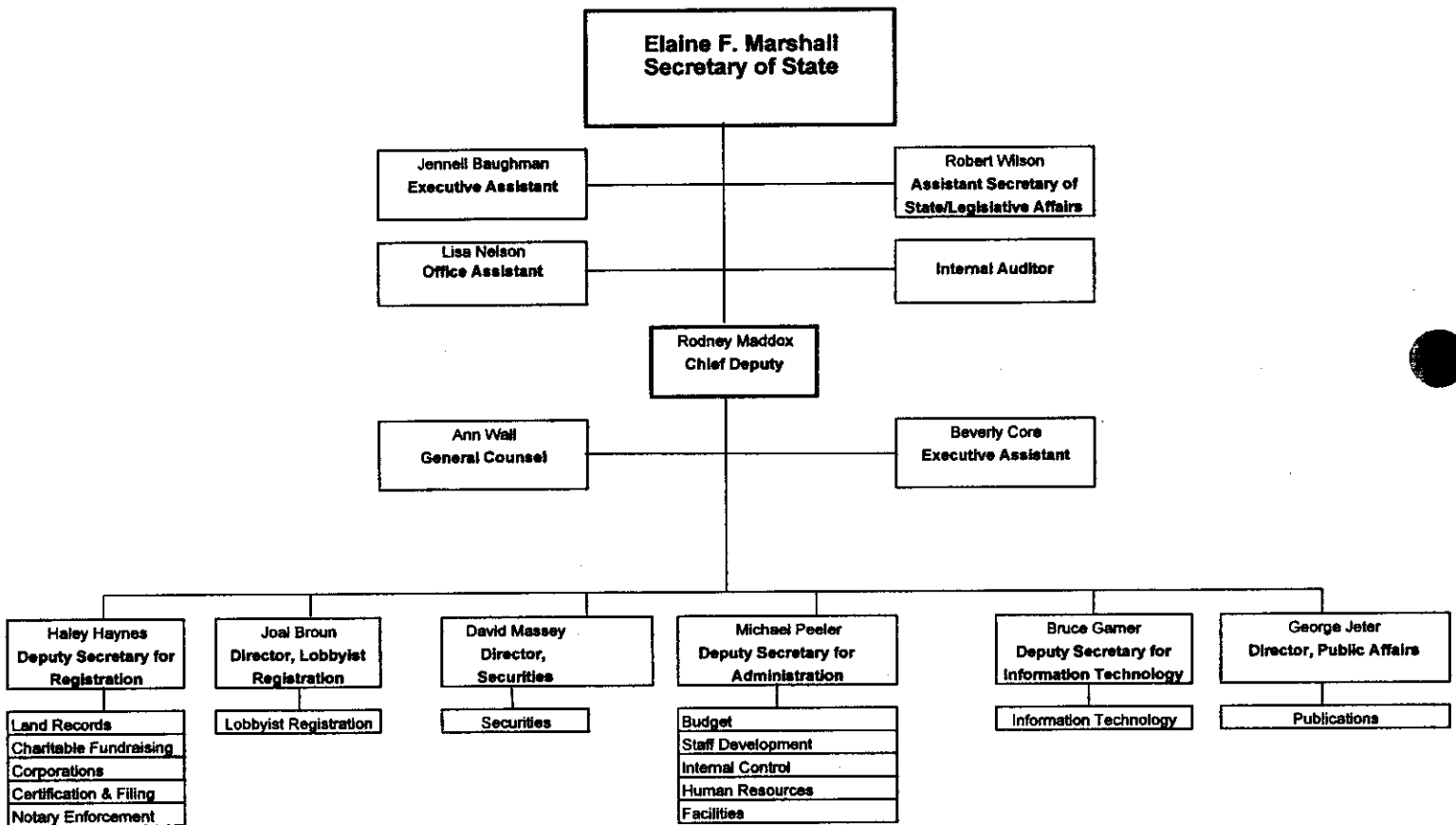
Advance the delivery of e-government services to the public to maximize efficiency and accessibility of services while reducing costs and enabling North Carolina businesses to become more competitive.

Bolster North Carolina's image in the international community by assisting other North Carolina governmental agencies, businesses, and institutions in their efforts to engage in international educational, cultural, and business development activities to improve the quality of life for North Carolina citizens.

Work closely with customers, understand and respond to their needs in a courteous and professional manner, and exceed their expectations for service, incorporating quality, responsiveness and cost efficiency.

NC Department of the Secretary of State

Organizational Chart

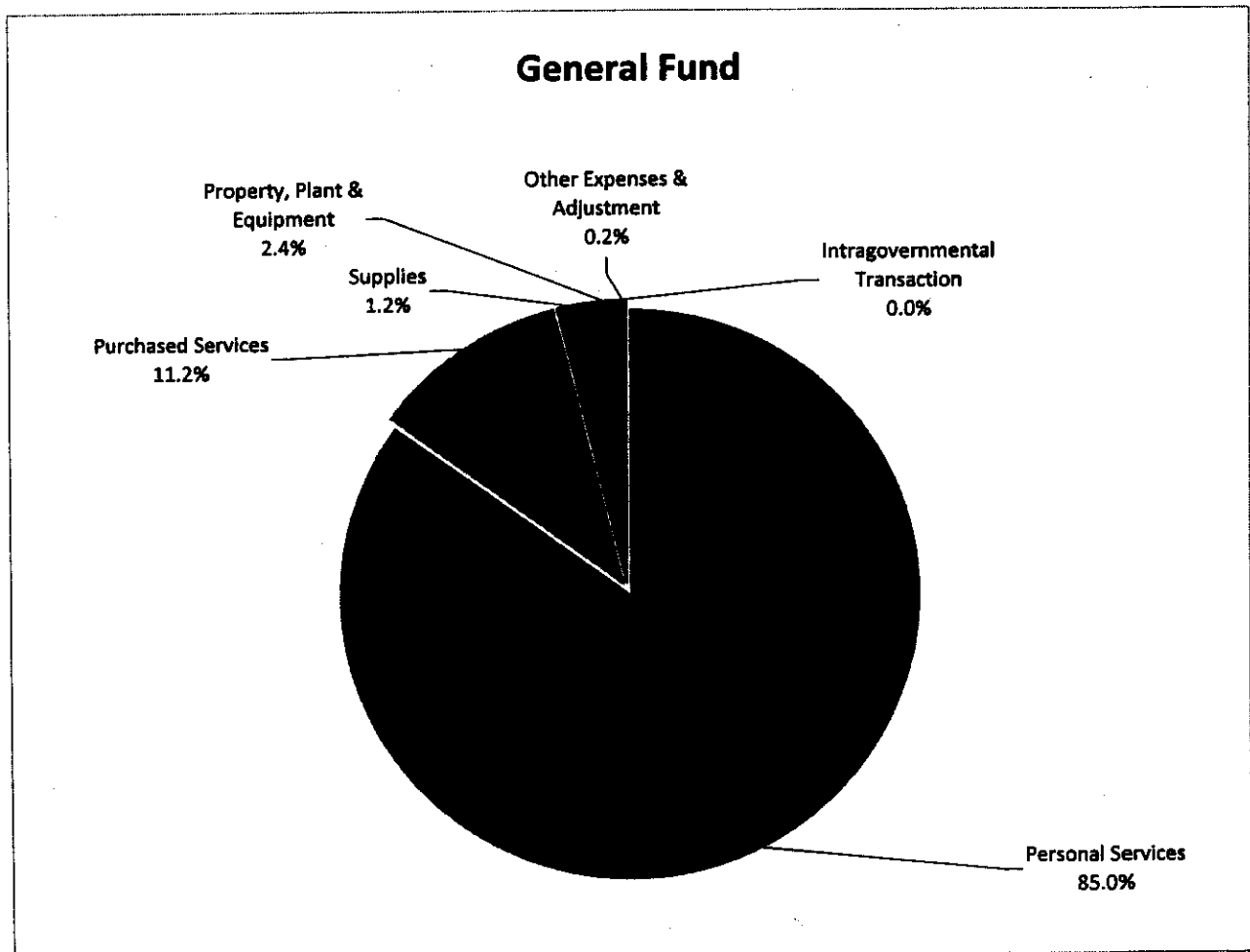


Secretary of State

CONTINUATION BUDGET

Fiscal Data

	<u>2009-2010 Actual</u>	<u>2010-2011 Certified</u>	<u>2010-2011 Authorized</u>	<u>2011-2012 Recommended</u>	<u>2012-2013 Recommended</u>
General Fund Budget Code 13200					
Personal Services	10,038,624	10,145,405	10,145,405	10,145,405	10,145,405
Purchased Services	1,386,497	1,340,881	1,372,140	1,372,140	1,372,140
Supplies	89,801	141,335	107,850	107,850	107,850
Property, Plant & Equipment	289,729	286,808	282,749	282,749	282,749
Other Expenses & Adjustment	54,904	26,980	33,265	33,265	33,265
Intragovernmental Transaction	245,712	0	0	0	0
Total Requirements	12,105,267	11,941,409	11,941,409	11,941,409	11,941,409
Receipts	1,204,001	864,437	864,437	864,437	864,437
General Fund Appropriation	10,901,266	11,076,972	11,076,972	11,076,972	11,076,972
Less: Recommended Adjustments				(541,751)	(604,102)
Adjusted General Fund Appropriation				10,535,221	10,472,870



NORTH CAROLINA DEPARTMENT OF THE SECRETARY OF STATE

Brief Description of Major Programs by Division

General Administration – 1110

The purpose of General Administration is to provide executive management and administrative management for the department that enables the Secretary of State to implement statutory responsibilities and establish and achieve strategic goals and excellence in delivery of the services that the department offers. In addition to the Office of the Secretary and overall department management, General Administration includes information technology functions, and support for all IT infrastructure, applications, and web services. Also, departmental auditing, fiscal management, accounting, budgeting, purchasing, payroll, legislative liaison, facilities services, employee safety, EEO, training and HR administration functions are included in this category.

Publications – 1120

The Publications Division assists state legislators, state agencies, schools, and the general public to develop a better knowledge and understanding of state government through the preparation and distribution of books such as the North Carolina Manual and the Directory of State and County Officials of North Carolina and other media releases and informational efforts. The division also serves state legislators, state agencies, schools, and the general public as custodian of public documents and records filed with the Secretary of State in accordance with General Statutes and by making access to these records available to state legislators, state agencies, schools, and the general public.

Lobbyist Registration/Compliance - 1150

The purpose of the Lobbyist Registration/Compliance Division is to provide transparency for the public into the activities of those seeking to influence governmental policy decision making through the expenditure of money. This function enhances public confidence in state government as well as the regulated community itself. This function also provides reliable data to the media and public policy groups that they consider crucial to their missions. This is done by administering the laws and rules related to registering, expenditure reporting, investigating and imposing penalty sanctions on lobbyists, lobbyist principals, solicitors, and liaisons, and others who are required to report and to disclose their lobbying activities in the legislative and executive branches of state government.

Corporations – 1210

The purpose of this fund is to serve and protect the general public, business owners, and legal and international communities by providing expert technical assistance and ensuring that documents and applications are examined, filed, registered, or served according to statutory requirements, maintained according to set standards, and available as public record. A concurrent purpose is to ensure the proper cash

management functions within the division are completed accurately and in a timely fashion on a daily basis.

Certification and Filing - 1220

The Certification and Filing Division provides the business, financial, governmental, and legal community with timely and efficient service in the certification and registration of documents relating to commercial lending under Article 9 of the Uniform Commercial Code, the Notary Public Act and Land Records. The division provides a searchable public database of filings and provides technical assistance in order to accelerate and increase access to financial capital formation data and reduce the transactional risk to both businesses and individuals.

Securities - 1230

The Securities Division protects the investing public and capital markets by preventing fraud in the sale of securities. The division reviews applications for registration of securities, regulates individuals licensed as security dealers, securities sales representatives, investment advisers, and investment advisor representatives through investigation and prosecution of violations; investigates and resolves violations of securities laws by negotiation, administrative hearings, or criminal prosecution; and provides investor education materials and programs.

Charitable Fundraising Licensing - 1600

The Charitable Fundraising Licensing Division conducts the registration of charitable organizations and paid fundraising professionals, including solicitors and fundraising consultants, as required by NCGS 131F, the Charitable Solicitations Act. The CSL Division also responds to and investigates inquiries and complaints from the public, the media, and other government agencies relating to potential violations of the Charitable Solicitations Act. This Division works to protect the charitable gifts of North Carolina citizens and to ensure that charitable donations are made to licensed or exempt organizations through efforts to educate the public and disclose information on file.

North Carolina Department of the Secretary of State

13200 Budget Summary

<u>Fund</u>	<u>Division Name</u>	<u>2011-2012 Recommended Appropriation</u>	<u>2012-2013 Recommended Appropriation</u>	<u>Number of Positions</u>
1110	General Administration	3,012,469	3,012,469	34.70
1120	Publications Division	384,028	384,028	5.00
1150	Lobbyist Registration	556,874	556,874	9.00
1210	Corporations Division	2,968,559	2,968,559	58.87
1220	Certification & Filing	2,412,797	2,412,797	41.00
1230	Securities Division	1,742,245	1,742,245	22.75
1600	Charitable Fund Raising	0	0	9.43
	Adjustments	(541,751)	(604,102)	(4.00)
	Recommended Appropriation	10,535,221	10,472,870	176.75

* This program is 100% receipts supported - No appropriations

Special Fund Budget Codes**

23200 Budget Summary

<u>Fund</u>	<u>Division Name</u>	<u>2011-2012 Recommended</u>	<u>2012-2013 Recommended</u>	<u>Number of Positions</u>
2120	Electronic Transactions	274,715	274,715	0.00
2130	Health Care Registry	17,998	17,998	0.00
2150	Auction Rate Securities	2,156,752	2,156,752	19.00

63201 Budget Summary

<u>Fund</u>	<u>Division Name</u>	<u>2011-2012 Recommended</u>	<u>2012-2013 Recommended</u>	<u>Number of Positions</u>
6102	Anti-Fraud	184,420	184,420	2.00

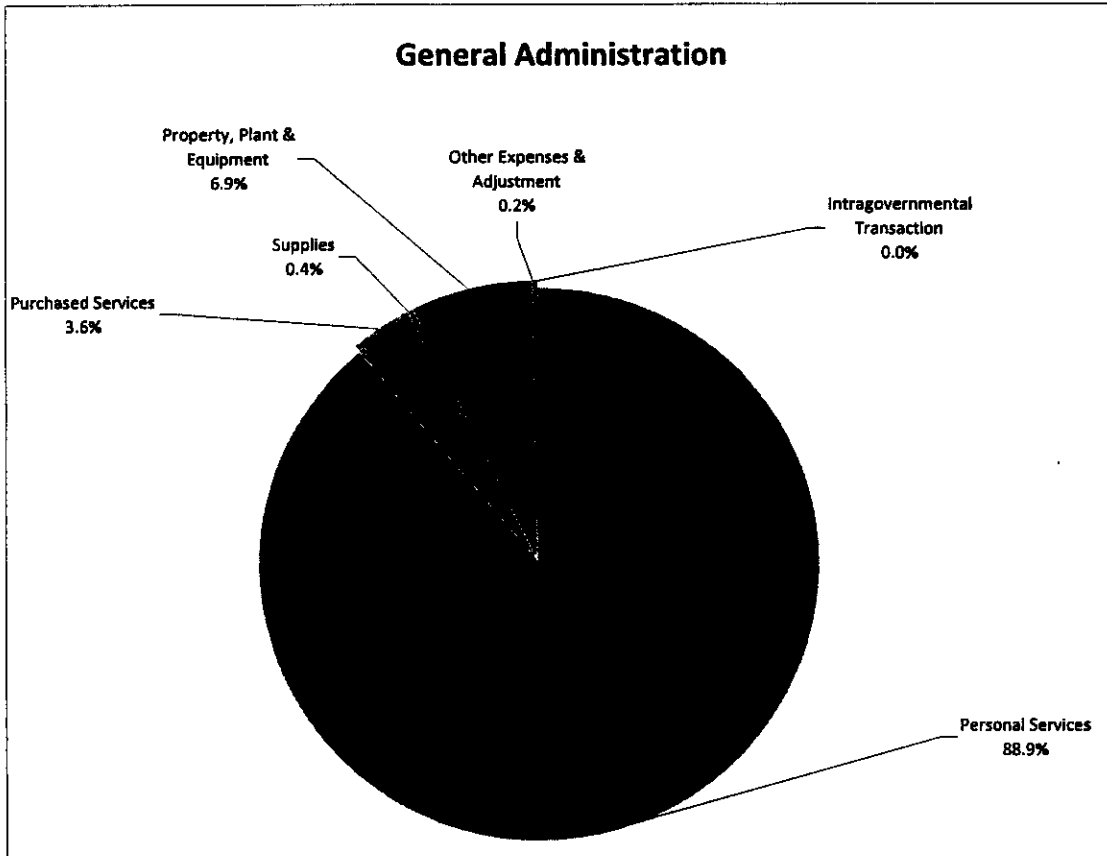
** All Special Fund programs are 100% receipts supported - No appropriations

Secretary of State

CONTINUATION BUDGET

Fiscal Data

	<u>2009-2010 Actual</u>	<u>2010-2011 Certified</u>	<u>2010-2011 Authorized</u>	<u>2011-2012 Recommended</u>	<u>2012-2013 Recommended</u>
General Fund					
Budget Code 13200					
Fund Code 1110					
Division: General Administration					
Personal Services	2,814,775	2,753,434	2,770,766	2,770,766	2,770,766
Purchased Services	82,751	111,064	111,649	111,649	111,649
Supplies	30,652	11,807	12,372	12,372	12,372
Property, Plant & Equipment	154,872	214,852	213,477	213,477	213,477
Other Expenses & Adjustment	5,495	4,980	5,205	5,205	5,205
Intragovernmental Transaction	72,629	0	0	0	0
Total Requirements	3,161,174	3,096,137	3,113,469	3,113,469	3,113,469
Receipts	(239)	101,000	101,000	101,000	101,000
General Fund Appropriation	3,161,413	2,995,137	3,012,469	3,012,469	3,012,469
Less: Recommended Adjustments					
Adjusted General Fund Appropriation				3,012,469	3,012,469



The purpose of General Administration is to provide executive management and administrative management for the department that enables the Secretary of State to implement statutory responsibilities and establish and achieve strategic goals and excellence in delivery of the services that the department offers. In addition to the Office of the Secretary and overall department management, General Administration includes information technology functions, and support for all IT infrastructure, applications, and web services. Also, departmental auditing, fiscal management, accounting, budgeting, purchasing, payroll, legislative liaison, facilities services, employee safety, EEO, training and HR administration functions are included in this category.

Major Responsibilities

Executive Management. Provide executive leadership to staff, develop and communicate strategic vision to stakeholders, and provide agency level management in support of all functions and responsibilities of the department, ensuring effective and responsive services are provided to customers

Legal. Provide legal representation and litigation functions for the department.

Human Resource Management. Oversee the recruitment and management of personnel; develop and implement HR strategy; coordinate and execute staff acquisition, organization and position management, compensation management, benefits management, employee development, and performance management; and regulate employee relations, separation management, and health and safety activities.

Fiscal Management. Manage and analyze financial information; account for and forecast the use of department resources; conduct general ledger accounting; maintain accounts payable, collections and accounts receivable, payroll services, cash management, program payments, and contracts and grants management; provide asset and liability management; and execute financial reporting.

Budget and Analysis. Conduct resource planning and allocation activities; develop and execute the budget; and analyze issues impacting the department's budgets and management.

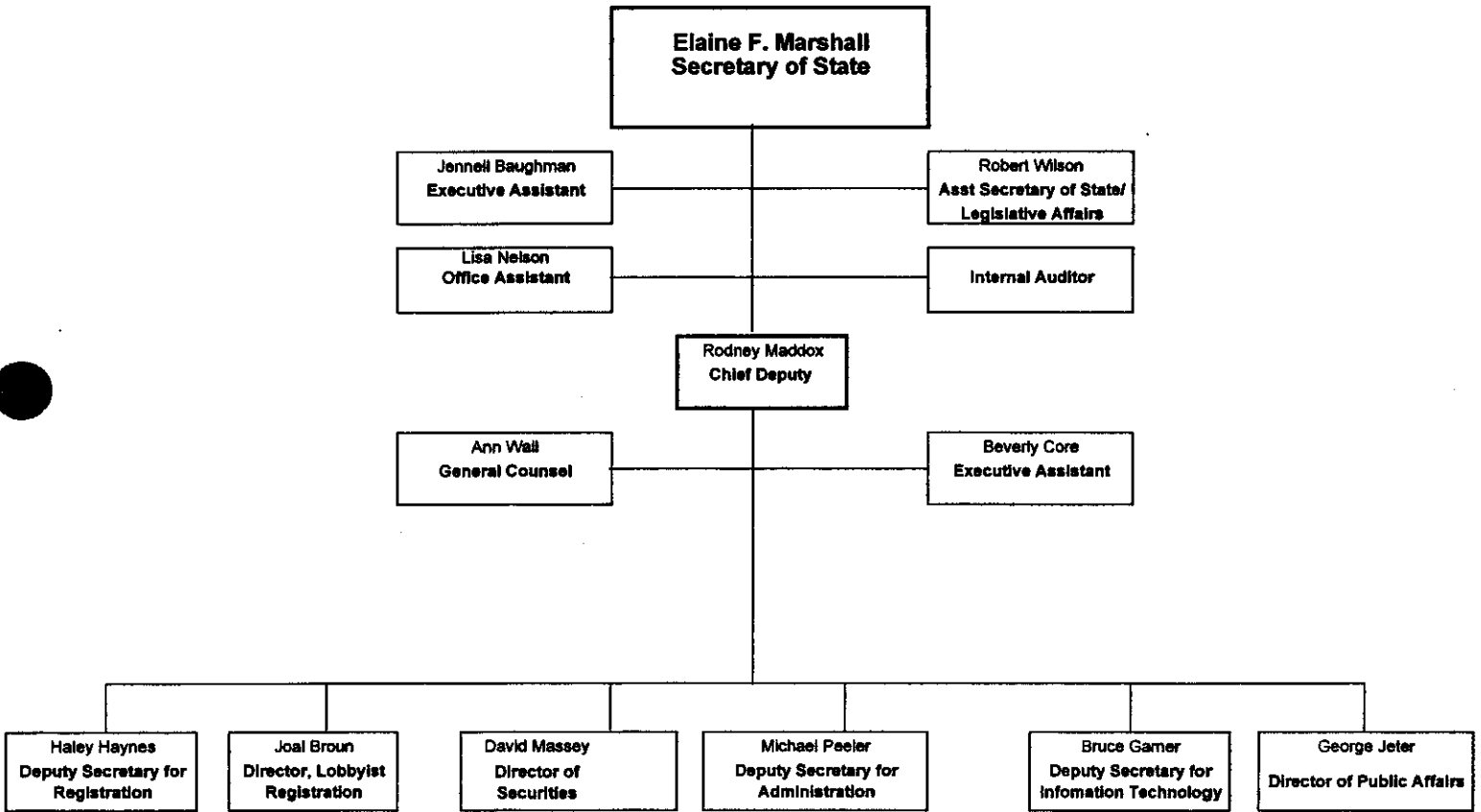
Purchasing. Coordinate and execute the acquisition of equipment, materials, services and supplies for the department.

Internal Auditing. Provide independent assessments to department management; ensure operations and programs comply with applicable laws and regulations; prevent inefficiency, fraud, and abuse; analyze exposure to risk and determine appropriate countermeasures; and ensure accounting, administrative, and other information systems have the proper controls.

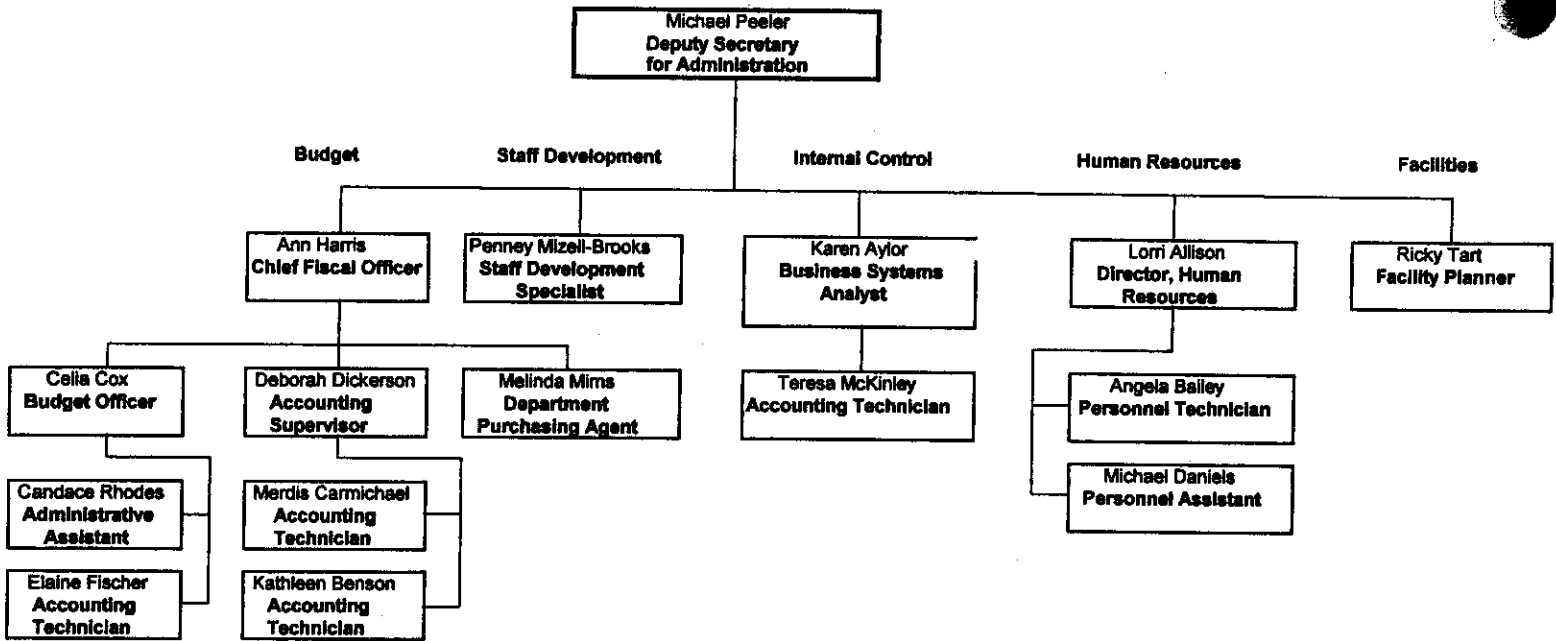
Information Technology. Coordinate information and technology resources and systems required to support departmental programs and services, including computer forensics, e-commerce, systems development, systems maintenance, IT infrastructure maintenance, IT security, and information management services to enhance customer service and quality and enhance productivity of departmental operations.

NC Department of the Secretary of State

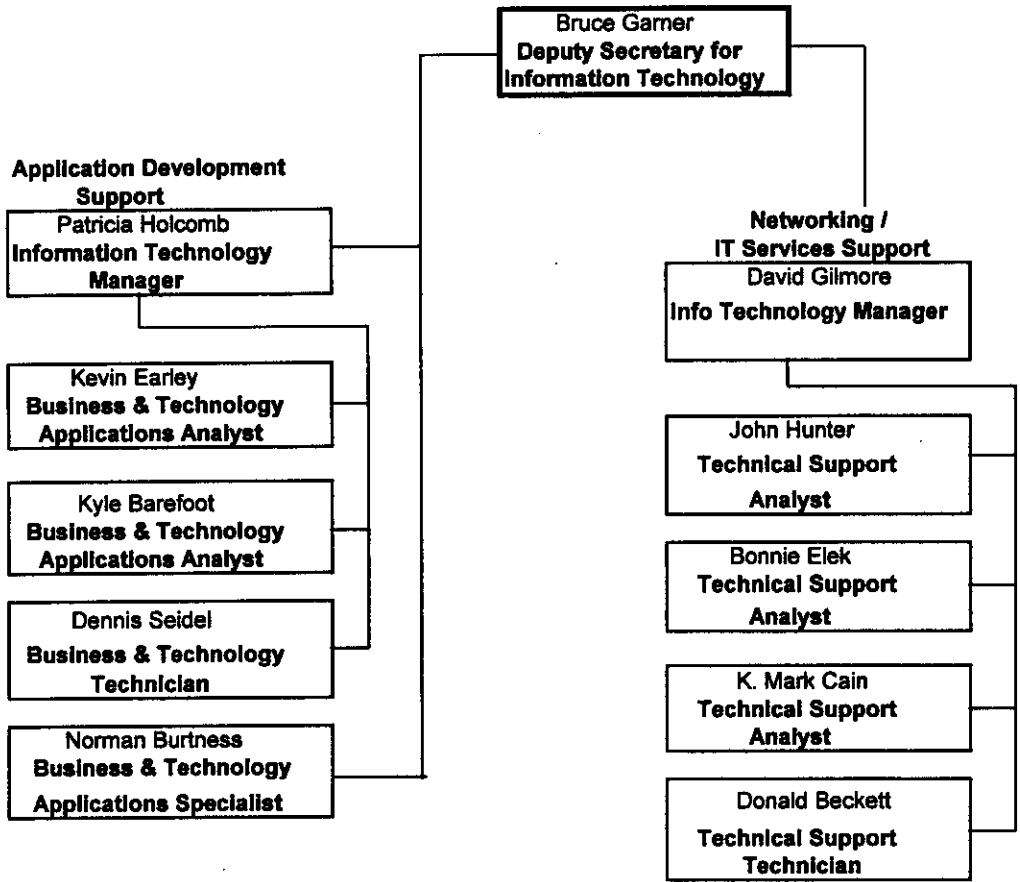
Organizational Chart



Administrative Services Division



Information Technology Division

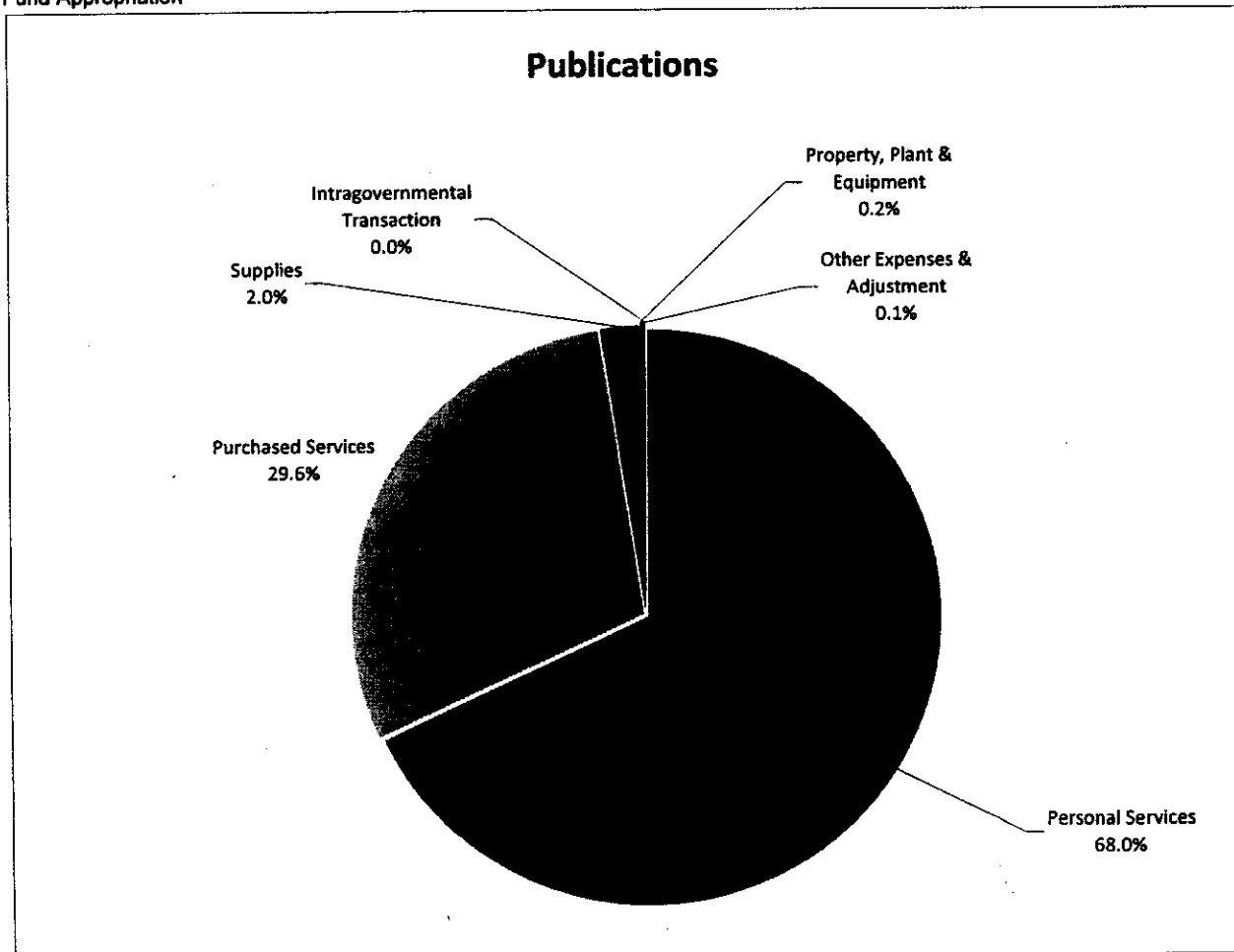


Secretary of State

CONTINUATION BUDGET

Fiscal Data

	<u>2009-2010 Actual</u>	<u>2010-2011 Certified</u>	<u>2010-2011 Authorized</u>	<u>2011-2012 Recommended</u>	<u>2012-2013 Recommended</u>
General Fund					
Budget Code 13200					
Fund Code 1120					
Division: Publications					
Personal Services	328,396	276,070	276,070	276,070	276,070
Purchased Services	64,288	119,990	119,990	119,990	119,990
Supplies	10,189	8,268	8,268	8,268	8,268
Property, Plant & Equipment	40,700	900	900	900	900
Other Expenses & Adjustment	1,799	500	500	500	500
Intragovernmental Transaction	26,546	0	0	0	0
Total Requirements	471,918	405,728	405,728	405,728	405,728
Receipts	14,378	21,700	21,700	21,700	21,700
General Fund Appropriation	457,540	384,028	384,028	384,028	384,028
Less: Recommended Adjustments					
Adjusted General Fund Appropriation				384,028	384,028



Fund Code - 13200 1120 Publications

The Publications Division assists state legislators, state agencies, schools, the media and the general public to develop a better knowledge and understanding of state government through the preparation and distribution of books such as the North Carolina Manual and the Directory of State and County Officials of North Carolina as well as other publications including publishing the North Carolina Constitution. The division takes the Agency's lead in producing other media releases and public informational efforts. The division also serves state legislators, state agencies, schools, and the general public as custodian of public documents and records filed with the Secretary of State in accordance with General Statutes and by making access to these records available to state legislators, state agencies, schools, and the general public.

Major Responsibilities**Statutory Authority****FY 2009-2010 Filings**

Division staff receive supplies, equipment, and mail delivered to the Department and distributes it to the appropriate destinations within the Department.

The division plays a unique role in publishing and publicizing proposed state constitutional amendments. Listed below are some key details of the division's work:

G.S. 147-54
G.S. 147-54.1
G.S. 8-48

Production of Publications

- *North Carolina Manual*
- *Directory of State and County Officials of North Carolina*
- *Clarks Calendar*

Distribution of Publications

G.S. 147-54
G.S. 147-54.1
G.S. 147-45

- *North Carolina Manual*: General Statute 147-54 establishes that the Secretary of State shall print biennially 2,350 copies of the Manual for distribution to specific state agencies, individuals, institutions and others. After all books have been distributed to the mandated entities, the remaining books may be sold.

- *Directory of State and County Officials of North Carolina*: General Statute 147-54 establishes that the Publications Division shall publish and distribute the Directory; however, it does not establish a quantity.

- *NC Session Laws and House/Senate Journals*: General Statute 147-45 establishes that the division shall provide copies of the Session Laws and the Senate/House Journals to federal, State, and local government officials, departments and agencies, and to educational institutions of instruction...

Publication Division Filings

Executive Orders – Governor must submit Executive Orders to the Secretary of State, who must compile, index, and publish the Executive Orders.

G.S. 147-16.1

47 filings

Appointments to Public Offices – Notices of appointments to public office are to be filed with the Secretary of State.

G.S. 143-47.7

173 filings

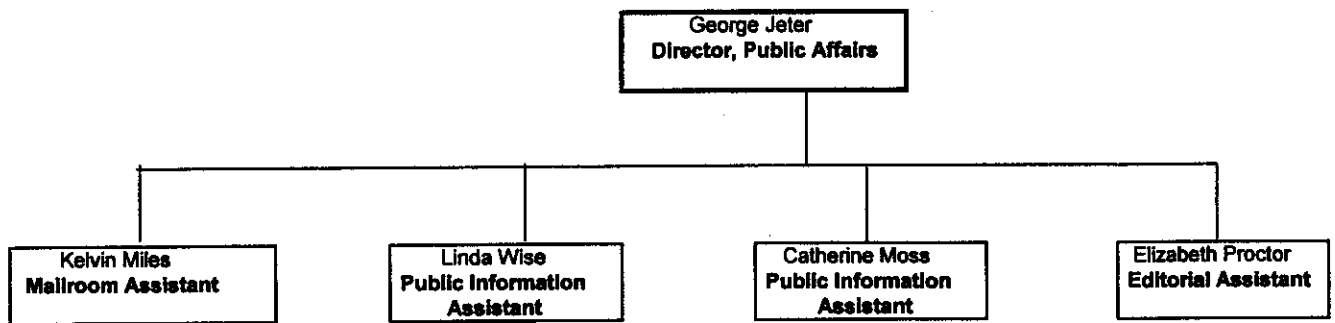
Meeting Notices – Schedules of regular meetings of public bodies that are part of state government are to be filed with the Secretary of State.

G.S. 143-318.12

429 filings

State Property Deeds – Department of Administration must file with the Secretary of State the originals of all deeds and other conveyances of real property to the State or to any State agency.	G.S. 143-341	94 filings
Occupational Licensing Boards Annual Reports - Occupational licensing boards are to file annual reports with the Secretary of State.	G.S. 93-B-2	65 filings
Traffic Regulations – Traffic regulations for community colleges and UNC system are filed with the Secretary of State.	G.S. 115-D-21 & 116-44.4	7 filings
Session Laws and Resolutions – Ratified laws and joint resolutions by the General Assembly are deposited with the Secretary of State.	G.S. 120-33	330 SL filings 29 R filings
Election Abstracts – Abstracts of election returns filed with the Secretary of State. This includes all federal, state, district, and local elections by precincts.	G.S. 163 -182.6	
Public Cemeteries – Lists of public cemeteries are to be filed with the Secretary of State by county commissioners.	G.S. 65-1	
Miscellaneous Regulations –Regulations by High Rock Lake Marine Commission and Lake Wylie Marine Commission are to be filed with the Secretary of State.	G.S. 77-57 & 77-37	
School Mergers –Merger of school administrative districts are to be filed with the Secretary of State.	G.S. 115-C-67	
Proclamations –Proclamations of state disasters are filed by the Governor with the Secretary of State.	G.S. 166 A-6	5 state of emergency 3 state disasters

Publications

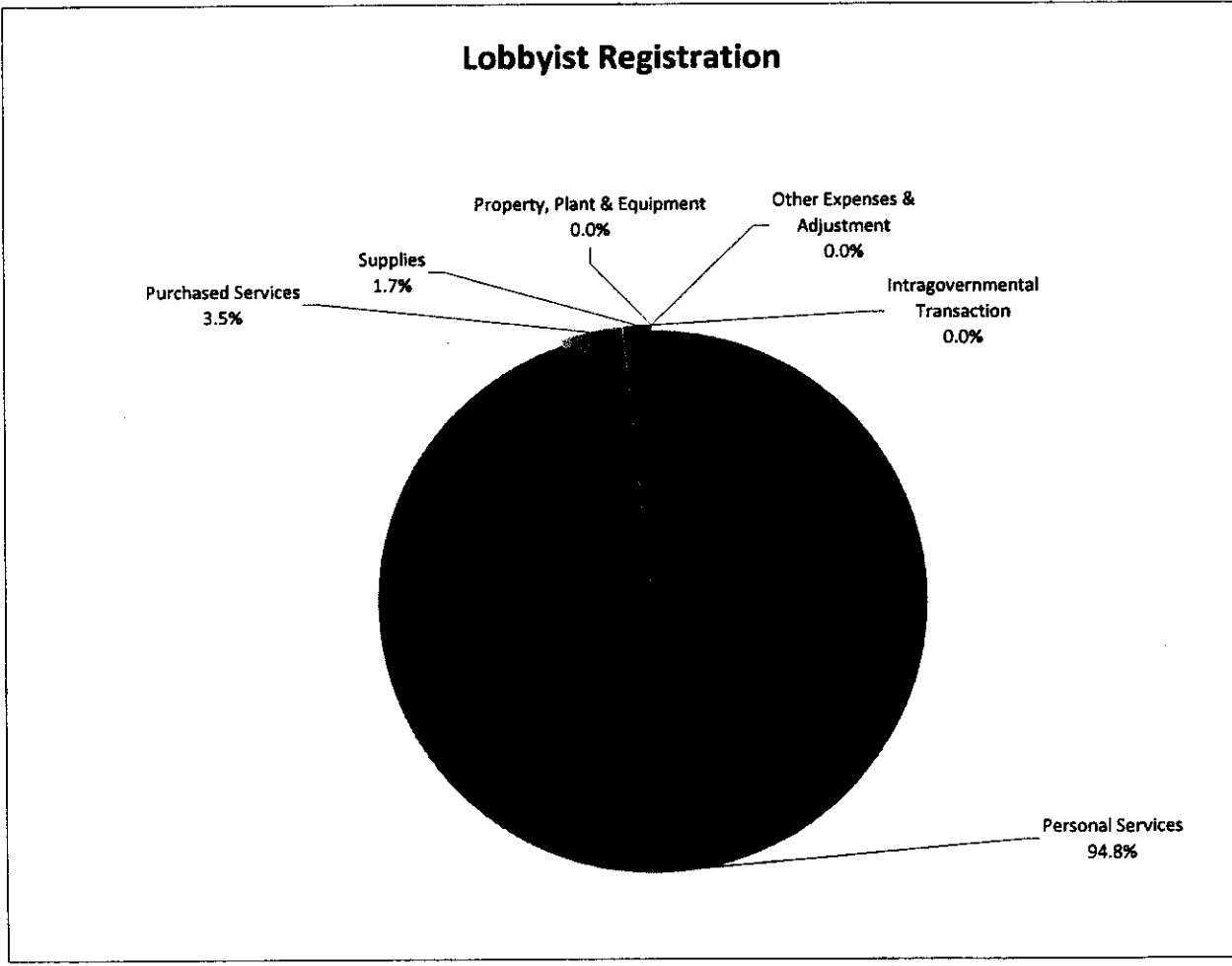


Secretary of State

CONTINUATION BUDGET

Fiscal Data

	<u>2009-2010 Actual</u>	<u>2010-2011 Certified</u>	<u>2010-2011 Authorized</u>	<u>2011-2012 Recommended</u>	<u>2012-2013 Recommended</u>
General Fund					
Budget Code 13200					
Fund Code 1150					
Division: Lobbyist Registration					
Personal Services	491,640	518,511	528,542	528,542	528,542
Purchased Services	12,691	19,132	16,772	16,772	16,772
Supplies	3,682	9,200	9,200	9,200	9,200
Property, Plant & Equipment	3,117	0	350	350	350
Other Expenses & Adjustment	2,178	0	2,010	2,010	2,010
Intragovernmental Transaction	44,600	0	0	0	0
Total Requirements	557,908	546,843	556,874	556,874	556,874
Receipts	54,840	0	0	0	0
General Fund Appropriation	503,068	546,843	556,874	556,874	556,874
Less: Recommended Adjustments					
Adjusted General Fund Appropriation				556,874	556,874

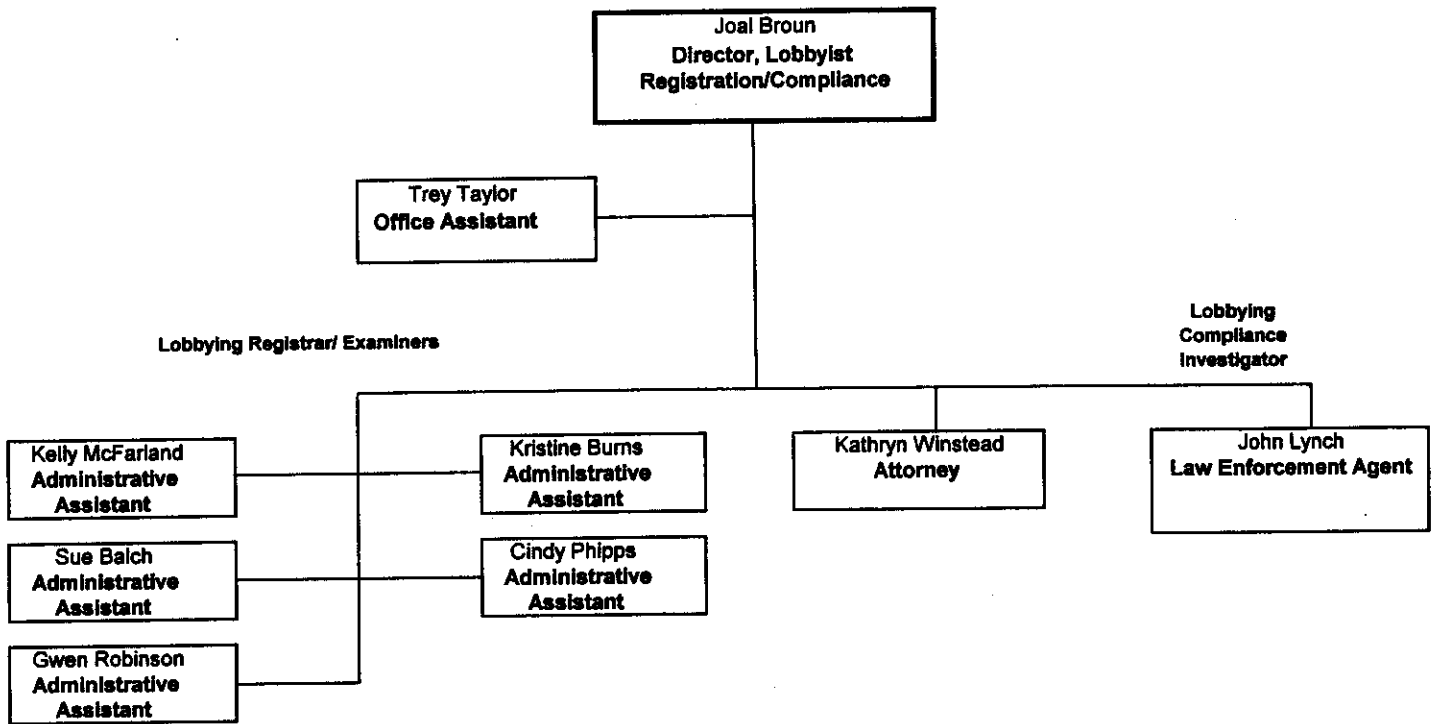


Fund Code - 13200 1150 Lobbyist Registration/Compliance

The purpose of the Lobbyist Registration/Compliance Division is to provide transparency for the public into the activities of those seeking to influence governmental policy decision making through the expenditure of money. This function enhances public confidence in state government as well as the regulated community itself. This function also provides reliable data to the media and public policy groups that they consider crucial to their missions. This is done by administering the laws and rules related to registering, expenditure reporting, investigating and imposing penalty sanctions on lobbyists, lobbyist principals, solicitors, and liaisons, and others who are required to report and to disclose their lobbying activities in the legislative and executive branches of state government.

<u>Major Responsibilities</u>	<u>Statutory Authority</u>	<u>FY 2009-2010 Filings</u>
<p>Lobbyist, Principal, Liaison, Solicitor Registration, and Other Registration. Receive electronically and manually filed registrations and related fees from lobbyists, principals, solicitors, liaisons, and others required to report; and make the registration and reporting information accessible to the public and designated individuals, enabling them to identify those authorized to lobby and to affect public policy decisions for compensation.</p>	GS 120C	15,103
<p>Reporting and Review. Conduct Tier 1 and Tier 2 review phases of required expense reports in paper and electronic form which are filed by lobbyists, principals, solicitors, liaisons and others required to report to determine if the required information is provided and to make accurate reports available to the public.</p>	GS 120C	22,800
<p>Reporting and Review. Conduct Tier 3 and Tier 4 review phases of required expense reports filed by lobbyists, principals, liaisons, and others required to report in order to compare and analyze filings to identify discrepancies between filers' filings and to identify the need for further investigative or enforcement action, which acts as a deterrent to concealment of lobbying activity.</p>	GS 120C	970
<p>Investigation. Investigate irregularities found during divisional reviews of filings and complaints of violations from outside the department by reviewing files, interviewing witnesses, reviewing documents, and analyzing evidence to identify alleged violations for enforcement sanction activity. Beneficiaries of the activity include the public, appointing entities, law enforcement agencies, designated individuals, and competitors of those engaged in illegal lobbying activities.</p>	GS 120C	19 8 of 19 are complaints
<p>Enforcement. Evaluate alleged violations and take and/or impose enforcement sanctions based upon the nature and gravity of the offense. Utilizing the investigative reports and legal memoranda, either implement the sanction or refer the case to another agency for action up to and including criminal prosecution. This will benefit the designated individuals, the public, and the media by encouraging greater disclosure compliance and greater confidence in impartial public policy development.</p>	GS 120C	During this period, \$37,375 in fines and \$250 in late fees were collected.

Lobbyist Registration/Compliance Division

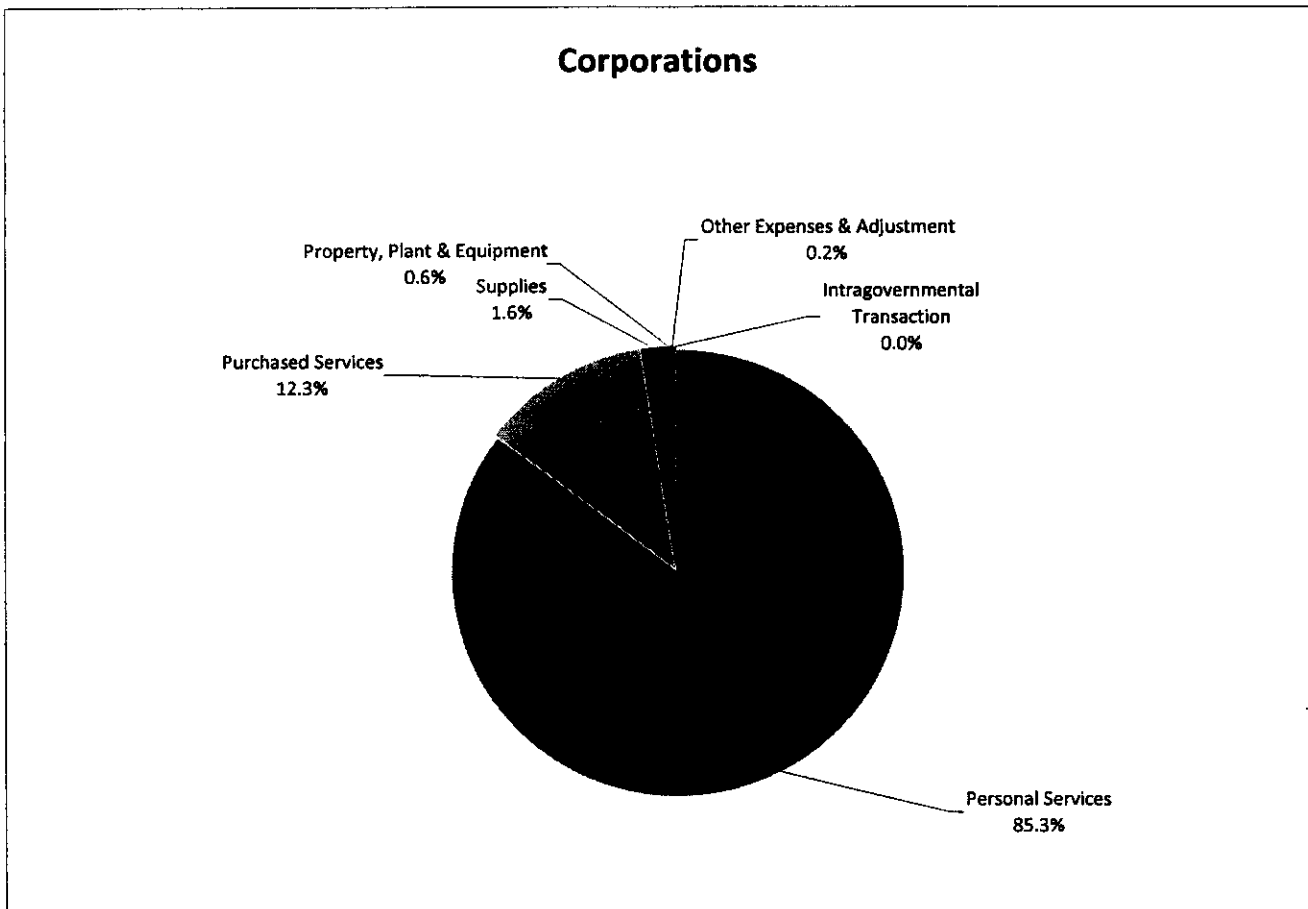


Secretary of State

CONTINUATION BUDGET

Fiscal Data

	<u>2009-2010 Actual</u>	<u>2010-2011 Certified</u>	<u>2010-2011 Authorized</u>	<u>2011-2012 Recommended</u>	<u>2012-2013 Recommended</u>
General Fund					
Budget Code 13200					
Fund Code 1210					
Division: Corporations					
Personal Services	2,136,657	2,270,692	2,579,998	2,579,998	2,579,998
Purchased Services	401,542	326,725	337,825	337,825	337,825
Supplies	16,623	42,131	31,031	31,031	31,031
Property, Plant & Equipment	20,707	17,195	17,195	17,195	17,195
Other Expenses & Adjustment	3,666	4,610	4,610	4,610	4,610
Intragovernmental Transaction	37,337	0	0	0	0
Total Requirements	2,616,532	2,661,353	2,970,659	2,970,659	2,970,659
Receipts	953	2,100	2,100	2,100	2,100
General Fund Appropriation	2,615,579	2,659,253	2,968,559	2,968,559	2,968,559
Less: Recommended Adjustments					
Adjusted General Fund Appropriation				2,968,559	2,968,559

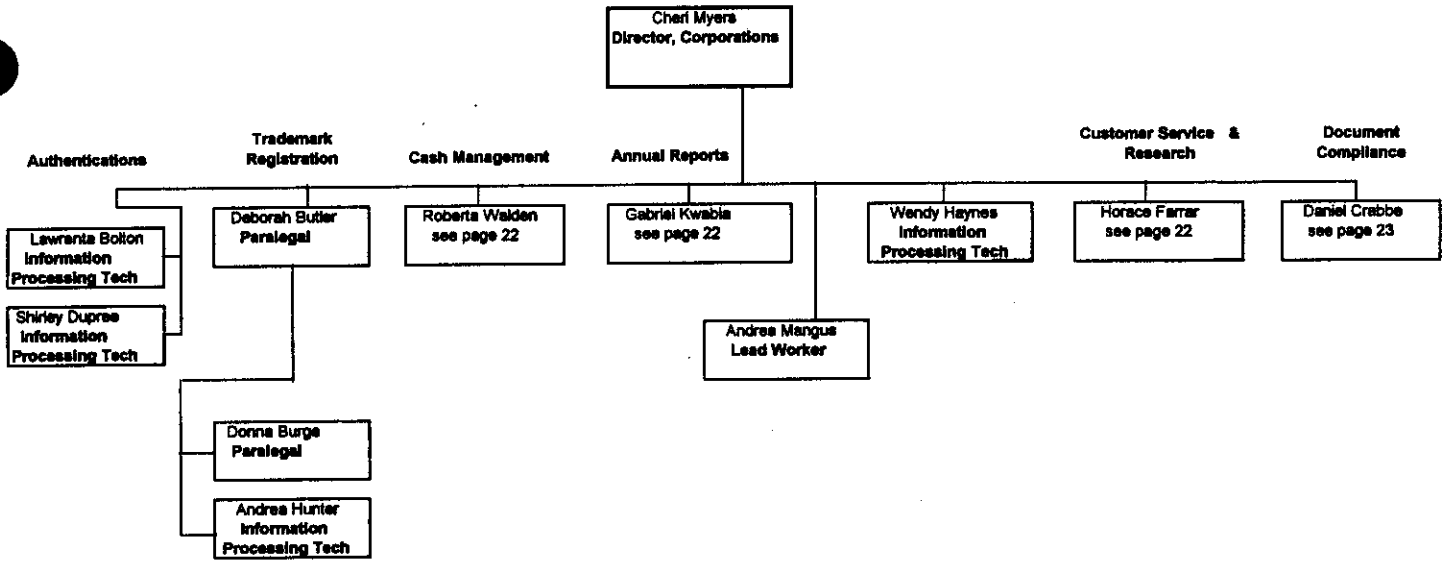


Fund Code: 13200 1210 Corporations Division

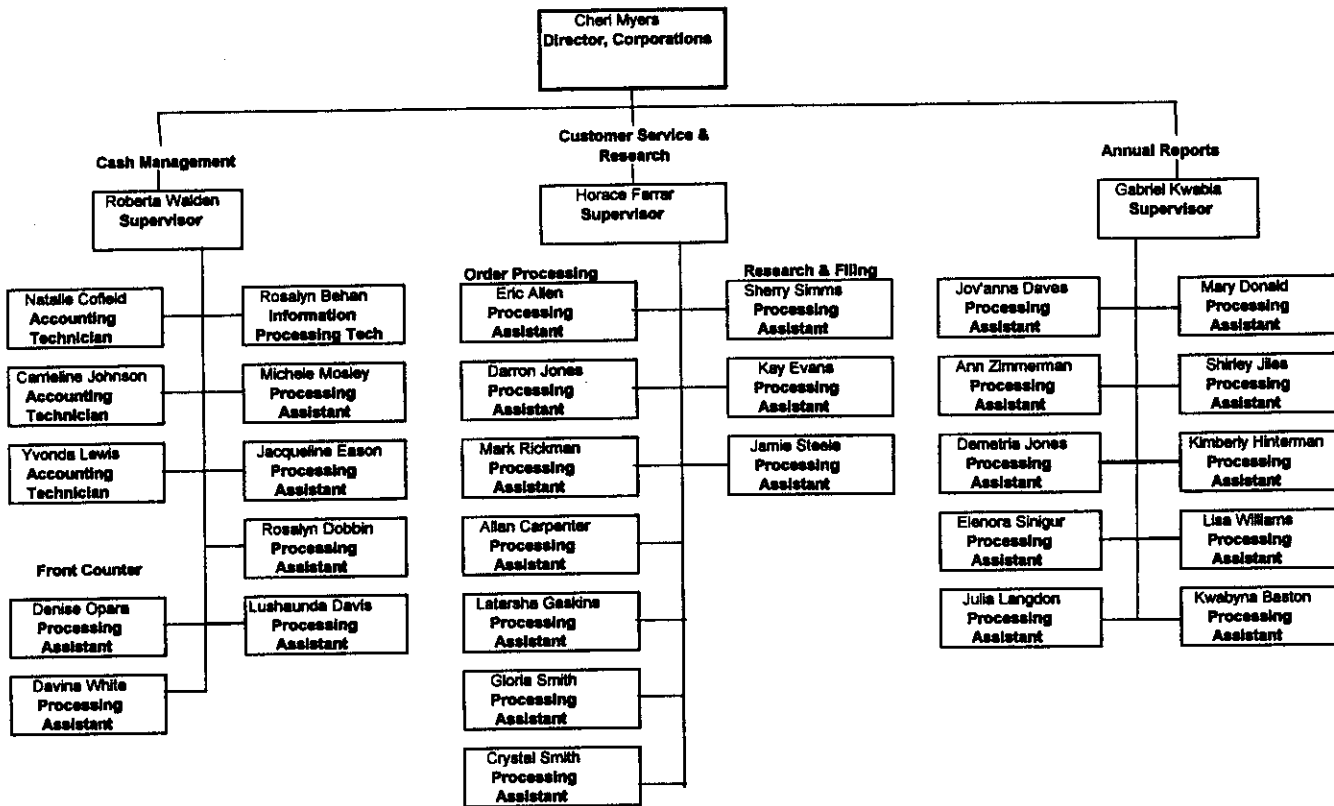
The purpose of this fund is to serve and protect the general public, business owners, and legal and international communities by providing expert technical assistance and ensuring that documents and applications are examined, filed, registered, or served according to statutory requirements, maintained according to set standards, and available as public record. A concurrent purpose is to ensure the proper cash management functions within the division are completed accurately and in a timely fashion on a daily basis.

<u>Major Responsibilities</u>	<u>Statutory Authority</u>	<u>FY 2009-2010 Filings</u>
<p>Administration, Customer Service/Research & Filing, and Document Compliance. Maintain a positive business climate by ensuring that business filings contain all statutory requirements, are filed on record, are maintained and archived per set standards, are made available at public record in a timely manner, and by providing certified documents and expert business assistance in a timely manner on a daily basis. The following are also included:</p>	<p>G.S. Chapters 55; 55A; 55B; 55D; 57C; 59 Chapter 66, Articles 19; 20; 31 and 33</p>	<p>728,006</p>
<p>1. Service of Process. Perfect service of legal documents serviced by law enforcement officers or the legal community of the Secretary of State's Office per statutory requirements on behalf of business entities on a daily basis.</p>	<p>G.S. 55-1-22(b); G.S. 55A-1-22(b); G.S. 57C-1-22(b); G.S. 59-35.2(b); and G.S. 59-1106(b)</p>	<p>3,045</p>
<p>2. Statewide Cable Franchise Filings. Examine and accept filings from cable operators according to statutory requirements and maintain those filings as a listing on an electronic register which is available on the Internet and make the complete filing available as public record in-house in paper form within five days.</p>	<p>G.S. Chapter 66, Article 42</p>	<p>74</p>
<p>Cash Management. Receive and prepare the division deposit for the business documents entering the division via regular mail or courier, approving the fee, endorsing the check, entering onto a mail log, and preparing the deposit for the agency cash management unit by a specific time daily. This activity includes front counter services for walk in customers.</p>	<p>G.S. 147-77</p>	<p>818,437</p>
<p>Trademark Registration. Ensure that trademark and service mark applications from the business community are complete and examined per North Carolina statutes, and are registered and maintained in the State Trademark database. Ensure that the statutory requirements for affidavit of use and renewal are in compliance by the business entities or individuals. Maintain the official records of the trademark office per the current records retention schedule.</p>	<p>G.S. Chapter 80, Article 1</p>	<p>1,135</p>
<p>Trademark Enforcement. Protect the intellectual property rights of the business community and the general public by training local law enforcement and educating the public in regard to identifying counterfeit products and enforcement of the state's criminal trademark laws</p>	<p>G.S. 80-11.1</p>	<p>227 cases</p>
<p>Authentications. Ensure documents presented for authentication or apostille by the general public for use in international jurisdictions are processed according to statutory requirements, processed in a timely manner, and an event is created within two days for each document logged.</p>	<p>GS Chapter 66, Article 34</p>	<p>29,828</p>

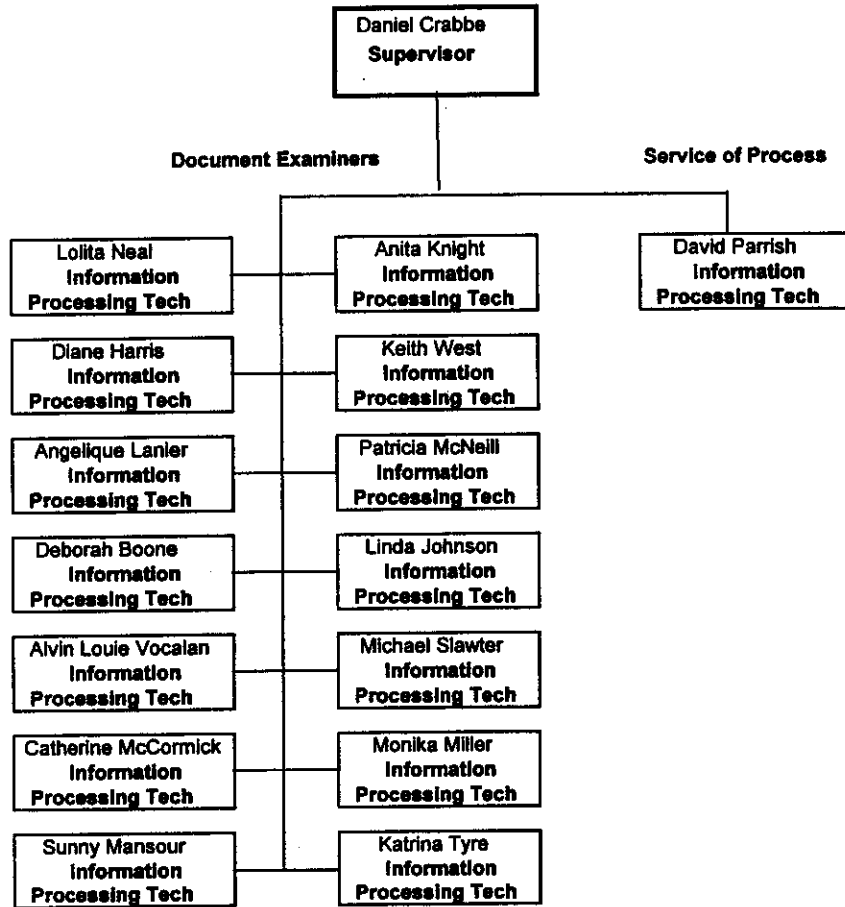
Corporations



Cash Mgt/Customer Service/Annual Reports



Document Compliance



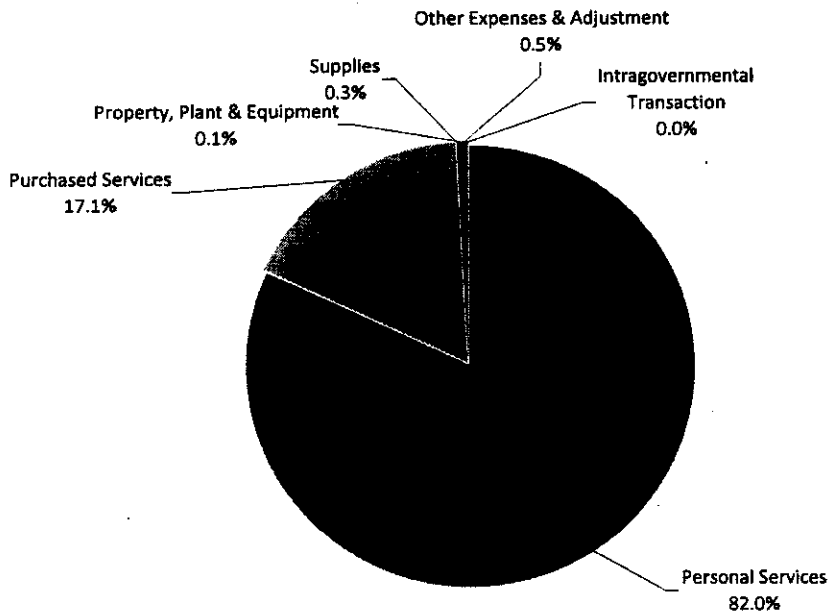
Secretary of State

CONTINUATION BUDGET

Fiscal Data

	<u>2009-2010 Actual</u>	<u>2010-2011 Certified</u>	<u>2010-2011 Authorized</u>	<u>2011-2012 Recommended</u>	<u>2012-2013 Recommended</u>
General Fund					
Budget Code 13200					
Fund Code 1220					
Division: Certification & Filing					
Personal Services	2,359,946	2,375,239	1,960,229	1,960,229	1,960,229
Purchased Services	492,106	415,892	437,826	437,826	437,826
Supplies	9,304	51,125	27,875	27,875	27,875
Property, Plant & Equipment	1,957	20,326	17,592	17,592	17,592
Other Expenses & Adjustment	13,338	50	4,100	4,100	4,100
Intragovernmental Transaction	0	0	0	0	0
Total Requirements	2,876,651	2,862,632	2,447,622	2,447,622	2,447,622
Receipts	50,175	0	0	0	0
General Fund Appropriation	2,826,476	2,862,632	2,447,622	2,447,622	2,447,622
Less: Recommended Adjustments					
Adjusted General Fund Appropriation				2,447,622	2,447,622

Certification & Filing



The Certification and Filing Division provides the business, financial, governmental, and legal community with timely and efficient service in the certification and registration of documents relating to commercial lending under Article 9 of the Uniform Commercial Code, the Notary Public Act and Land Records. The division provides a searchable public database of filings and provides technical assistance in order to accelerate and increase access to financial capital formation data and reduce the transactional risk to both businesses and individuals.

Major Responsibilities

Statutory Authority

FY 2009-2010 Filings

Administration - Administer the Notary/eNotary Public, Notary Enforcement, Uniform Commercial Code and Federal Tax Lien programs within the Certification and Filing Division.

NCGS
Chapters: 10B;
25; and 44-
68.10

Customer Service/Research & Filing - Resolve complex issues of individuals and businesses regarding filed documents via phone, fax, mail, and e-mail; file and archive the records per state standards so that all disclosable information and document images are available for public inspection.

NCGS
Chapters: 10B;
25; and 44-
68.10

Notary Enforcement - Review complaints filed against North Carolina Notaries and eNotaries. Investigate, enforce, and sanction Notaries and eNotaries for violations of Chapter 10B; examine and investigate notary applications that present qualification issues. Provide eNotary education through seminars, workshops, and instructor training to citizens, businesses, and local and state governments to promote electronic transactions in North Carolina, ensuring proper utilization of e-Notary technology by the public.

G.S. 10B, G.S.
66-58, G.S.
47-16, G.S. 66,
Article 40

Notary complaints received- 773
Disciplinary actions taken- 266
Warning letters issued - 71
Commission denials - 442
eNotary appointments - 142

Document Compliance - Examine commercial liens filings, Notary and eNotary applications according to statutory requirements, file federal tax liens; index and convert to electronic form within the required turn-around time.

GS Chapters:
10B; 25; and
44-68.10.

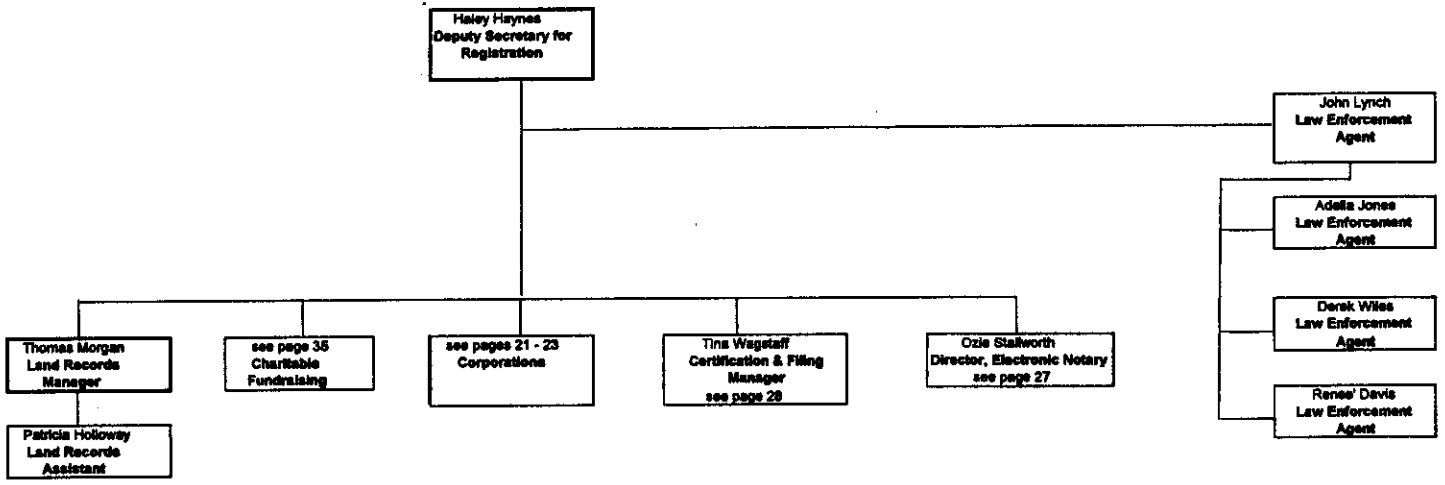
Commercial lien filings - 101,066
Notary applications - 34,083
Fed Tax Liens - 4,300

Land Records - Examine and process Land Records document filings; index and convert to electronic form, provide training, technical assistance, and consultation to local governments to facilitate the creation, enhancement, and maintenance of state of the art and reliable Land Records systems, uniform land transfer recording processes, and accessibility of documents stored in their facilities to support establishment of legal title by facilitating real estate transactions.

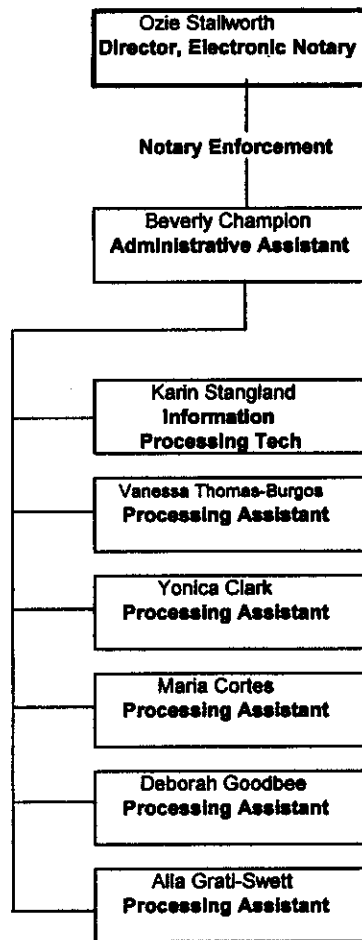
G.S. 147-54.3
18 NCAC 08

of persons trained - 953
of filings - 691
of local inquiries/requests for assistance - 325

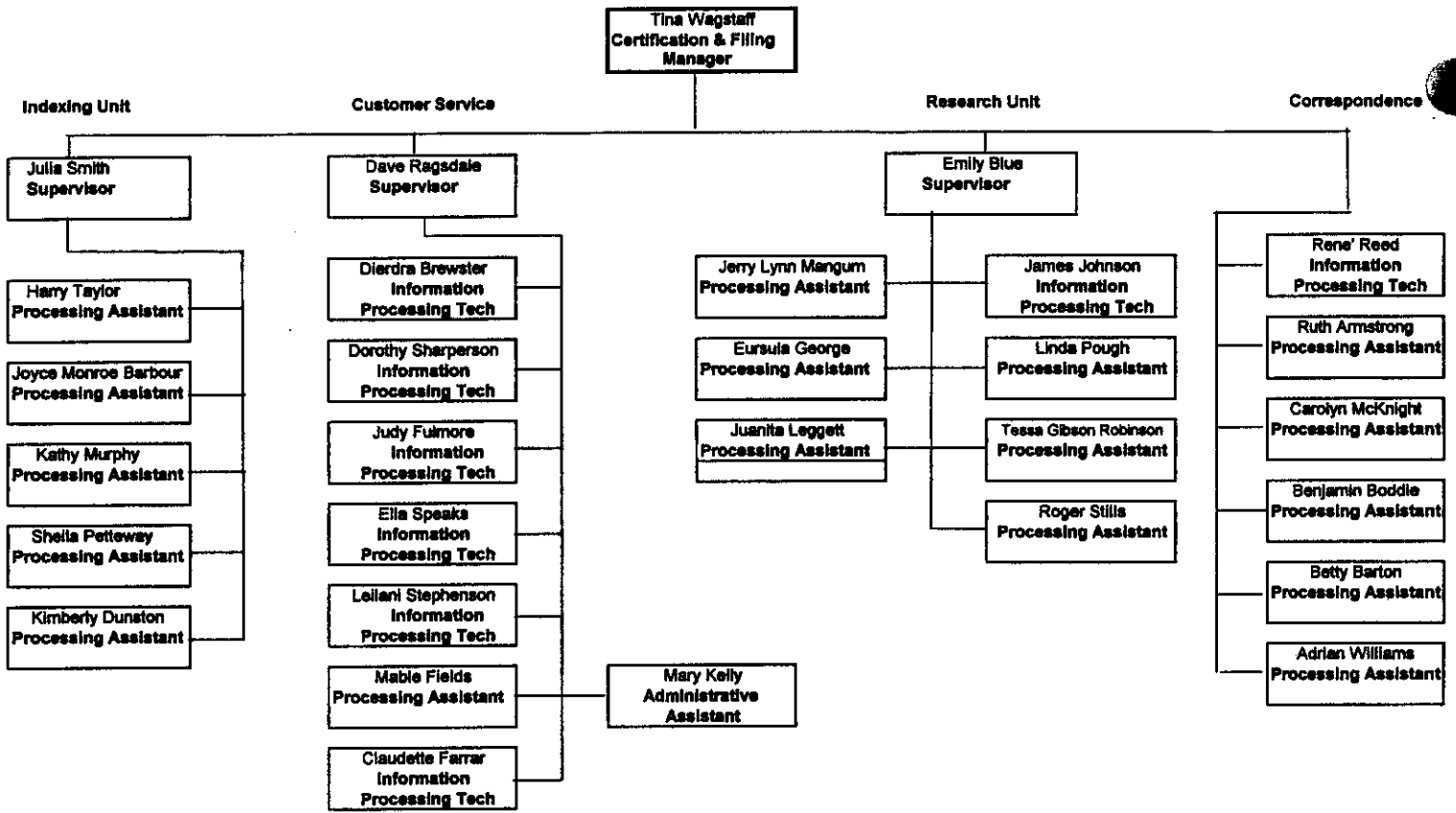
Registration Services



E-Notary and Notary Enforcement



Certification and Filing

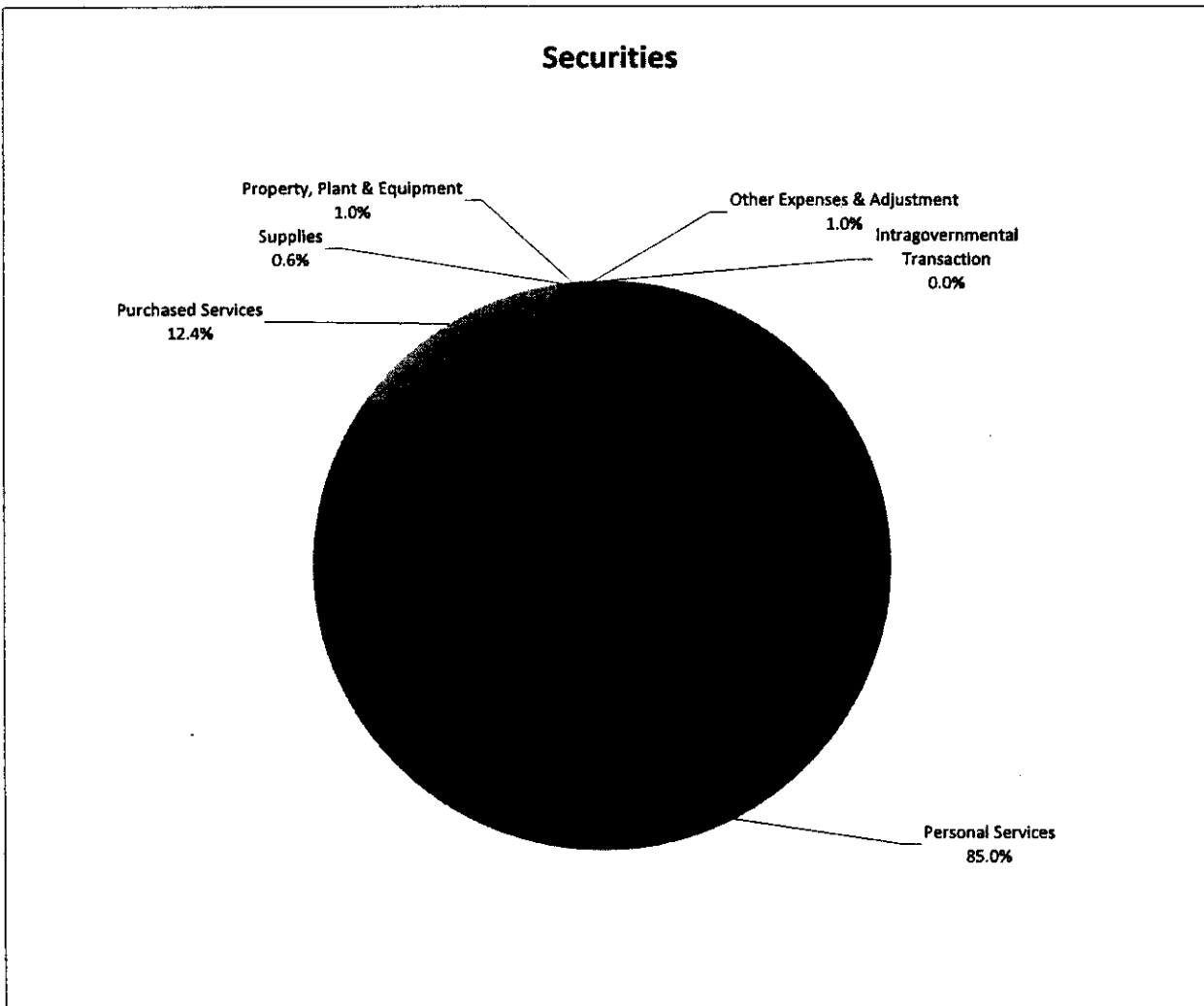


Secretary of State

CONTINUATION BUDGET

Fiscal Data

	<u>2009-2010 Actual</u>	<u>2010-2011 Certified</u>	<u>2010-2011 Authorized</u>	<u>2011-2012 Recommended</u>	<u>2012-2013 Recommended</u>
General Fund					
Budget Code 13200					
Fund Code 1230					
Division: Securities					
Personal Services	1,427,607	1,415,960	1,494,301	1,494,301	1,494,301
Purchased Services	192,628	207,309	207,309	207,309	207,309
Supplies	5,550	9,985	9,985	9,985	9,985
Property, Plant & Equipment	35,437	16,000	16,000	16,000	16,000
Other Expenses & Adjustment	15,904	16,650	16,650	16,650	16,650
Intragovernmental Transaction	3,000	0	0	0	0
Total Requirements	1,680,126	1,665,904	1,744,245	1,744,245	1,744,245
Receipts	3,000	2,000	2,000	2,000	2,000
General Fund Appropriation	1,677,126	1,663,904	1,742,245	1,742,245	1,742,245
Less: Recommended Adjustments					
Adjusted General Fund Appropriation				1,742,245	1,742,245



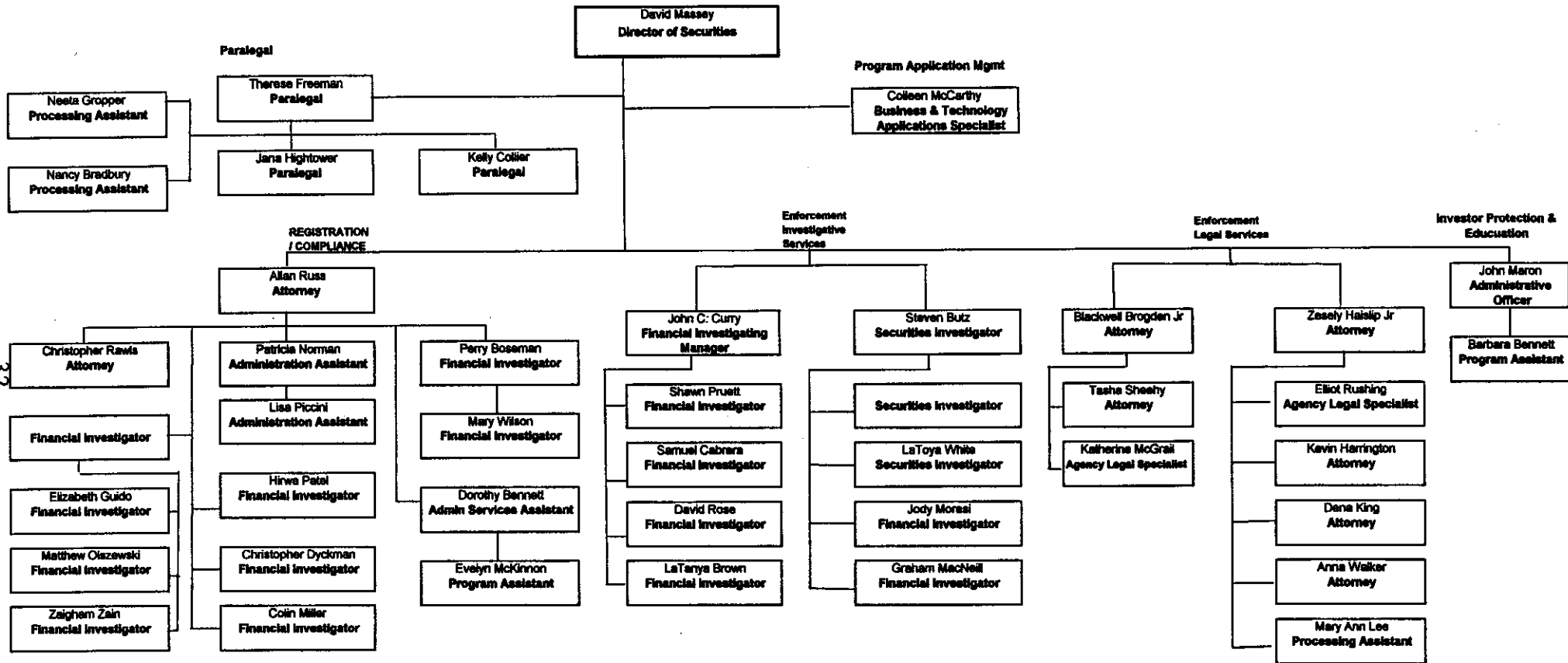
The Securities Division protects the investing public and capital markets by preventing fraud in the sale of securities. The Division reviews applications for registration of securities, regulates individuals licensed as securities dealers, securities sales representatives, investment advisers, and investment adviser representatives through investigation and prosecution of violations; investigates and resolves violations of securities laws by negotiation, administrative hearings, or criminal prosecution; and provides investor education materials and programs.

<u>Major Responsibilities</u>	<u>Statutory Authority</u>	<u>FY 2009-2010 Filings</u>
Administration. Provides administrative support, record maintenance and scheduling/coordination (infrastructure) to the Licensing & Registration, Enforcement, ARS and IPET Programs and functions of the Securities Division.	G.S. 78A, 78C, 78D, 147-54.5.	N/A
Licensing & Registration. Examines and approves/denies applications from stockbrokers and investment advisers to sell investments; examines and approves/denies applications for licenses for Athlete Agents; examines and authorizes sale of investments by businesses seeking capital; works on investigations with Enforcement, ARS and IPET (Anti-Fraud) staff to stop fraud and investment scams.	G.S. 78A, 78C, 78D.	See Table on next page
Enforcement. Investigates fraud in the sale of securities, investment advisory services and commodities in order to stop investment scams and direct capital back for use by legitimate enterprises in NC; assists federal and state prosecutors in criminal cases upon request; in addition impose other sanctions through civil and administrative actions.	G.S. 78A, 78C, 78D.	258 complaints and referrals 153 investigations conducted
Other Programs Administered:		
Qualified Business Tax Credit Program:	G.S. 147-54.5.	119 FY 2009-2010 135 Current Registrants
The Qualified Business Tax Credit Program administered by the Secretary of State offers investors in certain types of businesses a credit against state tax liability which can be as much as 25% of the amount invested. This program promotes investments in start-up companies and companies with revenues of less than \$5,000,000. The program provides a total of up to \$7,500,000 in tax credits to all investors in a calendar year.		
Fairness Hearings:		
The Securities Division's fairness hearing procedure permits the Division, upon request, to conduct an administrative hearing to determine the fairness of the terms and conditions of a proposed acquisition or merger involving two or more companies. A favorable finding allows the companies to save significant expenses by not then being required to file a securities registration statement with the SEC.	G.S. 78A-30	1 in FY 2009-2010

Licensing and Registration Filings

Stockbrokers licensed	161,267
Broker-Dealer Firms licensed	2,198
Investment Adviser Representatives licensed	12,038
Investment Adviser Firms licensed	1,638
Athlete Agents licensed	133
Regulation D 506 Offerings	1,345
78A-16(9) Non-Profit Exempt Offerings	53
78A-17(17) Exempt Offerings	2
78A-17(9) Offerings	5
Investment Company Offerings	1,065 Initial Filing 1,508 Renewal Filing
Registered Public Securities Offerings	85

Securities Division



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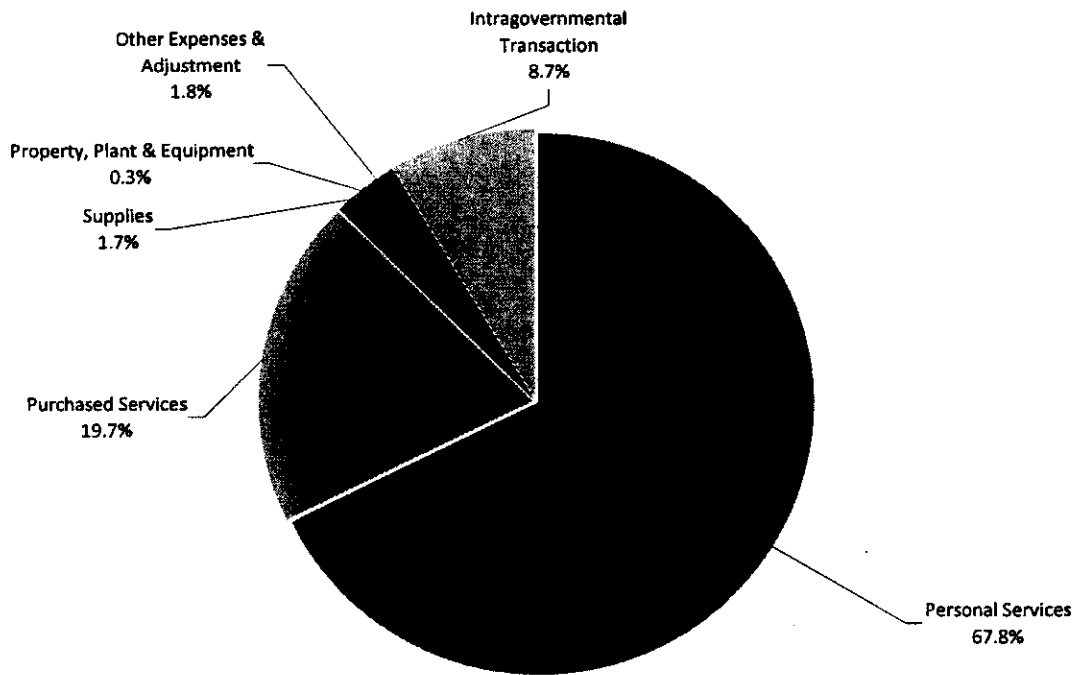
Secretary of State

CONTINUATION BUDGET

Fiscal Data

	<u>2009-2010 Actual</u>	<u>2010-2011 Certified</u>	<u>2010-2011 Authorized</u>	<u>2011-2012 Recommended</u>	<u>2012-2013 Recommended</u>
General Fund					
Budget Code 13200					
Fund Code 1600					
Division: Charitable Fund Raising					
Personal Services	479,603	535,499	535,499	535,499	535,499
Purchased Services	139,300	140,769	140,769	140,769	140,769
Supplies	11,851	8,819	8,819	8,819	8,819
Property, Plant & Equipment	2,318	17,535	17,535	17,535	17,535
Other Expenses & Adjustment	12,524	190	190	190	190
Intragovernmental Transaction	61,600	0	0	0	0
Total Requirements	707,196	702,812	702,812	702,812	702,812
Receipts	1,047,132	702,812	702,812	702,812	702,812
General Fund Appropriation	(339,936)	0	0	0	0
Less: Recommended Adjustments					
Adjusted General Fund Appropriation				0	0

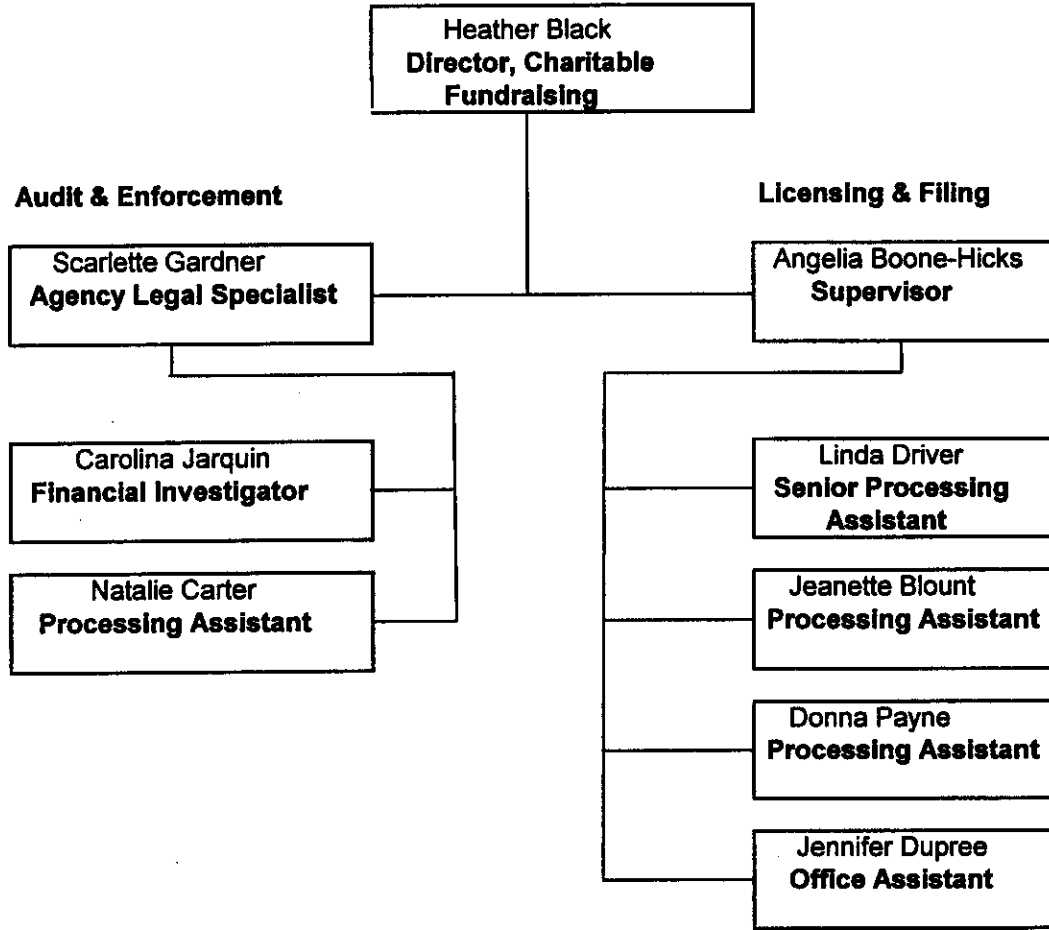
Charitable Fund Raising



The Charitable Fundraising Licensing Division conducts the registration of charitable organizations and paid fundraising professionals, including solicitors and fundraising consultants, as required by NCGS 131F, the Charitable Solicitations Act. The CSL Division also responds to and investigates inquiries and complaints from the public, the media, and other government agencies relating to potential violations of the Charitable Solicitations Act. This Division works to protect charitable gifts of North Carolina citizens and to ensure that charitable donations are made to licensed or exempt organizations through efforts to educate the public and disclose information on file.

<u>Major Responsibilities</u>	<u>Statutory Authority</u>	<u>FY 2009-2010 Filings</u>
License charitable organizations that solicit contributions from the citizens of North Carolina and the professional fundraisers they hire for the process of fundraising through the statutorily required registration process in order to prohibit deception, fraud, and misrepresentation.	GS131F-5,GS131F-15,GS131F16	5,006
Receive, process, and publish contracts and final accounting reports describing relationships between charitable organizations and professional fundraisers to provide public access to information regarding charitable enterprises operating in North Carolina.	GS131F-15,GS131F-16	1,084
Respond to inquiries from the public, media, and government entities. Initiate investigations into inquiries by collecting evidence and conducting interviews to make case conclusions. Initiate appropriate enforcement actions and collect corresponding penalties to guard against deceptive, dishonest practices and the improper use of funds intended for charitable purposes.	GS131F-20,GS131F-23,GS131F-24	153
Educate the public on their rights under the Charitable Solicitation Act through 1) the production and distribution of an Annual Report; 2) maintenance of an on-line search function of records on file with this office; and 3) sponsoring and presenting public education seminars to vulnerable communities within the state's population including senior citizens and minorities to protect the population vulnerable to dishonest practices or improper use of charitable contributions.	GS131F-30	N/A
Educate charitable organizations and fundraising professionals of obligations under the Charitable Solicitation Act by participation in gatherings/conferences of this population, correspondence to newly formed charitable corporations, and providing easy access to forms and documents via the division's website to protect the population vulnerable to dishonest practices or improper use of charitable contributions.	GS131F-30	N/A

Charitable Fundraising



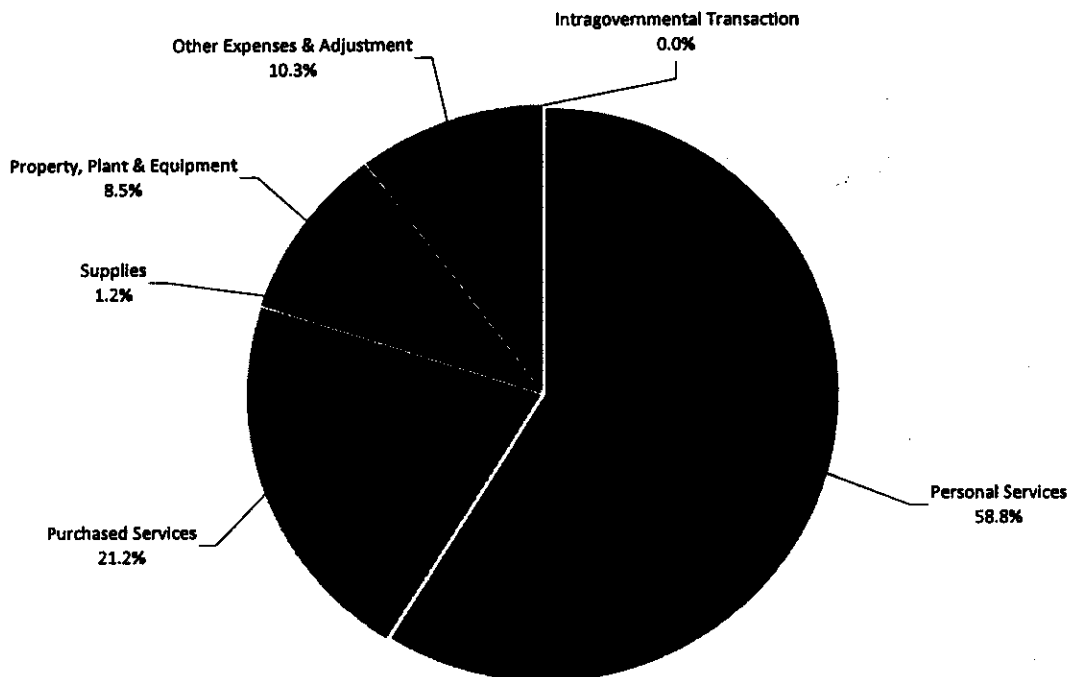
Secretary of State

CONTINUATION BUDGET

Fiscal Data

	<u>2009-2010 Actual</u>	<u>2010-2011 Certified</u>	<u>2010-2011 Authorized</u>	<u>2011-2012 Recommended</u>	<u>2012-2013 Recommended</u>
General Fund Budget Code 23200					
Personal Services	397,018	1,440,989	1,440,989	1,440,989	1,440,989
Purchased Services	199,904	519,538	519,538	519,538	519,538
Supplies	8,290	29,506	29,506	29,506	29,506
Property, Plant & Equipment	120,262	207,437	207,437	207,437	207,437
Other Expenses & Adjustment	415,778	251,995	251,995	251,995	251,995
Intragovernmental Transaction	79,575	0	0	0	0
Total Requirements	1,220,827	2,449,465	2,449,465	2,449,465	2,449,465
Receipts	4,149,562	2,449,465	2,449,465	2,449,465	2,449,465
Less: Recommended Adjustments	0	0	0	0	0
Change In Fund Balance	2,928,735	0	0	0	0

Special Funds



Fund Code - 23200, 2120, 2130, and 2150

The department's Special Fund budget code consists of funds that are 100% receipts supported. There are no appropriations involved. The statutes governing these funds allow for the specific support of each program.

<u>Major Responsibilities</u>	<u>Statutory Authority</u>	<u>FY 2009-2010 Fillings</u>
Electronic Transactions. Transaction fees collected from customers using ecommerce forms of payments are deposited into this non-reverting ecommerce account. Funds are used to pay external fees and processing costs.	GS 66-58.12	192,013
Advance Health Care Directive Registry. Maintain an Advance Health Care Directive Registry where the general public may place their Advance Health Care Directive online via the Internet to make these documents immediately available to health care providers and to ensure wishes for medical treatment and care are known and can be honored by families and medical providers.	GS 130A	3,197
ARS. The Securities Division investigates and prosecutes fraud in sale of Auction Rate Securities to individuals and businesses; enforces payback of funds to businesses stuck with frozen investments, in order to fund their business plans and increase job creation; frees up capital for use by investors and businesses; these returns of investment capital to investors and recoveries of investigative costs both exceed expenses of program	G.S. 78A & 78C	

Prohibitive Regulations

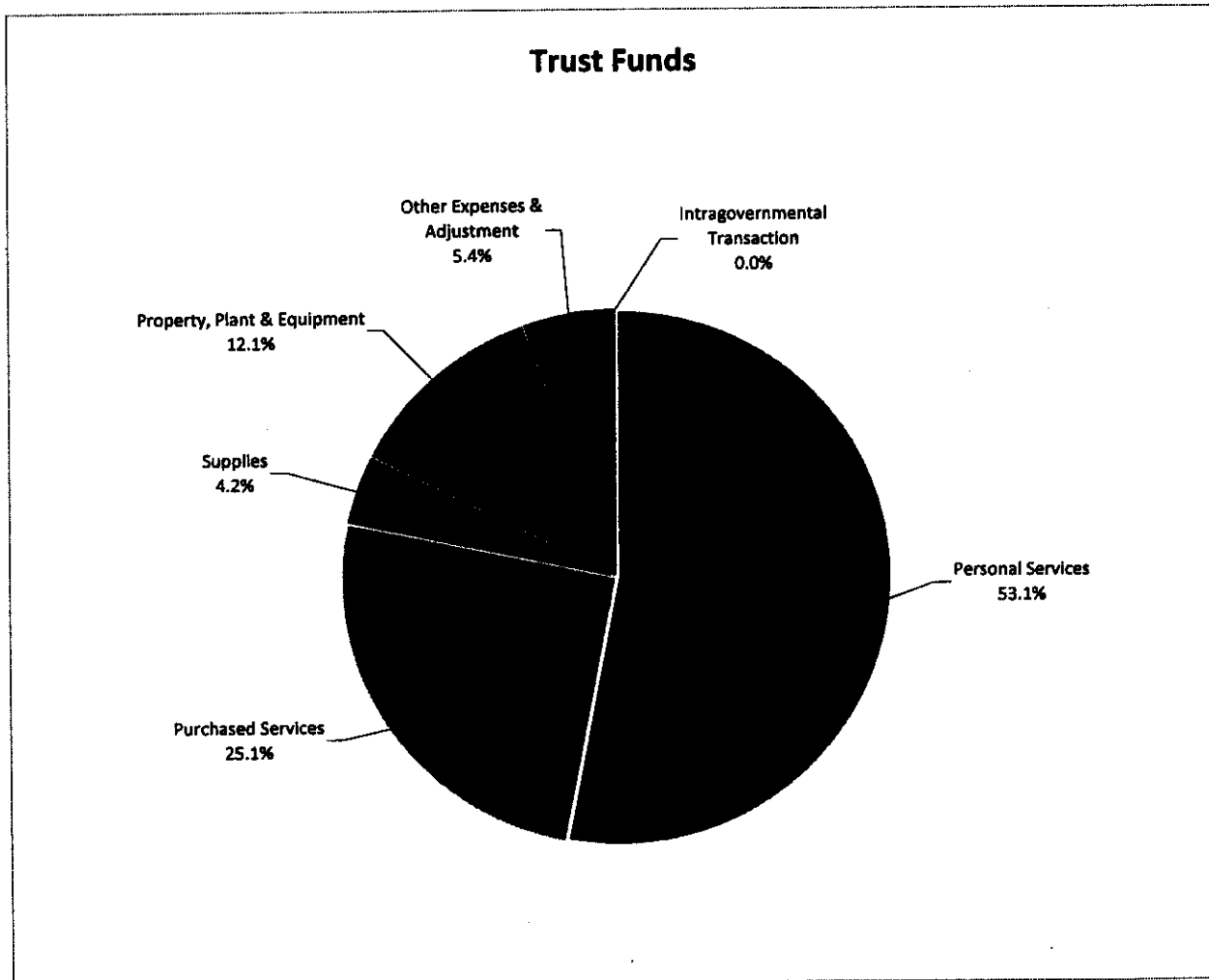
Electronic Transactions: In 2005, a contract between VISA and the Office of State Controller prohibited state agencies from charging tiered transaction fees to our customers; this contract mandated a flat transaction fee for all electronic transactions. However, this flat fee does not generate enough revenue to cover our agency's transaction costs because we are charged a percentage of each transaction by credit card companies; in particular, the agency loses money on large electronic payments because the flat fee allowed to be charged by the agency does not cover the percentage cost charged by the credit card company. At the current expenditure rate, it is estimated that the fund will be depleted within the next 3 years. **This will negatively impact our ability to accept electronic payments from customers.**

Secretary of State

CONTINUATION BUDGET

Fiscal Data

	<u>2009-2010 Actual</u>	<u>2010-2011 Certified</u>	<u>2010-2011 Authorized</u>	<u>2011-2012 Recommended</u>	<u>2012-2013 Recommended</u>
General Fund					
Budget Code 63201					
Personal Services	103,121	97,951	97,951	97,951	97,951
Purchased Services	23,965	46,363	48,163	48,163	48,163
Supplies	564	7,806	7,806	7,806	7,806
Property, Plant & Equipment	0	22,300	20,500	20,500	20,500
Other Expenses & Adjustment	0	10,000	10,000	10,000	10,000
Intragovernmental Transaction	2,709,070	0	0	0	0
Total Requirements	2,836,720	184,420	184,420	184,420	184,420
Receipts	63,621	184,420	184,420	184,420	184,420
Less: Recommended Adjustments	0	0	0	0	0
Change In Fund Balance	(2,773,099)	0	0	0	0



Fund Code - 63201 6102 Anti-Fraud (Investor Protection and Education Trust Fund - IPET)

The department's Special Fund budget code consists of funds that are 100% receipts supported. There are no appropriations included. The statutes governing these funds allow for the specific support of this program.

Major Responsibilities

Statutory Authority

Fund provides education, support, and instruction to investors, law enforcement agencies, senior citizens, and investment professionals in order to protect the investing public against securities fraud, to ensure compliance with securities laws and to facilitate financial capital formation in North Carolina.

G.S. 147-54.5

B0104: Vacancy Report
February 18, 2011

List of Exceptions
 No exceptions are defined

				Cal Mth/Yr	FEB 2011	FEB 2011	FEB 2011	FEB 2011	FEB 2011
					Budget Amount	Number of Days Vacant	Position FTE	PT FTE Positions	FT FTE Positions
Organizational Unit		Position		Date Vacant	\$				
20000007	SOSNC - Exe Off 1	60008650	Auditor	01/03/2011	48,156.00	46	1.0000		1.0000
20000884	SOSNC - Exe Off 2	65012658	Cyber Crime Laboratory Manager	12/01/2010	78,591.00	79	1.0000		1.0000
20000901	SOSNC - Regis - C&F - N Enf	60008708	Processing Assistant V	01/18/2011	29,601.00	31	1.0000		1.0000
20000901	SOSNC - Regis - C&F - N Enf	60008749	Processing Assistant V	02/16/2011	29,601.00	2	1.0000		1.0000
20000901	SOSNC - Regis - C&F - N Enf	60008752	Processing Assistant V	02/16/2011	28,000.00	2	1.0000		1.0000
20000902	SOSNC - Regis - C&F - Res	60008728	Processing Assistant V	02/09/2011	27,544.00	9	1.0000		1.0000
20000914	SOSNC - Lobb Comp	60084567	Trademark Investigator	01/01/2011	44,601.00	48	1.0000		1.0000
Overall Result					287,094.00	X	7.0000		7.0000

NOTE: All positions listed above have been filled except #60008650 Internal Auditor - vacant since 1/3/11

07

Retirement Eligibility

Position count for employees within three years of retirement = 8 employees

Position count for employees with thirty years of service or greater = 4

5%/10%/15% reductions for division submitted to the Governor

2 items were submitted

- 1) Convert 40 positions to receipts support using receipts generated by the program that are deposited into a nontax revenue budget code.
 - a. Converting 11 positions would be approximately 5%
 - b. Converting 29 positions would be approximately 10%
 - c. Converting 40 positions would be approximately 15%(Details on pages 42-44)

- 2) Securities fee modification – Creating a new fee structure for investment company initial and renewal notice filing fees will generate additional funds equal to approximately 15% of agency's appropriations.
(Details on pages 45-46)

Governor's recommended reductions

The Governor recommended management flexibility reduction of \$541,751 for FY 2011-12, \$604,102 for FY 2012-13 and 4 positions for each year.

(Copies of governor's recommended adjustments on pages 47-49)

The agency is unable to recommend specific line item reductions equivalent to those amounts. Additional reductions will seriously impair our ability to adequately and timely process the documents and accompanying processing fees received from customers. Such impairments will reduce the flow of money into the general fund of North Carolina and retard economic recovery.

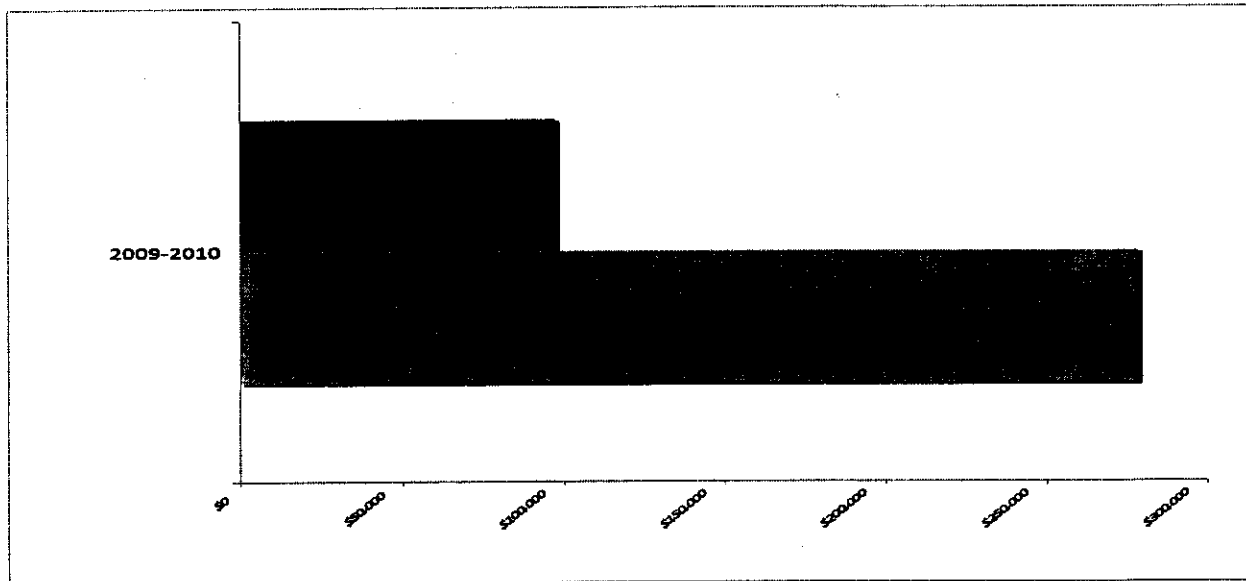
**Secretary of State
Narrative Regarding Possible Reductions
By Converting International Document Authentication Staff to Receipt Funding**

The governmental duty of certifying as authentic, the various legal documents executed or issued in North Carolina that are to be honored and utilized in foreign countries pursuant to international treaties and compacts is presently placed in the NC Secretary of State by the General Statutes. These thusly authenticated documents may then be presented in foreign countries to accomplish the purpose of the offeror for such activities as conducting international business transactions, returning a deceased foreign national's remains to their country of origin or even securing academic credentials in order to study abroad.

The current proposal is to convert the two (2) Document Examiner positions assigned to such duties over to receipt support using receipts generated by the program. The Department currently has two (2) FTEs performing the required document examination for close to 30,000 documents annually, each FTE averaging about 15,000 documents authenticated each year. There are no additional resources within the Department to absorb this workload if these 2 positions were eliminated.

Current total recurring appropriation for this function:	\$97,025
Program- generated receipts FY 2009-10	\$277,964
Program- generated receipts FY 2008-09	\$297,071
Approximate Projected Annual Over-realized receipts:	\$195,000

This data is captured in the illustration below.



Please keep in mind that if there were a decision to NOT fund the performance of this duty, then very serious consequences to the citizenry of NC will flow from such decision to eliminate these positions and functions. Not only would the General Fund take a \$195,000 hit, but NC citizens would be seriously disadvantaged by being prevented from participating in a substantial amount of international commerce or relations. In consulting recently with the US Department of State on the impact to North Carolina, an official there described the effect of eliminating this function and related staff positions as "catastrophic" to the state. Furthermore, the failure of North Carolina government to issue a specific type of certification, to wit: an "apostille", would also cause the United States to violate the *Hague Convention of 5 October 1961 Abolishing the Requirement of Legalization for Foreign Public Documents*, which is an international treaty, to which the US is a signatory.

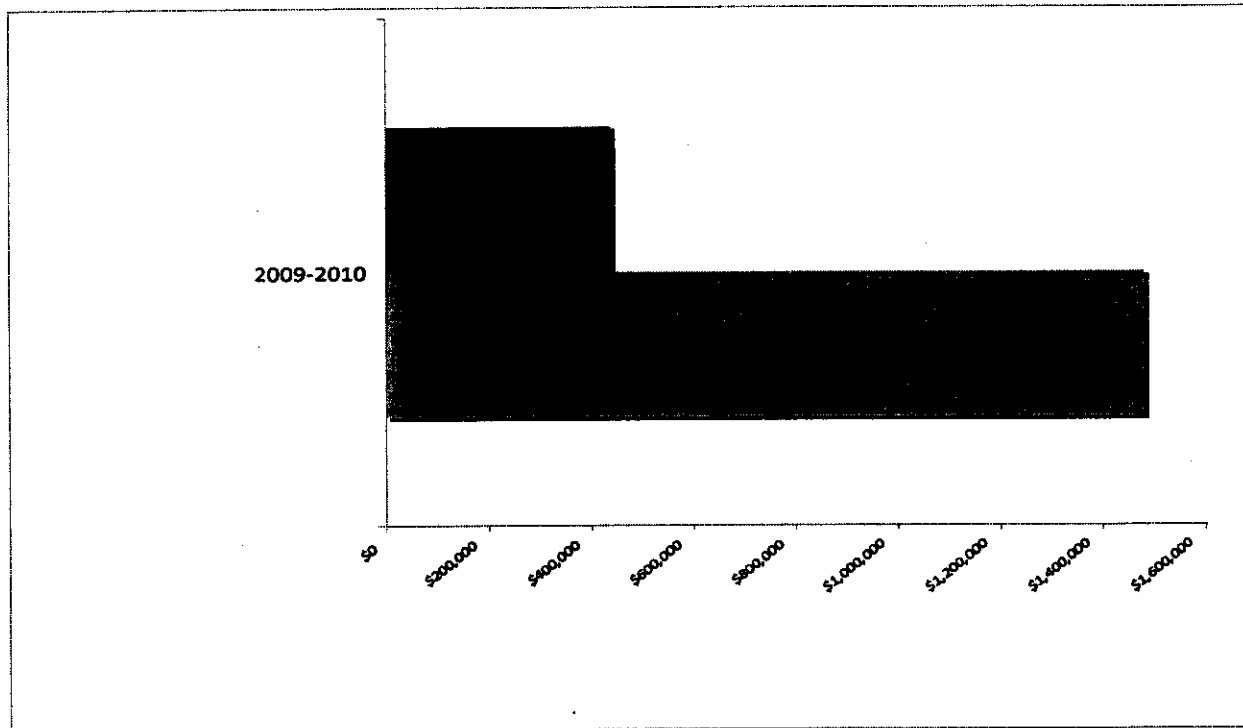
**Secretary of State
Narrative Regarding Possible Reductions
By Converting Notary Staff to Receipt Supported**

The General Statutes place in the Secretary of State's office the duty to educate, commission, and discipline notaries public. In this regard, the Secretary of State performs an essential function in overseeing notaries, who are public officials that verify the identity of document signers and also witness the signing of important documents, such as deeds, powers of attorney, separation agreements and even vehicle titles.

The current proposal is to convert nine (9) positions to receipt support using receipts generated by the program. There are no additional resources within the Department to absorb this workload if these nine (9) positions were eliminated.

Current total recurring appropriation for this function:	\$ 437,565
Program- generated receipts FY 2009-10	\$ 1,479,363
Approximate Projected Annual Over-realized receipts:	\$ 1,041,798

This data is captured in the illustration below.



NOTE: if there were a decision to NOT fund the performance of this duty, then very serious consequences to the legal framework and economy of NC would flow from that decision. Not only would the General Fund take a \$ 1 million+ hit, but business activities in NC would be seriously disadvantaged. While there would be a residual number of notaries existing if the Department stopped its commissioning activities that number would rapidly dwindle over time as commissions expired. Additionally, there would be no oversight of the education for notaries and effectively no one to hold notaries accountable for their misdeeds. In turn, the lack of agency provided oversight would then lead to more notary misconduct, leading to more pressure upon the budget of the judicial branch of government from the resulting increase in lawsuits and criminal charges. It would be necessary to repeal Chapter 10B if the General Assembly decides to no longer fund this function.

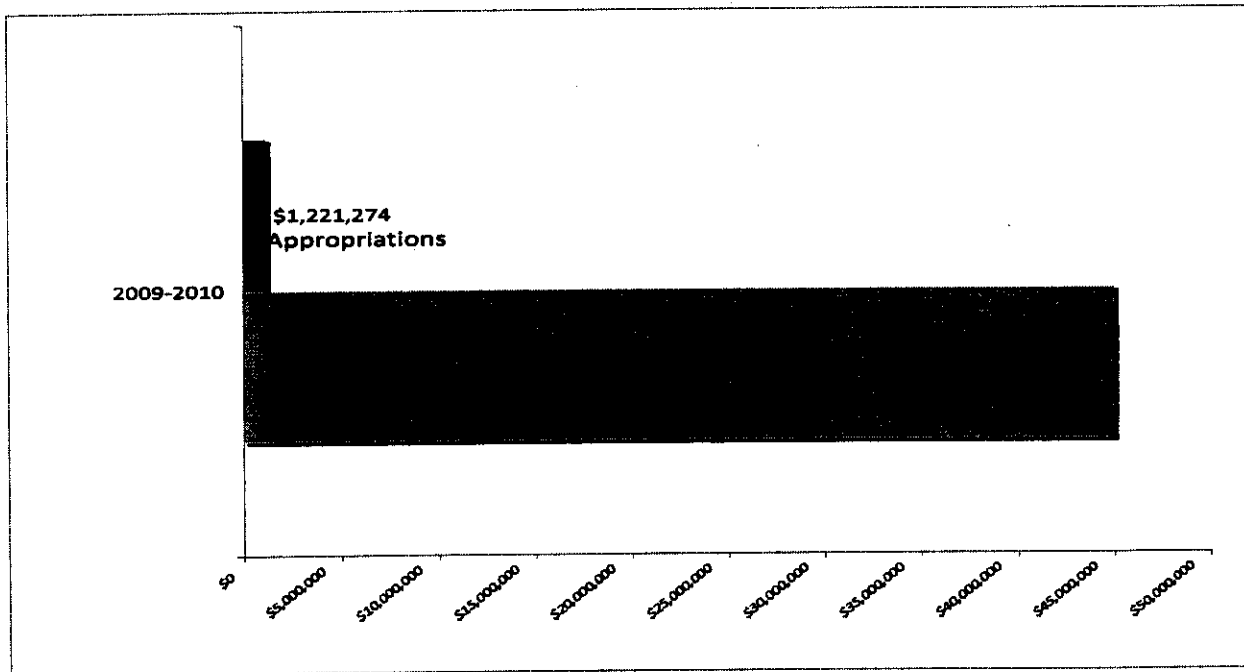
**Secretary of State
Narrative Regarding Possible Reductions
By Converting Corporations Staff to Receipt Supported**

The General Statutes place in the Secretary of State's office the constitutionally-mandated duty to "provide by general laws for the chartering, organization, and powers of all corporations, and for the amending, extending, and forfeiture of all charters" (NC Constitution, Article VIII, Section 1). Consequently, in order to facilitate business and economic activity the Secretary of State performs an essential, primary business function by both making the threshold determination of whether the necessary legal requirements are met for the creation of a new business entity to wit: a business corporation, a non-profit corporation, a limited liability company, etc, as well as by maintaining self reported business information about these entities as required by statute.

The current proposal is to convert the twenty-nine (29) staff positions to receipt support using receipts generated by the program. There are no additional resources within the Department to absorb this workload if these twenty-nine (29) positions were eliminated.

Current total recurring appropriation for this function:	\$ 1,221,274
Program- generated receipts FY 2009-10	\$ 44,964,989
Approximate Projected Annual Over-realized receipts:	\$ 43,743,715

This data is captured in the illustration below.



NOTE: if there were a decision to NOT fund the performance of this duty, then very serious consequences to the economy of NC would flow from that decision. Not only would the General Fund take a \$ 43.7 million+ hit, but the NC based business community would be seriously disadvantaged and our economic recovery would be thrown into turmoil. The formation of these business organizations promotes the expansion of economic activity and allows business interests to spread or mitigate financial risk; without the ability to form and maintain a recognized corporate status, many businesses would be forced to seek such a business form in another state, causing additional tax revenue to be lost in N.C. Also, the North Carolina Constitution would need to be amended to eliminate portions of Article VIII and General Statute Chapters 55, 55A, 55D, and 57C would need to be repealed.

N.C. Department of the Secretary of State
 Securities Division
 Securities Fee Modification
 2011-2013

Type of Fee	Statute	Current Fee	Proposed Fees	Proposed Fee Change	# of Transactions	Net Effect
Investment Company Initial and Renewal Notice Filing Fee	(G.S.78A-31(a)(1)&(4))	Flat Rate \$2000 per company for Initial or Renewal Filing. \$0 Portfolio fee for Initial or Renewal Filing.	\$1,725 per company- level notice filing and an additional \$275 for each related portfolio-level notice filing	-\$275 (per company-level filing) +\$275 (per portfolio-level filing)	Presently 2573 Forecast 10,000	+\$1,600,000
					Total Net Effect	+\$1,600,000

Explanation of alternative fee structure is on page 46.

Most of the investment companies paying these fees are located outside of North Carolina.

Investment Company Fee Alternative

Explanation of the Proposed Securities Fee Modification:

Moving to a complementary issuer-level and portfolio-level notice filing fee structure that is related to the offer and sale of securities by investment companies would more accurately reflect the magnitude of economic activity in North Carolina attributable to these investment companies. Most of these companies are located outside our state borders. Currently, the same flat rate fee is paid by each investment company regardless of the amount it sells in this state. Today, North Carolina's Securities Act imposes an annual fee of \$2,000 on each investment company selling securities into North Carolina, regardless of how many investment choices (in the form of different portfolios, funds, or series of securities) that company chooses to offer for sale here. Presently, the investment companies that sell a single investment product in North Carolina pay the exact same fee as a company selling fifty different investment products.

The proposal will bring greater fairness to the regulated investment business community and its customers by creating a composite fee that actually relates to the number of investment products marketed within our state boundaries by investment companies. When this alternative is implemented, each investment company will then pay a single company – level fee (\$1,725) that is lower than the current fee (\$2,000). In addition, the companies will be charged a new, separate fee (\$275) for each investment choice offered for sale inside North Carolina. The net effect of these changes will produce at least an additional \$1,600,000 in revenue.

Appropriation Items -- Recommended Adjustments

Reductions

2011-12 2012-13

Department-wide

1. Management Flexibility Reserve

The Governor recommends a management flexibility reserve to be filled by cost-saving measures as determined by the department, which includes elimination of three positions.

Appropriation	(\$500,000)	(\$500,000)
Positions	(3.000)	(3.000)

2. Employee Retirement Incentive Program

This recommendation provides a one-time \$10,000 incentive to those who are eligible to retire with unreduced benefits and a one-time \$20,000 incentive to those who are eligible to retire with reduced benefits. The incentive will not be included in calculation of retiree average final contribution. This program will be available to all State agency and UNC System employees, as well as LEA and community college employees for all of FY 2011-12 (July 1, 2011 through June 30, 2012). The savings assume a retirement date of November 1, 2011, and a 30% reduction of salaries and benefits and associated FTE. Savings reserves must be fully met by June 30, 2012. Incentive benefits shall be paid from the same source as the source of the employee salary, to the extent allowed by such funding source.

Appropriation	(\$41,751)	(\$104,102)
Positions	(1.000)	(1.000)

Total Recommended Reductions

	2011-12	2012-13
Recurring		
Requirements	(\$541,751)	(\$604,102)
Receipts	-	-
Appropriation	(\$541,751)	(\$604,102)
Positions	(4.000)	(4.000)

**Total Recommended Adjustments for
 Department of Secretary of State (13200)
 2011-13**

	<u>2011-12</u>	<u>2012-13</u>
Recurring		
Requirements	(\$541,751)	(\$604,102)
Receipts	-	-
	<hr/>	<hr/>
Appropriation	(\$541,751)	(\$604,102)
Positions	(4,000)	(4,000)
Nonrecurring		
Requirements	-	-
Receipts	-	-
	<hr/>	<hr/>
Appropriation	-	-
Positions	-	-
Total Appropriation Adjustments	(\$541,751)	(\$604,102)
Total Position Adjustments	(4,000)	(4,000)

Fund Detail

13200 Secretary of State - General Fund

1110 General Administration

CODE	DESCRIPTION	2009-2010 ACTUAL	2010-2011 CERTIFIED	2010-2011 AUTHORIZED	2011-2012 INCR/DECR	2011-2012 TOTAL	2012-2013 INCR/DECR	2012-2013 TOTAL
REQUIREMENTS								
53 1141	SALARY-SECRETARY	123,198	123,198	123,198	0	123,198	0	123,198
53 1211	SPA-REG SALARIES-APPR	2,106,644	2,016,303	2,031,270	0	2,031,270	0	2,031,270
53 1311	REG (NS) TEMP WAGES-APPR	648	0	0	0	0	0	0
53 1411	OT PAY - APPROPRIATED	48	0	0	0	0	0	0
53 1421	HOLIDAY PAY - APPRO	82	0	0	0	0	0	0
53 1461	EPA&SPA-LONGVTY PAY-APPR	47,712	45,097	45,097	0	45,097	0	45,097
53 1511	SOCIAL SEC CONTRIB-APPRO	166,357	164,538	165,684	0	165,684	0	165,684
53 1521	REG RETIRE CONTRIB-APPRO	199,304	231,763	232,982	0	232,982	0	232,982
53 1561	MED INS CONTRIB-APPRO	166,106	172,515	172,515	0	172,515	0	172,515
53 1576	FLEXIBLE SPENDING SAV	3,538	0	0	0	0	0	0
53 1631	WRKER COMP-MED PAYMENTS	1,108	20	20	0	20	0	20
53 1639	OTHER WORKERS COMP	30	0	0	0	0	0	0
TOTAL PERSONAL SERVICES		2,814,775	2,753,434	2,770,766	0	2,770,766	0	2,770,766
53 2170	ADMIN. SERVICES	1,176	5,700	5,700	0	5,700	0	5,700
53 2199	MISC CONTRACTUAL SERVICE	150	0	0	0	0	0	0
53 2300	REPAIR SERVICES	7,350	500	500	0	500	0	500
53 2400	MAINTENANCE AGREEMENTS	34,035	28,976	27,736	0	27,736	0	27,736
53 2500	RENTALS/LEASES	436	200	510	0	510	0	510
53 2700	TRAVEL&OTHER EMPLOYEE EX	6,920	32,687	31,292	0	31,292	0	31,292
53 2800	COMMUNICATION&DATA PROC	18,873	32,541	35,751	0	35,751	0	35,751
53 2900	OTHER SERVICES	13,811	10,460	10,160	0	10,160	0	10,160
TOTAL PURCHASED SERVICES		82,751	111,064	111,649	0	111,649	0	111,649
53 3100	GENERAL ADMIN SUPPLIES	21,278	8,532	9,207	0	9,207	0	9,207
53 3600	DRUGS/PHARMACEUTICAL SUP	0	200	200	0	200	0	200
53 3900	OTHER MATERIALS & SUPP	9,374	3,075	2,965	0	2,965	0	2,965
TOTAL SUPPLIES		30,652	11,807	12,372	0	12,372	0	12,372
53 4500	EQUIPMENT	131,510	186,444	185,069	0	185,069	0	185,069
53 4600	ART,OTHER ARTIFACTS&LIT	1,941	1,408	1,408	0	1,408	0	1,408
53 4700	INTANGIBLE ASSETS	21,421	27,000	27,000	0	27,000	0	27,000
TOTAL PROPERTY, PLANT & EQUIPMT		154,872	214,852	213,477	0	213,477	0	213,477
53 5800	OTHER ADMINISTRATIVE EXP	5,495	4,980	5,205	0	5,205	0	5,205
TOTAL OTHER EXPENSES & ADJUSTMEN		5,495	4,980	5,205	0	5,205	0	5,205

Fund Detail

13200 Secretary of State - General Fund 1110 General Administration

CODE	DESCRIPTION	2009-2010 ACTUAL	2010-2011 CERTIFIED	2010-2011 AUTHORIZED	2011-2012 INCR/DECR	2011-2012 TOTAL	2012-2013 INCR/DECR	2012-2013 TOTAL
REQUIREMENTS								
53 8901	CARRY FORWARD-SOS	72,629	0	0	0	0	0	0
TOTAL INTRAGOVERNMENTAL TRANSACTIONS		72,629	0	0	0	0	0	0
TOTAL REQUIREMENTS		3,161,174	3,096,137	3,113,469	0	3,113,469	0	3,113,469
ESTIMATED RECEIPTS								
43 4390	OTH SALES OF GDS OR PUBL	0	1,000	1,000	0	1,000	0	1,000
43 5100	BSNS LICENSE FEES	0	100,000	100,000	0	100,000	0	100,000
43 7990	OTHER MISC. REVENUES	-239	0	0	0	0	0	0
TOTAL RECEIPTS		-239	101,000	101,000	0	101,000	0	101,000
NET APPROPRIATION		3,161,413	2,995,137	3,012,469	0	3,012,469	0	3,012,469

Fund Detail

13200 Secretary of State - General Fund

1120 Publications Division

CODE	DESCRIPTION	2009-2010 ACTUAL	2010-2011 CERTIFIED	2010-2011 AUTHORIZED	2011-2012 INCR/DECR	2011-2012 TOTAL	2012-2013 INCR/DECR	2012-2013 TOTAL
REQUIREMENTS								
53 1211	SPA-REG SALARIES-APPR	252,862	207,617	207,617	0	207,617	0	207,617
53 1411	OT PAY - APPROPRIATED	18	0	0	0	0	0	0
53 1461	EPA&SPA-LONGVTY PAY-APPR	6,515	5,165	5,165	0	5,165	0	5,165
53 1511	SOCIAL SEC CONTRIB-APPRO	18,979	16,279	16,279	0	16,279	0	16,279
53 1521	REG RETIRE CONTRIB-APPRO	22,697	22,364	22,364	0	22,364	0	22,364
53 1561	MED INS CONTRIB-APPRO	27,160	24,645	24,645	0	24,645	0	24,645
53 1576	FLEXIBLE SPENDING SAV	165	0	0	0	0	0	0
TOTAL PERSONAL SERVICES		328,396	276,070	276,070	0	276,070	0	276,070
53 2170	ADMIN. SERVICES	1,258	0	0	0	0	0	0
53 2300	REPAIR SERVICES	0	120	120	0	120	0	120
53 2400	MAINTENANCE AGREEMENTS	6,781	12,000	11,025	0	11,025	0	11,025
53 2500	RENTALS/LEASES	1,635	1,200	2,150	0	2,150	0	2,150
53 2700	TRAVEL&OTHER EMPLOYEE EX	524	500	525	0	525	0	525
53 2800	COMMUNICATION&DATA PROC	54,090	106,170	106,170	0	106,170	0	106,170
TOTAL PURCHASED SERVICES		64,288	119,990	119,990	0	119,990	0	119,990
53 3100	GENERAL ADMIN SUPPLIES	10,055	7,868	8,168	0	8,168	0	8,168
53 3900	OTHER MATERIALS & SUPP	134	400	400	0	400	0	400
TOTAL SUPPLIES		10,189	8,268	8,568	0	8,568	0	8,568
53 4500	EQUIPMENT	21,251	500	300	0	300	0	300
53 4600	ART,OTHER ARTIFACTS&LIT	0	100	0	0	0	0	0
53 4700	INTANGIBLE ASSETS	19,449	300	300	0	300	0	300
TOTAL PROPERTY, PLANT & EQUIPMT		40,700	900	600	0	600	0	600
53 5800	OTHER ADMINISTRATIVE EXP	1,799	500	500	0	500	0	500
TOTAL OTHER EXPENSES & ADJUSTMEN		1,799	500	500	0	500	0	500
53 8901	CARRY FORWARD-SOS	26,546	0	0	0	0	0	0
TOTAL INTRAGOVERNMENTAL TRANSACT		26,546	0	0	0	0	0	0

Fund Detail

13200 Secretary of State - General Fund 1120 Publications Division

CODE	DESCRIPTION	2009-2010 ACTUAL	2010-2011 CERTIFIED	2010-2011 AUTHORIZED	2011-2012 INCR/DECR	2011-2012 TOTAL	2012-2013 INCR/DECR	2012-2013 TOTAL
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TOTAL REQUIREMENTS		471,918	405,728	405,728	0	405,728	0	405,728
<hr/>								
ESTIMATED RECEIPTS								
<hr/>								
43 4134	PRINT, BIND & DUPLIC SVC	840	500	500	0	500	0	500
43 4310	SALE OF PUBLICATIONS	13,538	21,200	21,200	0	21,200	0	21,200
<hr/>								
TOTAL RECEIPTS		14,378	21,700	21,700	0	21,700	0	21,700
<hr/>								
NET APPROPRIATION		457,540	384,028	384,028	0	384,028	0	384,028

Fund Detail

13200 Secretary of State - General Fund 1150 Lobbyist Registration

CODE	DESCRIPTION	2009-2010 ACTUAL	2010-2011 CERTIFIED	2010-2011 AUTHORIZED	2011-2012 INCR/DECR	2011-2012 TOTAL	2012-2013 INCR/DECR	2012-2013 TOTAL
REQUIREMENTS								
53 1211	SPA-REG SALARIES-APPR	335,654	349,112	347,194	0	347,194	0	347,194
53 1231	SPA LEO SALARIES	52,419	50,838	61,006	0	61,006	0	61,006
53 1411	OT PAY - APPROPRIATED	8	0	0	0	0	0	0
53 1461	EPA&SPA-LONGVTY PAY-APPR	3,147	0	0	0	0	0	0
53 1511	SOCIAL SEC CONTRIB-APPRO	28,053	30,732	31,272	0	31,272	0	31,272
53 1521	REG RETIRE CONTRIB-APPRO	29,646	36,648	36,491	0	36,491	0	36,491
53 1531	LEO RETIRE CONTRIB-APPRO	7,208	7,885	9,283	0	9,283	0	9,283
53 1561	MED INS CONTRIB-APPRO	34,327	43,296	43,296	0	43,296	0	43,296
53 1576	FLEXIBLE SPENDING SAV	1,178	0	0	0	0	0	0
TOTAL PERSONAL SERVICES		491,640	518,511	528,542	0	528,542	0	528,542
53 2300	REPAIR SERVICES	104	0	0	0	0	0	0
53 2400	MAINTENANCE AGREEMENTS	0	1,608	1,478	0	1,478	0	1,478
53 2500	RENTALS/LEASES	130	0	130	0	130	0	130
53 2700	TRAVEL&OTHER EMPLOYEE EX	6,668	6,000	6,000	0	6,000	0	6,000
53 2800	COMMUNICATION&DATA PROC	5,704	4,324	5,849	0	5,849	0	5,849
53 2900	OTHER SERVICES	85	7,200	3,315	0	3,315	0	3,315
TOTAL PURCHASED SERVICES		12,691	19,132	16,772	0	16,772	0	16,772
53 3100	GENERAL ADMIN SUPPLIES	3,343	9,200	8,800	0	8,800	0	8,800
53 3500	CLOTHING & RECREATNL SUP	51	0	100	0	100	0	100
53 3900	OTHER MATERIALS & SUPP	288	0	300	0	300	0	300
TOTAL SUPPLIES		3,682	9,200	9,200	0	9,200	0	9,200
53 4500	EQUIPMENT	754	0	0	0	0	0	0
53 4600	ART, OTHER ARTIFACTS&LIT	353	0	350	0	350	0	350
53 4700	INTANGIBLE ASSETS	2,010	0	0	0	0	0	0
TOTAL PROPERTY, PLANT & EQUIPMT		3,117	0	350	0	350	0	350
53 5800	OTHER ADMINISTRATIVE EXP	2,178	0	2,010	0	2,010	0	2,010
TOTAL OTHER EXPENSES & ADJUSTMEN		2,178	0	2,010	0	2,010	0	2,010
53 8030	FINE/PENALTY/FORFEIT-TRA	44,600	0	0	0	0	0	0
TOTAL INTRAGOVERNMENTAL TRANSACT		44,600	0	0	0	0	0	0

Fund Detail

13200 Secretary of State - General Fund 1150 Lobbyist Registration

CODE	DESCRIPTION	2009-2010 ACTUAL	2010-2011 CERTIFIED	2010-2011 AUTHORIZED	2011-2012 INCR/DECR	2011-2012 TOTAL	2012-2013 INCR/DECR	2012-2013 TOTAL
TOTAL REQUIREMENTS		557,908	546,843	556,874	0	556,874	0	556,874
ESTIMATED RECEIPTS								
43 5500	FINES, PENAL, ASSESS FEE	51,200	0	0	0	0	0	0
43 8902	PRIOR FISCAL YEAR TFR	3,640	0	0	0	0	0	0
TOTAL RECEIPTS		54,840	0	0	0	0	0	0
NET APPROPRIATION		503,068	546,843	556,874	0	556,874	0	556,874

Fund Detail

13200 Secretary of State - General Fund

1210 Corporations Division

CODE	DESCRIPTION	2009-2010 ACTUAL	2010-2011 CERTIFIED	2010-2011 AUTHORIZED	2011-2012 INCR/DECR	2011-2012 TOTAL	2012-2013 INCR/DECR	2012-2013 TOTAL
REQUIREMENTS								
53 1211	SPA-REG SALARIES-APPR	1,560,581	1,609,443	1,850,129	0	1,850,129	0	1,850,129
53 1231	SPA LEO SALARIES	70,875	85,867	77,895	0	77,895	0	77,895
53 1311	REG (NS) TEMP WAGES-APPR	5,388	0	0	0	0	0	0
53 1421	HOLIDAY PAY - APPRO	129	0	0	0	0	0	0
53 1461	EPA&SPA-LONGVTY PAY-APPR	8,003	10,654	10,654	0	10,654	0	10,654
53 1511	SOCIAL SEC CONTRIB-APPRO	121,020	130,530	148,405	0	148,405	0	148,405
53 1521	REG RETIRE CONTRIB-APPRO	137,300	169,121	194,431	0	194,431	0	194,431
53 1531	LEO RETIRE CONTRIB-APPRO	9,634	13,318	12,222	0	12,222	0	12,222
53 1561	MED INS CONTRIB-APPRO	216,647	251,759	286,262	0	286,262	0	286,262
53 1576	FLEXIBLE SPENDING SAV	2,540	0	0	0	0	0	0
53 1627	ST DISABILITY PMT AP	4,234	0	0	0	0	0	0
53 1631	WRKER COMP-MED PAYMENTS	292	0	0	0	0	0	0
53 1639	OTHER WORKERS COMP	14	0	0	0	0	0	0
TOTAL PERSONAL SERVICES		2,136,657	2,270,692	2,579,998	0	2,579,998	0	2,579,998
53 2143	LAN SUPPORT SERVICES	6,084	9,377	9,377	0	9,377	0	9,377
53 2170	ADMIN. SERVICES	89,951	60,000	60,000	0	60,000	0	60,000
53 2199	MISC CONTRACTUAL SERVICE	371	0	0	0	0	0	0
53 2300	REPAIR SERVICES	0	6,000	1,800	0	1,800	0	1,800
53 2400	MAINTENANCE AGREEMENTS	9,215	16,350	16,350	0	16,350	0	16,350
53 2500	RENTALS/LEASES	4,728	1,050	2,970	0	2,970	0	2,970
53 2700	TRAVEL&OTHER EMPLOYEE EX	11,730	14,700	12,900	0	12,900	0	12,900
53 2800	COMMUNICATION&DATA PROC	278,776	216,248	232,428	0	232,428	0	232,428
53 2900	OTHER SERVICES	687	3,000	2,000	0	2,000	0	2,000
TOTAL PURCHASED SERVICES		401,542	326,725	337,825	0	337,825	0	337,825
53 3100	GENERAL ADMIN SUPPLIES	14,022	35,581	25,581	0	25,581	0	25,581
53 3500	CLOTHING & RECREATNL SUP	102	250	250	0	250	0	250
53 3600	DRUGS/PHARMACEUTICAL SUP	0	200	200	0	200	0	200
53 3900	OTHER MATERIALS & SUPP	2,499	6,100	5,000	0	5,000	0	5,000
TOTAL SUPPLIES		16,623	42,131	31,031	0	31,031	0	31,031
53 4500	EQUIPMENT	10,155	10,695	10,695	0	10,695	0	10,695
53 4600	ART,OTHER ARTIFACTS&LIT	1,320	3,300	3,300	0	3,300	0	3,300
53 4700	INTANGIBLE ASSETS	9,232	3,200	3,200	0	3,200	0	3,200
TOTAL PROPERTY, PLANT & EQUIPMT		20,707	17,195	17,195	0	17,195	0	17,195

Fund Detail

13200 Secretary of State - General Fund 1210 Corporations Division

CODE	DESCRIPTION	2009-2010 ACTUAL	2010-2011 CERTIFIED	2010-2011 AUTHORIZED	2011-2012 INCR/DECR	2011-2012 TOTAL	2012-2013 INCR/DECR	2012-2013 TOTAL
REQUIREMENTS								
53 5800	OTHER ADMINISTRATIVE EXP	3,666	4,610	4,610	0	4,610	0	4,610
TOTAL OTHER EXPENSES & ADJUSTMEN		3,666	4,610	4,610	0	4,610	0	4,610
53 8901	CARRY FORWARD-SOS	37,337	0	0	0	0	0	0
TOTAL INTRAGOVERNMENTAL TRANSACT		37,337	0	0	0	0	0	0
TOTAL REQUIREMENTS		2,616,532	2,661,353	2,970,659	0	2,970,659	0	2,970,659
ESTIMATED RECEIPTS								
43 4390	OTH SALES OF GDS OR PUBL	938	2,100	2,100	0	2,100	0	2,100
43 7990	OTHER MISC. REVENUES	15	0	0	0	0	0	0
TOTAL RECEIPTS		953	2,100	2,100	0	2,100	0	2,100
NET APPROPRIATION		2,615,579	2,659,253	2,968,559	0	2,968,559	0	2,968,559

Fund Detail

13200 Secretary of State - General Fund

1220 Certification and Filing Division

CODE	DESCRIPTION	2009-2010 ACTUAL	2010-2011 CERTIFIED	2010-2011 AUTHORIZED	2011-2012 INCR/DECR	2011-2012 TOTAL	2012-2013 INCR/DECR	2012-2013 TOTAL
REQUIREMENTS								
53 1211	SPA-REG SALARIES-APPR	1,712,173	1,737,565	1,421,811	0	1,421,811	0	1,421,811
53 1231	SPA LEO SALARIES	55,226	42,823	40,626	0	40,626	0	40,626
53 1411	OT PAY - APPROPRIATED	130	0	0	0	0	0	0
53 1421	HOLIDAY PAY - APPRO	148	0	0	0	0	0	0
53 1461	EPA&SPA-LONGVTY PAY-APPR	25,192	25,725	25,725	0	25,725	0	25,725
53 1511	SOCIAL SEC CONTRIB-APPRO	131,943	137,522	113,219	0	113,219	0	113,219
53 1521	REG RETIRE CONTRIB-APPRO	151,977	179,794	146,772	0	146,772	0	146,772
53 1531	LEO RETIRE CONTRIB-APPRO	7,715	12,104	11,802	0	11,802	0	11,802
53 1561	MED INS CONTRIB-APPRO	212,768	239,706	200,274	0	200,274	0	200,274
53 1576	FLEXIBLE SPENDING SAV	2,292	0	0	0	0	0	0
53 1631	WRKER COMP-MED PAYMENTS	3,114	0	0	0	0	0	0
53 1639	OTHER WORKERS COMP	57,268	0	0	0	0	0	0
TOTAL PERSONAL SERVICES		2,359,946	2,375,239	1,960,229	0	1,960,229	0	1,960,229
53 2133	EMPLOYEE PHYSICAL	65	0	0	0	0	0	0
53 2143	LAN SUPPORT SERVICES	0	2,646	2,646	0	2,646	0	2,646
53 2170	ADMIN. SERVICES	3,766	6,200	6,200	0	6,200	0	6,200
53 2199	MISC CONTRACTUAL SERVICE	0	4,776	4,776	0	4,776	0	4,776
53 2300	REPAIR SERVICES	0	1,950	1,300	0	1,300	0	1,300
53 2400	MAINTENANCE AGREEMENTS	27,384	48,375	44,900	0	44,900	0	44,900
53 2500	RENTALS/LEASES	311,302	222,044	218,354	0	218,354	0	218,354
53 2700	TRAVEL&OTHER EMPLOYEE EX	28,037	17,166	32,200	0	32,200	0	32,200
53 2800	COMMUNICATION&DATA PROC	121,217	104,735	125,450	0	125,450	0	125,450
53 2900	OTHER SERVICES	335	8,000	2,000	0	2,000	0	2,000
TOTAL PURCHASED SERVICES		492,106	415,892	437,826	0	437,826	0	437,826
53 3100	GENERAL ADMIN SUPPLIES	8,892	45,975	26,775	0	26,775	0	26,775
53 3500	CLOTHING & RECREATNL SUP	102	0	100	0	100	0	100
53 3600	DRUGS/PHARMACEUTICAL SUP	0	300	200	0	200	0	200
53 3900	OTHER MATERIALS & SUPP	310	4,850	800	0	800	0	800
TOTAL SUPPLIES		9,304	51,125	27,875	0	27,875	0	27,875
53 4500	EQUIPMENT	1,361	18,476	15,742	0	15,742	0	15,742
53 4600	ART,OTHER ARTIFACTS&LIT	596	550	550	0	550	0	550
53 4700	INTANGIBLE ASSETS	0	1,300	1,300	0	1,300	0	1,300
TOTAL PROPERTY, PLANT & EQUIPMT		1,957	20,326	17,592	0	17,592	0	17,592

Fund Detail

13200 Secretary of State - General Fund 1220 Certification and Filing Division

CODE	DESCRIPTION	2009-2010 ACTUAL	2010-2011 CERTIFIED	2010-2011 AUTHORIZED	2011-2012 INCR/DECR	2011-2012 TOTAL	2012-2013 INCR/DECR	2012-2013 TOTAL
REQUIREMENTS								
53 5800	OTHER ADMINISTRATIVE EXP	13,273	50	4,100	0	4,100	0	4,100
53 5900	OTHER EXPENSES	65	0	0	0	0	0	0
TOTAL OTHER EXPENSES & ADJUSTMEN		13,338	50	4,100	0	4,100	0	4,100
TOTAL REQUIREMENTS		2,876,651	2,862,632	2,447,622	0	2,447,622	0	2,447,622
ESTIMATED RECEIPTS								
43 4390	OTH SALES OF GDS OR PUBL	40,350	34,825	34,825	0	34,825	0	34,825
43 5600	REGISTRATION FEES	9,825	0	0	0	0	0	0
TOTAL RECEIPTS		50,175	34,825	34,825	0	34,825	0	34,825
NET APPROPRIATION		2,826,476	2,827,807	2,412,797	0	2,412,797	0	2,412,797

Fund Detail

13200 Secretary of State - General Fund

1230 Securities Division

CODE	DESCRIPTION	2009-2010 ACTUAL	2010-2011 CERTIFIED	2010-2011 AUTHORIZED	2011-2012 INCR/DECR	2011-2012 TOTAL	2012-2013 INCR/DECR	2012-2013 TOTAL
REQUIREMENTS								
53 1211	SPA-REG SALARIES-APPR	956,347	873,092	943,474	0	943,474	0	943,474
53 1231	SPA LEO SALARIES	158,065	214,938	206,576	0	206,576	0	206,576
53 1411	OT PAY - APPROPRIATED	704	0	0	0	0	0	0
53 1421	HOLIDAY PAY - APPRO	499	0	0	0	0	0	0
53 1461	EPA&SPA-LONGVTY PAY-APPR	16,263	13,552	13,552	0	13,552	0	13,552
53 1511	SOCIAL SEC CONTRIB-APPRO	84,516	84,648	89,390	0	89,390	0	89,390
53 1521	REG RETIRE CONTRIB-APPRO	85,015	91,578	98,909	0	98,909	0	98,909
53 1531	LEO RETIRE CONTRIB-APPRO	22,045	32,721	32,040	0	32,040	0	32,040
53 1561	MED INS CONTRIB-APPRO	103,192	105,431	110,360	0	110,360	0	110,360
53 1576	FLEXIBLE SPENDING SAV	961	0	0	0	0	0	0
TOTAL PERSONAL SERVICES		1,427,607	1,415,960	1,494,301	0	1,494,301	0	1,494,301
53 2110	LEGAL SERVICES	0	900	900	0	900	0	900
53 2143	LAN SUPPORT SERVICES	30,555	10,281	10,281	0	10,281	0	10,281
53 2170	ADMIN. SERVICES	0	500	500	0	500	0	500
53 2300	REPAIR SERVICES	136	2,200	2,200	0	2,200	0	2,200
53 2400	MAINTENANCE AGREEMENTS	798	11,450	11,450	0	11,450	0	11,450
53 2500	RENTALS/LEASES	103,494	102,896	102,896	0	102,896	0	102,896
53 2700	TRAVEL&OTHER EMPLOYEE EX	33,796	30,500	30,500	0	30,500	0	30,500
53 2800	COMMUNICATION&DATA PROC	23,674	40,382	40,382	0	40,382	0	40,382
53 2900	OTHER SERVICES	175	8,200	8,200	0	8,200	0	8,200
TOTAL PURCHASED SERVICES		192,628	207,309	207,309	0	207,309	0	207,309
53 3100	GENERAL ADMIN SUPPLIES	4,833	7,750	7,750	0	7,750	0	7,750
53 3500	CLOTHING & RECREATNL SUP	612	0	0	0	0	0	0
53 3600	DRUGS/PHARMACEUTICAL SUP	0	50	50	0	50	0	50
53 3900	OTHER MATERIALS & SUPP	105	2,185	2,185	0	2,185	0	2,185
TOTAL SUPPLIES		5,550	9,985	9,985	0	9,985	0	9,985
53 4500	EQUIPMENT	531	11,200	11,200	0	11,200	0	11,200
53 4600	ART,OTHER ARTIFACTS&LIT	4,805	4,500	4,500	0	4,500	0	4,500
53 4700	INTANGIBLE ASSETS	30,101	300	300	0	300	0	300
TOTAL PROPERTY, PLANT & EQUIPMT		35,437	16,000	16,000	0	16,000	0	16,000
53 5800	OTHER ADMINISTRATIVE EXP	15,904	16,650	16,650	0	16,650	0	16,650
TOTAL OTHER EXPENSES & ADJUSTMEN		15,904	16,650	16,650	0	16,650	0	16,650

Fund Detail

13200 Secretary of State - General Fund 1230 Securities Division

CODE	DESCRIPTION	2009-2010 ACTUAL	2010-2011 CERTIFIED	2010-2011 AUTHORIZED	2011-2012 INCR/DECR	2011-2012 TOTAL	2012-2013 INCR/DECR	2012-2013 TOTAL
REQUIREMENTS								
53 8030	FINE/PENALTY/FORFEIT-TRA	3,000	0	0	0	0	0	0
TOTAL INTRAGOVERNMENTAL TRANSACT		3,000	0	0	0	0	0	0
TOTAL REQUIREMENTS		1,680,126	1,665,904	1,744,245	0	1,744,245	0	1,744,245
ESTIMATED RECEIPTS								
43 5100	BSNS LICENSE FEES	0	2,000	2,000	0	2,000	0	2,000
43 5500	FINES, PENAL, ASSESS FEE	3,000	0	0	0	0	0	0
TOTAL RECEIPTS		3,000	2,000	2,000	0	2,000	0	2,000
NET APPROPRIATION		1,677,126	1,663,904	1,742,245	0	1,742,245	0	1,742,245

Fund Detail

13200 Secretary of State - General Fund 1600 Charitable Fund Raising Licensure

CODE	DESCRIPTION	2009-2010 ACTUAL	2010-2011 CERTIFIED	2010-2011 AUTHORIZED	2011-2012 INCR/DECR	2011-2012 TOTAL	2012-2013 INCR/DECR	2012-2013 TOTAL
REQUIREMENTS								
53 1212	SPA-REG SALARIES-RECPT	367,921	406,794	406,794	0	406,794	0	406,794
53 1232	LEO SALARIES-RECEIPT	5,764	5,764	5,764	0	5,764	0	5,764
53 1462	LONGEVITY-RECEIPTS	3,055	3,893	3,893	0	3,893	0	3,893
53 1512	SOCIAL SEC CONTRIB-RECPT	28,188	31,071	31,071	0	31,071	0	31,071
53 1522	REG RETIRE CONTRIB-RECPT	32,461	42,081	42,081	0	42,081	0	42,081
53 1532	LEO RETIREMENT-REC.	793	894	894	0	894	0	894
53 1562	MED INS CONTRIB-RECPTS	40,581	45,002	45,002	0	45,002	0	45,002
53 1576	FLEXIBLE SPENDING SAV	627	0	0	0	0	0	0
53 1631	WRKER COMP-MED PAYMENTS	213	0	0	0	0	0	0
TOTAL PERSONAL SERVICES		479,603	535,499	535,499	0	535,499	0	535,499
53 2170	ADMIN. SERVICES	164	0	0	0	0	0	0
53 2300	REPAIR SERVICES	0	2,450	2,450	0	2,450	0	2,450
53 2400	MAINTENANCE AGREEMENTS	1,913	9,644	9,644	0	9,644	0	9,644
53 2500	RENTALS/LEASES	95,794	95,874	95,874	0	95,874	0	95,874
53 2700	TRAVEL&OTHER EMPLOYEE EX	1,337	6,006	6,006	0	6,006	0	6,006
53 2800	COMMUNICATION&DATA PROC	40,092	21,300	21,300	0	21,300	0	21,300
53 2900	OTHER SERVICES	0	5,495	5,495	0	5,495	0	5,495
TOTAL PURCHASED SERVICES		139,300	140,769	140,769	0	140,769	0	140,769
53 3100	GENERAL ADMIN SUPPLIES	5,347	4,819	4,819	0	4,819	0	4,819
53 3900	OTHER MATERIALS & SUPP	6,504	4,000	4,000	0	4,000	0	4,000
TOTAL SUPPLIES		11,851	8,819	8,819	0	8,819	0	8,819
53 4500	EQUIPMENT	2,049	16,960	16,960	0	16,960	0	16,960
53 4700	INTANGIBLE ASSETS	269	575	575	0	575	0	575
TOTAL PROPERTY, PLANT & EQUIPMT		2,318	17,535	17,535	0	17,535	0	17,535
53 5800	OTHER ADMINISTRATIVE EXP	12,524	190	190	0	190	0	190
TOTAL OTHER EXPENSES & ADJUSTMEN		12,524	190	190	0	190	0	190
53 8030	FINE/PENALTY/FORFEIT-TRA	60,600	0	0	0	0	0	0
53 8901	CARRY FORWARD-SOS	1,000	0	0	0	0	0	0
TOTAL INTRAGOVERNMENTAL TRANSACT		61,600	0	0	0	0	0	0

Fund Detail

13200 Secretary of State - General Fund 1600 Charitable Fund Raising Licensure

CODE	DESCRIPTION	2009-2010 ACTUAL	2010-2011 CERTIFIED	2010-2011 AUTHORIZED	2011-2012 INCR/DECR	2011-2012 TOTAL	2012-2013 INCR/DECR	2012-2013 TOTAL
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TOTAL REQUIREMENTS		707,196	702,812	702,812	0	702,812	0	702,812
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ESTIMATED RECEIPTS								
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43 5100	BSNS LICENSE FEES	973,532	702,812	702,812	0	702,812	0	702,812
43 5500	FINES, PENAL, ASSESS FEE	61,000	0	0	0	0	0	0
43 8902	PRIOR FISCAL YEAR TFR	12,600	0	0	0	0	0	0
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TOTAL RECEIPTS		1,047,132	702,812	702,812	0	702,812	0	702,812
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NET APPROPRIATION		-339,936	0	0	0	0	0	0

Fund Detail

23200 Secretary of State - Special 2120 Electronic Transactions

CODE	DESCRIPTION	2009-2010 ACTUAL	2010-2011 CERTIFIED	2010-2011 AUTHORIZED	2011-2012 INCR/DECR	2011-2012 TOTAL	2012-2013 INCR/DECR	2012-2013 TOTAL
REQUIREMENTS								
53 2800	COMMUNICATION / DATA PRO	36,582	25,672	25,672	0	25,672	0	25,672
TOTAL PURCHASED SERVICES		36,582	25,672	25,672	0	25,672	0	25,672
53 5900	OTHER EXPENSES	411,344	249,043	249,043	0	249,043	0	249,043
TOTAL OTHER EXPENSES & ADJUSTMEN		411,344	249,043	249,043	0	249,043	0	249,043
TOTAL REQUIREMENTS		447,926	274,715	274,715	0	274,715	0	274,715
ESTIMATED RECEIPTS								
43 7993	ELECTRON/DIGITAL TRA	340,114	274,715	274,715	0	274,715	0	274,715
TOTAL RECEIPTS		340,114	274,715	274,715	0	274,715	0	274,715
CHANGE IN FUND BALANCE		-107,812	0	0	0	0	0	0

Fund Detail

23200 Secretary of State - Special 2130 Health Care Registry

CODE	DESCRIPTION	2009-2010 ACTUAL	2010-2011 CERTIFIED	2010-2011 AUTHORIZED	2011-2012 INCR/DECR	2011-2012 TOTAL	2012-2013 INCR/DECR	2012-2013 TOTAL
REQUIREMENTS								
53 2199	MISC CONTRACTUAL SERV	12,704	11,100	11,100	0	11,100	0	11,100
53 2500	RENTALS/LEASES	130	4,000	4,000	0	4,000	0	4,000
53 2800	COMMUNICATION / DATA PRO	3,169	2,870	2,870	0	2,870	0	2,870
TOTAL PURCHASED SERVICES		16,003	17,970	17,970	0	17,970	0	17,970
53 3100	GENERAL ADMIN SUPPLIES	12	0	0	0	0	0	0
53 3900	OTHER MATERIALS/SUPPLIES	16	0	0	0	0	0	0
TOTAL SUPPLIES		28	0	0	0	0	0	0
53 4500	EQUIPMENT	0	28	28	0	28	0	28
TOTAL PROPERTY, PLANT & EQUIPMT		0	28	28	0	28	0	28
TOTAL REQUIREMENTS		16,031	17,998	17,998	0	17,998	0	17,998
ESTIMATED RECEIPTS								
43 5900	OTHER LIC, FEES/PERMITS	31,700	13,998	13,998	0	13,998	0	13,998
43 7990	OTHER MISC. REVENUE	0	4,000	4,000	0	4,000	0	4,000
TOTAL RECEIPTS		31,700	17,998	17,998	0	17,998	0	17,998
CHANGE IN FUND BALANCE		15,669	0	0	0	0	0	0

Fund Detail

23200 Secretary of State - Special 2150 AUCTION RATE SECURITIES

CODE	DESCRIPTION	2009-2010 ACTUAL	2010-2011 CERTIFIED	2010-2011 AUTHORIZED	2011-2012 INCR/DECR	2011-2012 TOTAL	2012-2013 INCR/DECR	2012-2013 TOTAL
REQUIREMENTS								
53 1222	SPA TIME LIMITED SAL	320,470	1,113,305	1,113,305	0	1,113,305	0	1,113,305
53 1232	LEO SALARIES-RECPT	0	35,212	35,212	0	35,212	0	35,212
53 1412	OT PAY - RECEIPTS	1,370	0	0	0	0	0	0
53 1422	HOLIDAY PAY - RECEIP	455	0	0	0	0	0	0
53 1512	SOCIAL SEC CONTRIB-REC	23,528	87,863	87,863	0	87,863	0	87,863
53 1522	REG RETIRE CONTRIB-REC	28,190	107,248	107,248	0	107,248	0	107,248
53 1532	LEO RETIRE CNTRIB-R	0	3,701	3,701	0	3,701	0	3,701
53 1562	MED INS CONTRIB-REC	22,633	93,660	93,660	0	93,660	0	93,660
53 1576	FLEXIBLE SPENDING SA	372	0	0	0	0	0	0
TOTAL PERSONAL SERVICES		397,018	1,440,989	1,440,989	0	1,440,989	0	1,440,989
53 2143	LAN SUPPORT SERVICES	5,706	0	0	0	0	0	0
53 2199	MISC CONTRACTUAL SERV	21,025	90,000	90,000	0	90,000	0	90,000
53 2400	MAINTENANCE AGREEMENTS	13,327	10,800	10,800	0	10,800	0	10,800
53 2500	RENTALS/LEASES	41,114	242,596	242,596	0	242,596	0	242,596
53 2700	OTHER SERVICES	21,047	48,500	48,500	0	48,500	0	48,500
53 2800	COMMUNICATION / DATA PRO	9,407	14,000	14,000	0	14,000	0	14,000
53 2900	OTHER SERVICES	35,693	70,000	70,000	0	70,000	0	70,000
TOTAL PURCHASED SERVICES		147,319	475,896	475,896	0	475,896	0	475,896
53 3100	GENERAL ADMIN SUPPLIES	4,615	22,506	22,506	0	22,506	0	22,506
53 3900	OTHER MATERIALS/SUPPLIES	3,647	7,000	7,000	0	7,000	0	7,000
TOTAL SUPPLIES		8,262	29,506	29,506	0	29,506	0	29,506
53 4500	EQUIPMENT	61,665	149,409	149,409	0	149,409	0	149,409
53 4600	ART, OTHER, ARTIFACTS, LIT	1,117	1,000	1,000	0	1,000	0	1,000
53 4700	INTANGIBLE ASSETS	57,480	57,000	57,000	0	57,000	0	57,000
TOTAL PROPERTY, PLANT & EQUIPMT		120,262	207,409	207,409	0	207,409	0	207,409
53 5800	OTHER ADMIN EXPENSES	4,434	2,952	2,952	0	2,952	0	2,952
TOTAL OTHER EXPENSES & ADJUSTMEN		4,434	2,952	2,952	0	2,952	0	2,952
53 8101	TRANSFER OUT TO 13200	79,575	0	0	0	0	0	0
TOTAL INTRAGOVERNMENTAL TRANSACT		79,575	0	0	0	0	0	0

Fund Detail

23200 Secretary of State - Special 2150 AUCTION RATE SECURITIES

CODE	DESCRIPTION	2009-2010 ACTUAL	2010-2011 CERTIFIED	2010-2011 AUTHORIZED	2011-2012 INCR/DECR	2011-2012 TOTAL	2012-2013 INCR/DECR	2012-2013 TOTAL
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TOTAL REQUIREMENTS		756,870	2,156,752	2,156,752	0	2,156,752	0	2,156,752
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ESTIMATED RECEIPTS								
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43 5900	OTHER LIC, FEES/PERMITS	4,356	0	0	0	0	0	0
43 7990	OTHER MISC. REVENUE	984,747	2,156,752	2,156,752	0	2,156,752	0	2,156,752
43 8101	TRANSFER IN FROM 63201	79,575	0	0	0	0	0	0
43 8401	AGENCY TRANSFER	2,709,070	0	0	0	0	0	0
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TOTAL RECEIPTS		3,777,748	2,156,752	2,156,752	0	2,156,752	0	2,156,752
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CHANGE IN FUND BALANCE		3,020,878	0	0	0	0	0	0

Fund Detail

63201 Secretary of State - Trust Special Revenue

6102 Anti-Fraud Fund

CODE	DESCRIPTION	2009-2010 ACTUAL	2010-2011 CERTIFIED	2010-2011 AUTHORIZED	2011-2012 INCR/DECR	2011-2012 TOTAL	2012-2013 INCR/DECR	2012-2013 TOTAL
REQUIREMENTS								
53 1212	SPA-REG SALARIES-RECPT	81,221	0	81,221	0	81,221	0	81,221
53 1222	SALARIES-TIME LMTD REC	0	81,221	0	0	0	0	0
53 1512	SOCIAL SECURITY-REC	5,457	6,213	6,213	0	6,213	0	6,213
53 1522	RETIREMENT-RECEIPTS	7,107	6,360	6,360	0	6,360	0	6,360
53 1562	MED INSURANCE-REC	9,053	4,157	4,157	0	4,157	0	4,157
53 1576	FLEXIBLE SPENDING SVG	283	0	0	0	0	0	0
TOTAL PERSONAL SERVICES		103,121	97,951	97,951	0	97,951	0	97,951
53 2199	MISC CONTRACTUAL SERV	8,526	14,158	14,158	0	14,158	0	14,158
53 2400	MAINTENANCE AGREEMENTS	872	2,100	2,100	0	2,100	0	2,100
53 2500	RENTAL / LEASES	2,130	2,750	2,750	0	2,750	0	2,750
53 2700	TRAVEL/OTHER EMPLOYEE EX	3,691	7,546	7,546	0	7,546	0	7,546
53 2800	COMMUNICATION / DATA PRO	8,396	19,309	21,109	0	21,109	0	21,109
53 2900	OTHER SERVICES	350	500	500	0	500	0	500
TOTAL PURCHASED SERVICES		23,965	46,363	48,163	0	48,163	0	48,163
53 3100	GENERAL ADMIN SUPPLIES	490	7,457	7,457	0	7,457	0	7,457
53 3900	OTHER MATERIALS & SUP.	74	349	349	0	349	0	349
TOTAL SUPPLIES		564	7,806	7,806	0	7,806	0	7,806
53 4500	EQUIPMENT	0	20,800	19,000	0	19,000	0	19,000
53 4600	ART, OTHER ARTIFACTS/LIT	0	500	500	0	500	0	500
53 4700	INTANGIBLE ASSETS	0	1,000	1,000	0	1,000	0	1,000
TOTAL PROPERTY, PLANT & EQUIPMT		0	22,300	20,500	0	20,500	0	20,500
53 6890	OTHER EDUCATIONAL AWARDS	0	10,000	10,000	0	10,000	0	10,000
TOTAL AID & PUBLIC ASSISTANCE		0	10,000	10,000	0	10,000	0	10,000
53 8401	ARS BEGIN BALANCE	2,709,070	0	0	0	0	0	0
TOTAL INTRAGOVERNMENTAL TRANSACT		2,709,070	0	0	0	0	0	0

Fund Detail

63201 Secretary of State - Trust Special Revenue 6102 Anti-Fraud Fund

CODE	DESCRIPTION	2009-2010 ACTUAL	2010-2011 CERTIFIED	2010-2011 AUTHORIZED	2011-2012 INCR/DECR	2011-2012 TOTAL	2012-2013 INCR/DECR	2012-2013 TOTAL
TOTAL REQUIREMENTS		2,836,720	184,420	184,420	0	184,420	0	184,420
ESTIMATED RECEIPTS								
43 3110	INT/DIV ON INVESTMENTS	46,197	0	0	0	0	0	0
43 7990	OTHER MISC REV-PROGR	17,424	184,420	184,420	0	184,420	0	184,420
TOTAL RECEIPTS		63,621	184,420	184,420	0	184,420	0	184,420
CHANGE IN FUND BALANCE		-2,773,099	0	0	0	0	0	0