

IRVING L. FAUGHT
ADMINISTRATOR



BRAD HENRY
GOVERNOR

STATE OF OKLAHOMA
DEPARTMENT OF SECURITIES
MEMORANDUM

To: Irving L. Faught, Administrator
From: John Miner, Chief Financial Officer
Date: November 16, 2006
Re: Financial Report

A handwritten signature in black ink, appearing to read "John", written over the "Date" and "Re:" lines of the memorandum header.

Attached are the financial statements for the month of September 2006.

A. Combined Statements of Revenue:

Page 1 - Fiscal Year 2007 Actual and Fiscal Year 2007 Estimate

- Unrestricted — The comparison of the current year with the estimate shows that the current year combined revenue is 4% above the estimate.
- Restricted — The current year is 5% above the estimate.

Revenue deposited to State General Revenue of \$2,359,227 plus Revolving Fund revenue of \$883,590 equals total unrestricted revenue of \$3,242,816.

Adding Investor Education revenue of \$344,469 results in total combined revenue of \$3,587,286.

Page 2 - Fiscal Year 2007 Actual and Fiscal Year 2006 Actual

- Unrestricted — This comparison shows that current year combined revenue is 2% above that of prior year.
- Restricted — Current year restricted revenue is \$314,530 above that of prior year due to a payment resulting from the global settlement involving conflicts of interest. The payment of \$305,758 was made by Deutsche Bank Securities.

B. State Finance Reports:

Also attached are the Office of State Finance reports:

Allotment Budget and Available Cash - Budget, encumbrance, expenditure and cash balances are reported.

6 Digit Object of Expenditure Report – Presents current month and year to date expenditures by object code.

C. Expenditures by Budget Year:

This statement presents expenditures by fund by budget year.

➤

OKLAHOMA DEPARTMENT OF SECURITIES

Combined Statement of Revenue
Fiscal Year 2007 Actual and Fiscal Year 2007 Estimate
September 30, 2006
(Memorandum Only)

Description	General Fund			Revolving Fund			Totals			
	Actual	Estimate	Change Amount %	Actual	Estimate	Change Amount %	Actual	Estimate	Change Amount %	
UNRESTRICTED										
Registration										
Investment Company	\$ 1,951,900	\$ 1,912,050	\$ 114,246 6%	\$ 864,750	\$ 845,650	\$ 75,041 10%	\$ 2,816,650	\$ 2,627,363	\$ 189,287 7%	
Coordination, Qualification and Notification	13,550	38,550	(12,588) -48%	3,150	4,600	3,150 -36%	16,700	26,118	(9,418) -36%	
Exemption	57,000	50,750	(7,400) -11%	-	-	-	57,000	64,400	(7,400) -11%	
Business Opportunity	450	400	450 -	-	50	-	450	-	450 -	
Land Sale	-	1,192	-	-	-	-	-	-	-	
Oklahoma Issuer	-	-	-	-	-	-	-	-	-	
No-Action	-	-	-	-	-	-	-	-	-	
Subtotal	2,022,900	2,002,942	94,728 5%	867,900	850,300	78,191 10%	2,890,800	2,717,881	172,919 6%	
Licensing										
Broker-dealer Agent	321,380	280,530	17,570 6%	-	-	-	321,380	280,530	17,570 6%	
Investment Adviser Representative	11,210	12,750	(1,165) -9%	-	-	-	11,210	12,750	(1,165) -9%	
Broker-Dealer	-	-	-	6,950	10,350	(3,400) -33%	6,950	10,350	(3,400) -33%	
Investment Adviser	-	-	-	8,150	77,400	(69,250) -89%	8,150	77,400	(69,250) -89%	
Issuer Agent	900	1,800	900 -	-	-	-	900	1,800	900 -	
Land Sale Agent	30	30	30 -	-	-	-	30	30	30 -	
Broker-dealer Principal	-	-	-	-	-	-	-	-	-	
Subtotal	333,520	295,110	17,335 5%	15,100	87,750	(72,650) -83%	348,620	382,860	(55,315) -14%	
Enforcement										
Civil Penalty	2,671	10,000	(1,938) -42%	-	-	-	2,671	10,000	(1,938) -42%	
Subtotal	2,671	10,000	(1,938) -42%	-	-	-	2,671	10,000	(1,938) -42%	
Administrative										
Services	136	-	136 -	109	-	109 -	109	-	109 -	
Other	136	-	136 -	480	-	480 -	616	-	616 -	
Subtotal	272	-	272 -	589	-	589 -	725	-	725 -	
Total Unrestricted	\$ 2,359,227	\$ 2,308,052	\$ 110,260 5%	\$ 883,590	\$ 938,050	\$ 56,511 1%	\$ 3,242,816	\$ 3,110,741	\$ 116,991 4%	
RESTRICTED										
INVESTOR EDUCATION										
Civil Penalty	-	-	-	305,758	305,758	-	305,758	305,758	-	
Interest Income	-	-	-	38,695	7,313	16,758 76%	38,695	7,313	16,758 76%	
Other	-	-	-	16	-	16 -	16	-	16 -	
Total Restricted	\$ -	\$ -	\$ -	\$ 344,469	\$ 327,696	\$ 16,774 5%	\$ 344,469	\$ 327,696	\$ 16,774 5%	
COMBINED TOTAL	\$ 2,359,227	\$ 2,308,052	\$ 110,260 5%	\$ 1,228,059	\$ 1,265,746	\$ 22,424 2%	\$ 3,587,286	\$ 3,438,436	\$ 133,165 4%	

OKLAHOMA DEPARTMENT OF SECURITIES
Combined Statement of Revenue
 Fiscal Year 2007 Actual and Fiscal Year 2006 Actual
 September 30, 2006
 (Memorandum Only)

Description	General Fund			Revolving Fund			Totals			
	Actual	Prior Year	Change Amount %	Actual	Prior Year	Change Amount %	Actual	Prior Year	Change Amount %	
UNRESTRICTED										
Registration										
Investment Company	\$ 1,951,900	\$ 1,912,050	\$ 39,850 2%	\$ 864,750	\$ 845,650	\$ 19,100 2%	\$ 2,816,650	\$ 2,757,700	\$ 58,950 2%	
Coordination, Qualification and Notification	13,550	38,550	(25,000) -65%	3,150	4,600	(1,450) -32%	16,700	43,150	(26,450) -61%	
Exemption	57,000	50,750	6,250 12%	-	-	-	57,000	50,750	6,250 12%	
Business Opportunity	450	400	50 12%	-	50	(50) -100%	450	450	- 0%	
Land Sale	-	1,192	(1,192) -	-	-	-	-	1,192	(1,192) -	
Oklahoma Issuer	-	-	-	-	-	-	-	-	-	
No-Action	-	-	-	-	-	-	-	-	-	
Subtotal	2,022,900	2,002,942	19,958 1%	867,900	850,300	17,600 2%	2,890,800	2,853,242	37,558 1%	
Licensing										
Broker-dealer Agent	321,380	280,530	40,850 15%	-	-	-	321,380	280,530	40,850 15%	
Investment Adviser Representative	11,210	12,750	(1,540) -12%	-	-	-	11,210	12,750	(1,540) -12%	
Broker-Dealer	-	-	-	6,950	9,800	(2,850) -29%	6,950	9,800	(2,850) -29%	
Investment Adviser	-	-	-	8,150	6,900	1,250 18%	8,150	6,900	1,250 18%	
Issuer Agent	900	1,800	(900) -50%	-	-	-	900	1,800	(900) -50%	
Land Sale Agent	30	30	-	-	-	-	30	30	-	
Broker-dealer Principal	-	-	-	-	-	-	-	-	-	
Subtotal	333,520	295,110	38,410 13%	15,100	16,700	(1,600) -10%	348,620	311,810	36,810 12%	
Enforcement										
Civil Penalty ²	2,671	10,000	(7,329) -	-	-	-	2,671	10,000	(7,329) -	
Subtotal	2,671	10,000	(7,329) -	-	-	-	2,671	10,000	(7,329) -	
Administrative										
Services	136	-	136 -	109	225	(116) -	109	225	(116) -	
Other	136	0	136 -	480	-	480 #DIV/0!	616	-	616 -	
Subtotal	272	0	272 -	590	225	364 162%	725	225	500 222%	
Total Unrestricted	\$ 2,359,227	\$ 2,308,052	\$ 51,175 2%	\$ 883,590	\$ 867,225	\$ 16,364 2%	\$ 3,242,816	\$ 3,175,277	\$ 67,539 2%	
RESTRICTED										
INVESTOR EDUCATION										
Civil Penalty	-	-	-	305,758	-	305,758	305,758	-	305,758	
Interest Income	-	-	-	38,695	29,939	8,756	38,695	29,939	8,756	
Other	-	-	-	16	-	16	16	-	16	
Total Restricted	\$ -	\$ -	\$ -	\$ 344,469	\$ 29,939	\$ 314,530 1051%	\$ 344,469	\$ 29,939	\$ 314,530 1051%	
COMBINED TOTAL	\$ 2,359,227	\$ 2,308,052	\$ 51,175 2%	\$ 1,228,059	\$ 897,165	\$ 330,894 37%	\$ 3,587,286	\$ 3,205,217	\$ 382,069 12%	



State of Oklahoma
Office of State Finance
Allotment Budget and Available Cash
As Of September 30, 2006

11/17/2006
7:41:38 AM
Page 1

<u>Business Unit</u>	<u>Class</u>	<u>Dept</u>	<u>Bud Ref</u>	<u>Allocations</u>	<u>Pre Encumbered</u>	<u>Encumbered</u>	<u>Current Yr Exp</u>	<u>Prior Yr Exp</u>	<u>Allotment Budget</u>	<u>Available Cash</u>
63000	200									4,554,293.34
	20000	10	05	2,523,666.00	.00	256.20	.00	2,454,314.56	69,095.24	
	20000	10	06	3,408,590.00	8,400.00	8,587.77	48,885.12	2,897,708.96	445,008.15	
	20000	10	07	3,423,870.00	4,000.00	150,536.91	769,710.07	(5,390.92)	2,505,013.94	
	20000	91	05	120,000.00	.00	.00	.00	75,211.30	44,788.70	
	20000	91	06	166,744.00	.00	.00	574.46	30,008.76	136,160.78	
	20000	91	07	116,196.00	.00	2,409.40	3,346.57	.00	110,440.03	
	205									3,689,962.57
	20500	30	05	525,313.00	.00	.00	.00	525,313.00	.00	
	20500	30	06	1,812,264.00	.00	.00	248,963.10	653,943.39	909,357.51	
	20500	30	07	1,010,608.00	.00	260,608.10	.00	.00	749,999.90	
	<u>Business Unit Totals</u>			<u>13,107,251.00</u>	<u>12,400.00</u>	<u>422,398.38</u>	<u>1,071,479.32</u>	<u>6,631,109.05</u>	<u>4,969,864.25</u>	<u>8,244,255.91</u>
	<u>Grand Totals</u>			<u>13,107,251.00</u>	<u>12,400.00</u>	<u>422,398.38</u>	<u>1,071,479.32</u>	<u>6,631,109.05</u>	<u>4,969,864.25</u>	<u>8,244,255.91</u>

