OKLAHOMA DEPARTMENT OF SECURITIES
CASH BASIS YEAR-TO-DATE COMPARISON

	YTD June 30, 2012	YTD June 30, 2011	Percentage Change
ASSETS			
Cash and cash equivalents	$ 6,363,274	$ 6,866,666	-7%
Cash restricted for investor education	2,303,023	2,715,539	-15%
TOTAL ASSETS	$ 8,666,297	$ 9,582,205	-10%
LIABILITIES			
Due to State's General Fund	$ 257,250	$ 829,300	-69% 1
TOTAL LIABILITIES	$ 257,250	$ 829,300	-69%
NET ASSETS			
Restricted net assets - expendable	$ 2,303,023	$ 2,715,539	-15%
Unrestricted net assets	6,106,024	6,037,366	1%
TOTAL NET ASSETS	$ 8,409,047	$ 8,752,905	-4%
TOTAL LIABILITIES AND NET ASSETS	$ 8,666,297	$ 9,582,205	-10%

	June 2012	June 2011	
OPERATING REVENUES			
Securities registration fees	$ 12,431,160	$ 12,093,500	3%
Securities professionals' registration fees	7,116,320	6,992,580	2%
Fines, penalties, and administrative costs	219,703	295,643	-26% 2
Other revenue	4,983	5,694	-12%
TOTAL OPERATING REVENUES	$ 19,772,166	$ 19,387,417	2%
OPERATING EXPENSES			
Salaries, wages, and benefits	$ 3,322,951	$ 3,252,783	2%
Rent expense	141,997	146,635	-3%
Contracted and professional services	109,188	198,534	-45% 3
Investor education professional services	1,288,068	1,202,426	7%
Other general and administrative expenses	333,186	236,734	41% 4
TOTAL OPERATING EXPENSES	$ 5,195,390	$ 5,037,112	3%
OPERATING INCOME	$ 14,576,776	$ 14,350,305	2%
NONOPERATING REVENUE (EXPENSE)			
Interest income	$ 64,226	$ 62,105	3%
Transfers to and due to State of Oklahoma	(14,985,160)	(14,604,180)	3%
NET NONOPERATING EXPENSE	$ (14,920,934)	$ (14,542,075)	3%
NET CHANGE IN NET ASSETS	$ (344,158)	$ (191,770)	79%
NET ASSETS, BEGINNING OF YEAR	$ 8,753,205	$ 8,944,675	-2%
NET ASSETS, YTD	$ 8,409,047	$ 8,752,905	-4%

1 Decrease is due to payment of amounts due to State of Oklahoma's General Fund
2 Fines vary based on amounts awarded.
3 Decrease due to fees paid in FY 11 for accounting services related to audit report preparation.
4 Purchased data processing software.

OKLAHOMA DEPARTMENT OF SECURITIES
FINANCIAL STATEMENTS - CASH BASIS

	July 31, 2011	August 31, 2011	September 30, 2011	October 31, 2011	November 30, 2011	December 31, 2011	January 31, 2012	February 29, 2012	March 31, 2012	April 30, 2012	May 31, 2012	June 30, 2012	Total YTD
ASSETS													
Cash and cash equivalents	$ 6,203,894	$ 6,288,330	$ 6,212,282	$ 6,145,120	$ 5,821,364	$ 6,723,755	$ 6,713,704	$ 6,597,816	$ 6,579,294	$ 6,573,713	$ 6,501,972	$ 6,363,274	$ 6,363,274
Cash restricted for investor education	2,725,552	2,731,391	2,677,347	2,698,045	2,537,313	2,518,538	2,524,276	2,530,421	2,357,849	2,527,292	2,405,160	2,303,023	2,303,023
TOTAL ASSETS	$ 8,929,446	$ 9,019,721	$ 8,889,629	$ 8,843,165	$ 8,358,677	$ 9,242,293	$ 9,237,980	$ 9,128,237	$ 8,937,143	$ 9,101,005	$ 8,907,132	$ 8,666,297	$ 8,666,297
LIABILITIES													
Due to State's General Fund	$ 255,600	$ 343,300	$ 291,500	$ 294,350	$ 283,200	$ 356,810	$ 345,450	$ 249,450	$ 306,000	$ 282,350	$ 336,130	$ 257,250	$ 257,250
TOTAL LIABILITIES	$ 255,600	$ 343,300	$ 291,500	$ 294,350	$ 283,200	$ 356,810	$ 345,450	$ 249,450	$ 306,000	$ 282,350	$ 336,130	$ 257,250	$ 257,250
NET ASSETS													
Restricted net assets - expendable	$ 2,725,552	$ 2,731,391	$ 2,677,347	$ 2,698,045	$ 2,537,313	$ 2,518,538	$ 2,524,276	$ 2,530,421	$ 2,357,849	$ 2,527,292	$ 2,405,160	$ 2,303,023	$ 2,303,023
Unrestricted net assets	5,948,294	5,945,030	5,920,782	5,850,770	5,538,164	6,366,945	6,368,254	6,348,366	6,273,294	6,291,363	6,165,842	6,106,024	6,106,024
TOTAL NET ASSETS	$ 8,673,846	$ 8,676,421	$ 8,598,129	$ 8,548,815	$ 8,075,477	$ 8,885,483	$ 8,892,530	$ 8,878,787	$ 8,631,143	$ 8,818,655	$ 8,571,002	$ 8,409,047	$ 8,409,047
TOTAL LIABILITIES AND NET ASSETS	$ 8,929,446	$ 9,019,721	$ 8,889,629	$ 8,843,165	$ 8,358,677	$ 9,242,293	$ 9,237,980	$ 9,128,237	$ 8,937,143	$ 9,101,005	$ 8,907,132	$ 8,666,297	$ 8,666,297

	July 2011	August 2011	September 2011	October 2011	November 2011	December 2011	January 2012	February 2012	March 2012	April 2012	May 2012	June 2012	FY 2012 YTD
OPERATING REVENUES													
Securities registration fees	$ 816,100	$ 1,070,900	$ 1,210,750	$ 811,550	$ 904,450	$ 1,166,500	$ 1,112,150	$ 903,910	$ 1,151,100	$ 1,132,600	$ 1,148,550	$ 1,002,600	$ 12,431,160
Securities professionals' registration fees	108,250	118,300	131,730	110,340	92,920	5,866,080	182,660	103,150	100,340	105,650	97,850	99,050	7,116,320
Fines, penalties, and administrative costs	4,074	-	-	15,000	12,500	(7,000) #	500	750	750	188,879	4,250	-	219,703
Other revenue	88	488	97	493	561	196	215	754	486	702	902	1	4,983
TOTAL OPERATING REVENUES	$ 928,512	$ 1,189,688	$ 1,342,577	$ 937,383	$ 1,010,431	$ 7,025,776	$ 1,295,525	$ 1,008,564	$ 1,252,676	$ 1,427,831	$ 1,251,552	$ 1,101,651	$ 19,772,166
OPERATING EXPENSES													
Salaries, wages, and benefits	$ 295,365	$ 285,569	$ 266,811	$ 278,313	$ 273,644	$ 267,107	$ 277,454	$ 273,641	$ 273,606	$ 271,181	$ 270,114	$ 290,146	$ 3,322,951
Rent expense	448	21,976	14,067	11,331	10,994	2,760	17,631	15,653	11,345	12,049	2,387	21,356	141,997
Contracted and professional services	4,661	14,181	8,731	4,099	27,667	2,200	7,283	3,179	497	6,873	2,993	26,824	109,188
Investor education professional services	-	-	144,890	-	429,525	29,468	-	-	307,790	42,274	227,057	107,064	1,288,068
Other general and administrative expenses	37,136	5,626	11,525	24,061	25,481	9,010	39,738	14,078	10,849	24,852	102,787	28,043	333,186
TOTAL OPERATING EXPENSES	$ 337,610	$ 327,352	$ 446,024	$ 317,804	$ 767,311	$ 310,545	$ 342,106	$ 306,551	$ 604,087	$ 357,229	$ 605,338	$ 473,433	$ 5,195,390
OPERATING INCOME	$ 590,902	$ 862,336	$ 896,553	$ 619,579	$ 243,120	$ 6,715,231	$ 953,419	$ 702,013	$ 648,589	$ 1,070,602	$ 646,214	$ 628,218	$ 14,576,776
NONOPERATING REVENUE (EXPENSE)													
Interest income	$ 5,939	$ 5,839	$ 5,885	$ 5,697	$ 5,462	$ 5,265	$ 5,238	$ 5,394	$ 4,657	$ 5,010	$ 4,913	$ 4,927	$ 64,226
Transfers to and due to State of Oklahoma	(675,900)	(865,900)	(980,730)	(674,590)	(721,920)	(5,910,490)	(951,610)	(721,150)	(900,890)	(888,100)	(898,780)	(795,100)	(14,985,160)
NET NONOPERATING EXPENSE	$ (669,961)	$ (860,061)	$ (974,845)	$ (668,893)	$ (716,458)	$ (5,905,225)	$ (946,372)	$ (715,756)	$ (896,233)	$ (883,090)	$ (893,867)	$ (790,173)	$ (14,920,934)
NET CHANGE IN NET ASSETS	$ (79,059)	$ 2,275	$ (78,292)	$ (49,314)	$ (473,338)	$ 810,006	$ 7,047	$ (13,743)	$ (247,644)	$ 187,512	$ (247,653)	$ (161,955)	$ (344,158)
NET ASSETS, BEGINNING OF MONTH	$ 8,752,905	$ 8,674,146 *	$ 8,676,421	$ 8,598,129	$ 8,548,815	$ 8,075,477	$ 8,885,483	$ 8,892,530	$ 8,878,787	$ 8,631,143	$ 8,818,655	$ 8,571,002	$ 8,753,205 *
NET ASSETS, END OF MONTH	$ 8,673,846	$ 8,676,421	$ 8,598,129	$ 8,548,815	$ 8,075,477	$ 8,885,483	$ 8,892,530	$ 8,878,787	$ 8,631,143	$ 8,818,655	$ 8,571,002	$ 8,409,047	$ 8,409,047

* Adjusted for correction to petty cash.
\# Negative revenue due to a correction made related to prior month receipts.