OKLAHOMA DEPARTMENT OF SECURITIES
FINANCIAL STATEMENTS - CASH BASIS

	July 31, 2012	August 31, 2012	September 30, 2012	October 31, 2012	November 30, 2012	December 31, 2012	January 31, 2013	February 28, 2013	March 31, 2013	April 30, 2013	May 31, 2013	June 30, 2013	Total YTD
ASSETS													
Cash and cash equivalents	$ 6,502,110	$ 6,434,897	$ 6,180,132	$ 6,186,883	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ 6,186,883
Cash restricted for investor education	2,307,618	2,312,081	2,030,978	1,933,272	-	-	-	-	-	-	-	-	1,933,272
TOTAL ASSETS	$ 8,809,728	$ 8,746,978	$ 8,211,110	$ 8,120,155	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ 8,120,155
LIABILITIES													
Due to State's General Fund	$ 376,450	$ 317,100	$ 262,400	$ 334,900	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ 334,900
TOTAL LIABILITIES	$ 376,450	$ 317,100	$ 262,400	$ 334,900	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ 334,900
NET ASSETS													
Restricted net assets - expendable	$ 2,307,618	$ 2,312,081	$ 2,030,978	$ 1,933,272	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ 1,933,272
Unrestricted net assets	6,125,660	6,117,797	5,917,732	5,851,983	-	-	-	-	-	-	-	-	5,851,983
TOTAL NET ASSETS	$ 8,433,278	$ 8,429,878	$ 7,948,710	$ 7,785,255	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ 7,785,255
TOTAL LIABILITIES AND NET ASSETS	$ 8,809,728	$ 8,746,978	$ 8,211,110	$ 8,120,155	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ 8,120,155

	July 2012	August 2012	September 2012	October 2012	November 2012	December 2012	January 2013	February 2013	March 2013	April 2013	May 2013	June 2013	FY 2013 YTD
OPERATING REVENUES													
Securities registration fees	$ 1,046,950	$ 1,032,700	$ 1,146,200	$ 932,800	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ 4,158,650
Securities professionals' registration fees	89,960	100,510	102,300	107,030	-	-	-	-	-	-	-	-	399,800
Fines, penalties, and administrative costs	-	-	-	2,500	-	-	-	-	-	-	-	-	2,500
Other revenue	489	9	481	483	-	-	-	-	-	-	-	-	1,462
TOTAL OPERATING REVENUES	$ 1,137,399	$ 1,133,219	$ 1,248,981	$ 1,042,813	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ 4,562,412
OPERATING EXPENSES													
Salaries, wages, and benefits	$ 280,944	$ 281,122	$ 282,487	$ 280,241	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ 1,124,794
Rent expense	481	15,375	18,159	17,574	-	-	-	-	-	-	-	-	51,589
Contracted and professional services	6,391	4,442	7,147	10,610	-	-	-	-	-	-	-	-	28,590
Investor education professional services	-	-	493,930	126,126	-	-	-	-	-	-	-	-	620,056
Other general and administrative expenses	8,237	24,483	33,587	22,102	-	-	-	-	-	-	-	-	88,409
TOTAL OPERATING EXPENSES	$ 296,053	$ 325,422	$ 835,310	$ 456,653	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ 1,913,438
OPERATING INCOME	$ 841,346	$ 807,797	$ 413,671	$ 586,160	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ 2,648,974
NONOPERATING REVENUE (EXPENSE)													
Interest income	$ 4,595	$ 4,463	$ 4,511	$ 4,015	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ 17,584
Transfers to and due to State of Oklahoma	(821,710)	(815,660)	(899,350)	(753,630)	-	-	-	-	-	-	-	-	(3,290,350)
NET NONOPERATING EXPENSE	$ (817,115)	$ (811,197)	$ (894,839)	$ (749,615)	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ (3,272,766)
NET CHANGE IN NET ASSETS	$ 24,231	$ (3,400)	$ (481,168)	$ (163,455)	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ (623,792)
NET ASSETS, BEGINNING OF MONTH	$ 8,409,047	$ 8,433,278	$ 8,429,878	$ 7,948,710	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ 8,409,047
NET ASSETS, END OF MONTH	$ 8,433,278	$ 8,429,878	$ 7,948,710	$ 7,785,255	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ -	$ 7,785,255

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

	YTD October 31, 2012	YTD October 31, 2011	Percentage Change
ASSETS			
Cash and cash equivalents	$ 6,186,883	$ 6,145,120	1%
Cash restricted for investor education	1,933,272	2,698,045	-28% 1
TOTAL ASSETS	$ 8,120,155	$ 8,843,165	-8%
LIABILITIES			
Due to State's General Fund	$ 334,900	$ 294,350	14%
TOTAL LIABILITIES	$ 334,900	$ 294,350	14%
NET ASSETS			
Restricted net assets - expendable	$ 1,933,272	$ 2,698,045	-28%
Unrestricted net assets	5,851,983	5,850,770	0%
TOTAL NET ASSETS	$ 7,785,255	$ 8,548,815	-9%
TOTAL LIABILITIES AND NET ASSETS	$ 8,120,155	$ 8,843,165	-8%

	October 2012	October 2011	
OPERATING REVENUES			
Securities registration fees	$ 4,158,650	$ 3,909,300	6%
Securities professionals' registration fees	399,800	468,620	-15% 2
Fines, penalties, and administrative costs	2,500	19,074	-87% 3
Other revenue	1,462	1,166	25%
TOTAL OPERATING REVENUES	$ 4,562,412	$ 4,398,160	4%
OPERATING EXPENSES			
Salaries, wages, and benefits	$ 1,124,794	$ 1,126,058	0%
Rent expense	51,589	47,822	8%
Contracted and professional services	28,590	31,672	-10%
Investor education professional services	620,056	144,890	100% 4
Other general and administrative expenses	88,409	78,348	13%
TOTAL OPERATING EXPENSES	$ 1,913,438	$ 1,428,790	34%
OPERATING INCOME	$ 2,648,974	$ 2,969,370	-11%
NONOPERATING REVENUE (EXPENSE)			
Interest income	$ 17,584	$ 23,360	-25% 5
Transfers to and due to State of Oklahoma	(3,290,350)	(3,197,120)	3%
NET NONOPERATING EXPENSE	$ (3,272,766)	$ (3,173,760)	3%
NET CHANGE IN NET ASSETS	$ (623,792)	$ (204,390)	205%
NET ASSETS, BEGINNING OF YEAR	$ 8,409,047	$ 8,753,205	-4%
NET ASSETS, YTD	$ 7,785,255	$ 8,548,815	-9%

1 Decrease is due to an increase in OU invoices and a decrease in fine revenue.
2 Decrease is due to a decline in broker dealer filings.
3 Fines vary based on amounts awarded. In FY 2013, fewer fines have been awarded and collected.
4 Increase in work performed for investor education.
5 Decrease is due to lower account balance and lower rate of return.

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

	Total Budget	Actual YTD	Remaining Balance	Remaining Percentage
OPERATING REVENUES				
Securities registration fees	$ 12,467,520	$ 4,158,650	8,308,870	67%
Securities professionals' registration fees	7,117,900	399,800	6,718,100	94%
Fines, penalties, and administrative costs	81,574	2,500	79,074	97%
Other revenue	5,435	1,462	3,973	73%
TOTAL OPERATING REVENUES	$ 19,672,429	$ 4,562,412	15,110,017	
OPERATING EXPENSES				
Salaries, wages, and benefits	$ 3,900,602	$ 1,124,794	2,775,808	71%
Rent expense	147,505	51,589	95,916	65%
Contracted and professional services	179,344	28,590	150,754	84%
Investor education professional services	2,384,596	620,056	1,764,540	74%
Other general and administrative expenses	748,431	88,409	660,022	88%
TOTAL OPERATING EXPENSES	$ 7,360,478	$ 1,913,438	5,447,040	
OPERATING INCOME	$ 12,311,951	$ 2,648,974	$ 9,662,977	
NONOPERATING REVENUE (EXPENSE)				
Interest income	$ 64,690	$ 17,584	47,106	73%
Transfers to and due to State of Oklahoma	(14,500,000)	(3,290,350)	(11,209,650)	77%
NET NONOPERATING EXPENSE	$ (14,435,310)	$ (3,272,766)	$ (11,162,544)	
NET CHANGE IN NET ASSETS	$ (2,123,359)	$ (623,792)	(1,499,567)	71%