

Schedule 9.A

Cash Fund Status for: Fixed Utilities Fund #184 C.R.S. Citation: 40-2-114, C.R.S.

Cash Fund Revenue and Expenditure Trend Information

| | Actual FY 2007-08 | Actual FY 2008-09 | Estimate FY 2009-10 | Request FY 2010-11 | Projected FY 2011-12 |
|------------------------------|------------------------------|------------------------------|--------------------------------|-------------------------------|---------------------------------|
| Beginning Balance | 245,402 | 676,249 | 773,888 | 373,141 | 373,141 |
| Exempt Revenue | | | | | |
| Non-Exempt Revenue | 11,564,427 | 12,101,902 | 12,214,079 | 12,809,650 | 13,065,343 |
| Total Expenditures | 11,133,580 | 12,004,263 | 12,614,826 | 12,809,650 | 13,065,343 |
| Ending Balance | 676,249 | 773,888 | 373,141 | 373,141 | 373,141 |
| Ending Balance – Cash Assets | | | | | |
| Reserves Increase/Decrease | 775,544 | 97,639 | (400,747) | 0 | 0 |

Fee Levels

| | Actual FY 2007-08 | Actual FY 2008-09 | Estimate FY 2009-10 | Request FY 2010-11 | Projected FY 2011-12 |
|-------------------------------|------------------------------|------------------------------|--------------------------------|-------------------------------|---------------------------------|
| 1. Fixed Utilities Assessment | | | | | |

Cash Fund Reserve Balance

| | Actual FY 2007-08 | Actual FY 2008-09 | Estimate FY 2009-10 | Request FY 2010-11 | Projected FY 2011-12 |
|---|------------------------------|------------------------------|--------------------------------|-------------------------------|---------------------------------|
| Uncommitted Fee Reserve Balance (total reserve balance minus exempt assets and previously appropriated funds; calculated based on % of revenue from fees) | 238,995 | 773,888 | 373,141 | 373,141 | 373,141 |
| Target/Alternative Fee Reserve Balance (amount set in statute or 16.5% of total expenses) | 1,837,041 | 1,980,703 | 2,081,446 | 2,113,592 | 2,155,782 |
| Excess Uncommitted Fee Reserve Balance | (1,598,046) | (1,206,815) | (1,708,305) | (1,740,451) | (1,782,640) |

Deadline for Complying with the Target/Alternative Reserve Balance:

June 30, 2009

| Cash Fund Narrative Information | | | | | |
|---|---|--|------------------------|-----------------------|-------------------------|
| Purpose/Background of Fund | | The fund exists to support the administrative expenses of the Public Utilities Commission (PUC) for the supervision and regulation of the public utilities and for financing the Office of Consumer Counsel (OCC). Three percent of the revenue collected pursuant to fixed utilities law is transferred to the General Fund. The remaining 97 percent is available for use by PUC and OCC (§40-2-114, C.R.S.).. | | | |
| Fee Sources | | The fund receives revenues from an annual assessment against regulated utilities, performed by Department of Revenue based on a computation pursuant to statute (§40-2-112, C.R.S.). | | | |
| Non-Fee Sources | | Federal grant for pipeline safety is deposited into the fund. | | | |
| Long Bill Groups Supported by Fund | | Public Utilities Commission | | | |
| Statutory or Other Restriction on Use of Fund | | The fund may only be used for purposes stated in 40-2-114 regarding PUC's regulation of fixed utilities. | | | |
| Revenue Drivers | | Assessments are made annually based on the Long Bill appropriation to the PUC, allocation of potted line items, any special bills, the appropriation to the OCC, and OCC pots. Assessments also take into consideration any fund balance and be sufficient to cover the 3 percent transfer to the General Fund. | | | |
| Expenditure Drivers | | Expenditures are driven by program costs and correspond to legislative appropriations for the Public Utilities Commission. For this fund, expenditures include personal services, operating costs, expert testimony and hearings expenses, legal services, and various central appropriations. Expenditures can vary based on staffing and the need for legal and hearings expenses. | | | |
| Assessment of Potential for Compliance | | This fund is presently in compliance. | | | |
| Action | <input type="checkbox"/> Already in Compliance <input type="checkbox"/> Statute Change ¹ <input type="checkbox"/> Planned Fee Reduction ¹ | | | | |
| | <input type="checkbox"/> Planned One-time Expenditure(s) ¹ <input type="checkbox"/> Planned Ongoing Expenditure(s) ¹ <input type="checkbox"/> Waiver ² | | | | |
| Cash Fund Expenditure Line Item Detail and Change Requests | | | | | |
| | Actual FY 2007-08 | Actual FY 2008-09 | Estimate FY 2009-10 | Request FY 2010-11 | Projected FY 2011-12 |
| Public Utilities Commission | | | | | |
| Personal Services | 6,942,883 | 7,553,427 | 8,109,281 | 7,647,030 | 7,799,971 |
| Operating Expenses | 315,212 | 359,899 | 398,352 | 389,297 | 397,083 |
| Expert Testimony | 23,500 | 9,850 | 25,000 | 25,000 | 25,000 |
| Indirect Cost Assessment | 876,738 | 963,748 | 945,829 | 945,829 | 964,746 |
| Centrally Appropriated Lines/OCC transfer/Other | 2,966,299 | 3,117,339 | 3,136,363 | 3,802,494 | 3,878,544 |
| Division Subtotal | 11,124,632 | 12,004,263 | 12,614,826 | 12,809,650 | 13,065,343 |
| TOTAL | 11,124,632 | 12,004,263 | 12,614,826 | 12,809,650 | 13,065,343 |

Schedule 9.A

Cash Fund Status for: Motor Carrier Fund #185 C.R.S. Citation: 40-2-110.5, C.R.S.

Cash Fund Revenue and Expenditure Trend Information

| | Actual FY 2007-08 | Actual FY 2008-09 | Estimate FY 2009-10 | Request FY 2010-11 | Projected FY 2011-12 |
|------------------------------|------------------------------|------------------------------|--------------------------------|-------------------------------|---------------------------------|
| Beginning Balance | (5,369) | 484,770 | 850,126 | 533,258 | 249,581 |
| Exempt Revenue | | | | | |
| Non-Exempt Revenue | 2,538,016 | 1,992,461 | 1,400,000 | 1,400,000 | 1,400,000 |
| Total Expenditures | 2,047,877 | 1,627,105 | 1,716,868 | 1,683,677 | 1,717,351 |
| Ending Balance | 484,770 | 850,126 | 533,258 | 249,581 | (67,770) |
| Ending Balance – Cash Assets | | | | | |
| Reserves Increase/Decrease | 479,401 | 365,356 | (316,868) | (283,677) | (317,351) |

Fee Levels

| | Actual FY 2007-08 | Actual FY 2008-09 | Estimate FY 2009-10 | Request FY 2010-11 | Projected FY 2011-12 |
|---|------------------------------|------------------------------|--------------------------------|-------------------------------|---------------------------------|
| 1. Annual identification fee (both interstate and intrastate) | \$5 | \$50 | \$50 | \$50 | \$50 |

Cash Fund Reserve Balance

| | Actual FY 2007-08 | Actual FY 2008-09 | Estimate FY 2009-10 | Request FY 2010-11 | Projected FY 2011-12 |
|---|------------------------------|------------------------------|--------------------------------|-------------------------------|---------------------------------|
| Uncommitted Fee Reserve Balance (total reserve balance minus exempt assets and previously appropriated funds; calculated based on % of revenue from fees) | 484,770 | 850,126 | 533,258 | 249,581 | (67,770) |
| Target/Alternative Fee Reserve Balance (amount set in statute or 16.5% of total expenses) | 337,900 | 268,472 | 283,283 | 277,807 | 283,363 |
| Excess Uncommitted Fee Reserve Balance | 146,870 | 581,654 | 249,975 | (28,226) | (351,133) |
| Deadline for Complying with the Target/Alternative Reserve Balance: | | | | June 30, 2009 | |

| Cash Fund Narrative Information | | | | | |
|--|---|---|------------------------|-----------------------|-------------------------|
| Purpose/Background of Fund | | The fund exists to support the PUC's administration of laws governing the regulation of motor carriers in Colorado. | | | |
| Fee Sources | | Fees sources include permit fees and annual \$5 federal and state identification fees from regulated motor carriers. State identification fees were changed from a statutory maximum of \$5 in response to revenue shortfalls from the federally authorized fee, and this required a fee increase to \$50 during FY 08-09. Fees will be adjusted in future years to match expenditures. For 08-09, the \$5 federal fee is not to be collected from the PUC. Additionally, | | | |
| Non-Fee Sources | | Earned interest. | | | |
| Long Bill Groups Supported by Fund | | Public Utilities Commission | | | |
| Statutory or Other Restriction on Use of Fund | | The fund may only be used for PUC's regulation of motor carriers. | | | |
| Revenue Drivers | | Revenue is the result of the number of motor carriers who pay for permits and the annual registration fee, as well as revenues from the Unified Carrier Registration (UCR) system. | | | |
| Expenditure Drivers | | Expenditures are driven by program costs and correspond to legislative appropriations for the Public Utilities Commission. For this fund, expenditures include personal services, operating costs, expert testimony and hearings expenses, legal services, and various central appropriations. Expenditures can vary based on staffing and the need for legal and hearings expenses. | | | |
| Assessment of Potential for Compliance | | This fund is presently in compliance. Most revenue is not from a state fee. | | | |
| Action | <input type="checkbox"/> Already in Compliance <input type="checkbox"/> Statute Change ¹ <input type="checkbox"/> Planned Fee Reduction ¹ | | | | |
| | <input type="checkbox"/> Planned One-time Expenditure(s) ¹ <input type="checkbox"/> Planned Ongoing Expenditure(s) ¹ <input type="checkbox"/> Waiver ² | | | | |
| Cash Fund Expenditure Line Item Detail and Change Requests | | | | | |
| | Actual FY 2007-08 | Actual FY 2008-09 | Estimate FY 2009-10 | Request FY 2010-11 | Projected FY 2011-12 |
| Public Utilities Commission | | | | | |
| Personal Services | 1,446,368 | 1,172,515 | 1,254,785 | 1,183,259 | 1,206,924 |
| Operating Expenses | 55,701 | 50,203 | 61,639 | 60,238 | 61,442 |
| Indirect Cost Assessment | 200,523 | 199,558 | 195,848 | 195,848 | 199,765 |
| Centrally Appropriated Lines | 345,285 | 204,829 | 204,597 | 244,333 | 249,220 |
| Division Subtotal | 2,047,877 | 1,627,105 | 1,716,868 | 1,683,677 | 1,717,351 |
| TOTAL | 2,047,877 | 1,627,105 | 1,716,868 | 1,683,677 | 1,717,351 |

Schedule 9.A

Cash Fund Status for: *Nuclear Materials Transportation Fund #186* **C.R.S. Citation:** *42-20-511, C.R.S.*

Cash Fund Revenue and Expenditure Trend Information

| | Actual FY 2007-08 | Actual FY 2008-09 | Estimate FY 2009-10 | Request FY 2010-11 | Projected FY 2011-12 |
|------------------------------|------------------------------|------------------------------|--------------------------------|-------------------------------|---------------------------------|
| Beginning Balance | 40,000 | 40,000 | 40,000 | 40,000 | 40,000 |
| Exempt Revenue | | | | | |
| Non-Exempt Revenue | 92,925 | 122,500 | 124,950 | 127,449 | 129,998 |
| Total Expenditures | 92,925 | 122,500 | 124,950 | 127,449 | 129,998 |
| Ending Balance | 40,000 | 40,000 | 40,000 | 40,000 | 40,000 |
| Ending Balance – Cash Assets | | | | | |
| Reserves Increase/Decrease | 0 | (0) | (0) | (0) | (0) |

Fee Levels

| | Actual FY 2007-08 | Actual FY 2008-09 | Estimate FY 2009-10 | Request FY 2010-11 | Projected FY 2011-12 |
|---|------------------------------|------------------------------|--------------------------------|-------------------------------|---------------------------------|
| 1. Annual Permit Fee, per §42-20-502 | \$500 | \$500 | \$500 | \$500 | \$500 |
| 2. Single Trip Permit Fee, per §42-20-502 | \$200 | \$200 | \$200 | \$200 | \$200 |

Cash Fund Reserve Balance

| | Actual FY 2007-08 | Actual FY 2008-09 | Estimate FY 2009-10 | Request FY 2010-11 | Projected FY 2011-12 |
|---|------------------------------|------------------------------|--------------------------------|-------------------------------|---------------------------------|
| Uncommitted Fee Reserve Balance (total reserve balance minus exempt assets and previously appropriated funds; calculated based on % of revenue from fees) | 40,000 | 40,000 | 40,000 | 40,000 | 40,000 |
| Target/Alternative Fee Reserve Balance (amount set in statute or 16.5% of total expenses) | 15,333 | 20,213 | 20,617 | 21,029 | 21,450 |
| Excess Uncommitted Fee Reserve Balance | 24,667 | 19,787 | 19,383 | 18,971 | 18,550 |

Deadline for Complying with the Target/Alternative Reserve Balance:

June 30, 2009

| Cash Fund Narrative Information | | | | | |
|--|---|--|------------------------|-----------------------|-------------------------|
| Purpose/Background of Fund | | The fund exists to provide funding to support a permitting and inspection program for the regulation of the transport of nuclear materials within or though the state of Colorado. The purpose is to protect citizens and the environment. (§40-20-401, C.R.S.) | | | |
| Fee Sources | | The fund is supported by nuclear materials permit fees (annual and single trip). | | | |
| Non-Fee Sources | | Civil penalties. | | | |
| Long Bill Groups Supported by Fund | | Department of Public Safety (CDPS): Special Programs, Nuclear Materials Transportation. Department of Revenue (DOR): Motor Vehicle Business Group, Administration, Personal Services and Motor Carrier Services Division, Personal Services and Operating Expenses. The PUC has no line items supported by this fund. | | | |
| Statutory or Other Restriction on Use of Fund | | The fund is used to cover the costs of hazardous materials shipments, but Section 42-20-107(3), C.R.S., provides that at the end of each fiscal year, any moneys remaining in the Hazardous Materials Safety Fund "shall not revert to the general fund, but shall be subject to appropriation by the General Assembly to the executive director of the Department of Public Safety for disbursement to local governments for the purposes related to the preparation and training for and response to hazardous materials incidents." | | | |
| Revenue Drivers | | The number of shipments made. | | | |
| Expenditure Drivers | | Expenditures are driven by program costs and correspond to legislative appropriations and the number of shipments made. | | | |
| Assessment of Potential for Compliance | | This fund is presently in compliance. | | | |
| Action | <input type="checkbox"/> Already in Compliance <input type="checkbox"/> Statute Change ¹ <input type="checkbox"/> Planned Fee Reduction ¹ | | | | |
| | <input type="checkbox"/> Planned One-time Expenditure(s) ¹ <input type="checkbox"/> Planned Ongoing Expenditure(s) ¹ <input type="checkbox"/> Waiver ² | | | | |
| Cash Fund Expenditure Line Item Detail and Change Requests | | | | | |
| | Actual FY 2007-08 | Actual FY 2008-09 | Estimate FY 2009-10 | Request FY 2010-11 | Projected FY 2011-12 |
| Department of Revenue | | | | | |
| MVBG Administration | 0 | 0 | 0 | 0 | 0 |
| Motor Carrier Services, Personal Svcs/Operating | 20,571 | 19,070 | 19,451 | 19,840 | 20,237 |
| Department of Public Safety | | | | | |
| Nuclear Materials Transportation | 72,354 | 103,430 | 105,499 | 107,609 | 109,761 |
| | | 0 | 0 | 0 | 0 |
| Division Subtotal | 92,925 | 122,500 | 124,950 | 127,449 | 129,998 |
| TOTAL | 92,925 | 122,500 | 124,950 | 127,449 | 129,998 |

Schedule 9.A

Cash Fund Status for: *Highway Crossing Protection Fund #187* **C.R.S. Citation:** *40-29-116, C.R.S.*

Cash Fund Revenue and Expenditure Trend Information

| | Actual FY 2007-08 | Actual FY 2008-09 | Estimate FY 2009-10 | Request FY 2010-11 | Projected FY 2011-12 |
|------------------------------|------------------------------|------------------------------|--------------------------------|-------------------------------|---------------------------------|
| Beginning Balance | 200,916 | 149,710 | 149,710 | 164,213 | 180,122 |
| Exempt Revenue | | | | | |
| Non-Exempt Revenue | 8,559 | 13,319 | 14,504 | 15,909 | 17,450 |
| Total Expenditures | 59,765 | 0 | 0 | 0 | 0 |
| Ending Balance | 149,710 | 163,028 | 164,213 | 180,122 | 197,572 |
| Ending Balance – Cash Assets | | | | | |
| Reserves Increase/Decrease | (51,206) | 13,319 | 14,504 | 15,909 | 17,450 |

Fee Levels

| | Actual FY 2007-08 | Actual FY 2008-09 | Estimate FY 2009-10 | Request FY 2010-11 | Projected FY 2011-12 |
|------------------------------|------------------------------|------------------------------|--------------------------------|-------------------------------|---------------------------------|
| No fees exist for this fund. | | | | | |

Cash Fund Reserve Balance

| | Actual FY 2007-08 | Actual FY 2008-09 | Estimate FY 2009-10 | Request FY 2010-11 | Projected FY 2011-12 |
|---|------------------------------|------------------------------|--------------------------------|-------------------------------|---------------------------------|
| Uncommitted Fee Reserve Balance (total reserve balance minus exempt assets and previously appropriated funds; calculated based on % of revenue from fees) | 0 | 0 | 0 | 0 | 0 |
| Target/Alternative Fee Reserve Balance (amount set in statute or 16.5% of total expenses) | 9,861 | 0 | 0 | 0 | 0 |
| Excess Uncommitted Fee Reserve Balance | (9,861) | 0 | 0 | 0 | 0 |

Deadline for Complying with the Target/Alternative Reserve Balance:

June 30, 2009

| Cash Fund Narrative Information | | | | | |
|---|---|----------------------|------------------------|-----------------------|-------------------------|
| Purpose/Background of Fund | The fund exists to support a program that provides financial resources for the building of railroad crossing protection devices. | | | | |
| Fee Sources | None. | | | | |
| Non-Fee Sources | Subject to appropriation, there is an annual transfer from the General Fund of \$240,000. The Fund retains its earned interest. No transfer is requested for FY 2009-10 | | | | |
| Long Bill Groups Supported by Fund | PUC: Highway Crossing Protection | | | | |
| Statutory or Other Restriction on Use of Fund | The fund may only be used to cover costs of the Highway Crossing Protection program. | | | | |
| Revenue Drivers | General Fund transfers and earned interest. However, revenue will consist of only earned interest for FY 06-07, and FY 07-08, as no General Fund transfers are expected. | | | | |
| Expenditure Drivers | Expenditures depend on when the PUC crossing projects are completed. The Commission approves the projects, but it can be up to several years before the expenditures are made. The funds are committed each year, but not necessarily expended during the same year. This is reflected in the fund balances above; FY 07-08 expenditures are encumbered. Interest earnings became continuously appropriated pursuant to S.B. 03-225; however, the fund is statutorily empowered to release funds upon order of the PUC. | | | | |
| Assessment of Potential for Compliance | This fund is presently in compliance. | | | | |
| Action | <input type="checkbox"/> Already in Compliance <input type="checkbox"/> Statute Change ¹ <input type="checkbox"/> Planned Fee Reduction ¹ <input type="checkbox"/> Planned One-time Expenditure(s) ¹ <input type="checkbox"/> Planned Ongoing Expenditure(s) ¹ <input type="checkbox"/> Waiver ² | | | | |
| Cash Fund Expenditure Line Item Detail and Change Requests | | | | | |
| | Actual FY 2007-08 | Actual FY 2008-09 | Estimate FY 2009-10 | Request FY 2010-11 | Projected FY 2011-12 |
| Public Utilities Commission | | | | | |
| Highway Crossing Protection | 59,765 | 0 | 0 | 0 | 0 |
| Division Subtotal | 59,765 | 0 | 0 | 0 | 0 |
| TOTAL | 59,765 | 0 | 0 | 0 | 0 |

Schedule 9.A

Cash Fund Status for: *Division of Registrations Cash Fund #189 C.R.S. Citation: 24-34-104, C.R.S.*

Cash Fund Revenue and Expenditure Trend Information

| | Actual FY 2007-08 | Actual FY 2008-09 | Estimate FY 2009-10 | Request FY 2010-11 | Projected FY 2011-12 |
|------------------------------|------------------------------|------------------------------|--------------------------------|-------------------------------|---------------------------------|
| Beginning Balance | 2,547,967 | 1,476,466 | 503,357 | 86,855 | 982,059 |
| Exempt Revenue | 2,428,796 | 2,773,200 | 2,773,200 | 2,773,200 | 2,828,664 |
| Non-Exempt Revenue | 18,313,061 | 19,951,637 | 21,626,705 | 23,000,000 | 23,460,000 |
| Total Expenditures | 21,813,358 | 23,697,947 | 24,816,407 | 24,877,996 | 25,375,556 |
| Ending Balance | 1,476,466 | 503,357 | 86,855 | 982,059 | 1,895,167 |
| Ending Balance – Cash Assets | | | | | |
| Reserves Increase/Decrease | (362,779) | (973,110) | (1,389,612) | 895,204 | 913,108 |

Fee Levels

| | Actual FY 2007-08 | Actual FY 2008-09 | Estimate FY 2009-10 | Request FY 2010-11 | Projected FY 2011-12 |
|---|------------------------------|------------------------------|--------------------------------|-------------------------------|---------------------------------|
| 1. There are numerous professional licensing fees for the 30 agencies in this fund. Please see the attached summary of major fees by board. | | | | | |

Cash Fund Reserve Balance

| | Actual FY 2007-08 | Actual FY 2008-09 | Estimate FY 2009-10 | Request FY 2010-11 | Projected FY 2011-12 |
|---|------------------------------|------------------------------|--------------------------------|-------------------------------|---------------------------------|
| Uncommitted Fee Reserve Balance (total reserve balance minus exempt assets and previously appropriated funds; calculated based on % of revenue from fees) | 1,476,466 | 503,357 | 86,855 | 982,059 | 1,895,167 |
| Target/Alternative Fee Reserve Balance (amount set in statute or 16.5% of total expenses) | 3,599,204 | 3,910,161 | 4,094,707 | 4,104,869 | 4,186,967 |
| Excess Uncommitted Fee Reserve Balance | (2,122,738) | (3,406,805) | (4,007,853) | (3,122,811) | (2,291,800) |

Deadline for Complying with the Target/Alternative Reserve Balance:

June 30, 2009

| Cash Fund Narrative Information | | | | | |
|--|--|----------------------|------------------------|-----------------------|-------------------------|
| Purpose/Background of Fund | The fund exists to support the costs of the Division to protect the public through effective licensure and enforcement for more than 30 professions and occupations. | | | | |
| Fee Sources | The fund is supported by numerous professional licensing fees including renewal fees, as well as original license fees, application fees, reciprocity fees, reinstatement fees, examination or examination processing fees, etc. Additionally, there are inspection and permit fees assessed in the Electrical, Plumbing, and Passenger Tramway boards. | | | | |
| Non-Fee Sources | Earned interest, as well as miscellaneous revenue such as sales of publications and maps. Additionally, Nurse Aides is funded from Departments of Public Health and Environment and Health Care Policy and Financing, which are required to obtain and forward federal funding. | | | | |
| Long Bill Groups Supported by Fund | Division of Registrations. | | | | |
| Statutory or Other Restriction on Use of Fund | The fund may only be used to cover costs of the Division of Registrations. | | | | |
| Revenue Drivers | Fees set annually so that revenue generated approximates program costs. Most renewal fees are on a two-year cycle. Actual revenue will depend on the number of payers (licensee and inspection numbers). | | | | |
| Expenditure Drivers | Expenditures are driven by program costs and correspond to legislative appropriations. For this fund, expenditures include personal services, associated operating expenses, expert testimony and hearings expenses, and legal services. Expenditures can vary based on staffing and the need for hearings and legal services. | | | | |
| Assessment of Potential for Compliance | This fund is presently in compliance. However, additional detail by board is reported in the attached Schedule 9.B to provide information on individual boards as if the legal requirements of S.B. 98-194 applied to specific subaccounts of this fund. It is important to note that the Uncommitted Reserves report accumulates the total excess balances by board but does not factor in boards that are in compliance. This serves to over-state the actual balance of the cash fund for informational purposes. | | | | |
| Action | <input type="checkbox"/> Already in Compliance <input type="checkbox"/> Statute Change ¹ <input type="checkbox"/> Planned Fee Reduction ¹ | | | | |
| | <input type="checkbox"/> Planned One-time Expenditure(s) ¹ <input type="checkbox"/> Planned Ongoing Expenditure(s) ¹ <input type="checkbox"/> Waiver ² | | | | |
| Cash Fund Expenditure Line Item Detail and Change Requests | | | | | |
| | Actual FY 2007-08 | Actual FY 2008-09 | Estimate FY 2009-10 | Request FY 2010-11 | Projected FY 2011-12 |
| Division of Registrations | | | | | |
| Personal Services | 11,776,908 | 12,698,341 | 12,994,458 | 11,945,957 | 12,184,876 |
| Operating Expenses | 1,313,306 | 1,433,554 | 1,441,026 | 1,359,778 | 1,386,974 |
| Office of Expedited Settlement Program Costs | | | 371,853 | 366,625 | 373,958 |
| Hearings | 215,123 | 269,704 | 307,075 | 307,075 | 313,217 |
| Indirect Cost Assessment | 3,756,951 | 4,095,901 | 4,384,837 | 4,363,658 | 4,450,931 |
| Payments to Dept of HCPF | 14,652 | 14,652 | 14,652 | 14,652 | 14,945 |
| Legal Defense Account Transfers | 275,000 | 202,317 | | | |
| Centrally Appropriated Lines/Other | 4,461,418 | 4,983,478 | 5,302,506 | 6,520,251 | 6,650,656 |
| | | | | | |
| Division Subtotal | 21,813,358 | 23,697,947 | 24,816,407 | 24,877,996 | 25,375,556 |
| TOTAL | 21,813,358 | 23,697,947 | 24,816,407 | 24,877,996 | 25,375,556 |

| Original License Fees | FY 07-08 | FY 08-09 | Estimated FY | FY 07-08 | FY 08-09 | Estimated |
|--------------------------------|----------|----------|---|----------|----------|-----------|
| | | | 09-10 | | | FY 09-10 |
| Acupuncturist | \$100 | \$100 | \$115 Occupational Therapists (two-year) | 60 | 60 | 60 |
| Addiction Counselor | 165 | 165 | 191 Optometrist | \$113 | \$113 | \$113 |
| Apprentice Electrician | 10 | 10 | 10 Other Pharmacy Outlet | 100 | 100 | 100 |
| Architect | 75 | 75 | 100 Outfitters | 325 | 325 | 325 |
| Audiologists | 50 | 50 | 50 Pharmacist | 269 | 225 | 225 |
| Barber Shop | 50 | 50 | 50 Physical Therapy | 50 | 50 | 50 |
| Boxer/Kickboxer | 30 | 30 | 30 Physician | 400 | 400 | 400 |
| Boxing Officials | 100 | 100 | 100 Physician Assistant | 160 | 160 | 160 |
| Boxing Promoter | 250 | 250 | 250 Plumbing Contractor | 100 | 100 | 210 |
| Boxing Seconds | 30 | 30 | 30 Podiatrist | 250 | 200 | 200 |
| Chiropractors | 150 | 150 | 150 Practical Nurse | 83 | 65 | 65 |
| Clinical Social Worker | 160 | 160 | 160 Prescription Drug Manufacturer | 450 | 450 | 450 |
| Dentist | 405 | 325 | 325 Prescription Drug Outlet In-state | 160 | 450 | 450 |
| Drug Wholesaler In-state | 300 | 300 | 300 Prescription Drug Outlet Out-of-state | 450 | 450 | 450 |
| Drug Wholesaler Out-of-state | 300 | 300 | 300 Professional Counselors | 160 | 160 | 160 |
| Electrical Contractor | 30 | 30 | 30 Professional Engineer | 50 | 50 | 100 |
| Hearing Aid Provider | 50 | 50 | 50 Professional Land Surveyor | 50 | 50 | 100 |
| Hygienist | 150 | 150 | 150 Psychiatric Technician | 65 | 65 | 65 |
| Journeyman Electrician | 20 | 20 | 20 Psychologists | 160 | 160 | 160 |
| Journeyman Plumber | 40 | 40 | 120 Registered Nurse | 83 | 65 | 65 |
| Landscape Architect (one-year) | 255 | 425 | 425 Residential Electrician | 20 | 20 | 20 |
| Marriage & Family Therapists | 160 | 160 | 160 Residential Plumber | 40 | 40 | 100 |
| Massage Therapist (two-year) | 0 | 90 | 90 Respiratory Therapists | 60 | 85 | 85 |
| Master Electrician | 20 | 20 | 20 Social Worker | 160 | 160 | 160 |
| Master Plumber | 40 | 40 | 140 Unlicensed Therapist | 160 | 160 | 160 |
| Midwives | 200 | 200 | 200 Veterinarian | 100 | 100 | 170 |
| Nursing Home Administrators | 200 | 200 | 200 | | | |

Passenger Tramway Construction Fees

| | | | |
|-------------------|-------|-------|-------|
| Conveyors | \$655 | \$655 | \$655 |
| Detachable | 3,150 | 3,150 | 3,150 |
| Fixed Grip | 1,775 | 1,775 | 1,775 |
| Funicular | 2,775 | 2,775 | 2,775 |
| Inclined Elevator | 1,025 | 1,025 | 1,025 |
| Reversible | 2,775 | 2,775 | 2,775 |
| Surface Lift | 1,025 | 1,025 | 1,025 |
| Tow | 655 | 655 | 655 |
| Modifications | 150 | 150 | 150 |

Passenger Tramway Renewal Fees (one-year)

| | | | |
|-------------------|-------|-------|-------|
| Conveyors | \$425 | \$425 | \$545 |
| Detachable | 1,220 | 1,415 | 1,535 |
| Fixed Grip | 860 | 965 | 1,085 |
| Funicular | 855 | 960 | 1,080 |
| Inclined Elevator | 560 | 595 | 715 |
| Reversible | 850 | 955 | 1,075 |
| Surface Lift | 575 | 610 | 730 |
| Tow | 420 | 420 | 540 |

| DIVISION OF REGISTRATIONS | | | | | | | | | | | | | | | |
|-----------------------------|---------------------|----------------------|-------------------------------|-----------------------------|----------------------|---|--|---|------------------------|------------------------------|---------------------|--------------------|--|--------------------|--------------------------|
| Board Meeting Costs - FY 09 | | | | | | | | | | | | | | | |
| Based on Sub-Object Codes | | | | | | | | | | | | | | | |
| BOARD MEETINGS | Personal Services | | | Operating | | | | | | | | | | | Board Mtg Grand Total |
| | Per Diem 1330-06 | CE Audits 1920-06 | Total Personal Services | Vehicle Lease 2254-06 | Room Rent 2255-06 | Employee In-state Travel 251x-06 | Bd Mmbr In-state Travel 252x-06 | Bd Mmbr Out-State Travel 254x-06 | Advertising 2610-06 | Cellular Phone 2631-06 | Printing 2680-06 | Postage 3123-06 | Official Functions Mtgs 4180-06 | Total Operating | |
| Director | | | 0 | | | | 111 | 1,379 | | 4,463 | 0 | | 94 | 6,047 | 6,047 |
| Boxing | 271 | | 271 | | | | | | | 366 | | | 106 | 472 | 743 |
| Acupuncturists | | | 0 | | | | | | | 106 | | | | 106 | 106 |
| Accountancy | 272 | | 272 | | | | 1,054 | 4,307 | | 622 | 1,201 | 149 | 75 | 7,408 | 7,680 |
| Barber/Cosm | 14 | | 14 | | | | 1,757 | | | 0 | 315 | | 691 | 2,762 | 2,776 |
| Chiropractic | 989 | | 989 | | | | 9,042 | | | 8 | 3,029 | 2,872 | 40 | 14,991 | 15,980 |
| Dental | 462 | | 462 | | | | 21,278 | 1,030 | | 137 | 493 | 338 | 11,874 | 35,151 | 35,612 |
| Electrical | 892 | | 892 | | | | 6,850 | | | 163 | 2,849 | 4,006 | 2,124 | 15,992 | 16,884 |
| Architects/Engineers/LS | 10,691 | | 10,691 | | 1,656 | | 12,864 | | | 960 | 7,060 | 10,528 | 1,050 | 34,117 | 44,808 |
| Mental Health Boards | 2,170 | | 2,170 | | | | 5,096 | | | 14,597 | 5,817 | 825 | 183 | 26,518 | 28,687 |
| Medical | 6,000 | | 6,000 | | | | 12,853 | | | 885 | 23,789 | 2,082 | 3,814 | 43,423 | 49,423 |
| Respiratory Therapy | | | 0 | | | | | | | 348 | | | | 348 | 348 |
| Nursing | 2,272 | | 2,272 | | | | 3,461 | | | 575 | 314 | 312 | 664 | 5,327 | 7,599 |
| Nurse Aides(see Nursing) | | | 0 | | | | | | | | | | | 0 | 0 |
| Nursing Home Adm | 285 | | 285 | | 82 | | 1,380 | | | 107 | 245 | 120 | 609 | 2,542 | 2,827 |
| Optometric | 327 | | 327 | | | | 3,287 | | | 609 | 72 | 2,819 | 318 | 7,104 | 7,431 |
| Outfitters | 0 | | 0 | | 1,163 | | 6,922 | | | 1,410 | | 285 | 850 | 10,630 | 10,630 |
| Passenger Tramway | 105 | | 105 | | | | 2,795 | | | 61 | | (176) | 302 | 2,982 | 3,087 |
| Pharmacy | 1,055 | | 1,055 | | | | 2,410 | | | 54 | 544 | 122 | 128 | 3,258 | 4,313 |
| Physical Therapy | 1,150 | | 1,150 | | | | 419 | | | 1,108 | | 521 | 283 | 2,330 | 3,480 |
| Plumbers | 970 | | 970 | | | | 2,301 | | | 43 | 292 | 270 | 52 | 2,958 | 3,928 |
| Podiatry | 1,413 | | 1,413 | | | | 674 | | | 252 | 443 | 256 | 0 | 1,625 | 3,037 |
| Midwives | | | 0 | | | | | | | 233 | | | | 233 | 233 |
| Addiction Clrs | | | 0 | | | | 24 | | | 40 | 2 | | 175 | 241 | 241 |
| Audiologists/HAP | | | 0 | | | | | | | 77,416 | | | | 77,416 | 77,416 |
| Veterinary Medicine | 8,907 | | 8,907 | | | | 24,683 | 419 | | 872 | 2,521 | 65 | 25 | 28,584 | 37,491 |
| Landscape Architects | 10 | | 10 | | | | 477 | | | 13 | 30 | 118 | 547 | 1,184 | 1,194 |
| Occupational Therapists | | | 0 | | | | | | | 0 | | | | 0 | 0 |
| Massage Therapists | | | 0 | | | | | | | 1,124 | | | | 1,124 | 1,124 |
| Uniform Athlete Agents | | | 0 | | | | | | | 19 | | | | 19 | 19 |
| Totals: | 38,245 | 0 | 38,245 | 0 | 2,901 | 0 | 119,261 | 7,135 | 0 | 105,434 | 48,986 | 25,393 | 23,455 | 332,565 | 370,809 |

Schedule 9.A

Cash Fund Status for: *Disabled Telephone User's Fund #196* **C.R.S. Citation:** *40-17-104, C.R.S.*

Cash Fund Revenue and Expenditure Trend Information

| | Actual FY 2007-08 | Actual FY 2008-09 | Estimate FY 2009-10 | Request FY 2010-11 | Projected FY 2011-12 |
|------------------------------|------------------------------|------------------------------|--------------------------------|-------------------------------|---------------------------------|
| Beginning Balance | 668,219 | 8,971 | (178,076) | 367,952 | 367,952 |
| Exempt Revenue | | | | | |
| Non-Exempt Revenue | 2,154,796 | 2,613,880 | 4,129,930 | 3,586,321 | 3,653,047 |
| Total Expenditures | 2,814,044 | 2,800,927 | 3,583,903 | 3,586,321 | 3,653,047 |
| Ending Balance | 8,971 | (178,076) | 367,952 | 367,952 | 367,952 |
| Ending Balance – Cash Assets | | | | | |
| Reserves Increase/Decrease | (659,248) | (187,047) | 358,981 | 0 | 0 |

Fee Levels

| | Actual FY 2007-08 | Actual FY 2008-09 | Estimate FY 2009-10 | Request FY 2010-11 | Projected FY 2011-12 |
|-------------------------------|------------------------------|------------------------------|--------------------------------|-------------------------------|---------------------------------|
| 1. Per-line monthly surcharge | \$0.07 | \$0.07 | \$0.12 | \$0.12 | \$0.12 |

Cash Fund Reserve Balance

| | Actual FY 2007-08 | Actual FY 2008-09 | Estimate FY 2009-10 | Request FY 2010-11 | Projected FY 2011-12 |
|---|------------------------------|------------------------------|--------------------------------|-------------------------------|---------------------------------|
| Uncommitted Fee Reserve Balance (total reserve balance minus exempt assets and previously appropriated funds; calculated based on % of revenue from fees) | 658,661 | (178,076) | 367,952 | 367,952 | 367,952 |
| Target/Alternative Fee Reserve Balance (amount set in statute or 16.5% of total expenses) | 464,317 | 462,153 | 591,344 | 591,743 | 602,753 |
| Excess Uncommitted Fee Reserve Balance | 194,344 | (640,229) | (223,392) | (223,791) | (234,801) |

Deadline for Complying with the Target/Alternative Reserve Balance:

N/A

Schedule 9.A

Cash Fund Status for: *Disabled Telephone User's Fund #196* **C.R.S. Citation:** *40-17-104, C.R.S.*

Cash Fund Narrative Information

| | |
|---|---|
| Purpose/Background of Fund | The purpose of the Fund is to support the costs of a telephone relay service for disabled telephone users (including deaf, hard of hearing, and speech-impaired individuals, among others). Beginning with S.B. 99-165, there has been an annual transfer (increased to \$200,000 during FY 06-07) to the Reading Services for the Blind Cash Fund. Each calendar year there is also an annual transfer (increased to from \$25,000 to \$644,724 during FY 06-07) to the Deaf and Hard of Hearing Cash Fund pursuant to §40-7-104(4)(a), C.R.S. |
| Fee Sources | The relay program is funded by a uniform, per month per access line surcharge to all business and residential telephone customers. The surcharge does not apply to wireless customers. |
| Non-Fee Sources | Earned interest. |
| Long Bill Groups Supported by Fund | The PUC's appropriation includes a line item called "Disabled Telephone Users' Fund," which funds the annual contract for the provision of telephone services for the hearing impaired. The Fund also pays the salary and operational costs for the 1.0 FTE administering the program in the PUC. Additional PUC line items include "Transfer to the Reading Services for the Blind Cash Fund" pursuant to S.B. 99-165 and "Transfer to the Colorado Commission for the Deaf and Hard of Hearing". |
| Statutory or Other Restriction on Use of Fund | The fund may be used by PUC to administer and fund the relay contract, and by DHS for reading services for the blind and the deaf and hard of hearing. |
| Revenue Drivers | Fees are determined by Public Utilities Commission to be adequate to cover program costs. The fund retains its earned interest. |
| Expenditure Drivers | Expenditures are driven by program costs including the annual cost of the contract as well as Personal Services and Operating costs. Additional costs are the result of legislation requiring transfers to other funds as noted. |
| Assessment of Potential for Compliance | Beginning in FY 06-07, S.B. 06-218 exempts this fund from S.B. 98-194. |
| Action | <input type="checkbox"/> Already in Compliance <input type="checkbox"/> Statute Change ¹ <input type="checkbox"/> Planned Fee Reduction ¹ <input type="checkbox"/> Planned One-time Expenditure(s) ¹ <input type="checkbox"/> Planned Ongoing Expenditure(s) ¹ <input type="checkbox"/> Waiver ² |

Cash Fund Expenditure Line Item Detail and Change Requests

| | Actual FY 2007-08 | Actual FY 2008-09 | Estimate FY 2009-10 | Request FY 2010-11 | Projected FY 2011-12 |
|--|------------------------------|------------------------------|--------------------------------|-------------------------------|---------------------------------|
| Public Utilities Commission | | | | | |
| Disabled Telephone Users Fund Payments | 1,844,739 | 1,736,679 | 2,439,591 | 2,439,591 | 2,488,383 |
| Personal Services, Operating, Various pots | 104,539 | 119,521 | 120,902 | 123,320 | 125,786 |
| Transfer to Reading Services for the Blind | 200,000 | 250,000 | 250,000 | 250,000 | 250,000 |
| Transfer to the Commission on Deaf and Hard of Hearing | 641,318 | 643,139 | 661,343 | 661,343 | 674,570 |
| Transfer to the Commission for the Visually Impaired | 23,448 | 51,589 | 112,067 | 112,067 | 114,308 |
| Division Subtotal | 2,814,044 | 2,800,927 | 3,583,903 | 3,586,321 | 3,653,047 |
| TOTAL | 2,814,044 | 2,800,927 | 3,583,903 | 3,586,321 | 3,653,047 |

Schedule 9.A

Cash Fund Status for: *Division of Real Estate Cash Fund #212 C.R.S. Citation: 12-61-111.5(2)(b), C.R.S.*

Cash Fund Revenue and Expenditure Trend Information

| | Actual FY 2007-08 | Actual FY 2008-09 | Estimate FY 2009-10 | Request FY 2010-11 | Projected FY 2011-12 |
|------------------------------|------------------------------|------------------------------|--------------------------------|-------------------------------|---------------------------------|
| Beginning Balance | 592,747 | (823,765) | (823,765) | 368,440 | 368,440 |
| Exempt Revenue | | | | | |
| Non-Exempt Revenue | 2,662,032 | 3,919,601 | 5,599,429 | 4,292,332 | 4,378,179 |
| Total Expenditures | 4,078,544 | 4,142,881 | 4,407,225 | 4,292,332 | 4,378,179 |
| Ending Balance | (823,765) | (1,047,045) | 368,440 | 368,440 | 368,440 |
| Ending Balance – Cash Assets | | | | | |
| Reserves Increase/Decrease | (1,416,512) | (223,281) | 1,192,204 | 0 | 0 |

Fee Levels

| | Actual FY 2007-08 | Actual FY 2008-09 | Estimate FY 2009-10 | Request FY 2010-11 | Projected FY 2011-12 |
|--|------------------------------|------------------------------|--------------------------------|-------------------------------|---------------------------------|
| 1. Broker Fees (Original/Renewal) | 250/150 | 500/300 | 500/300 | 500/300 | 500/300 |
| 2. Appraiser Fees (Original/Renewal) | 125/165-210 | 250/330-420 | 250/330-420 | 250/330-420 | 250/330-420 |
| 3. Subdivision Fees (Original/Renewal) | 1000/151 | 4000/302 | 4000/302 | 4000/302 | 4000/302 |

Cash Fund Reserve Balance

| | Actual FY 2007-08 | Actual FY 2008-09 | Estimate FY 2009-10 | Request FY 2010-11 | Projected FY 2011-12 |
|---|------------------------------|------------------------------|--------------------------------|-------------------------------|---------------------------------|
| Uncommitted Fee Reserve Balance (total reserve balance minus exempt assets and previously appropriated funds; calculated based on % of revenue from fees) | 557,879 | (1,047,045) | 368,440 | 368,440 | 368,440 |
| Target/Alternative Fee Reserve Balance (amount set in statute or 16.5% of total expenses) | 672,960 | 683,575 | 727,192 | 708,235 | 722,399 |
| Excess Uncommitted Fee Reserve Balance | (115,081) | (1,730,621) | (358,753) | (339,795) | (353,960) |

Deadline for Complying with the Target/Alternative Reserve Balance:

June 30, 2009

| Cash Fund Narrative Information | |
|---|--|
| Purpose/Background of Fund | The fund exists to support the costs of the Division in carrying out its mission to protect the from incompetent and dishonest real estate practitioners. |
| Fee Sources | The majority of revenue is from application fees for real estate brokers and appraisers, and from their annual renewal fees for licensure. |
| Non-Fee Sources | Earned interest. |
| Long Bill Groups Supported by Fund | Division of Real Estate |
| Statutory or Other Restriction on Use of Fund | The fund may only be used to cover costs of the Division of Real Estate |
| Revenue Drivers | Fees set annually so that revenue generated approximates program costs. Actual revenue will depend on the number of payers. |
| Expenditure Drivers | Expenditures are driven by program costs and correspond to legislative appropriations. For this fund, expenditures include personal services, associated operating expenses, and legal services. Expenditures can vary based on staffing and the need for hearings and legal services. |
| Assessment of Potential for Compliance | This fund is presently in compliance. |
| Action | <input type="checkbox"/> Already in Compliance <input type="checkbox"/> Statute Change ¹ <input type="checkbox"/> Planned Fee Reduction ¹ <input type="checkbox"/> Planned One-time Expenditure(s) ¹ <input type="checkbox"/> Planned Ongoing Expenditure(s) ¹ <input type="checkbox"/> Waiver ² |

| Cash Fund Expenditure Line Item Detail and Change Requests | | | | | |
|---|----------------------|----------------------|------------------------|-----------------------|-------------------------|
| | Actual FY 2007-08 | Actual FY 2008-09 | Estimate FY 2009-10 | Request FY 2010-11 | Projected FY 2011-12 |
| Division of Real Estate | | | | | |
| Personal Services | 2,639,712 | 2,571,117 | 2,953,702 | 2,706,229 | 2,760,353 |
| Operating Expenses | 197,280 | 186,071 | 175,218 | 175,218 | 178,722 |
| Hearings | 3,997 | 133 | 4,000 | 4,000 | 4,080 |
| Commission Meetings | 9,264 | 21,955 | 30,303 | 30,303 | 30,909 |
| CBI/FBI Record Checks | 0 | | 0 | 0 | 0 |
| Indirect Cost Assessment | 409,593 | 469,075 | 467,788 | 461,679 | 470,913 |
| Centrally Appropriated Lines | 769,097 | 894,530 | 776,214 | 1,094,826 | 1,116,722 |
| Recovery Fund Payments | 49,601 | | | | |
| Division Subtotal | 4,078,544 | 4,142,881 | 4,407,225 | 4,472,254 | 4,561,699 |
| TOTAL | 4,078,544 | 4,142,881 | 4,407,225 | 4,472,254 | 4,561,699 |

Schedule 9.A

Cash Fund Status for: *Division of Securities Cash Fund #213* **C.R.S. Citation:** *11-51-707, C.R.S.*

Cash Fund Revenue and Expenditure Trend Information

| | Actual FY 2007-08 | Actual FY 2008-09 | Estimate FY 2009-10 | Request FY 2010-11 | Projected FY 2011-12 |
|------------------------------|------------------------------|------------------------------|--------------------------------|-------------------------------|---------------------------------|
| Beginning Balance | 724,323 | 545,533 | 287,450 | 299,216 | 477,303 |
| Exempt Revenue | | | | | |
| Non-Exempt Revenue | 2,840,605 | 3,010,216 | 3,559,208 | 3,809,321 | 3,693,272 |
| Total Expenditures | 3,019,395 | 3,268,298 | 3,547,442 | 3,631,234 | 3,693,272 |
| Ending Balance | 545,533 | 287,450 | 299,216 | 477,303 | 477,303 |
| Ending Balance – Cash Assets | | | | | |
| Reserves Increase/Decrease | 260,021 | (258,083) | 11,766 | 178,087 | 0 |

Fee Levels

| | Actual FY 2007-08 | Actual FY 2008-09 | Estimate FY 2009-10 | Request FY 2010-11 | Projected FY 2011-12 |
|--------------------------------|------------------------------|------------------------------|--------------------------------|-------------------------------|---------------------------------|
| 1. Broker/Dealer and Firm Fees | 75 | 65 | 70 | 70 | 65 |
| 2. Representative fees | 13 | 14 | 13 | 13 | 14 |

Cash Fund Reserve Balance

| | Actual FY 2007-08 | Actual FY 2008-09 | Estimate FY 2009-10 | Request FY 2010-11 | Projected FY 2011-12 |
|---|------------------------------|------------------------------|--------------------------------|-------------------------------|---------------------------------|
| Uncommitted Fee Reserve Balance (total reserve balance minus exempt assets and previously appropriated funds; calculated based on % of revenue from fees) | 724,324 | 545,534 | 299,216 | 477,303 | 477,303 |
| Target/Alternative Fee Reserve Balance (amount set in statute or 16.5% of total expenses) | 498,200 | 539,269 | 585,328 | 599,154 | 609,390 |
| Excess Uncommitted Fee Reserve Balance | 226,124 | 6,265 | (286,112) | (121,851) | (132,087) |

| | |
|---|---------------|
| Deadline for Complying with the Target/Alternative Reserve Balance: | June 30, 2010 |
|---|---------------|

| Cash Fund Narrative Information | | | | | |
|--|---|--|------------------------|-----------------------|-------------------------|
| Purpose/Background of Fund | | The fund exists to support the costs of the Division in carrying out its mission to protect investors and maintain public confidence in the securities markets while avoiding unreasonable burdens on participants in the capital markets. | | | |
| Fee Sources | | The majority of revenue is from initial licensing fees and renewal fees on broker/dealers, representatives and investment advisor licensees. Other minor, miscellaneous fees include registration and exemption from filing, interpretative opinion fees, and other miscellaneous fees. The Department sets fees annually to approximate expenditures. | | | |
| Non-Fee Sources | | Earned interest. | | | |
| Long Bill Groups Supported by Fund | | Division of Securities | | | |
| Statutory or Other Restriction on Use of Fund | | The fund may only be used to cover costs of the Division of Securities. | | | |
| Revenue Drivers | | Fees set annually so that revenue generated approximates program costs. Actual revenue will depend on the number of payers. | | | |
| Expenditure Drivers | | Expenditures are driven by program costs and correspond to legislative appropriations. For this fund, expenditures include personal services, associated operating expenses, and legal services. Expenditures can vary based on staffing and the need for hearings and legal services. | | | |
| Assessment of Potential for Compliance | | This fund is presently out of compliance. | | | |
| Action | <input type="checkbox"/> Already in Compliance <input type="checkbox"/> Statute Change ¹ <input type="checkbox"/> Planned Fee Reduction ¹ | | | | |
| | <input type="checkbox"/> Planned One-time Expenditure(s) ¹ <input type="checkbox"/> Planned Ongoing Expenditure(s) ¹ <input type="checkbox"/> Waiver ² | | | | |
| Cash Fund Expenditure Line Item Detail and Change Requests | | | | | |
| | Actual FY 2007-08 | Actual FY 2008-09 | Estimate FY 2009-10 | Request FY 2010-11 | Projected FY 2011-12 |
| Division of Securities | | | | | |
| Personal Services | 1,748,162 | 1,854,133 | 2,062,189 | 1,996,926 | 2,036,865 |
| Operating Expenses | 56,460 | 47,769 | 61,063 | 56,785 | 47,816 |
| Hearings | 19,438 | 19,134 | 19,594 | 19,594 | 19,594 |
| Board Meeting Costs | 2,448 | 1,416 | 4,500 | 4,500 | 4,500 |
| Securities Fraud Prosecution | 441,794 | 454,785 | 501,028 | 501,028 | 511,049 |
| Indirect Cost Assessment | 235,467 | 244,417 | 253,953 | 253,953 | 259,032 |
| Centrally Appropriated Lines | 515,625 | 748,193 | 645,115 | 798,448 | 814,417 |
| Department of Law | | | | | |
| Securities Fraud Prosecution (non-add) | 441,794 | 454,785 | 501,028 | 501,028 | 511,049 |
| Division Subtotal | 3,019,394 | 3,369,847 | 3,547,442 | 3,631,234 | 3,693,272 |
| TOTAL | 3,019,394 | 3,369,847 | 3,547,442 | 3,631,234 | 3,693,272 |

| | | | | | | | |
|--|--|--|--|--|--|--|--|
| Schedule 9.B | | | | | | | |
| Compliance Plan for: <i>Division of Securities Cash Fund #213</i> | | | | | | | |
| | | | | | | | |

| |
|--|
| |
| |
| |

Schedule 9.A

Cash Fund Status for: *High Cost Administration Fund #227 C.R.S. Citation: 40-15-208(1), C.R.S.*

Cash Fund Revenue and Expenditure Trend Information

| | Actual FY 2007-08 | Actual FY 2008-09 | Estimate FY 2009-10 | Request FY 2010-11 | Projected FY 2011-12 |
|------------------------------|------------------------------|------------------------------|--------------------------------|-------------------------------|---------------------------------|
| Beginning Balance | (40,655) | 7,244 | 15,022,032 | 22,032 | 22,032 |
| Exempt Revenue | | | | | |
| Non-Exempt Revenue | 167,667 | 15,116,058 | 116,086 | 121,947 | 120,725 |
| Total Expenditures | 119,768 | 101,270 | 15,116,086 | 121,947 | 120,725 |
| Ending Balance | 7,244 | 15,022,032 | 22,032 | 22,032 | 22,032 |
| Ending Balance – Cash Assets | | | | | |
| Reserves Increase/Decrease | 47,899 | 15,014,788 | 14,788 | 0 | 0 |

Fee Levels

| | Actual FY 2007-08 | Actual FY 2008-09 | Estimate FY 2009-10 | Request FY 2010-11 | Projected FY 2011-12 |
|------------------------|------------------------------|------------------------------|--------------------------------|-------------------------------|---------------------------------|
| 1. Provider Assessment | 167,667 | 116,058 | 116,086 | 121,947 | 120,725 |

Cash Fund Reserve Balance

| | Actual FY 2007-08 | Actual FY 2008-09 | Estimate FY 2009-10 | Request FY 2010-11 | Projected FY 2011-12 |
|---|------------------------------|------------------------------|--------------------------------|-------------------------------|---------------------------------|
| Uncommitted Fee Reserve Balance (total reserve balance minus exempt assets and previously appropriated funds; calculated based on % of revenue from fees) | 7,244 | 15,022,032 | 22,032 | 22,032 | 22,032 |
| Target/Alternative Fee Reserve Balance (amount set in statute or 16.5% of total expenses) | 19,762 | 16,710 | 2,494,154 | 20,121 | 19,920 |
| Excess Uncommitted Fee Reserve Balance | (12,518) | 15,005,322 | (2,472,123) | 1,910 | 2,112 |

Deadline for Complying with the Target/Alternative Reserve Balance:

June 30, 2009

| Cash Fund Narrative Information | | | | | |
|--|---|--|------------------------|-----------------------|-------------------------|
| Purpose/Background of Fund | | The Colorado High Cost Support Mechanism (CHCSM) enables all Colorado citizens to receive affordable basic telephone service by using a statewide surcharge to subsidize service in areas that are costly to serve. The Fund was created using transferred funds and is supported by annual assessments against utilities. The fund exists to support administrative costs associated with the CHCSM. | | | |
| Fee Sources | | Assessments against utility companies. | | | |
| Non-Fee Sources | | Earned Interest | | | |
| Long Bill Groups Supported by Fund | | Public Utilities Commission | | | |
| Statutory or Other Restriction on Use of Fund | | The fund may only be used to cover costs of the CHCSM. | | | |
| Revenue Drivers | | Initially revenues consisted only of a fund balance transfer and earned interest; however, assessments are now necessary. Revenue is dependent on the amount of the fee, which is calculated to cover costs. However, SB 09-272 transferred \$15 million from the High Cost Assessment Mechanism into the fund during FY 08-09 for the purposes of transfer to the General Fund during FY 09-10 by SB 09-279. This results in \$15 million in fund revenue during FY 08-09, and \$15 million in projected expenditures for FY 09-10. | | | |
| Expenditure Drivers | | Expenditures are driven by program costs and correspond to legislative appropriations for the Public Utilities Commission. For this fund, expenditures include personal services and operating costs. Expenditures can vary based on staffing. However, SB 09-272 transferred \$15 million from the High Cost Assessment Mechanism into the fund during FY 08-09 for the purposes of transfer to the General Fund during FY 09-10 by SB 09-279. This results in \$15 million in fund revenue during FY 08-09, and \$15 million in projected expenditures for FY 09-10. | | | |
| Assessment of Potential for Compliance | | This fund is presently in compliance. | | | |
| Action | <input type="checkbox"/> Already in Compliance <input type="checkbox"/> Statute Change ¹ <input type="checkbox"/> Planned Fee Reduction ¹ | | | | |
| | <input type="checkbox"/> Planned One-time Expenditure(s) ¹ <input type="checkbox"/> Planned Ongoing Expenditure(s) ¹ <input type="checkbox"/> Waiver ² | | | | |
| Cash Fund Expenditure Line Item Detail and Change Requests | | | | | |
| | Actual FY 2007-08 | Actual FY 2008-09 | Estimate FY 2009-10 | Request FY 2010-11 | Projected FY 2011-12 |
| Public Utilities Commission | | | | | |
| Personal Services | 83,307 | 83,993 | 96,041 | 97,962 | 99,921 |
| Operating Expenses | 19,546 | 193 | 2,500 | 2,500 | 2,550 |
| Indirect Cost Assessment | 11,768 | 11,739 | 11,543 | 11,774 | 12,009 |
| Centrally Appropriated Lines | 5,147 | 5,345 | 6,002 | 6,122 | 6,244 |
| Division Subtotal | 119,768 | 101,270 | 116,086 | 118,358 | 120,725 |
| Transfer to General Fund Per HB 09-272 | 0 | 0 | 15,000,000 | 0 | 0 |
| Transfer Subtotal | 0 | 0 | 15,000,000 | 0 | 0 |
| TOTAL | 119,768 | 101,270 | 15,116,086 | 118,358 | 120,725 |

Schedule 9.A

Cash Fund Status for: *Division of Banking Cash Fund #244 C.R.S. Citation: 11-102-403, C.R.S.*

Cash Fund Revenue and Expenditure Trend Information

| | Actual FY 2007-08 | Actual FY 2008-09 | Estimate FY 2009-10 | Request FY 2010-11 | Projected FY 2011-12 |
|------------------------------|------------------------------|------------------------------|--------------------------------|-------------------------------|---------------------------------|
| Beginning Balance | 470,831 | 468,552 | 621,411 | 539,863 | 539,863 |
| Exempt Revenue | | | | | |
| Non-Exempt Revenue | 4,034,988 | 4,332,127 | 4,745,648 | 4,835,030 | 4,931,731 |
| Total Expenditures | 4,037,267 | 4,179,268 | 4,827,196 | 4,835,030 | 4,931,731 |
| Ending Balance | 468,552 | 621,411 | 539,863 | 539,863 | 539,863 |
| Ending Balance – Cash Assets | | | | | |
| Reserves Increase/Decrease | (2,279) | 152,859 | (81,548) | 0 | 0 |

Fee Levels

| | Actual FY 2007-08 | Actual FY 2008-09 | Estimate FY 2009-10 | Request FY 2010-11 | Projected FY 2011-12 |
|---------------------------|------------------------------|------------------------------|--------------------------------|-------------------------------|---------------------------------|
| Various fees (see below). | | | | | |

Cash Fund Reserve Balance

| | Actual FY 2007-08 | Actual FY 2008-09 | Estimate FY 2009-10 | Request FY 2010-11 | Projected FY 2011-12 |
|---|------------------------------|------------------------------|--------------------------------|-------------------------------|---------------------------------|
| Uncommitted Fee Reserve Balance (total reserve balance minus exempt assets and previously appropriated funds; calculated based on % of revenue from fees) | 468,552 | 621,411 | 539,863 | 539,863 | 539,863 |
| Target/Alternative Fee Reserve Balance (amount set in statute or 16.5% of total expenses) | 666,149 | 689,579 | 796,487 | 797,780 | 813,736 |
| Excess Uncommitted Fee Reserve Balance | (197,597) | (68,168) | (256,624) | (257,917) | (273,873) |

Deadline for Complying with the Target/Alternative Reserve Balance:

June 30, 2009

| Cash Fund Narrative Information | | | | | |
|---|---|--|------------------------|-----------------------|-------------------------|
| Purpose/Background of Fund | | The fund exists to support the costs of the Division of Banking and its mission, which is to serve and protect the public interest by promoting a safe and sound financial institutions industry through continuous quality regulation and supervision. | | | |
| Fee Sources | | The fund is supported by assessments to financial institutions and various fees as authorized by statute, including charter applications, money transmitter licenses, change fees, and miscellaneous minor fees. These numerous fees include percentage-based assessments as well as individual fees ranging from \$100 - \$12,000. Fees support appropriations made by the General Assembly for the Division. | | | |
| Non-Fee Sources | | Earned interest. | | | |
| Long Bill Groups Supported by Fund | | Division of Banking. | | | |
| Statutory or Other Restriction on Use of Fund | | The fund may only be used to cover costs of the Division of Banking. | | | |
| Revenue Drivers | | Assessments by institution are made bi-annually, with amounts are based on bank assets, in order to approximate program costs. Out-year estimates reflect assessments based on projected costs. | | | |
| Expenditure Drivers | | Expenditures are driven by program costs and correspond to legislative appropriations. For this fund, expenditures include personal services, associated operating expenses, and legal services. Expenditures can vary based on staffing and the need for legal services. | | | |
| Assessment of Potential for Compliance | | This fund is presently in compliance. | | | |
| Action | <input type="checkbox"/> Already in Compliance <input type="checkbox"/> Statute Change ¹ <input type="checkbox"/> Planned Fee Reduction ¹ | | | | |
| | <input type="checkbox"/> Planned One-time Expenditure(s) ¹ <input type="checkbox"/> Planned Ongoing Expenditure(s) ¹ <input type="checkbox"/> Waiver ² | | | | |
| Cash Fund Expenditure Line Item Detail and Change Requests | | | | | |
| | Actual FY 2007-08 | Actual FY 2008-09 | Estimate FY 2009-10 | Request FY 2010-11 | Projected FY 2011-12 |
| Division of Banking | | | | | |
| Personal Services | 3,033,326 | 3,134,380 | 3,566,559 | 3,356,645 | 3,423,778 |
| Operating Expenses | 284,470 | 279,611 | 418,989 | 387,621 | 395,373 |
| Board Meetings | 23,500 | 22,488 | 23,500 | 23,500 | 23,970 |
| Indirect Cost Assessment | 453,079 | 470,557 | 513,677 | 507,177 | 517,321 |
| Centrally Appropriated Lines | 242,892 | 272,232 | 304,471 | 560,087 | 571,289 |
| Division Subtotal | 4,037,267 | 4,179,268 | 4,827,196 | 4,835,030 | 4,931,731 |
| TOTAL | 4,037,267 | 4,179,268 | 4,827,196 | 4,835,030 | 4,931,731 |

Schedule 9.A

Cash Fund Status for: *Low Income Telephone Assistance Fund #251 C.R.S. Citation: 40-3.4-108, C.R.S.*

Cash Fund Revenue and Expenditure Trend Information

| | Actual FY 2007-08 | Actual FY 2008-09 | Estimate FY 2009-10 | Request FY 2010-11 | Projected FY 2011-12 |
|------------------------------|------------------------------|------------------------------|--------------------------------|-------------------------------|---------------------------------|
| Beginning Balance | 221,412 | 165,377 | 100,713 | 100,713 | 100,713 |
| Exempt Revenue | | | | | |
| Non-Exempt Revenue | 2,139,301 | 2,030,531 | 1,000,000 | 500,000 | 500,000 |
| Total Expenditures | 2,195,336 | 2,095,194 | 1,000,000 | 500,000 | 500,000 |
| Ending Balance | 165,377 | 100,713 | 100,713 | 100,713 | 100,713 |
| Ending Balance – Cash Assets | | | | | |
| Reserves Increase/Decrease | (56,035) | (64,664) | (64,664) | 0 | 0 |

Fee Levels

| | Actual FY 2007-08 | Actual FY 2008-09 | Estimate FY 2009-10 | Request FY 2010-11 | Projected FY 2011-12 |
|-------------------------------|------------------------------|------------------------------|--------------------------------|-------------------------------|---------------------------------|
| 1. Per-line monthly surcharge | \$0.00 | \$0.00 | \$0.07 | \$0.07 | \$0.07 |

Cash Fund Reserve Balance

| | Actual FY 2007-08 | Actual FY 2008-09 | Estimate FY 2009-10 | Request FY 2010-11 | Projected FY 2011-12 |
|---|------------------------------|------------------------------|--------------------------------|-------------------------------|---------------------------------|
| Uncommitted Fee Reserve Balance (total reserve balance minus exempt assets and previously appropriated funds; calculated based on % of revenue from fees) | 221,411 | 100,713 | 100,713 | 100,713 | 100,713 |
| Target/Alternative Fee Reserve Balance (amount set in statute or 16.5% of total expenses) | 250,000 | 250,000 | 250,000 | 250,000 | 250,000 |
| Excess Uncommitted Fee Reserve Balance | (28,589) | (149,287) | (149,287) | (149,287) | (149,287) |
| Deadline for Complying with the Target/Alternative Reserve Balance: | | | | N/A | |

Schedule 9.A

Cash Fund Status for: *Low Income Telephone Assistance Fund #251* **C.R.S. Citation:** *40-3.4-108, C.R.S.*

Cash Fund Narrative Information

| | |
|---|---|
| Purpose/Background of Fund | The purpose of the Fund is for the PUC to have an account in which to deposit and then allocate funds to phone companies for subsidizing phone bills for low-income telephone customers as authorized by Section 40-3.4-104, C.R.S. Part of the annual payments from the Fund are paid to the Department of Human Services to administer the Low-Income Telephone Assistance Program (there is a Long Bill line item in DHS as well as in the PUC). |
| Fee Sources | The Fund receives revenues from telephone companies based on the uniform monthly charge in customers' bills. Payments from and allocations to individual carriers are calculated on a net basis, so that transactions involving the fund reflect the difference between the amount collected by a carrier and disbursements owed to the carrier per the program. No fees are presently required as a trust settlement is funding required payments; however, when the trust settlement is exhausted (presently expected during FY 09-10), the fee is expected to return to historic levels of \$0.07 per month. |
| Non-Fee Sources | Earned interest and trust settlements. |
| Long Bill Groups Supported by Fund | Public Utilities Commission; Department of Human Services |
| Statutory or Other Restriction on Use of Fund | The fund may only be used for Low Income Telephone Assistance administration in PUC and DHS. |
| Revenue Drivers | Fees are determined by Public Utilities Commission to be adequate to cover program costs. The fund retains its earned interest. |
| Expenditure Drivers | Expenditures are driven by program administrative costs as well as the amount of moneys to be redistributed compared to the amount of money collected by phone companies. |
| Assessment of Potential for Compliance | The fund is in compliance. |
| Action | <input type="checkbox"/> Already in Compliance <input type="checkbox"/> Statute Change ¹ <input type="checkbox"/> Planned Fee Reduction ¹ <input type="checkbox"/> Planned One-time Expenditure(s) ¹ <input type="checkbox"/> Planned Ongoing Expenditure(s) ¹ <input type="checkbox"/> Waiver ² |

Cash Fund Expenditure Line Item Detail and Change Requests

| | Actual FY 2007-08 | Actual FY 2008-09 | Estimate FY 2009-10 | Request FY 2010-11 | Projected FY 2011-12 |
|---|----------------------|----------------------|------------------------|-----------------------|-------------------------|
| Public Utilities Commission | | | | | |
| Low Income Telephone Assistance | 2,135,674 | 2,030,531 | 2,143,752 | 2,143,752 | 2,143,752 |
| Department of Human Services | | | | | |
| Low Income Telephone Assistance Program | 59,662 | 64,664 | 60,855 | 62,072 | 63,314 |
| Division Subtotal | 2,195,336 | 2,095,194 | 2,204,607 | 2,205,824 | 2,207,066 |
| TOTAL | 2,195,336 | 2,095,194 | 2,204,607 | 2,205,824 | 2,207,066 |

Schedule 9.A

Cash Fund Status for: *Division of Financial Services Cash Fund #272* **C.R.S. Citation:** *11-40-106, C.R.S.*

Cash Fund Revenue and Expenditure Trend Information

| | Actual FY 2007-08 | Actual FY 2008-09 | Estimate FY 2009-10 | Request FY 2010-11 | Projected FY 2011-12 |
|------------------------------|------------------------------|------------------------------|--------------------------------|-------------------------------|---------------------------------|
| Beginning Balance | 59,142 | 79,673 | 79,673 | 82,162 | 82,162 |
| Exempt Revenue | | | | | |
| Non-Exempt Revenue | 1,260,391 | 1,401,874 | 1,675,861 | 1,659,468 | 1,692,657 |
| Total Expenditures | 1,239,860 | 1,425,197 | 1,673,372 | 1,659,468 | 1,692,657 |
| Ending Balance | 79,673 | 56,350 | 82,162 | 82,162 | 82,162 |
| Ending Balance – Cash Assets | | | | | |
| Reserves Increase/Decrease | 24,247 | (23,323) | 2,489 | 0 | 0 |

Fee Levels

| | Actual FY 2007-08 | Actual FY 2008-09 | Estimate FY 2009-10 | Request FY 2010-11 | Projected FY 2011-12 |
|--|------------------------------|------------------------------|--------------------------------|-------------------------------|---------------------------------|
| 1. Rate in cents per \$1,000 of assets | | 7.23 Credit Unions | 8.5 Credit Unions | 8.5 Credit Unions | 8.5 Credit Unions |
| 2. Rate in cents per \$1,000 of assets | | 8.23 Sav. and Loans | 8.5 Sav. and Loans | 8.5 Sav. and Loans | 8.5 Sav. and Loans |

Cash Fund Reserve Balance

| | Actual FY 2007-08 | Actual FY 2008-09 | Estimate FY 2009-10 | Request FY 2010-11 | Projected FY 2011-12 |
|---|------------------------------|------------------------------|--------------------------------|-------------------------------|---------------------------------|
| Uncommitted Fee Reserve Balance (total reserve balance minus exempt assets and previously appropriated funds; calculated based on % of revenue from fees) | 54,315 | 54,315 | 82,162 | 82,162 | 82,162 |
| Target/Alternative Fee Reserve Balance (amount set in statute or 16.5% of total expenses) | 204,577 | 235,158 | 276,106 | 273,812 | 279,288 |
| Excess Uncommitted Fee Reserve Balance | (150,262) | (180,843) | (193,944) | (191,650) | (197,126) |

| | |
|---|---------------|
| Deadline for Complying with the Target/Alternative Reserve Balance: | June 30, 2009 |
|---|---------------|

| Cash Fund Narrative Information | | | | | |
|--|---|--|------------------------|-----------------------|-------------------------|
| Purpose/Background of Fund | | The fund exists to support the costs of the Division of Financial Services and its mission, which is to serve and protect the public interest by promoting a safe and sound financial institutions industry through continuous quality regulation and supervision. | | | |
| Fee Sources | | The fund is supported by assessments to financial institutions based on assets. The fees are presently 8.50 cents per \$1,000 for credit unions, and 8.50 cents per \$1,000 for savings and loans. Fees are adjusted biennially, and existing rates are presumed to be adjusted to cover expenditures. | | | |
| Non-Fee Sources | | Earned interest. | | | |
| Long Bill Groups Supported by Fund | | Division of Financial Services | | | |
| Statutory or Other Restriction on Use of Fund | | The fund may only be used to cover costs of the Division of Financial Services | | | |
| Revenue Drivers | | Assessments by institution are made bi-annually, with amounts are based on bank assets, in order to approximate program costs. | | | |
| Expenditure Drivers | | Expenditures are driven by program costs and correspond to legislative appropriations. For this fund, expenditures include personal services, associated operating expenses, and legal services. Expenditures can vary based on staffing and the need for legal services. | | | |
| Assessment of Potential for Compliance | | This fund is presently in compliance. | | | |
| Action | <input type="checkbox"/> Already in Compliance <input type="checkbox"/> Statute Change ¹ <input type="checkbox"/> Planned Fee Reduction ¹ | | | | |
| | <input type="checkbox"/> Planned One-time Expenditure(s) ¹ <input type="checkbox"/> Planned Ongoing Expenditure(s) ¹ <input type="checkbox"/> Waiver ² | | | | |
| Cash Fund Expenditure Line Item Detail and Change Requests | | | | | |
| | Actual FY 2007-08 | Actual FY 2008-09 | Estimate FY 2009-10 | Request FY 2010-11 | Projected FY 2011-12 |
| Division of Financial Services | | | | | |
| Personal Services | 929,045 | 1,096,581 | 1,249,397 | 1,151,520 | 1,174,550 |
| Operating Expenses | 86,988 | 96,416 | 173,224 | 162,768 | 166,023 |
| Indirect Cost Assessment | 152,988 | 158,890 | 173,150 | 173,150 | 176,613 |
| Centrally Appropriated Lines | 70,839 | 73,311 | 77,601 | 172,030 | 175,471 |
| Division Subtotal | 1,239,860 | 1,425,197 | 1,673,372 | 1,659,468 | 1,692,657 |
| TOTAL | 1,239,860 | 1,425,197 | 1,673,372 | 1,659,468 | 1,692,657 |

Schedule 9.A

Cash Fund Status for: *Division of Insurance Cash Fund #282 C.R.S. Citation: 10-1-103, C.R.S.*

Cash Fund Revenue and Expenditure Trend Information

| | Actual FY 2007-08 | Actual FY 2008-09 | Estimate FY 2009-10 | Request FY 2010-11 | Projected FY 2011-12 |
|------------------------------|------------------------------|------------------------------|--------------------------------|-------------------------------|---------------------------------|
| Beginning Balance | (58,558) | (499,656) | 0 | 0 | 0 |
| Exempt Revenue | | | | | |
| Non-Exempt Revenue | 9,052,267 | 11,112,484 | 10,353,404 | 10,730,531 | 10,945,142 |
| Total Expenditures | 9,493,365 | 10,612,828 | 10,353,404 | 10,730,531 | 10,945,142 |
| Ending Balance | (499,656) | 0 | 0 | 0 | 0 |
| Ending Balance – Cash Assets | | | | | |
| Reserves Increase/Decrease | (441,098) | 499,656 | 0 | 0 | 0 |

Fee Levels

| | Actual FY 2007-08 | Actual FY 2008-09 | Estimate FY 2009-10 | Request FY 2010-11 | Projected FY 2011-12 |
|---|------------------------------|------------------------------|--------------------------------|-------------------------------|---------------------------------|
| 1. License and Renewal Fees for Companies | \$500-\$3,345 | \$500-\$3,345 | \$500-\$3,345 | \$500-\$3,345 | \$500-\$3,345 |
| 2. License and Renewal Fees for Producers | \$13.50-\$250 | \$13.50-\$250 | \$13.50-\$250 | \$13.50-\$250 | \$13.50-\$250 |

Cash Fund Reserve Balance

| | Actual FY 2007-08 | Actual FY 2008-09 | Estimate FY 2009-10 | Request FY 2010-11 | Projected FY 2011-12 |
|---|------------------------------|------------------------------|--------------------------------|-------------------------------|---------------------------------|
| Uncommitted Fee Reserve Balance (total reserve balance minus exempt assets and previously appropriated funds; calculated based on % of revenue from fees) | (57,979) | | (57,979) | (57,979) | (57,979) |
| Target/Alternative Fee Reserve Balance (amount set in statute or 16.5% of total expenses) | 1,566,405 | | 1,708,312 | 1,770,538 | 1,805,948 |
| Excess Uncommitted Fee Reserve Balance | (1,624,384) | | (1,766,291) | (1,828,517) | (1,863,927) |

Deadline for Complying with the Target/Alternative Reserve Balance:

June 30, 2009

| Cash Fund Narrative Information | | | | | |
|--|---|--|------------------------|-----------------------|-------------------------|
| Purpose/Background of Fund | | The fund exists to support the costs of the Division of Insurance and its mission of consumer protection in the insurance industry. | | | |
| Fee Sources | | The fund is supported by business and professional license and renewal fees (types include life/health, property/casualty, viaticals, surplus lines, and bail bonds). | | | |
| Non-Fee Sources | | Earned interest and premium tax revenue is deposited into the fund to supplement fee revenue to fully cover the expenditures each year. | | | |
| Long Bill Groups Supported by Fund | | Division of Insurance; Pursuant to HB 01-1097, this fund also supports the Certified Capital Companies program in the Office of Economic Development of the Governor's Office. | | | |
| Statutory or Other Restriction on Use of Fund | | The fund may only be used to cover costs of the Division of Insurance, fraud prosecution in the Department of Law, and the Certified Capital Companies program in the Office of Economic Development. | | | |
| Revenue Drivers | | Fee amounts are set in statute and by rule, and the number of units affects fee revenue. The remainder of revenue is from premium tax collections that would otherwise be deposited in the General Fund. Actual revenue for FY 2007-08 was adjusted by \$499,655 to reflect final adjustments on the State's post-closing financial statements. | | | |
| Expenditure Drivers | | Expenditures are driven by program costs and correspond to legislative appropriations for the Division of Insurance, Department of Law, and Office of Economic Development. For this fund, expenditures include personal services, associated operating expenses, and legal services. Expenditures can vary based on staffing and the need for legal services. | | | |
| Assessment of Potential for Compliance | | This fund is presently in compliance. Because premium tax revenue is deposited into the fund only to cover expenditures not covered by fee revenue, there is little if any fund balance each year. | | | |
| Action | <input type="checkbox"/> Already in Compliance <input type="checkbox"/> Statute Change ¹ <input type="checkbox"/> Planned Fee Reduction ¹ | | | | |
| | <input type="checkbox"/> Planned One-time Expenditure(s) ¹ <input type="checkbox"/> Planned Ongoing Expenditure(s) ¹ <input type="checkbox"/> Waiver ² | | | | |
| Cash Fund Expenditure Line Item Detail and Change Requests | | | | | |
| | Actual FY 2007-08 | Actual FY 2008-09 | Estimate FY 2009-10 | Request FY 2010-11 | Projected FY 2011-12 |
| Division of Insurance | | | | | |
| Personal Services | 5,834,380 | 6,429,783 | 6,643,027 | 6,350,689 | 6,477,703 |
| Operating Expenses | 275,180 | 264,606 | 400,249 | 410,358 | 418,565 |
| Insurance Fraud Prosecution | 766,261 | 819,342 | 872,262 | 845,305 | 862,211 |
| Indirect Cost Assessment | 924,096 | 981,122 | 975,410 | 961,485 | 980,715 |
| CAPCO Payments | | 91,930 | 81,312 | 81,312 | 82,938 |
| Centrally Appropriated Lines/Other | 1,614,814 | 2,026,046 | 1,381,144 | 2,081,382 | 2,124,636 |
| Department of Law | | | | | |
| Insurance Fraud Prosecution (<i>non-add</i>) | 766,261 | 819,342 | 872,262 | 845,305 | 862,211 |
| Governor's Office | | | | | |
| Certified Capital Companies (<i>non-add</i>) | 78,634 | 91,930 | 81,312 | 81,312 | 81,312 |
| Division Subtotal | 9,493,365 | 10,612,829 | 10,353,404 | 10,730,531 | 10,946,768 |
| TOTAL | 9,493,365 | 10,612,829 | 10,353,404 | 10,730,531 | 10,946,768 |

Schedule 9.A

Cash Fund Status for: *Multiple Employer Welfare Arrangement (MEWA) Cash Fund #16Q* **C.R.S. Citation:** *10-16-902(6), C.R.S.*

Cash Fund Revenue and Expenditure Trend Information

| | Actual FY 2007-08 | Actual FY 2008-09 | Estimate FY 2009-10 | Request FY 2010-11 | Projected FY 2011-12 |
|------------------------------|------------------------------|------------------------------|--------------------------------|-------------------------------|---------------------------------|
| Beginning Balance | 670 | 670 | 670 | 670 | 670 |
| Exempt Revenue | | | | | |
| Non-Exempt Revenue | 0 | 0 | 0 | 0 | 0 |
| Total Expenditures | 0 | 0 | 0 | 0 | 0 |
| Ending Balance | 670 | 670 | 670 | 670 | 670 |
| Ending Balance – Cash Assets | | | | | |
| Reserves Increase/Decrease | 0 | 0 | 0 | 0 | 0 |

Fee Levels

| | Actual FY 2007-08 | Actual FY 2008-09 | Estimate FY 2009-10 | Request FY 2010-11 | Projected FY 2011-12 |
|--------------------|------------------------------|------------------------------|--------------------------------|-------------------------------|---------------------------------|
| 1. Application Fee | \$500 | \$500 | \$500 | \$500 | 500 |
| 2. Renewal Fee | \$670-\$3,345 | \$670-\$3,345 | \$670-\$3,345 | \$670-\$3,345 | \$670-\$3,345 |

Cash Fund Reserve Balance

| | Actual FY 2007-08 | Actual FY 2008-09 | Estimate FY 2009-10 | Request FY 2010-11 | Projected FY 2011-12 |
|---|------------------------------|------------------------------|--------------------------------|-------------------------------|---------------------------------|
| Uncommitted Fee Reserve Balance (total reserve balance minus exempt assets and previously appropriated funds; calculated based on % of revenue from fees) | 670 | 0 | | | |
| Target/Alternative Fee Reserve Balance (amount set in statute or 16.5% of total expenses) | 0 | 0 | 0 | 0 | 0 |
| Excess Uncommitted Fee Reserve Balance | 670 | 0 | 0 | 0 | 0 |
| Deadline for Complying with the Target/Alternative Reserve Balance: | | | | N/A | |

| Cash Fund Narrative Information | | | | | |
|---|----------------------|---|------------------------|-----------------------|-------------------------|
| Purpose/Background of Fund | | The fund exists to support the costs of the Multiple Employer Welfare Arrangement (MEWA) pilot program in the Division of Insurance. | | | |
| Fee Sources | | The fund is supported by fees imposed by the Commissioner of Insurance on participating MEWAs, including a \$500 application fee (for background investigation and review) as well as annual fees ranging from \$670-\$3,345 on each MEWA depending on respective premiums, charges, and funds. There is a maximum of 18 MEWAs for the program. | | | |
| Non-Fee Sources | | Earned interest. | | | |
| Long Bill Groups Supported by Fund | | Division of Insurance | | | |
| Statutory or Other Restriction on Use of Fund | | The fund may only be used to cover the direct and indirect costs of the MEWA program. | | | |
| Revenue Drivers | | The number and volume of participating MEWAs affects the amount of fee revenue. | | | |
| Expenditure Drivers | | The workload in investigating, reviewing, and administering the MEWA program. | | | |
| Assessment of Potential for Compliance | | This fund is presently in compliance. Expenditures and revenues are less than \$50,000. | | | |
| Action | | <input type="checkbox"/> Already in Compliance <input type="checkbox"/> Statute Change ¹ <input type="checkbox"/> Planned Fee Reduction ¹ | | | |
| | | <input type="checkbox"/> Planned One-time Expenditure(s) ¹ <input type="checkbox"/> Planned Ongoing Expenditure(s) ¹ <input type="checkbox"/> Waiver ² | | | |
| Cash Fund Expenditure Line Item Detail and Change Requests | | | | | |
| | Actual FY 2007-08 | Actual FY 2008-09 | Estimate FY 2009-10 | Request FY 2010-11 | Projected FY 2011-12 |
| Division of Insurance | | | | | |
| Personal Services | 0 | 0 | 0 | 0 | 0 |
| Division Subtotal | 0 | 0 | 0 | 0 | 0 |
| TOTAL | 0 | 0 | 0 | 0 | 0 |

Schedule 9.A

Cash Fund Status for: *Mandated Health Insurance Cash Fund #16U C.R.S. Citation: 10-16-103.3(8), C.R.S.*

Cash Fund Revenue and Expenditure Trend Information

| | Actual FY 2007-08 | Actual FY 2008-09 | Estimate FY 2009-10 | Request FY 2010-11 | Projected FY 2011-12 |
|------------------------------|------------------------------|------------------------------|--------------------------------|-------------------------------|---------------------------------|
| Beginning Balance | 10,536 | 10,536 | 10,536 | 10,536 | 10,536 |
| Exempt Revenue | | | | | |
| Non-Exempt Revenue | 0 | 0 | 0 | 0 | 0 |
| Total Expenditures | 0 | 0 | 0 | 0 | 0 |
| Ending Balance | 10,536 | 10,536 | 10,536 | 10,536 | 10,536 |
| Ending Balance – Cash Assets | | | | | |
| Reserves Increase/Decrease | 0 | 0 | 0 | 0 | 0 |

Fee Levels

| | Actual FY 2007-08 | Actual FY 2008-09 | Estimate FY 2009-10 | Request FY 2010-11 | Projected FY 2011-12 |
|---|------------------------------|------------------------------|--------------------------------|-------------------------------|---------------------------------|
| No fees are presently assessed for this fund. | | | | | |

Cash Fund Reserve Balance

| | Actual FY 2007-08 | Actual FY 2008-09 | Estimate FY 2009-10 | Request FY 2010-11 | Projected FY 2011-12 |
|---|------------------------------|------------------------------|--------------------------------|-------------------------------|---------------------------------|
| Uncommitted Fee Reserve Balance (total reserve balance minus exempt assets and previously appropriated funds; calculated based on % of revenue from fees) | 10,536 | 0 | 0 | 0 | 0 |
| Target/Alternative Fee Reserve Balance (amount set in statute or 16.5% of total expenses) | 0 | 0 | 0 | 0 | 0 |
| Excess Uncommitted Fee Reserve Balance | 10,536 | 0 | 0 | 0 | 0 |
| Deadline for Complying with the Target/Alternative Reserve Balance: | | | | | N/A |

| Cash Fund Narrative Information | |
|---|--|
| Purpose/Background of Fund | The fund exists to support the costs of the Commission on Mandated Health Insurance Benefits, which assesses the impact of mandated health insurance benefits in Colorado. |
| Fee Sources | Fees assessed to health carriers. |
| Non-Fee Sources | Earned interest. |
| Long Bill Groups Supported by Fund | Division of Insurance |
| Statutory or Other Restriction on Use of Fund | The fund may only be used to cover the direct and indirect costs of the Mandated Health Commission. |
| Revenue Drivers | Fees set to cover expenditures for administrative support of the Commission. |
| Expenditure Drivers | Expenditures are for administrative support of the Commission; however, no costs for this purpose have been incurred in recent years. Future costs are subject to frequency of meetings and required support of the Commission, which has been negligible in recent years. |
| Assessment of Potential for Compliance | This fund is presently in compliance. Expenditures and revenues are less than \$50,000. |
| Action | <input type="checkbox"/> Already in Compliance <input type="checkbox"/> Statute Change ¹ <input type="checkbox"/> Planned Fee Reduction ¹ |
| | <input type="checkbox"/> Planned One-time Expenditure(s) ¹ <input type="checkbox"/> Planned Ongoing Expenditure(s) ¹ <input type="checkbox"/> Waiver ² |

| Cash Fund Expenditure Line Item Detail and Change Requests | | | | | |
|---|----------------------|----------------------|------------------------|-----------------------|-------------------------|
| | Actual FY 2007-08 | Actual FY 2008-09 | Estimate FY 2009-10 | Request FY 2010-11 | Projected FY 2011-12 |
| Division of Insurance | | | | | |
| Personal Services | 0 | 0 | 0 | 0 | 0 |
| Division Subtotal | 0 | 0 | 0 | 0 | 0 |
| TOTAL | 0 | 0 | 0 | 0 | 0 |

Schedule 9.A

Cash Fund Status for: Prescription Drug Monitoring Cash Fund #18S **C.R.S. Citation:** 12-22-706, C.R.S.

Cash Fund Revenue and Expenditure Trend Information

| | Actual FY 2007-08 | Actual FY 2008-09 | Estimate FY 2009-10 | Request FY 2010-11 | Projected FY 2011-12 |
|------------------------------|------------------------------|------------------------------|--------------------------------|-------------------------------|---------------------------------|
| Beginning Balance | 0 | 56,680 | 274,379 | 124,379 | 49,379 |
| Exempt Revenue | 221,442 | 178,622 | 175,000 | 175,000 | 175,000 |
| Non-Exempt Revenue | 90,056 | 312,735 | 75,000 | 85,000 | 150,000 |
| Total Expenditures | 254,818 | 273,658 | 400,000 | 335,000 | 341,700 |
| Ending Balance | 56,680 | 274,379 | 124,379 | 49,379 | 32,679 |
| Ending Balance – Cash Assets | | | | | |
| Reserves Increase/Decrease | 56,680 | 217,699 | (150,000) | (75,000) | (16,700) |

Fee Levels

| | Actual FY 2007-08 | Actual FY 2008-09 | Estimate FY 2009-10 | Request FY 2010-11 | Projected FY 2011-12 |
|--|------------------------------|------------------------------|--------------------------------|-------------------------------|---------------------------------|
| 1. Beginning in FY 07-08, an assessment against all licensees having prescriptive authority will be charged pursuant to statute. | N/A | \$7.50 | \$2.50 | \$2.50 | \$3.00 |

Cash Fund Reserve Balance

| | Actual FY 2007-08 | Actual FY 2008-09 | Estimate FY 2009-10 | Request FY 2010-11 | Projected FY 2011-12 |
|---|------------------------------|------------------------------|--------------------------------|-------------------------------|---------------------------------|
| Uncommitted Fee Reserve Balance (total reserve balance minus exempt assets and previously appropriated funds; calculated based on % of revenue from fees) | 56,680 | 274,379 | 124,379 | 49,379 | 32,679 |
| Target/Alternative Fee Reserve Balance (amount set in statute or 16.5% of total expenses) | 42,045 | 45,154 | 66,000 | 55,275 | 56,381 |
| Excess Uncommitted Fee Reserve Balance | (14,635) | (229,225) | (58,379) | 5,896 | 23,702 |
| Deadline for Complying with the Target/Alternative Reserve Balance: | | | | N/A | |

| Cash Fund Narrative Information | | | | | |
|---|---|--|------------------------|-----------------------|-------------------------|
| Purpose/Background of Fund | | The fund exists to support the costs of the Division in implementing the Prescription Drug Monitoring Program. | | | |
| Fee Sources | | The only fee source is a newly authorized assessment against licensees having prescriptive authority, including optometrists, podiatrists, nurses, physicians, dentists, and veterinarians. | | | |
| Non-Fee Sources | | Federal grants, gifts grants and donations, and earned interest. | | | |
| Long Bill Groups Supported by Fund | | Division of Registrations | | | |
| Statutory or Other Restriction on Use of Fund | | The fund may only be used to cover costs of the Division of Registrations. | | | |
| Revenue Drivers | | Fees set annually so that revenue generated approximates program costs whenever grants and donations are expected to me insufficient. Actual revenue will depend on the number of payers. | | | |
| Expenditure Drivers | | Expenditures are driven by program costs and correspond to legislative appropriations as well as available grant funding. For this fund, expenditures include personal services, associated operating expenses, and legal services. Expenditures can vary based on staffing and the need for legal services. | | | |
| Assessment of Potential for Compliance | | This fund is presently in compliance. Prior to FY 07-08, revenue for this fund has not been from state fees. Beginning in FY 07-08, state fees will begin; however, the limit will not yet apply because it is the first two fiscal years of the program and cash fund. | | | |
| Action | <input type="checkbox"/> Already in Compliance <input type="checkbox"/> Statute Change ¹ <input type="checkbox"/> Planned Fee Reduction ¹ | | | | |
| | <input type="checkbox"/> Planned One-time Expenditure(s) ¹ <input type="checkbox"/> Planned Ongoing Expenditure(s) ¹ <input type="checkbox"/> Waiver ² | | | | |
| Cash Fund Expenditure Line Item Detail and Change Requests | | | | | |
| | Actual FY 2007-08 | Actual FY 2008-09 | Estimate FY 2009-10 | Request FY 2010-11 | Projected FY 2011-12 |
| Division of Registrations - PDMP | | | | | |
| Prescription Drug Monitoring | 50,814 | 273,658 | 400,000 | 335,000 | 341,700 |
| Division Subtotal | 50,814 | 273,658 | 400,000 | 335,000 | 341,700 |
| TOTAL | 50,814 | 273,658 | 400,000 | 335,000 | 341,700 |

Schedule 9.A

Cash Fund Status for: *Viatical Settlements Cash Fund #18W* **C.R.S. Citation:** *10-7-619, C.R.S.*

Cash Fund Revenue and Expenditure Trend Information

| | Actual FY 2007-08 | Actual FY 2008-09 | Estimate FY 2009-10 | Request FY 2010-11 | Projected FY 2011-12 |
|------------------------------|------------------------------|------------------------------|--------------------------------|-------------------------------|---------------------------------|
| Beginning Balance | 16,234 | 27,326 | 33,774 | 10,868 | 6,868 |
| Exempt Revenue | | | | | |
| Non-Exempt Revenue | 15,580 | 16,040 | 8,000 | 8,000 | 8,000 |
| Total Expenditures | 4,488 | 9,592 | 30,906 | 12,000 | 12,000 |
| Ending Balance | 27,326 | 33,774 | 10,868 | 6,868 | 2,868 |
| Ending Balance – Cash Assets | | | | | |
| Reserves Increase/Decrease | 11,092 | 17,540 | (16,458) | (4,000) | (4,000) |

Fee Levels

| | Actual FY 2007-08 | Actual FY 2008-09 | Estimate FY 2009-10 | Request FY 2010-11 | Projected FY 2011-12 |
|------------------------------|------------------------------|------------------------------|--------------------------------|-------------------------------|---------------------------------|
| 1. Per Company License Fees | \$500 | | \$500 | \$500 | \$500 |
| 2. Per Producer License Fees | \$30 | | \$30 | \$15 | \$15 |

Cash Fund Reserve Balance

| | Actual FY 2007-08 | Actual FY 2008-09 | Estimate FY 2009-10 | Request FY 2010-11 | Projected FY 2011-12 |
|---|------------------------------|------------------------------|--------------------------------|-------------------------------|---------------------------------|
| Uncommitted Fee Reserve Balance (total reserve balance minus exempt assets and previously appropriated funds; calculated based on % of revenue from fees) | 16,234 | 33,774 | 10,868 | 6,868 | 2,868 |
| Target/Alternative Fee Reserve Balance (amount set in statute or 16.5% of total expenses) | 741 | 1,583 | 5,099 | 1,980 | 1,980 |
| Excess Uncommitted Fee Reserve Balance | 15,493 | 32,191 | 5,768 | 4,888 | 888 |

Deadline for Complying with the Target/Alternative Reserve Balance:

N/A

| Cash Fund Narrative Information | | | | | |
|---|---|---|------------------------|-----------------------|-------------------------|
| Purpose/Background of Fund | | The purpose of the fund is to support the costs of regulating the activities of viatical settlement producers and providers involving agreements to assign, transfer, sell or bequest the death benefit or ownership of a life insurance policy in exchange for compensation less than the expected death benefit. | | | |
| Fee Sources | | The fund is supported by fees assessed against viatical settlement providers and life insurance producers. | | | |
| Non-Fee Sources | | Earned interest. | | | |
| Long Bill Groups Supported by Fund | | Division of Insurance Personal Services. | | | |
| Statutory or Other Restriction on Use of Fund | | The fund may only be used to cover costs of the Division of Insurance's work related to viatical settlements. | | | |
| Revenue Drivers | | The number of viatical settlement providers and life insurance producers. Fees will be reduced in FY 08-09 and beyond to reflect expenditure levels. | | | |
| Expenditure Drivers | | Expenditures are driven by program costs and correspond to legislative appropriations. For this fund, expenditures include personal services. Expenditures can vary based on staffing and the need for legal services. \$4,488 is appropriated for the current year, after which it is expected that \$12,000 will become the annual level of expenditures. | | | |
| Assessment of Potential for Compliance | | This fund is presently in compliance. Expenditures and revenues are less than \$50,000. | | | |
| Action | <input type="checkbox"/> Already in Compliance <input type="checkbox"/> Statute Change ¹ <input type="checkbox"/> Planned Fee Reduction ¹ | | | | |
| | <input type="checkbox"/> Planned One-time Expenditure(s) ¹ <input type="checkbox"/> Planned Ongoing Expenditure(s) ¹ <input type="checkbox"/> Waiver ² | | | | |
| Cash Fund Expenditure Line Item Detail and Change Requests | | | | | |
| | Actual FY 2007-08 | Actual FY 2008-09 | Estimate FY 2009-10 | Request FY 2010-11 | Projected FY 2011-12 |
| Division of Insurance | | | | | |
| Personal Services | 4,488 | 9,592 | 30,906 | 12,000 | 12,000 |
| Division Subtotal | 4,488 | 9,592 | 30,906 | 12,000 | 12,000 |
| TOTAL | 4,488 | 9,592 | 30,906 | 12,000 | 12,000 |

Schedule 9.A

Cash Fund Status for: *Mortgage Broker Registration Cash Fund #19U C.R.S. Citation: 12-61-908(2), C.R.S.*

Cash Fund Revenue and Expenditure Trend Information

| | Actual FY 2007-08 | Actual FY 2008-09 | Estimate FY 2009-10 | Request FY 2010-11 | Projected FY 2011-12 |
|------------------------------|------------------------------|------------------------------|--------------------------------|-------------------------------|---------------------------------|
| Beginning Balance | 1,110,471 | 1,136,791 | 407,689 | (134,327) | 16,085 |
| Exempt Revenue | | | | | |
| Non-Exempt Revenue | 811,432 | 288,236 | 648,288 | 1,340,716 | 1,523,275 |
| Total Expenditures | 785,112 | 1,017,337 | 1,190,304 | 1,190,304 | 1,214,110 |
| Ending Balance | 1,136,791 | 407,689 | (134,327) | 16,085 | 325,250 |
| Ending Balance – Cash Assets | | | | | |
| Reserves Increase/Decrease | 26,320 | (702,782) | (1,271,118) | 150,412 | 309,165 |

Fee Levels

| | Actual FY 2007-08 | Actual FY 2008-09 | Estimate FY 2009-10 | Request FY 2010-11 | Projected FY 2011-12 |
|--|------------------------------|------------------------------|--------------------------------|-------------------------------|---------------------------------|
| Under the previously existing program, broker license fees were set at \$200 initially for a three-year period. Fee adjustments were made to bring in sufficient revenue to support expenditures. However, effective with HB 09-1085, Mortgage Broker fees are for one year. | | | | | |
| Mortgage Broker Registration Fee | \$200 | \$200 | \$245 | \$349 | \$349 |
| Other Fees | | | | | |

Cash Fund Reserve Balance

| | Actual FY 2007-08 | Actual FY 2008-09 | Estimate FY 2009-10 | Request FY 2010-11 | Projected FY 2011-12 |
|---|------------------------------|------------------------------|--------------------------------|-------------------------------|---------------------------------|
| Uncommitted Fee Reserve Balance (total reserve balance minus exempt assets and previously appropriated funds; calculated based on % of revenue from fees) | | 407,689 | (134,327) | 16,085 | 325,250 |
| Target/Alternative Fee Reserve Balance (amount set in statute or 16.5% of total expenses) | | 167,861 | 196,400 | 196,400 | 200,328 |
| Excess Uncommitted Fee Reserve Balance | | 239,829 | (330,727) | (180,315) | 124,922 |
| Deadline for Complying with the Target/Alternative Reserve Balance: | | | | June 30, 2009 | |

| Cash Fund Narrative Information | | | | | |
|--|---|--|------------------------|-----------------------|-------------------------|
| Purpose/Background of Fund | | The fund exists to support the costs of the Division in implementing the licensure program for Mortgage Brokers. | | | |
| Fee Sources | | Application fees for mortgage brokers, and from their annual renewal fees. | | | |
| Non-Fee Sources | | Earned interest. | | | |
| Long Bill Groups Supported by Fund | | Division of Real Estate | | | |
| Statutory or Other Restriction on Use of Fund | | The fund may only be used to cover costs of the Division of Real Estate and the Department of Law related to mortgage brokers. | | | |
| Revenue Drivers | | Fees set annually so that revenue generated approximates program costs. Actual revenue will depend on the number of payers. | | | |
| Expenditure Drivers | | Expenditures are driven by program costs and correspond to legislative appropriations. For this fund, expenditures include personal services, associated operating expenses, and legal services. Expenditures can vary based on staffing and the need for hearings and legal services. | | | |
| Assessment of Potential for Compliance | | Compliance is not required for the first two years of the fund and program. However, compliance is expected during FY 08-09 and fees will be set accordingly. | | | |
| Action | <input type="checkbox"/> Already in Compliance <input type="checkbox"/> Statute Change ¹ <input type="checkbox"/> Planned Fee Reduction ¹ | | | | |
| | <input type="checkbox"/> Planned One-time Expenditure(s) ¹ <input type="checkbox"/> Planned Ongoing Expenditure(s) ¹ <input type="checkbox"/> Waiver ² | | | | |
| Cash Fund Expenditure Line Item Detail and Change Requests | | | | | |
| | Actual FY 2007-08 | Actual FY 2008-09 | Estimate FY 2009-10 | Request FY 2010-11 | Projected FY 2011-12 |
| Division of Real Estate | | | | | |
| Personal Services | 268,917 | 366,592 | 384,819 | 384,819 | 392,515 |
| Operating Expenses/Other | 14,442 | 27,035 | 25,951 | 25,951 | 26,470 |
| Hearings | | | 0 | 0 | 0 |
| Commission Meetings | | | 0 | 0 | 0 |
| Mortgage Broker Consumer Protection | 131,178 | 295,724 | 311,339 | 311,339 | 317,566 |
| Indirect Cost Assessment | 67,229 | 90,753 | 90,684 | 90,684 | 92,498 |
| Centrally Appropriated Lines | 303,346 | 237,233 | 377,511 | 377,511 | 385,061 |
| Department of Law | | | | | |
| Mortgage Broker Consumer Protection | 131,178 | 295,724 | 311,339 | 311,339 | 317,566 |
| Division Subtotal | 785,112 | 1,017,337 | 1,190,304 | 1,190,304 | 1,214,110 |
| TOTAL | 785,112 | 1,017,337 | 1,190,304 | 1,190,304 | 1,214,110 |

Schedule 9.A

Cash Fund Status for: Health Care Reform Cash Fund #19W C.R.S. Citation: 10-16-131, C.R.S.

Cash Fund Revenue and Expenditure Trend Information

| | Actual FY 2007-08 | Actual FY 2008-09 | Estimate FY 2009-10 | Request FY 2010-11 | Projected FY 2011-12 |
|------------------------------|------------------------------|------------------------------|--------------------------------|-------------------------------|---------------------------------|
| Beginning Balance | 10,325 | 1,478 | 1,478 | 1,478 | 1,478 |
| Exempt Revenue | 152 | 0 | 0 | 0 | |
| Non-Exempt Revenue | 0 | 0 | 0 | 0 | 0 |
| Total Expenditures | 8,999 | 0 | 0 | 0 | 0 |
| Ending Balance | 1,478 | 1,478 | 1,478 | 1,478 | 1,478 |
| Ending Balance – Cash Assets | | | | | |
| Reserves Increase/Decrease | (8,847) | 0 | 0 | 0 | 0 |

Fee Levels

| | Actual FY 2007-08 | Actual FY 2008-09 | Estimate FY 2009-10 | Request FY 2010-11 | Projected FY 2011-12 |
|------|------------------------------|------------------------------|--------------------------------|-------------------------------|---------------------------------|
| None | | | | | |

Cash Fund Reserve Balance

| | Actual FY 2007-08 | Actual FY 2008-09 | Estimate FY 2009-10 | Request FY 2010-11 | Projected FY 2011-12 |
|---|------------------------------|------------------------------|--------------------------------|-------------------------------|---------------------------------|
| Uncommitted Fee Reserve Balance (total reserve balance minus exempt assets and previously appropriated funds; calculated based on % of revenue from fees) | 0 | | 0 | 0 | 0 |
| Target/Alternative Fee Reserve Balance (amount set in statute or 16.5% of total expenses) | 1,485 | | 0 | 0 | 0 |
| Excess Uncommitted Fee Reserve Balance | (1,485) | | 0 | 0 | 0 |

Deadline for Complying with the Target/Alternative Reserve Balance:

N/A

| Cash Fund Narrative Information | | | | | |
|---|---|---|------------------------|-----------------------|-------------------------|
| Purpose/Background of Fund | | The fund exists to support the costs of the activities of the Health Care Reform Commission established in SB 06-208. The Commission is not overseen by the Department. | | | |
| Fee Sources | | None. | | | |
| Non-Fee Sources | | Federal grants, gifts grants and donations, and earned interest. The fund received a \$100,000 GF appropriation in FY 05-06 and an additional \$65,000 in revenue from gifts, grants, and donations in FY 06-07 plus \$4,000 in interest earnings. The fund is exhausted and will cease to fund expenditures. | | | |
| Long Bill Groups Supported by Fund | | Division of Insurance | | | |
| Statutory or Other Restriction on Use of Fund | | The fund may only be used to cover costs of the Health Care Reform Commission | | | |
| Revenue Drivers | | General Assembly appropriations and gifts. | | | |
| Expenditure Drivers | | Expenditures reflect the amount of work done by the Commission. | | | |
| Assessment of Potential for Compliance | | This fund is presently in compliance; this fund consists entirely of non-fee revenue. | | | |
| Action | <input type="checkbox"/> Already in Compliance <input type="checkbox"/> Statute Change ¹ <input type="checkbox"/> Planned Fee Reduction ¹ | | | | |
| | <input type="checkbox"/> Planned One-time Expenditure(s) ¹ <input type="checkbox"/> Planned Ongoing Expenditure(s) ¹ <input type="checkbox"/> Waiver ² | | | | |
| Cash Fund Expenditure Line Item Detail and Change Requests | | | | | |
| | Actual FY 2007-08 | Actual FY 2008-09 | Estimate FY 2009-10 | Request FY 2010-11 | Projected FY 2011-12 |
| Division of Insurance | | | | | |
| Health Care Reform Commission | 8,999 | 0 | 0 | 0 | 0 |
| Division Subtotal | 8,999 | 0 | 0 | 0 | 0 |
| TOTAL | 8,999 | 0 | 0 | 0 | 0 |

Schedule 9.A

Cash Fund Status for: *Hazardous Materials Safety Fund #188 C.R.S. Citation: 42-20-107(3), C.R.S.*

Cash Fund Revenue and Expenditure Trend Information

| | Actual FY 2007-08 | Actual FY 2008-09 | Estimate FY 2009-10 | Request FY 2010-11 | Projected FY 2011-12 |
|------------------------------|------------------------------|------------------------------|--------------------------------|-------------------------------|---------------------------------|
| Beginning Balance | 32,979 | 18,391 | 18,391 | (0) | 0 |
| Exempt Revenue | | | | | |
| Non-Exempt Revenue | 318,925 | 320,694 | 318,925 | 325,303 | 331,810 |
| Total Expenditures | 333,513 | 335,939 | 337,316 | 325,303 | 331,810 |
| Ending Balance | 18,391 | 3,146 | (0) | 0 | 0 |
| Ending Balance – Cash Assets | | | | | |
| Reserves Increase/Decrease | (14,588) | (29,833) | (18,391) | 0 | (0) |

Fee Levels

| | Actual FY 2007-08 | Actual FY 2008-09 | Estimate FY 2009-10 | Request FY 2010-11 | Projected FY 2011-12 |
|---|------------------------------|------------------------------|--------------------------------|-------------------------------|---------------------------------|
| 1. Annual Permit Fee, per §42-20-202 | \$10 to \$400 | \$10 to \$400 | \$10 to \$400 | \$10 to \$400 | \$10 to \$400 |
| 2. Single Trip Permit Fee, per §42-20-202 | \$25 | \$25 | \$25 | \$25 | \$25 |

Cash Fund Reserve Balance

| | Actual FY 2007-08 | Actual FY 2008-09 | Estimate FY 2009-10 | Request FY 2010-11 | Projected FY 2011-12 |
|---|------------------------------|------------------------------|--------------------------------|-------------------------------|---------------------------------|
| Uncommitted Fee Reserve Balance (total reserve balance minus exempt assets and previously appropriated funds; calculated based on % of revenue from fees) | 27,469 | | 9,078 | 9,078 | 9,078 |
| Target/Alternative Fee Reserve Balance (amount set in statute or 16.5% of total expenses) | 55,030 | | 55,657 | 53,675 | 54,749 |
| Excess Uncommitted Fee Reserve Balance | (27,561) | | (46,579) | (44,597) | (45,671) |

Deadline for Complying with the Target/Alternative Reserve Balance: June 30, 2009

| Cash Fund Narrative Information | |
|---|--|
| Purpose/Background of Fund | The fund exists to provide funding to the Department of Public Safety (DPS) for the Colorado State Patrol (CSP) for hazardous material response and routing across the State. Funding is also provided to DPS for distribution to local governments (responders) for training and equipment purchases. Finally, funds are appropriated to the Department of Revenue for hazardous materials permitting. No funds are spent by DORA. |
| Fee Sources | The fund is supported by Hazardous materials permit fees (annual and single trip). |
| Non-Fee Sources | Penalties, gifts, donations, federal funds per §42-20-107, C.R.S. |
| Long Bill Groups Supported by Fund | Department of Public Safety, Executive Director's Office, Distribution to Local Governments--Department of Public Safety, Colorado State Patrol, Hazardous Materials Routing--Department of Revenue, Hazardous Materials Permitting Program. |
| Statutory or Other Restriction on Use of Fund | The fund is used to cover the costs of hazardous materials shipments, but Section 42-20-107(3), C.R.S., provides that at the end of each fiscal year, any moneys remaining in the Hazardous Materials Safety Fund "shall not revert to the general fund, but shall be subject to appropriation by the General Assembly to the executive director of the Department of Public Safety for disbursement to local governments for the purposes related to the preparation and training for and response to hazardous materials incidents." |
| Revenue Drivers | The number of shipments made. |
| Expenditure Drivers | Expenditures are driven by program costs and correspond to legislative appropriations and the number of shipments made. Department of Public Safety: personal services and operating for the Hazardous Materials Routing Program; for the Department of Revenue: Hazardous Materials Permitting Program. |
| Assessment of Potential for Compliance | This fund is presently in compliance. |
| Action | <input type="checkbox"/> Already in Compliance <input type="checkbox"/> Statute Change ¹ <input type="checkbox"/> Planned Fee Reduction ¹ |
| | <input type="checkbox"/> Planned One-time Expenditure(s) ¹ <input type="checkbox"/> Planned Ongoing Expenditure(s) ¹ <input type="checkbox"/> Waiver ² |

| Cash Fund Expenditure Line Item Detail and Change Requests | | | | | |
|---|----------------------|----------------------|------------------------|-----------------------|-------------------------|
| | Actual FY 2007-08 | Actual FY 2008-09 | Estimate FY 2009-10 | Request FY 2010-11 | Projected FY 2011-12 |
| Department of Revenue | | | | | |
| MVBG Administration | 0 | 0 | 0 | 0 | 0 |
| Hazardous Materials Permitting | 194,094 | 202,363 | 202,363 | 206,410 | 210,538 |
| Department of Public Safety | | | | | |
| Hazardous Materials Routing | 106,440 | 115,185 | 115,185 | 117,489 | 121,271 |
| Distribution to Local Governments | 32,979 | 18,391 | 19,768 | 1,404 | |
| Division Subtotal | 333,513 | 335,939 | 337,316 | 325,303 | 331,810 |
| TOTAL | 333,513 | 335,939 | 337,316 | 325,303 | 331,810 |

Schedule 9.A

Cash Fund Status for: *Conservation Easement Appraisals Cash Fund #22G* **C.R.S. Citation:** 12-61-719, C.R.S.

Cash Fund Revenue and Expenditure Trend Information

| | Actual FY 2007-08 | Actual FY 2008-09 | Estimate FY 2009-10 | Request FY 2010-11 | Projected FY 2011-12 |
|------------------------------|------------------------------|------------------------------|--------------------------------|-------------------------------|---------------------------------|
| Beginning Balance | 0 | 0 | 79,220 | 41,307 | 26,895 |
| Exempt Revenue | | | | | |
| Non-Exempt Revenue | 0 | 157,200 | 78,600 | 65,500 | 78,600 |
| Total Expenditures | 0 | 77,980 | 116,513 | 79,912 | 81,510 |
| Ending Balance | 0 | 79,220 | 41,307 | 26,895 | 23,985 |
| Ending Balance – Cash Assets | | | | | |
| Reserves Increase/Decrease | 0 | 79,220 | (37,913) | (14,412) | (2,910) |

Fee Levels

| | Actual FY 2007-08 | Actual FY 2008-09 | Estimate FY 2009-10 | Request FY 2010-11 | Projected FY 2011-12 |
|--------------------------------------|------------------------------|------------------------------|--------------------------------|-------------------------------|---------------------------------|
| Fees are set annually per HB 09-1244 | | | | | |
| Per Document Appraisal Fee | | \$600 | \$300 | \$250 | \$300 |

Cash Fund Reserve Balance

| | Actual FY 2007-08 | Actual FY 2008-09 | Estimate FY 2009-10 | Request FY 2010-11 | Projected FY 2011-12 |
|---|------------------------------|------------------------------|--------------------------------|-------------------------------|---------------------------------|
| Uncommitted Fee Reserve Balance (total reserve balance minus exempt assets and previously appropriated funds; calculated based on % of revenue from fees) | | 79,220 | 41,307 | 26,895 | 23,985 |
| Target/Alternative Fee Reserve Balance (amount set in statute or 16.5% of total expenses) | | 12,867 | 19,225 | 13,185 | 13,449 |
| Excess Uncommitted Fee Reserve Balance | | 66,353 | 22,083 | 13,710 | 10,536 |

Deadline for Complying with the Target/Alternative Reserve Balance:

June 30, 2010

| Cash Fund Narrative Information | |
|---|--|
| Purpose/Background of Fund | Fees generated from this program cover the costs of the Division in implementing the requirements of this program. This program backs the appraisal of conservation easement property. |
| Fee Sources | The revenue for this program is received from appraisals for easement property. |
| Non-Fee Sources | None. |
| Long Bill Groups Supported by Fund | Division of Real Estate. |
| Statutory or Other Restriction on Use of Fund | The fund may only be used to cover costs associated with the Conservation Easement Appraisal Program. |
| Revenue Drivers | Fees set annually so that revenue generates approximated costs. Actual revenue will depend on the number of fee payers. |
| Expenditure Drivers | Expenditures are driven by program costs and correspond to legislative appropriations. For this fund, expenditures include personal services, operating expenses, and legal services. Expenditures can vary based on staffing and the need for legal services. |
| Assessment of Potential for Compliance | The program is within the first two years of implementation therefore the limit does not yet apply. The program presently is not in compliance, but is expected to be by FY 11-12. |
| Action | <input type="checkbox"/> Already in Compliance <input type="checkbox"/> Statute Change ¹ <input type="checkbox"/> Planned Fee Reduction ¹ |
| | <input type="checkbox"/> Planned One-time Expenditure(s) ¹ <input type="checkbox"/> Planned Ongoing Expenditure(s) ¹ <input type="checkbox"/> Waiver ² |

| Cash Fund Expenditure Line Item Detail and Change Requests | | | | | |
|---|----------------------|----------------------|------------------------|-----------------------|-------------------------|
| | Actual FY 2007-08 | Actual FY 2008-09 | Estimate FY 2009-10 | Request FY 2010-11 | Projected FY 2011-12 |
| Division of Real Estate | | | | | |
| Personal Services | 0 | 40,513 | 79,187 | 42,642 | 43,494 |
| Operating Expenses/Other | 0 | 2,232 | 2,102 | 2,102 | 2,144 |
| Hearings | 0 | 0 | 0 | 0 | 0 |
| Commission Meetings | 0 | 0 | 0 | 0 | 0 |
| Indirect Cost Assessment | 0 | 4,254 | 4,242 | 4,187 | 4,271 |
| Centrally Appropriated Lines | 0 | 30,981 | 30,981 | 30,981 | 31,601 |
| Division Subtotal | 0 | 77,980 | 116,513 | 79,912 | 81,510 |
| TOTAL | 0 | 77,980 | 116,513 | 79,912 | 81,510 |

Schedule 9.A

Cash Fund Status for: *Conservation Easement Holders Certification Cash Fund #22H C.R.S. Citation: 12-61-720, C.R.S.*

Cash Fund Revenue and Expenditure Trend Information

| | Actual FY 2007-08 | Actual FY 2008-09 | Estimate FY 2009-10 | Request FY 2010-11 | Projected FY 2011-12 |
|------------------------------|------------------------------|------------------------------|--------------------------------|-------------------------------|---------------------------------|
| Beginning Balance | 0 | 0 | 0 | 1,250 | 1,250 |
| Exempt Revenue | | | | | |
| Non-Exempt Revenue | 0 | 100,800 | 146,250 | 100,000 | 102,000 |
| Total Expenditures | 0 | 110,102 | 145,000 | 100,000 | 102,000 |
| Ending Balance | 0 | (9,302) | 1,250 | 1,250 | 1,250 |
| Ending Balance – Cash Assets | | | | | |
| Reserves Increase/Decrease | 0 | (9,302) | 10,552 | 0 | 0 |

Fee Levels

| | Actual FY 2007-08 | Actual FY 2008-09 | Estimate FY 2009-10 | Request FY 2010-11 | Projected FY 2011-12 |
|--|------------------------------|------------------------------|--------------------------------|-------------------------------|---------------------------------|
| Under the previously existing program, broker license fees were set at \$200 initially for a three-year period. Fee adjustments were made to bring in sufficient revenue to support expenditures. However, effective with HB 09-1085, Mortgage Broker fees are for one year. | | | | | |
| Conservation Easement Holder-Land Trusts | | \$4,200 | \$4,200 | \$4,200 | \$4,200 |
| Conservation Easement Holder-Municipalities | | \$4,200 | \$4,200 | \$4,200 | \$4,200 |

Cash Fund Reserve Balance

| | Actual FY 2007-08 | Actual FY 2008-09 | Estimate FY 2009-10 | Request FY 2010-11 | Projected FY 2011-12 |
|---|------------------------------|------------------------------|--------------------------------|-------------------------------|---------------------------------|
| Uncommitted Fee Reserve Balance (total reserve balance minus exempt assets and previously appropriated funds; calculated based on % of revenue from fees) | | (9,302) | 1,250 | 1,250 | 1,250 |
| Target/Alternative Fee Reserve Balance (amount set in statute or 16.5% of total expenses) | | 18,167 | 23,925 | 16,500 | 16,830 |
| Excess Uncommitted Fee Reserve Balance | | (27,469) | (22,675) | (15,250) | (15,580) |
| Deadline for Complying with the Target/Alternative Reserve Balance: | | | | June 30, 2010 | |

| Cash Fund Narrative Information | | | | | |
|--|---|--|------------------------|-----------------------|-------------------------|
| Purpose/Background of Fund | | Fees generated from this program cover the costs of the Division in implementing the requirements of this program. This | | | |
| Fee Sources | | The revenue for this program is received from licensed holders of participating members of this program. | | | |
| Non-Fee Sources | | None. | | | |
| Long Bill Groups Supported by Fund | | Division of Real Estate. | | | |
| Statutory or Other Restriction on Use of Fund | | The fund may only be used to cover costs associated with the Conservation Easement Holder Program. | | | |
| Revenue Drivers | | Fees set annually so that revenue generates approximated costs. Actual revenue will depend on the number of fee payers. | | | |
| Expenditure Drivers | | Expenditures are driven by program costs and correspond to legislative appropriations. For this fund, expenditures include personal services, operating expenses, and legal services. Expenditures can vary based on staffing and the need for legal services. | | | |
| Assessment of Potential for Compliance | | The program is within the first two years of implementation therefore the limit does not yet apply. The program presently is not in compliance, but is expected to be by FY 11-12. | | | |
| Action | <input type="checkbox"/> Already in Compliance <input type="checkbox"/> Statute Change ¹ <input type="checkbox"/> Planned Fee Reduction ¹ | | | | |
| | <input type="checkbox"/> Planned One-time Expenditure(s) ¹ <input type="checkbox"/> Planned Ongoing Expenditure(s) ¹ <input type="checkbox"/> Waiver ² | | | | |
| Cash Fund Expenditure Line Item Detail and Change Requests | | | | | |
| | Actual FY 2007-08 | Actual FY 2008-09 | Estimate FY 2009-10 | Request FY 2010-11 | Projected FY 2011-12 |
| Division of Real Estate | | | | | |
| Personal Services | 0 | 91,362 | 104,957 | 48,432 | 49,401 |
| Operating Expenses/Other | 0 | 7,277 | 6,852 | 12,592 | 12,844 |
| Hearings | 0 | 0 | 0 | 0 | 0 |
| Commission Meetings | 0 | 6,182 | 8,533 | 8,533 | 8,704 |
| Indirect Cost Assessment | 0 | 4,254 | 4,242 | 4,187 | 4,271 |
| Centrally Appropriated Lines | 0 | 1,027 | 20,415 | 26,256 | 26,781 |
| Division Subtotal | 0 | 110,102 | 145,000 | 0 | 102,000 |
| TOTAL | 0 | 110,102 | 145,000 | 0 | 102,000 |