

**41400 ND Securities Department**  
**Oper. Unit 414 Securities Commissioner**

**Operating Unit Detailed Account Report**  
**For the Month Ending 6/30/2011**

Biennium 2009 - 2011

|                       |                                | ----- Biennium to Date ----- |              |                   |                      |
|-----------------------|--------------------------------|------------------------------|--------------|-------------------|----------------------|
|                       |                                | General Fund                 | Federal Fund | Special Fund      | Total                |
| <b>Revenues</b>       |                                |                              |              |                   |                      |
| 420230                | Misc. License/Fees             | 1,200.00                     | 0.00         | 0.00              | 1,200.00             |
| 420295                | Registration Of Franchises     | 183,450.00                   | 0.00         | 0.00              | 183,450.00           |
| 420300                | Registration Securities        | 6,681,530.76                 | 0.00         | 0.00              | 6,681,530.76         |
| 420325                | Dealers/Investment Firms       | 719,450.00                   | 0.00         | 0.00              | 719,450.00           |
| 420330                | Agents/Representatives         | 9,659,220.00                 | 0.00         | 0.00              | 9,659,220.00         |
| 441015                | Fines-Forfeitures-Escheat      | 521,878.44                   | 0.00         | 287,368.42        | 809,246.86           |
| 441075                | Restitution Collection         | 0.00                         | 0.00         | (21,570.88)       | (21,570.88)          |
| 443010                | Grant/Contrib--Non-Profit/Priv | 0.00                         | 0.00         | 75,000.00         | 75,000.00            |
| 463021                | Misc. Sales And Services       | 3,680.00                     | 0.00         | 15.00             | 3,695.00             |
| 473120                | Refund Of Prior Bienn Expen    | 61.00                        | 0.00         | 0.00              | 61.00                |
| 474005                | Conference Registration Fees   | 0.00                         | 0.00         | 10,950.00         | 10,950.00            |
| <b>Total Revenues</b> |                                | <b>17,770,470.20</b>         | <b>0.00</b>  | <b>351,762.54</b> | <b>18,122,232.74</b> |
| <b>Expenditures</b>   |                                |                              |              |                   |                      |
| 511005                | Salaries Full Time             | 1,010,051.32                 | 0.00         | 0.00              | 1,010,051.32         |
| 511020                | Paid Annual Leave              | 65.37                        | 0.00         | 0.00              | 65.37                |
| 511025                | Pd Retire/Sick Leave           | 14.50                        | 0.00         | 0.00              | 14.50                |
| 514005                | Overtime                       | 1,211.87                     | 0.00         | 0.00              | 1,211.87             |
| 516015                | Employee Assist Program        | 297.86                       | 0.00         | 0.00              | 297.86               |
| 516055                | Health Insurance               | 153,234.78                   | 0.00         | 0.00              | 153,234.78           |
| 516075                | Basic Life Insurance           | 58.52                        | 0.00         | 0.00              | 58.52                |
| 516165                | Section 125 Adm Fee            | 2,616.51                     | 0.00         | 0.00              | 2,616.51             |
| 516170                | Social Security                | 74,751.09                    | 0.00         | 0.00              | 74,751.09            |
| 516175                | State Retirement               | 93,530.68                    | 0.00         | 0.00              | 93,530.68            |
| 516205                | Unemployment Insurance         | 1,016.95                     | 0.00         | 0.00              | 1,016.95             |
| <b>41410</b>          | <b>Salaries and Wages</b>      | <b>1,336,849.45</b>          | <b>0.00</b>  | <b>0.00</b>       | <b>1,336,849.45</b>  |
| 516210                | Workers Comp Premium           | 1,820.10                     | 0.00         | 0.00              | 1,820.10             |
| 521010                | In State - Air Transportation  | 615.80                       | 0.00         | 50.00             | 665.80               |
| 521015                | In State - Lodging             | 2,215.52                     | 0.00         | 13,818.07         | 16,033.59            |
| 521020                | In State - Meals               | 2,374.54                     | 0.00         | 16,369.28         | 18,743.82            |
| 521025                | In State - Other Comm Transpor | 0.00                         | 0.00         | 94.00             | 94.00                |
| 521030                | In State - Vehicle Mileage     | 2,023.47                     | 0.00         | 4,719.45          | 6,742.92             |
| 521045                | Motor/Aircraft Pool            | 3,800.89                     | 0.00         | 237.34            | 4,038.23             |
| 521046                | Motor Pool Replacement Exp     | 174.83                       | 0.00         | 10.13             | 184.96               |
| 521050                | Moving - NonTaxable            | 0.00                         | 0.00         | 383.18            | 383.18               |
| 521065                | Other Transportation & Misc Ex | 327.36                       | 0.00         | 249.93            | 577.29               |
| 521070                | Out of State-Air Transportatio | 14,765.90                    | 0.00         | 5,609.25          | 20,375.15            |
| 521075                | Out of State - Lodging         | 13,093.77                    | 0.00         | 1,448.48          | 14,542.25            |
| 521080                | Out of State - Meals           | 3,552.28                     | 0.00         | 597.30            | 4,149.58             |
| 521085                | Out of State-Other Comm Transp | 1,712.18                     | 0.00         | 0.00              | 1,712.18             |

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|--------|---------------------------------|------------------------------|--------------|--------------|------------|
|        |                                 | General Fund                 | Federal Fund | Special Fund | Total      |
| 521090 | Out of State - Vehicle Mileage  | 259.60                       | 0.00         | 99.00        | 358.60     |
| 531010 | IT - Equipment Under \$750      | 379.98                       | 0.00         | 227.97       | 607.95     |
| 531015 | Software/Licenses Over \$5,000  | 59.99                        | 0.00         | 0.00         | 59.99      |
| 531020 | Software/Licenses Under \$5,000 | 5,918.41                     | 0.00         | 0.00         | 5,918.41   |
| 532015 | Audio Visuals                   | 0.00                         | 0.00         | 800.00       | 800.00     |
| 532020 | Books                           | 47.34                        | 0.00         | 0.00         | 47.34      |
| 532035 | Educational Supplies            | 0.00                         | 0.00         | 336.13       | 336.13     |
| 532055 | Investigative Supplies          | 24.64                        | 0.00         | 0.00         | 24.64      |
| 532090 | Periodicals & Subscriptions     | 17,965.40                    | 0.00         | 28,065.00    | 46,030.40  |
| 532125 | Resource Materials              | 77.90                        | 0.00         | 126,917.71   | 126,995.61 |
| 534100 | Other Bldg. & Equip. Supplies   | 109.98                       | 0.00         | 0.00         | 109.98     |
| 536005 | Central Supply                  | 4,389.83                     | 0.00         | 0.00         | 4,389.83   |
| 536015 | Office Supplies                 | 2,787.19                     | 0.00         | 272.25       | 3,059.44   |
| 536058 | Scrapped Inventory              | 5.00                         | 0.00         | 0.00         | 5.00       |
| 536060 | Supplies - Special Order        | 0.00                         | 0.00         | 6,904.85     | 6,904.85   |
| 541010 | Mailing Services                | 3,815.12                     | 0.00         | 2,285.57     | 6,100.69   |
| 541015 | Postage or P.O. Box Rental      | 124.55                       | 0.00         | 0.00         | 124.55     |
| 542005 | Central Duplicating - Printing  | 330.07                       | 0.00         | 6,439.60     | 6,769.67   |
| 542015 | Copies (Copy Machine)           | 1,644.38                     | 0.00         | 90.14        | 1,734.52   |
| 542035 | Printing From Others (Non Ctrl) | 5,160.87                     | 0.00         | 2,959.99     | 8,120.86   |
| 551005 | Computer Equipment under \$5000 | 14,730.00                    | 0.00         | 0.00         | 14,730.00  |
| 551020 | Other IT Equipment under \$5000 | 104.99                       | 0.00         | 0.00         | 104.99     |
| 552075 | Other Equipment                 | 161.95                       | 0.00         | 0.00         | 161.95     |
| 553005 | Office Machines                 | 453.59                       | 0.00         | 0.00         | 453.59     |
| 553010 | Furniture & Furnishings         | 32,602.34                    | 0.00         | 0.00         | 32,602.34  |
| 571020 | Other Insurance                 | 50.00                        | 0.00         | 0.00         | 50.00      |
| 571025 | Property Insurance              | 116.07                       | 0.00         | 0.00         | 116.07     |
| 571030 | Risk Management Premiums        | 956.00                       | 0.00         | 0.00         | 956.00     |
| 581010 | Copier Rental                   | 7,552.98                     | 0.00         | 0.00         | 7,552.98   |
| 581050 | Lease/Purchase - Equipment      | 410.96                       | 0.00         | 0.00         | 410.96     |
| 582005 | Booth & Room Rental             | 45.00                        | 0.00         | 0.00         | 45.00      |
| 582060 | Rent Of Building Space          | 10,560.00                    | 0.00         | 0.00         | 10,560.00  |
| 591005 | Electrical Service              | 6,226.20                     | 0.00         | 0.00         | 6,226.20   |
| 591050 | Repair Building & Grounds       | 26,793.34                    | 0.00         | 0.00         | 26,793.34  |
| 591060 | Repair Equipment-Office         | 10,120.90                    | 0.00         | 0.00         | 10,120.90  |
| 591065 | Repair Equipment-Other          | 30.00                        | 0.00         | 0.00         | 30.00      |
| 591110 | Repairs Not Classified          | 1,073.00                     | 0.00         | 0.00         | 1,073.00   |
| 601005 | Data Processing Service         | 26,623.68                    | 0.00         | 0.00         | 26,623.68  |
| 601010 | Data Processing-Westlaw         | 2,484.51                     | 0.00         | 0.00         | 2,484.51   |
| 602005 | Cellular Phones                 | 2,243.20                     | 0.00         | 0.00         | 2,243.20   |
| 602065 | Telephone ITD                   | 19,491.92                    | 0.00         | 0.00         | 19,491.92  |

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|              |                                | ----- Biennium to Date ----- |              |                   |                     |
|--------------|--------------------------------|------------------------------|--------------|-------------------|---------------------|
|              |                                | General Fund                 | Federal Fund | Special Fund      | Total               |
| 603015       | IT-Computer Lease-Rent Repairs | 422.50                       | 0.00         | 0.00              | 422.50              |
| 603025       | IT-Network/Communications-Non  | 4,305.00                     | 0.00         | 0.00              | 4,305.00            |
| 603030       | IT-Other Contracting           | 97.50                        | 0.00         | 0.00              | 97.50               |
| 611005       | Conference Expenses            | 9,998.50                     | 0.00         | 0.00              | 9,998.50            |
| 611010       | Dues & Memberships             | 6,565.00                     | 0.00         | 0.00              | 6,565.00            |
| 611015       | Honorariums                    | 0.00                         | 0.00         | 11,700.00         | 11,700.00           |
| 611020       | Professional Development       | 185.00                       | 0.00         | 0.00              | 185.00              |
| 611030       | Tuition Fees                   | 14,506.62                    | 0.00         | 9,200.00          | 23,706.62           |
| 621020       | Advertising Services           | 915.25                       | 0.00         | 322.50            | 1,237.75            |
| 621055       | BCI Background Check           | 30.00                        | 0.00         | 0.00              | 30.00               |
| 621060       | Awards, Rewards, Prizes        | 1,098.70                     | 0.00         | 1,000.00          | 2,098.70            |
| 621275       | Laundry & Dry Cleaning         | 9.75                         | 0.00         | 9.75              | 19.50               |
| 621305       | Misc Contractual Fees          | 0.00                         | 0.00         | 10,700.00         | 10,700.00           |
| 621310       | Miscellaneous Refunds          | 0.00                         | 0.00         | 16,986.39         | 16,986.39           |
| 621325       | Other Operating Fees           | 432.69                       | 0.00         | 0.00              | 432.69              |
| 621415       | Research Fees                  | 469.16                       | 0.00         | 0.00              | 469.16              |
| 621815       | Marketing Advertising Services | 0.00                         | 0.00         | 5,208.46          | 5,208.46            |
| 623020       | Audit                          | 72.00                        | 0.00         | 0.00              | 72.00               |
| 623100       | Legal                          | 42.00                        | 0.00         | 0.00              | 42.00               |
| 623105       | Legal - Administrative Hearing | 1,069.58                     | 0.00         | 0.00              | 1,069.58            |
| 623130       | Management/Consulting Service  | 3,782.50                     | 0.00         | 22,475.00         | 26,257.50           |
| 623175       | Professionals Not Classified   | 3,941.28                     | 0.00         | 0.00              | 3,941.28            |
| <b>41430</b> | <b>Operating Expenses</b>      | <b>300,350.55</b>            | <b>0.00</b>  | <b>296,586.72</b> | <b>596,937.27</b>   |
|              | <b>Total Expenditures</b>      | <b>1,637,200.00</b>          | <b>0.00</b>  | <b>296,586.72</b> | <b>1,933,786.72</b> |