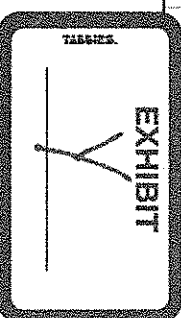


Name of File: Receipts 7/1/2012-6/30/2013	AGA	SDH0100	AGA	SDH4300	REFUND	REFUND	TOTAL
	PENALTIES	Adm. FINES	GENERAL REVENUES	SPECIAL REVENUES	TO EXP. CURRENT YR.	TO EXP. PRIOR YR.	
03-01 AGENT OF ISSUER	\$ -	\$ -	\$ 2,950.00	\$ 1,325.00	\$ -	\$ -	\$ 4,275.00
03-02 INVESTMENT ADVISER AGENT	\$ -	\$ -	\$ 188,400.00	\$ 97,000.00	\$ -	\$ -	\$ 285,400.00
03-04 ISSUER	\$ -	\$ -	\$ 3,473,387.14	\$ 1,553,706.83	\$ -	\$ -	\$ 5,027,093.97
03-05 BROKER-DEALER	\$ -	\$ -	\$ 423,150.00	\$ -	\$ -	\$ -	\$ 423,150.00
03-06 AGENT	\$ -	\$ -	\$ 5,741,400.00	\$ 2,867,900.00	\$ -	\$ -	\$ 8,609,300.00
03-07 MTG. LOAN COMPANY	\$ -	\$ -	\$ 128,850.00	\$ -	\$ -	\$ -	\$ 128,850.00
03-08 MTG. LOAN BRANCH	\$ -	\$ -	\$ 42,800.00	\$ -	\$ -	\$ -	\$ 42,800.00
03-09 MONEY SERVICES	\$ -	\$ -	\$ 67,750.00	\$ -	\$ -	\$ -	\$ 67,750.00
03-10 INVESTMENT ADVISER	\$ -	\$ -	\$ 310,950.00	\$ -	\$ -	\$ -	\$ 310,950.00
03-11 FOREIGN LENDER	\$ -	\$ -	\$ 2,500.00	\$ -	\$ -	\$ -	\$ 2,500.00
03-13 SAVINGS & LOAN	\$ -	\$ -	\$ 2,650.00	\$ -	\$ -	\$ -	\$ 2,650.00
03-14 BROKER-DEALER BRANCH	\$ -	\$ -	\$ -	\$ 55,100.00	\$ -	\$ -	\$ 55,100.00
03-15 INVESTMENT ADVISER BRANCH	\$ -	\$ -	\$ -	\$ 1,000.00	\$ -	\$ -	\$ 1,000.00
03-18 EXEMPTION	\$ -	\$ -	\$ 206,236.21	\$ -	\$ -	\$ -	\$ 206,236.21
03-21 MORTGAGE LOAN OFFICER	\$ -	\$ -	\$ 149,150.00	\$ -	\$ -	\$ -	\$ 149,150.00
03-22 MTG. LOAN CHG. OF CONTROL	\$ -	\$ -	\$ 2,800.00	\$ -	\$ -	\$ -	\$ 2,800.00
03-23 MTG. LOAN PENALTIES	\$ -	\$ -	\$ 1,004,200.00	\$ -	\$ -	\$ -	\$ 1,004,200.00
03-24 MONEY SERVICES FINE	\$ -	\$ -	\$ 66,250.00	\$ -	\$ -	\$ -	\$ 66,250.00
131-01 MORTG. LOAN FINES	\$ -	\$ -	\$ 4,000.00	\$ -	\$ -	\$ -	\$ 4,000.00
EXAMINER EXPENSES & COPIES	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
EXAM FEES	\$ -	\$ -	\$ -	\$ 11,500.00	\$ -	\$ -	\$ 11,500.00
ADMINISTRATIVE FINES SDH-01	\$ -	\$ 150,000.00	\$ 45,537.98	\$ -	\$ -	\$ -	\$ 195,537.98
AGA FINES	\$ 650.00	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 650.00
MISC. REVENUE SDH4300	\$ -	\$ -	\$ -	\$ 112.59	\$ -	\$ -	\$ 112.59
REFUND TO EXPENDITURE PRIOR YR.	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
REFUND TO EXPENDITURE CURRENT YR.	\$ -	\$ -	\$ -	\$ 135.38	\$ -	\$ -	\$ 135.38
TOTAL RECEIPTS	\$ 650.00	\$ 150,000.00	\$ 11,862,961.33	\$ 4,587,779.80	\$ -	\$ -	\$ 16,601,391.13
LESS REFUNDS			\$ 15,162.20	\$ 9,350.00			\$ 24,512.20
LESS BANK FEES/DUPL DEPS/ADJ.			\$ 3,369.19	\$ 1,217.53			\$ 4,586.72
NET RECEIPTS FY 12-13	\$ 650.00	\$ 150,000.00	\$ 11,844,429.94	\$ 4,577,212.27	\$ -	\$ -	\$ 16,572,292.21
cap for Securities Department fund			\$ 2,577,212.27	\$ 2,000,000.00			\$ 4,577,212.27
			\$ 14,421,642.21	\$ 2,577,212.27			\$ 16,630,290.07
Appropriation	Investor Ed	\$ 78,500.00	Operations	\$ 3,479,649.00			



Name of File: Receipts 7/1/2011-6/30/2012	AGA	SDH0100	AGA	SDH4300	Refund	REFUND	TOTAL
Receipts 7/1/11-6/30/12	PENALTIES	Admn. FINES	GENERAL REVENUES	SPECIAL REVENUES	To Exp. Current Year	TO EXP. PRIOR YR.	
ISSUER - 03-04			\$3,326,646.70	\$1,486,544.05			\$4,813,190.75
AGENT OF ISSUER - 03-01			\$2,850.00	\$1,425.00			\$4,275.00
BROKER-DEALER - 03-05			\$439,250.00				\$439,250.00
BROKER-DEALER BRANCH - 03-14				\$55,250.00			\$55,250.00
AGENT - 03-06			\$5,734,850.00	\$2,872,500.00			\$8,607,350.00
INVESTMENT ADVISER - 03-10			\$314,700.00				\$314,700.00
INVESTMENT ADVISER BRANCH - 03-15				\$800.00			\$800.00
INVESTMENT ADVISER AGENT - 03-02			\$175,500.00	\$89,900.00			\$265,400.00
MONEY SERVICES - 03-09			\$59,275.00				\$59,275.00
FOREIGN LENDER - 03-11			\$2,500.00				\$2,500.00
SAVINGS & LOAN - 03-13			\$2,550.00				\$2,550.00
EXEMPTION - 03-18			\$194,783.35				\$194,783.35
MTG. LOAN COMPANY - 03-07			\$135,950.00				\$135,950.00
MTG. LOAN BRANCH - 03-08			\$32,500.00				\$32,500.00
MORTGAGE LOAN OFFICER - 03-21			\$108,650.00				\$108,650.00
MTG. LOAN CHG. OF CONTROL - 03-22			\$2,540.00				\$2,540.00
MTG. LOAN PENALTIES - 03-23			\$2,600.00				\$2,600.00
MONEY SERVICES FINE - 03-24			\$0.00				\$0.00
EXAMINER EXPENSES & COPIES				\$513.13			\$513.13
EXAM FEES				\$8,547.76			\$8,547.76
ADMINISTRATIVE FINES SDH-01		\$488,411.01					\$488,411.01
AGA FINES	\$72,850.00						\$72,850.00
REFUND TO EXPENDITURE PRIOR YR.						\$0.00	\$0.00
REFUND TO EXPENDITURE CURRENT YR.					185.40		\$185.40
TOTAL RECEIPTS	\$72,850.00	\$488,411.01	\$10,535,145.05	\$4,515,479.94	\$0.00	\$0.00	\$15,612,071.40
LESS REFUNDS			\$8,320.22	\$3,000.00			\$11,320.22
NET RECEIPTS FY 10-11	\$72,850.00	\$488,411.01	\$10,526,824.83	\$4,512,479.94	\$0.00	\$0.00	\$15,600,751.18
		\$150,000.00	\$2,512,479.94	\$2,000,000.00			
		\$338,411.01	\$338,411.01	\$2,512,479.94			
			\$13,377,715.78				
Appropriation	Investor Ed	\$78,500.00	Operations	\$3,426,918.00			

Name of File: Receipts 7/1/10-6/30/11	AGA	SDH0100	AGA	SDH4300	Refund To Exp. Current Year	REFUND TO EXP. PRIOR YR.	TOTAL
Receipts 7/1/10-6/30/11	PENALTIES	Admn. FINES	GENERAL REVENUES	SPECIAL REVENUES			
ISSUER			\$3,361,462.12	\$1,466,579.72			\$4,828,041.84
AGENT OF ISSUER			\$3,000.00	\$1,500.00			\$4,500.00
BROKER-DEALER			\$451,500.00				\$451,500.00
BROKER-DEALER BRANCH				\$56,700.00			\$56,700.00
AGENT			\$5,649,050.00	\$2,824,375.00			\$8,473,425.00
INVESTMENT ADVISER			\$295,800.00				\$295,800.00
INVESTMENT ADVISER BRANCH				\$750.00			\$750.00
INVESTMENT ADVISER AGENT			\$177,000.00	\$88,500.00			\$265,500.00
MONEY SERVICES			\$55,750.00				\$55,750.00
FOREIGN LENDER			\$2,500.00				\$2,500.00
SAVINGS & LOAN			\$2,300.00				\$2,300.00
EXEMPTION			\$182,288.37				\$182,288.37
MTG. LOAN COMPANY			\$131,350.00				\$131,350.00
MTG. LOAN BRANCH			\$31,100.00				\$31,100.00
MORTGAGE LOAN OFFICER			\$113,350.00				\$113,350.00
MTG. LOAN CHG. OF CONTROL			\$2,300.00				\$2,300.00
MTG. LOAN PENALTIES			\$1,300.00				\$1,300.00
MONEY SERVICES FINE			\$0.00				\$0.00
EXAMINER EXPENSES & COPIES				\$7,876.67			\$7,876.67
EXAM FEES				\$13,050.00			\$13,050.00
ADMINISTRATIVE FINES SDH-01		\$343,583.58					\$343,583.58
AGA FINES	\$136,100.00						\$136,100.00
REFUND TO EXPENDITURE PRIOR YR.					312.73	\$732.73	\$732.73
REFUND TO EXPENDITURE CURRENT YR.							\$312.73
TOTAL RECEIPTS	\$136,100.00	\$343,583.58	\$10,460,050.49	\$4,459,331.39	\$0.00	\$732.73	\$15,400,110.92
LESS REFUNDS			\$8,274.39	\$3,100.00			\$11,374.39
NET RECEIPTS FY 10-11	\$136,100.00	\$343,583.58	\$10,451,776.10	\$4,456,231.39	\$0.00	\$732.73	\$15,388,736.53
		\$150,000.00	\$3,456,231.39	\$1,000,000.00			\$5,912,231.39
		\$193,583.58	\$193,583.58	\$3,456,231.39			\$3,649,814.97
			\$14,101,591.07				\$14,101,591.07
Total Appropriation	Investor Ed		Operations				\$3,195,480.00

Name of File: Receipts 7/1/2009-6/30/2010	AGA	SDH0100	AGA	SDH4300	Refund	REFUND	TOTAL
Receipts 7/1/09-6/30/10	PENALTIES	Admn. FINES	GENERAL REVENUES	SPECIAL REVENUES	To Exp Current Year	TO EXP PRIOR YR.	
ISSUER - 03-04			\$3,041,271.58	\$1,291,348.85			\$4,332,620.43
AGENT OF ISSUER - 03-01			\$3,500.00	\$1,750.00			\$5,250.00
BROKER-DEALER - 03-05			\$457,200.00				\$457,200.00
BROKER-DEALER BRANCH - 03-14				\$111,200.00			\$111,200.00
AGENT - 03-06			\$5,054,550.00	\$2,527,275.00			\$7,581,825.00
INVESTMENT ADVISER - 03-10			\$288,900.00				\$288,900.00
INVESTMENT ADVISER BRANCH - 03-15				\$750.00			\$750.00
INVESTMENT ADVISER REP - 03-02			\$171,250.00	\$85,625.00			\$256,875.00
MONEY SERVICES - 03-09			\$44,000.00				\$44,000.00
FOREIGN LENDER - 03-11			\$2,500.00				\$2,500.00
SAVINGS & LOAN - 03-13			\$2,200.00				\$2,200.00
EXEMPTION - 03-18			\$184,266.31				\$184,266.31
MTG. LOAN COMPANY - 03-07			\$145,425.00				\$145,425.00
MTG. LOAN BRANCH - 03-08			\$38,300.00				\$38,300.00
MORTGAGE LOAN OFFICER - 03-21			\$164,887.50				\$164,887.50
MTG. LOAN CHG. OF CONTROL - 03-22			\$1,900.00				\$1,900.00
MTG. LOAN PENALTIES - 03-23			\$1,200.00				\$1,200.00
MONEY SERVICES FINE - 03-24			\$0.00				\$0.00
EXAMINER EXPENSES & COPIES				\$12,324.40			\$12,324.40
EXAM FEES				\$14,350.00			\$14,350.00
ADMINISTRATIVE FINES SDH-01		\$1,528,921.68					\$1,528,921.68
AGA FINES	\$82,750.00						\$82,750.00
REFUND TO EXPENDITURE PRIOR YR,						\$0.00	\$0.00
REFUND TO EXPENDITURE CURRENT YR.					1,110.97		\$1,110.97
TOTAL RECEIPTS	\$82,750.00	\$1,528,921.68	\$9,601,350.39	\$4,044,623.25	\$0.00	\$1,110.97	\$15,258,756.29
LESS REFUNDS			\$6,975.00	\$3,170.79			\$10,145.79
NET RECEIPTS FY 10-11	\$82,750.00	\$1,528,921.68	\$9,594,375.39	\$4,041,452.46	\$0.00	\$1,110.97	\$15,248,610.50
		\$150,000.00	\$2,041,452.46	\$2,000,000.00			
		\$1,378,921.68	\$1,378,921.68	\$2,041,452.46			
			\$13,014,749.53				
Total Appropriation	Investor Ed	\$78,500.00	Operations	\$3,437,750			

Name of File: Receipts Report 08-09	AGA	SDH0100	AGA	SDH4300	SDH-4300	REFUND	TOTAL
Receipts 7/1/2008-6/30/2009	PENALTIES	Admn. FINES	GENERAL REVENUES	SPECIAL REVENUES	TO EXP. PRIOR YR.		
ISSUER			2,996,788.43	1,376,367.18			\$4,373,155.61
AGENT OF ISSUER			3,075.00	1,575.00			\$4,650.00
BROKER-DEALER			463,800.00				\$463,800.00
AGENT			5,279,850.00	2,639,925.00			\$7,919,775.00
INVESTMENT ADVISER			286,800.00				\$286,800.00
INVESTMENT ADVISER AGENT			167,800.00	83,900.00			\$251,700.00
CHECK ISSUER			43,425.00				\$43,425.00
FOREIGN LENDER			3,000.00				\$3,000.00
SAVINGS & LOAN			2,200.00				\$2,200.00
EXEMPTION			176,274.69				\$176,274.69
MTG. LOAN COMPANY			217,450.00				\$217,450.00
MTG. LOAN BRANCH			6,212.50				\$6,212.50
MORTGAGE LOAN OFFICER			172,572.79				\$172,572.79
MTG. LOAN CHG. OF CONTROL			2,470.00				\$2,470.00
MTG. LOAN PENALTIES			69,845.00				\$69,845.00
MONEY SERVICES FINE	4,300.00						\$4,300.00
EXAMINER EXPENSES					4,599.10		\$4,599.10
WITNESS FEES					8,000.00		\$8,000.00
EXAM FEES							\$0.00
ADMINISTRATIVE FINES SDH-01		\$42,510.86					\$42,510.86
AGA PENALTIES	5631.01						\$5,631.01
REFUND TO EXPENDITURE PRIOR YR,					440.75		\$440.75
TOTAL RECEIPTS	\$9,931.01	\$42,510.86	\$9,891,563.41	\$4,101,767.18	\$12,599.10	\$440.75	\$14,058,812.31
LESS CHECKS RETURNED BY BANK			\$4,000.00	\$0.00			\$4,000.00
LESS REFUNDS			\$17,192.50	\$4,275.00			\$21,467.50
NET RECEIPTS FY 08-09	\$9,931.01	\$42,510.86	\$9,870,370.91	\$4,097,492.18	\$12,599.10	\$440.75	\$14,033,344.81
			\$3,097,492.18	\$1,000,000.00			
			\$12,967,863.09	\$3,097,492.18			
Appropriation	Investor Ed	\$78,500.00	Operations	\$2,932,688.00			

Name of File: Receipts Report 07-08	Investor Ed	SDH0100	AGA	SDH4300	AGA	SDH-43	TOTAL
Receipts 7/1/2007-6/30/2008	Grant	Admn.	GENERAL REVENUES	SPECIAL REVENUES	Witness Fee		
	NSD0100	FINES					
ISSUER			\$3,354,920.45	\$1,640,507.32			\$4,995,427.77
AGENT OF ISSUER			\$3,700.00	\$1,850.00			\$5,550.00
BROKER-DEALER			\$474,300.00				\$474,300.00
AGENT			\$5,261,800.00	\$2,630,900.00			\$7,892,700.00
INVESTMENT ADVISER AGENT			\$176,450.00	\$88,225.00			\$264,675.00
INVESTMENT ADVISER			\$288,300.00				\$288,300.00
MONEY SERVICES			\$65,238.00				\$65,238.00
FOREIGN LENDER			\$3,000.00				\$3,000.00
SAVINGS & LOAN			\$2,000.00				\$2,000.00
EXEMPTIONS, REG D FILINGS			\$244,341.84				\$244,341.84
MTG. LOAN COMPANY			\$179,623.00				\$179,623.00
MTG. LOAN BRANCH			\$47,625.00				\$47,625.00
MORTGAGE LOAN OFFICER			\$276,297.00				\$276,297.00
MTG. LOAN CHG. OF CONTROL			\$2,100.00				\$2,100.00
MTG. LOAN PENALTIES			\$166,855.00				\$166,855.00
MONEY SERVICES FINE			\$8,000.00				\$8,000.00
EXAMINER EXPENSES						\$49.88	\$49.88
SALE OF PUBLICATION						\$941.13	\$941.13
WITNESS FEES			\$80.00		\$40.00		\$120.00
INVESTOR EDUCATION GRANT	\$49,800.00					\$400.00	\$49,800.00
EXAM FEES							\$400.00
ADMINISTRATIVE FINES SDH-01		\$64,405.00					\$64,405.00
REFUND TO EXPENDITURE PRIOR YEAR						\$237.12	\$237.12
TOTAL RECEIPTS	\$49,800.00	\$64,405.00	\$10,554,630.29	\$4,361,482.32	\$40.00	\$1,628.13	\$15,031,985.74
LESS CHECKS RETURNED BY BANK			\$1,337.50	\$0.00			\$1,337.50
LESS REFUNDS			\$28,396.50	\$4,975.00			\$33,371.50
NET RECEIPTS FY 07-08	\$49,800.00	\$64,405.00	\$10,524,896.29	\$4,356,507.32	\$40.00	\$1,628.13	\$14,997,276.74
			\$3,356,507.32	\$1,000,000.00			\$4,356,507.32
			\$13,881,403.61	\$3,356,507.32			\$17,237,910.93
Total Appropriation	Investor Ed	\$78,500.00	Operations	\$3,252,631.00			\$81,752,631.00