



Susan Montee, CPA
Missouri State Auditor

October 2007

Office of
Secretary of State



Office of
Missouri State Auditor
Susan Montee, CPA

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The following report is our audit of the Office of Secretary of State.

The Office of Secretary of State is an elective office as provided in the Missouri Constitution. Article IV, Section 14, established the duties of the Secretary of State: 1) to be custodian of the state seal, 2) to keep a register of the official acts of the governor, 3) to be custodian of records and documents, and 4) to perform such duties in relation to elections and corporations as provided by law.

We had no findings on the Office of Secretary of State. In addition, the Office of Secretary of State has implemented all the findings regarding the Help America Vote Act Grants (HAVA) noted in our prior State of Missouri Single Audit report issued for the year ended June 30, 2005.

All reports are available on our website: www.auditor.mo.gov

YELLOW SHEET

OFFICE OF SECRETARY OF STATE

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STATE AUDITOR'S REPORT



SUSAN MONTEE, CPA
Missouri State Auditor

Honorable Robin Carnahan, Secretary of State
Jefferson City, MO 65102

We have audited the Office of the Secretary of State. The scope of this audit included, but was not necessarily limited to, the years ended June 30, 2007, 2006, and 2005. The objectives of this audit were to:

1. Review internal controls over significant management and financial functions.
2. Review compliance with certain legal provisions.
3. Review certain revenues and expenditures.
4. Evaluate the economy and efficiency of certain management practices and operations.

Our methodology to accomplish these objectives included reviewing written policies, financial records, and other pertinent documents; interviewing various personnel of the office, as well as certain external parties; inspection of capital assets; analysis of comparative data obtained from external and/or internal sources; and testing selected transactions.

In addition, we obtained an understanding of internal controls significant to the audit objectives and considered whether specific controls have been properly designed and placed in operation. We also performed tests of certain controls to obtain evidence regarding the effectiveness of their design and operations. However, providing an opinion on internal controls was not an objective of our audit and accordingly, we do not express such an opinion.

We also obtained an understanding of legal provisions significant to the audit objectives, and we assessed the risk that illegal acts, including fraud, and violations of contract, grant agreement, or other legal provisions could occur. Based on that risk assessment, we designed and performed procedures to provide reasonable assurance of detecting significant instances of noncompliance with the provisions. However, providing an opinion on compliance with those provisions was not an objective of our audit and accordingly, we do not express such an opinion.

FOLLOW-UP ON PRIOR AUDIT FINDING

OFFICE OF SECRETARY OF STATE
FOLLOW-UP ON PRIOR AUDIT FINDING

An integral part of the Office of Secretary of State's funding comes from federal awards. Those federal awards are reported on in the State of Missouri Single Audit Report issued by the State Auditor's office. The single audit is conducted in accordance with the provisions of the U.S. Office of Management and Budget Circular A-133, *Audit of States, Local Governments, and Non-Profit Organizations*.

In accordance with *Government Auditing Standards*, this section reports the auditor's follow-up on action taken by the Office of the Secretary of State on the finding in the Schedule of Findings and Questioned Costs of our prior State of Missouri Single Audit report issued for the year ended June 30, 2005. There was not a finding in the State of Missouri Single Audit report issued for the year ended June 30, 2006.

Help America Vote Act Grants

- A. The Office of Secretary of State (SOS) did not adequately monitor subrecipients or advise them of applicable grant administration requirements. Formal written policies and procedures for monitoring subrecipients were not developed prior to distributing grant funds to subrecipients, and monitoring policies and procedures were still being developed. In addition, the SOS had not developed a system to ensure subrecipients obtain audits in accordance with Office of Management and Budget Circular No. A-133, when applicable, and submit these audit reports to the SOS for review. Also, applicable compliance requirements, such as cash management, financial, or performance reporting requirements, equipment and property management requirements, and A-133 audit requirements were not adequately communicated to subrecipients.
- B. The SOS did not require subrecipients to implement procedures for minimizing the time elapsing between the transfer of funds from the state and subsequent disbursement by the subrecipients.
- C.1. The SOS had not performed a physical inventory of its capital assets on an annual basis as required by state regulations. Physical inventories had not been performed for over two years.
 - 2. Capital assets, totaling over \$800,000, were not recorded in the capital asset records. In addition, the SOS reconciliation of the general ledger capital assets account to the capital asset subsystem for June 30, 2005, had not been completed as of December 31, 2005.
- D.1. Although the maintenance of effort base year calculation was prepared on the state fiscal year, the 2004 calculation for maintenance of effort was prepared and reported on a calendar year basis. According to SOS personnel, federal guidance did not specify if the state was to calculate the base year expenditures on the state fiscal year or the federal fiscal year or how and when to report maintenance of effort. The SOS had not clarified these issues with the federal program staff.

2. Although SOS personnel indicated they check vendors and subrecipients on the Excluded Parties List System (EPLS) maintained by the General Services Administration for suspension or debarment before payments are approved for federal grant programs, the review was not documented.
3. Federal reports were not always complete, and the supervisory review of the reports was not documented. In addition, the annual financial status report was prepared as of December 31, 2004; however, the grant award document requires an annual financial status report as of September 30 of each year.

Recommendation:

The Secretary of State:

- A. Develop formal written policies and procedures to monitor subrecipient activities. Specific compliance requirements including cash management, reporting, and equipment/property management should be fully communicated to the subrecipients. In addition, the SOS needs to ensure subrecipient monitoring is performed and documented.
- B. Establish procedures to ensure subrecipients minimize the time elapsing between the transfer of funds from the state and disbursement by the subrecipients.
- C.1. Conduct an annual physical inventory of the capital assets, reconcile the physical inventory to the capital asset records, and resolve any discrepancies. Also, the documentation of the physical inventories should be retained to show compliance with state regulations.
 2. Ensure all capital assets are recorded in the capital asset records. Additionally, the annual reconciliation between the general ledger capital assets and the capital assets subsystem should be completed in a timely manner.
- D.1. Clarify procedures for calculating and reporting maintenance of effort with the federal program staff and submit amended financial status reports if necessary.
 2. Document the reviews of vendors and subrecipients for suspension and debarment.
 3. Document reviews of federal grant reports, ensure that reports are complete and accurate, and ensure that reporting is performed in compliance with the terms of the grant awards.

Status:

A-D. Implemented.

HISTORY, ORGANIZATION, AND
STATISTICAL INFORMATION

OFFICE OF SECRETARY OF STATE
HISTORY, ORGANIZATION, AND
STATISTICAL INFORMATION

The Office of Secretary of State is an elective office as provided in the Missouri Constitution. Article IV, Section 14, established the duties of the Secretary of State: 1) to be custodian of the state seal, 2) to keep a register of the official acts of the governor, 3) to be custodian of records and documents, and 4) to perform such duties in relation to elections and corporations as provided by law.

To accommodate the responsibilities of record keeping, registration, and administration, the Secretary of State's office is divided into several functional areas: Business Services, Elections, Securities, State Library, Records Services, and administrative services. Some areas are composed of separate sections which perform specific functions.

Business Services Division: This division is comprised of three sections: Commissions, Corporation, and Uniform Commercial Code (UCC). The Commissions section maintains the oath of office and official signature of each notary, as well as their official bond. This section also performs various other duties including authenticating official acts of the governor, maintaining bonds and oaths of office for state officials, and registering trademarks and service marks. The Corporations section handles the registration and maintenance of the over 300,000 entities doing business in Missouri. This section receives articles of incorporation for all Missouri corporations and issues a certificate of authority to out-of-state corporations. The UCC section is responsible for the perfecting of personal property liens and other creditor interest. These liens are "perfected" by filing a financing statement in the accepted national format.

Elections Division: This division administers all statewide elections for both candidates and issues, prepares statewide ballots for primary, general, and certain special elections, and handles initiative petitions, including the oversight of signature verification. The division also assists the 116 local election authorities in interpreting and administering state election laws and promulgates rules governing elections and electronic voting systems. Additionally, the division cooperates with other officials, schools, and civic organizations to provide materials to support voter registration, responsibility and education, and is responsible for bringing Missouri into compliance with federal law, specifically the Help America Vote Act of 2002 (HAVA).

Securities Division: This division is responsible for protecting investors from unfair practices and fraudulent investment schemes, and for ensuring that firms and individuals that sell securities comply with the state securities laws. The division is composed of three sections: Investor Education, Enforcement, and Registration. The Investor Education section creates and promotes investor education initiatives designed to educate and assist both current and future investors. The Enforcement section receives and investigates complaints. Each year this section initiates around 300 investigations, many of which result in cease and desist orders, licensing revocations, civil injunctions and penalties, or criminal prosecution. In addition, the section's audit unit performs random examinations of the offices of broker-dealers and investment advisers to ensure compliance with the securities laws. The Registration section regulates the registration of individuals, firm, and securities. Before granting each registration, this section

conducts an application review process to determine if applicants are sufficiently qualified to participate in the securities business. In addition, this section reviews proposed securities offerings to ensure the offerings are "fair, just, and equitable."

Missouri State Library: The library is responsible for providing library and reference services to Missouri state government; providing library services to the blind and physically disabled; and promoting the development and improvement of library services throughout the state. To fulfill these responsibilities, the library is composed of three sections: Library Development, Reference Services, and the Wolfner Library. The Library Development section provides assistance on general library issues and needs, promotes the organization and development of library services, manages statewide projects, and maintains statistics on library services in the state. The Reference Services section delivers library services to meet the information and research needs of state government through current awareness, library materials collections in multiple formats, monthly publications, and online databases provided at the state employee's desktop. The Wolfner Library serves as the public library for Missourians unable to use standard print because of a visual or physical disability. Wolfner services are available to qualified Missourians at no charge.

Records Services Division: This division is responsible for managing both current and historical records of the state to ensure those records are accessible to Missouri citizens, and is also responsible for assisting local governments in records preservation and management. The division is composed of three sections: Archives, Local Records, and Records Management. The Archives section is the official repository for state records of permanent and historical value. The Local Records section advises, educates, and encourages the custodians of local public records in the use of sound records management and archival practices. The Records Management section helps state agencies to effectively and efficiently manage their official records; provides state agencies storage for inactive records; and provides state agencies and local governments micro graphics and digital imaging services.

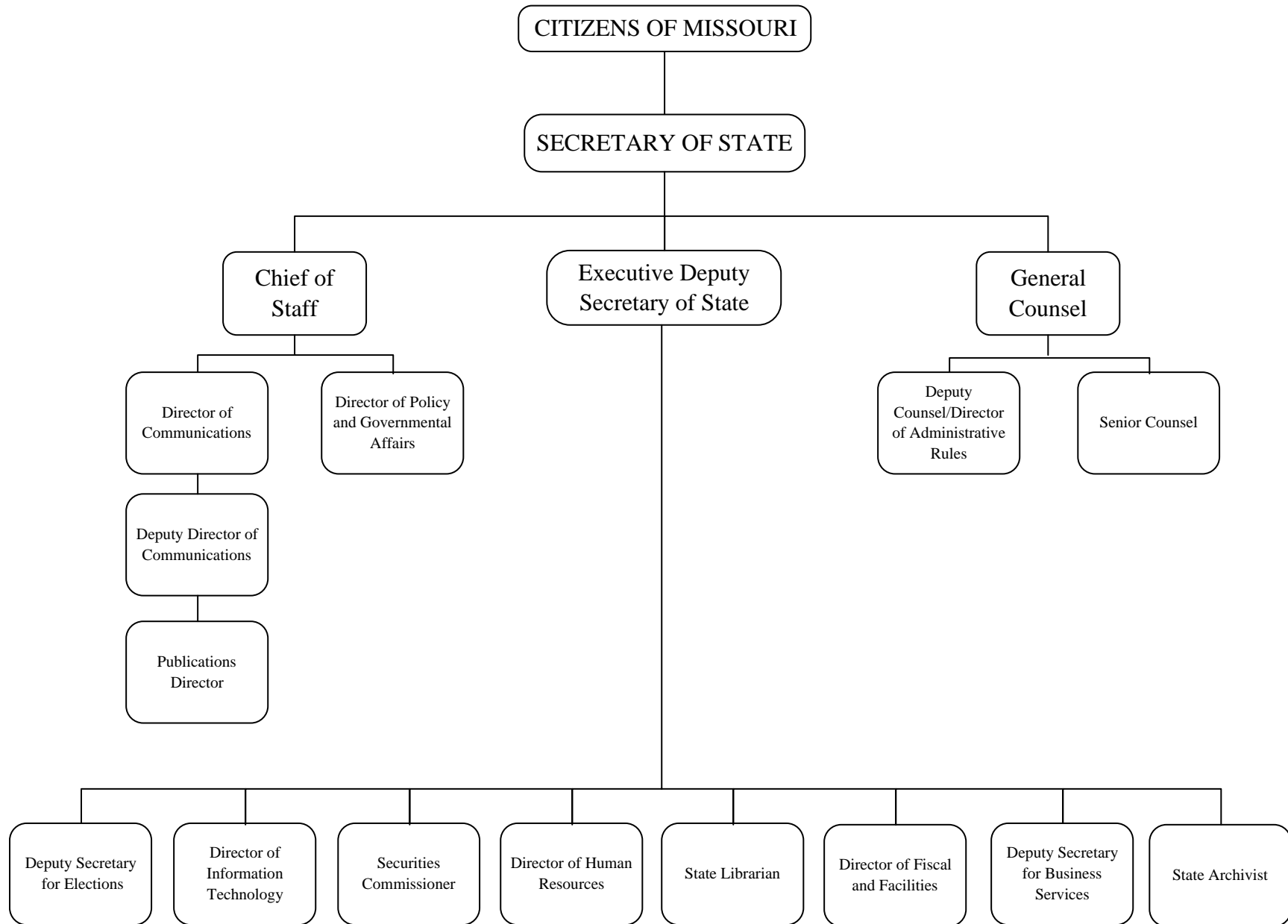
Administrative Services: Administrative services include five divisions: Fiscal and Facilities, Human Resources, Information Technology, Publications, and Administrative Rules. The Fiscal and Facilities Division provides fiscal, budget, procurement, and facilities management support and general office services. The Human Resource Division supports personnel recruitment, compensation, benefits, training, and performance evaluation for the office. The Information Technology Division coordinates, develops, implements, and supports information technology solutions for the office. The Publications Division handles a variety of printing and graphic arts responsibilities for the office, including the publication of the Official Manual. The Administrative Rules Division publishes rulemakings proposed by state agencies, the Missouri Register and the Missouri Code of State Regulations.

On January 10, 2005, Robin Carnahan was inaugurated as the state's thirty-eighth Secretary of State of Missouri. Her term expires in January 2009.

At June 30, 2007, the office employed approximately 262 full-time and 9 part-time employees.

An organization chart follows:

OFFICE OF SECRETARY OF STATE
ORGANIZATION CHART
JUNE 30, 2007



OFFICE OF SECRETARY OF STATE
 COMBINED STATEMENT OF RECEIPTS, DISBURSEMENTS, AND CHANGES IN CASH AND INVESTMENTS
 FEDERAL FUNDS
 YEAR ENDED JUNE 30, 2007

| | Records - Federal Fund | National Endowment for the Humanities Save America's Treasures Grant Fund | Election Administration Improvement Fund | Election Improvements Revolving Loan Fund | Federal Funds Fund | Total Federal Funds (Memorandum Only) |
|--|---------------------------|---|---|--|--------------------------|--|
| RECEIPTS | | | | | | |
| Federal grants | \$ 0 | 130,397 | 0 | 0 | 3,527,860 | 3,658,257 |
| Investment income | 0 | 0 | 1,335,327 | 20 | 0 | 1,335,347 |
| Refunds | 0 | 0 | 8,232 | 0 | 4,569 | 12,801 |
| Miscellaneous | 0 | 0 | 0 | 0 | 5,496 | 5,496 |
| Total Receipts | 0 | 130,397 | 1,343,559 | 20 | 3,537,925 | 5,011,901 |
| DISBURSEMENTS | | | | | | |
| Personal service | 0 | 86,877 | 187,898 | 0 | 407,145 | 681,920 |
| Employee fringe benefits | 0 | 37,039 | 75,687 | 0 | 186,417 | 299,143 |
| Expense and equipment | 0 | 0 | 1,178,658 | 0 | 204,435 | 1,383,093 |
| Public assistance grants | 0 | 0 | 0 | 0 | 2,750,833 | 2,750,833 |
| Federal election reform | 0 | 0 | 18,854,018 | 0 | 0 | 18,854,018 |
| State match | 0 | 0 | 644,639 | 0 | 0 | 644,639 |
| Miscellaneous | 0 | 6,307 | 0 | 0 | 0 | 6,307 |
| Total Disbursements | 0 | 130,223 | 20,940,900 | 0 | 3,548,830 | 24,619,953 |
| RECEIPTS OVER (UNDER) DISBURSEMENTS | 0 | 174 | (19,597,341) | 20 | (10,905) | (19,608,052) |
| TRANSFERS | | | | | | |
| Transfers from: | | | | | | |
| Budget Reserve Fund | 0 | 6,301 | 0 | 0 | 0 | 6,301 |
| General Revenue Fund | 0 | 0 | 121,203 | 0 | 0 | 121,203 |
| State Election Subsidy Fund | 0 | 0 | 3,960,068 | 0 | 0 | 3,960,068 |
| Total Transfers | 0 | 6,301 | 4,081,271 | 0 | 0 | 4,087,572 |
| RECEIPTS OVER (UNDER) DISBURSEMENTS AND TRANSFERS | 0 | 6,475 | (15,516,070) | 20 | (10,905) | (15,520,480) |
| CASH AND INVESTMENTS, JULY 1 | 0 | 0 | 34,945,531 | 14 | 101,414 | 35,046,959 |
| CASH AND INVESTMENTS, JUNE 30 | \$ 0 | 6,475 | 19,429,461 | 34 | 90,509 | 19,526,479 |

OFFICE OF SECRETARY OF STATE
 COMBINED STATEMENT OF RECEIPTS, DISBURSEMENTS, AND CHANGES IN CASH AND INVESTMENTS
 OTHER FUNDS
 YEAR ENDED JUNE 30, 2007

| | Technology Trust Fund | Local Records Preservation Fund | Investor's Restitution Fund | Missouri State Archives- St. Louis Trust Fund | Library Networking Fund | Investor Education and Protection Fund | State Document Preservation Fund | Wolfner Library Trust Fund | Total Other Funds (Memorandum Only) |
|-------------------------------------|--------------------------|--|-----------------------------------|--|-------------------------------|---|---|----------------------------------|--|
| RECEIPTS | | | | | | | | | |
| Fees | \$ 2,303,136 | 1,616,680 | 0 | 0 | 0 | 0 | 0 | 0 | 3,919,816 |
| Penalties | 0 | 0 | 0 | 0 | 0 | 77,289 | 0 | 0 | 77,289 |
| Investment income | 193,590 | 192 | 0 | 2 | 23,100 | 319,840 | 551 | 10,108 | 547,383 |
| Donations | 0 | 0 | 0 | 14 | 0 | 0 | 15,448 | 9,007 | 24,469 |
| Court awards | 0 | 0 | 0 | 0 | 0 | 195,765 | 0 | 0 | 195,765 |
| Refunds | 0 | 21,435 | 0 | 0 | 0 | 0 | 0 | 0 | 21,435 |
| Recovery costs | 0 | 0 | 795,698 | 0 | 0 | 49,322 | 0 | 0 | 845,020 |
| Miscellaneous | 7,884 | 0 | 0 | 175 | 0 | 100 | 0 | 0 | 8,159 |
| Total Receipts | <u>2,504,610</u> | <u>1,638,307</u> | <u>795,698</u> | <u>191</u> | <u>23,100</u> | <u>642,316</u> | <u>15,999</u> | <u>19,115</u> | <u>5,639,336</u> |
| DISBURSEMENTS | | | | | | | | | |
| Personal service | 153,012 | 883,622 | 0 | 0 | 0 | 367,985 | 8,302 | 0 | 1,412,921 |
| Employee fringe benefits | 60,370 | 377,357 | 0 | 0 | 0 | 153,445 | 635 | 0 | 591,807 |
| Expense and equipment | 2,435,829 | 469,093 | 0 | 0 | 0 | 199,075 | 304 | 2,168 | 3,106,469 |
| Library networking | 0 | 0 | 0 | 0 | 705,887 | 0 | 0 | 0 | 705,887 |
| Local records grant program | 0 | 282,058 | 0 | 0 | 0 | 0 | 0 | 0 | 282,058 |
| Investors restitution | 0 | 0 | 218,509 | 0 | 0 | 0 | 0 | 0 | 218,509 |
| Cost allocation plan | 31,670 | 24,330 | 0 | 0 | 3,090 | 5,968 | 16 | 68 | 65,142 |
| Total Disbursements | <u>2,680,881</u> | <u>2,036,460</u> | <u>218,509</u> | <u>0</u> | <u>708,977</u> | <u>726,473</u> | <u>9,257</u> | <u>2,236</u> | <u>6,382,793</u> |
| RECEIPTS OVER (UNDER) | | | | | | | | | |
| DISBURSEMENTS | (176,271) | (398,153) | 577,189 | 191 | (685,877) | (84,157) | 6,742 | 16,879 | (743,457) |
| TRANSFERS | | | | | | | | | |
| Transfers from General Revenue Fund | 38,628 | 0 | 0 | 0 | 650,000 | 0 | 0 | 0 | 688,628 |
| RECEIPTS OVER (UNDER) | | | | | | | | | |
| DISBURSEMENTS AND TRANSFERS | (137,643) | (398,153) | 577,189 | 191 | (35,877) | (84,157) | 6,742 | 16,879 | (54,829) |
| CASH AND INVESTMENTS, JULY 1 | 3,873,560 | 1,235,650 | 6,626,433 | 0 | 118,148 | 1,275,888 | 7,110 | 213,656 | 13,350,445 |
| CASH AND INVESTMENTS, JUNE 30 | \$ <u>3,735,917</u> | <u>837,497</u> | <u>7,203,622</u> | <u>191</u> | <u>82,271</u> | <u>1,191,731</u> | <u>13,852</u> | <u>230,535</u> | <u>13,295,616</u> |

Appendix A-2

OFFICE OF SECRETARY OF STATE
 COMBINED STATEMENT OF RECEIPTS, DISBURSEMENTS, AND CHANGES IN CASH AND INVESTMENTS
 FEDERAL FUNDS
 YEAR ENDED JUNE 30, 2006

| | Records - Federal Fund | National Endowment for the Humanities Save America's Treasures Grant Fund | Election Administration Improvement Fund | Election Improvements Revolving Loan Fund | Federal Funds Fund | Total Federal Funds (Memorandum Only) |
|--|---------------------------|---|---|--|--------------------------|--|
| RECEIPTS | | | | | | |
| Federal grants | \$ 17,978 | 66,172 | 0 | 327,117 | 3,239,644 | 3,650,911 |
| Investment income | 0 | 0 | 1,921,536 | 232 | 0 | 1,921,768 |
| Refunds | 0 | 0 | 0 | 88 | 1,855 | 1,943 |
| Miscellaneous | 0 | 0 | 322 | 0 | 7,231 | 7,553 |
| Total Receipts | <u>17,978</u> | <u>66,172</u> | <u>1,921,858</u> | <u>327,437</u> | <u>3,248,730</u> | <u>5,582,175</u> |
| DISBURSEMENTS | | | | | | |
| Personal service | 0 | 0 | 0 | 0 | 394,857 | 394,857 |
| Employee fringe benefits | 0 | 0 | 0 | 0 | 165,401 | 165,401 |
| Expense and equipment | 17,749 | 66,172 | 0 | 0 | 156,543 | 240,464 |
| Public assistance grants | 0 | 0 | 0 | 0 | 2,467,923 | 2,467,923 |
| Federal grant programs | 1,075 | 0 | 0 | 0 | 0 | 1,075 |
| Federal election reform | 0 | 0 | 24,649,863 | 327,551 | 0 | 24,977,414 |
| State match | 0 | 0 | 603 | 0 | 0 | 603 |
| Unemployment benefits | 0 | 0 | 0 | 0 | 788 | 788 |
| State office building rent | 0 | 0 | 0 | 0 | 79,321 | 79,321 |
| Total Disbursements | <u>18,824</u> | <u>66,172</u> | <u>24,650,466</u> | <u>327,551</u> | <u>3,264,833</u> | <u>28,327,846</u> |
| RECEIPTS OVER (UNDER) | | | | | | |
| DISBURSEMENTS | <u>(846)</u> | <u>0</u> | <u>(22,728,608)</u> | <u>(114)</u> | <u>(16,103)</u> | <u>(22,745,671)</u> |
| TRANSFERS | | | | | | |
| Transfers from State Election Subsidy Fund | 0 | 0 | 4,254,173 | 0 | 0 | 4,254,173 |
| RECEIPTS OVER (UNDER) | | | | | | |
| DISBURSEMENTS AND TRANSFERS | <u>(846)</u> | <u>0</u> | <u>(18,474,435)</u> | <u>(114)</u> | <u>(16,103)</u> | <u>(18,491,498)</u> |
| CASH AND INVESTMENTS, JULY 1 | 846 | 0 | 53,419,966 | 128 | 117,517 | 53,538,457 |
| CASH AND INVESTMENTS, JUNE 30 | <u>\$ 0</u> | <u>0</u> | <u>34,945,531</u> | <u>14</u> | <u>101,414</u> | <u>35,046,959</u> |

Appendix A-2

OFFICE OF SECRETARY OF STATE
 COMBINED STATEMENT OF RECEIPTS, DISBURSEMENTS, AND CHANGES IN CASH AND INVESTMENTS
 OTHER FUNDS
 YEAR ENDED JUNE 30, 2006

| | Technology Trust Fund | Local Records Preservation Fund | Investor's Restitution Fund | Library Networking Fund | Investor Education and Protection Fund | State Document Preservation Fund | Wolfner Library Trust Fund | Total Other Funds (Memorandum Only) |
|-------------------------------|--------------------------|--|-----------------------------------|-------------------------------|---|---|----------------------------------|--|
| RECEIPTS | | | | | | | | |
| Fees | \$ 2,295,335 | 1,725,965 | 0 | 0 | 0 | 0 | 0 | 4,021,300 |
| Penalties | 0 | 0 | 0 | 0 | 9,045 | 0 | 0 | 9,045 |
| Investment income | 123,103 | 0 | 0 | 11,697 | 246,359 | 123 | 7,665 | 388,947 |
| Donations | 0 | 0 | 0 | 0 | 0 | 4,466 | 10,882 | 15,348 |
| Court awards | 0 | 0 | 0 | 0 | 613,809 | 0 | 0 | 613,809 |
| Settlements | 0 | 0 | 0 | 0 | 16,500 | 0 | 0 | 16,500 |
| Refunds | 0 | 14,544 | 0 | 0 | 0 | 0 | 0 | 14,544 |
| Recovery costs | | 0 | 16,142 | 4,895 | 18,294 | 0 | 0 | 39,331 |
| Miscellaneous | 3,006 | 0 | 0 | 0 | 0 | 0 | 0 | 3,006 |
| Total Receipts | <u>2,421,444</u> | <u>1,740,509</u> | <u>16,142</u> | <u>16,592</u> | <u>904,007</u> | <u>4,589</u> | <u>18,547</u> | <u>5,121,830</u> |
| DISBURSEMENTS | | | | | | | | |
| Personal service | 80,362 | 866,316 | 0 | 0 | 200,506 | 0 | 0 | 1,147,184 |
| Employee fringe benefits | 32,496 | 356,594 | 0 | 0 | 80,429 | 0 | 0 | 469,519 |
| Expense and equipment | 1,348,520 | 328,384 | 0 | 0 | 102,629 | 0 | 0 | 1,779,533 |
| Library networking | 0 | 0 | 0 | 415,866 | 0 | 0 | 0 | 415,866 |
| Local records grant program | 0 | 314,878 | 0 | 0 | 0 | 0 | 0 | 314,878 |
| Investors restitution | 0 | 0 | 19,708 | 0 | 0 | 0 | 0 | 19,708 |
| Unemployment benefits | 0 | 0 | 0 | 0 | 5,500 | 0 | 0 | 5,500 |
| State office building rent | 9,977 | 76,029 | 0 | 0 | 17,461 | 0 | 0 | 103,467 |
| Cost allocation plan | 33,215 | 25,082 | 0 | 791 | 44,508 | 308 | 380 | 104,284 |
| Total Disbursements | <u>1,504,570</u> | <u>1,967,283</u> | <u>19,708</u> | <u>416,657</u> | <u>451,033</u> | <u>308</u> | <u>380</u> | <u>4,359,939</u> |
| RECEIPTS OVER (UNDER) | | | | | | | | |
| DISBURSEMENTS | 916,874 | (226,774) | (3,566) | (400,065) | 452,974 | 4,281 | 18,167 | 761,891 |
| CASH AND INVESTMENTS, JULY 1 | 2,956,686 | 1,462,424 | 6,629,999 | 518,213 | 822,914 | 2,829 | 195,489 | 12,588,554 |
| CASH AND INVESTMENTS, JUNE 30 | \$ <u>3,873,560</u> | <u>1,235,650</u> | <u>6,626,433</u> | <u>118,148</u> | <u>1,275,888</u> | <u>7,110</u> | <u>213,656</u> | <u>13,350,445</u> |

Appendix A-3

OFFICE OF SECRETARY OF STATE
 COMBINED STATEMENT OF RECEIPTS, DISBURSEMENTS, AND CHANGES IN CASH AND INVESTMENTS
 FEDERAL FUNDS
 YEAR ENDED JUNE 30, 2005

| | Records - Federal Fund | National Endowment for the Humanities Save America's Treasures Grant Fund | Election Administration Improvement Fund | Election Improvements Revolving Loan Fund | Federal Funds Fund | Total Federal Funds (Memorandum Only) |
|--|---------------------------|---|---|--|--------------------------|--|
| RECEIPTS | | | | | | |
| Federal grants | \$ 120,158 | 0 | 0 | 232,185 | 2,476,767 | 2,829,110 |
| Investment income | 0 | 0 | 1,133,088 | 128 | 0 | 1,133,216 |
| Refunds | 3,847 | 0 | 0 | 0 | 3,139 | 6,986 |
| Miscellaneous | 0 | 0 | 0 | 0 | 3,285 | 3,285 |
| Total Receipts | <u>124,005</u> | <u>0</u> | <u>1,133,088</u> | <u>232,313</u> | <u>2,483,191</u> | <u>3,972,597</u> |
| DISBURSEMENTS | | | | | | |
| Personal service | 0 | 0 | 0 | 0 | 416,677 | 416,677 |
| Employee fringe benefits | 0 | 0 | 0 | 0 | 163,572 | 163,572 |
| Expense and equipment | 18,013 | 0 | 0 | 0 | 154,188 | 172,201 |
| Public assistance grants | 0 | 0 | 0 | 0 | 1,647,584 | 1,647,584 |
| Federal grant programs | 105,355 | 0 | 0 | 0 | 0 | 105,355 |
| Federal election reform | 0 | 0 | 10,202,366 | 232,185 | 0 | 10,434,551 |
| Unemployment benefits | 0 | 0 | 0 | 0 | 6,250 | 6,250 |
| State office building rent | 0 | 0 | 0 | 0 | 70,997 | 70,997 |
| State office building maintenance and repair | 0 | 0 | 0 | 0 | 16,590 | 16,590 |
| Total Disbursements | <u>123,368</u> | <u>0</u> | <u>10,202,366</u> | <u>232,185</u> | <u>2,475,858</u> | <u>13,033,777</u> |
| RECEIPTS OVER (UNDER) | | | | | | |
| DISBURSEMENTS | <u>637</u> | <u>0</u> | <u>(9,069,278)</u> | <u>128</u> | <u>7,333</u> | <u>(9,061,180)</u> |
| TRANSFERS | | | | | | |
| Transfers from State Election Subsidy Fund | 0 | 0 | 116,038 | 0 | 0 | 116,038 |
| RECEIPTS OVER (UNDER) | | | | | | |
| DISBURSEMENTS AND TRANSFERS | <u>637</u> | <u>0</u> | <u>(8,953,240)</u> | <u>128</u> | <u>7,333</u> | <u>(8,945,142)</u> |
| CASH AND INVESTMENTS, JULY 1 | <u>209</u> | <u>0</u> | <u>62,373,206</u> | <u>0</u> | <u>110,184</u> | <u>62,483,599</u> |
| CASH AND INVESTMENTS, JUNE 30 | <u>\$ 846</u> | <u>0</u> | <u>53,419,966</u> | <u>128</u> | <u>117,517</u> | <u>53,538,457</u> |

Appendix A-3

OFFICE OF SECRETARY OF STATE
 COMBINED STATEMENT OF RECEIPTS, DISBURSEMENTS, AND CHANGES IN CASH AND INVESTMENTS
 OTHER FUNDS
 YEAR ENDED JUNE 30, 2005

| | Technology Trust Fund | Local Records Preservation Fund | Investor's Restitution Fund | Library Networking Fund | Investor Education and Protection Fund | State Document Preservation Fund | Wolfner Library Trust Fund | Total Other Funds (Memorandum Only) |
|--|--------------------------|--|-----------------------------------|-------------------------------|---|---|----------------------------------|--|
| RECEIPTS | | | | | | | | |
| Fees | \$ 2,339,971 | 1,718,739 | 0 | 0 | 0 | 0 | 0 | 4,058,710 |
| Penalties | 0 | 0 | 0 | 0 | 1,950 | 0 | 0 | 1,950 |
| Investment income | 60,001 | 0 | 0 | 6,934 | 126,402 | 112 | 4,040 | 197,489 |
| Donations | 0 | 0 | 0 | 439,433 | 0 | 142 | 7,290 | 446,865 |
| Court awards | 0 | 0 | 0 | 0 | 518,096 | 0 | 0 | 518,096 |
| Refunds | 0 | 9,448 | 0 | 0 | 0 | 1,659 | 0 | 11,107 |
| Recovery costs | 0 | 0 | 1,166 | 0 | 24,550 | 0 | 0 | 25,716 |
| Miscellaneous | 23 | 250 | 11,600 | 0 | 0 | 0 | 0 | 11,873 |
| Total Receipts | <u>2,399,995</u> | <u>1,728,437</u> | <u>12,766</u> | <u>446,367</u> | <u>670,998</u> | <u>1,913</u> | <u>11,330</u> | <u>5,271,806</u> |
| DISBURSEMENTS | | | | | | | | |
| Personal service | 71,214 | 890,704 | 0 | 0 | 96,720 | 550 | 0 | 1,059,188 |
| Employee fringe benefits | 27,592 | 351,426 | 0 | 0 | 40,013 | 126 | 0 | 419,157 |
| Expense and equipment | 2,168,899 | 262,643 | 0 | 0 | 87,723 | 0 | 0 | 2,519,265 |
| Library networking | 0 | 0 | 0 | 45,779 | 0 | 0 | 0 | 45,779 |
| Local records grant program | 0 | 274,472 | 0 | 0 | 0 | 0 | 0 | 274,472 |
| Investors restitution | 0 | 0 | 3,000 | 0 | 0 | 0 | 0 | 3,000 |
| State office building rent | 8,931 | 63,584 | 0 | 0 | 15,628 | 0 | 0 | 88,143 |
| State office building maintenance and repair | 2,086 | 14,858 | 0 | 0 | 3,652 | 0 | 0 | 20,596 |
| Cost allocation plan | 33,270 | 24,873 | 662 | 1,132 | 3,237 | 58 | 86 | 63,318 |
| Leasing operations | 0 | 248 | 0 | 0 | 0 | 0 | 0 | 248 |
| Total Disbursements | <u>2,311,992</u> | <u>1,882,808</u> | <u>3,662</u> | <u>46,911</u> | <u>246,973</u> | <u>734</u> | <u>86</u> | <u>4,493,166</u> |
| RECEIPTS OVER (UNDER) | | | | | | | | |
| DISBURSEMENTS | <u>88,003</u> | <u>(154,371)</u> | <u>9,104</u> | <u>399,456</u> | <u>424,025</u> | <u>1,179</u> | <u>11,244</u> | <u>778,640</u> |
| TRANSFERS | | | | | | | | |
| Transfers from General Revenue Fund | 0 | 2,667 | 0 | 0 | 60,530 | 0 | 0 | 63,197 |
| RECEIPTS OVER (UNDER) | | | | | | | | |
| DISBURSEMENTS AND TRANSFERS | 88,003 | (151,704) | 9,104 | 399,456 | 484,555 | 1,179 | 11,244 | 841,837 |
| CASH AND INVESTMENTS, JULY 1 | 2,868,683 | 1,614,128 | 6,620,895 | 118,757 | 338,359 | 1,650 | 184,245 | 11,746,717 |
| CASH AND INVESTMENTS, JUNE 30 | <u>\$ 2,956,686</u> | <u>1,462,424</u> | <u>6,629,999</u> | <u>518,213</u> | <u>822,914</u> | <u>2,829</u> | <u>195,489</u> | <u>12,588,554</u> |

Appendix B

OFFICE OF SECRETARY OF STATE
 COMPARATIVE STATEMENT OF RECEIPTS
 GENERAL REVENUE FUND

| | Year Ended June 30, | | |
|------------------------|----------------------|-------------------|-------------------|
| | <u>2007</u> | <u>2006</u> | <u>2005</u> |
| Securities | \$ 12,799,045 | 11,827,268 | 11,225,064 |
| Business services | 10,216,331 | 10,959,599 | 11,659,713 |
| Archives | 75,175 | 40,139 | 63,883 |
| Administrative rules | 21,578 | 25,794 | 28,711 |
| Elections | 5,989 | 9,213 | 5,584 |
| Missouri state library | 601 | 1,136 | 875 |
| Fiscal and facilities | 164 | 91 | 2,260 |
| Miscellaneous | 5,877 | 9,604 | 132 |
| Total | <u>\$ 23,124,760</u> | <u>22,872,844</u> | <u>22,986,222</u> |

Appendix C-1

OFFICE OF SECRETARY OF STATE
 STATEMENT OF APPROPRIATIONS AND EXPENDITURES
 YEAR ENDED JUNE 30, 2007

| | Appropriation Authority | Expenditures | Lapsed Balances |
|--|----------------------------|-------------------|--------------------|
| GENERAL REVENUE FUND | | | |
| Personal Service | \$ 7,012,804 | 7,012,804 | 0 |
| Expense and Equipment | 2,458,950 | 2,458,950 | 0 |
| Elections Public Notice | 1,600,000 | 1,158,154 | 441,846 |
| Refunds of securities, corporations, uniform commercial code and miscellaneous collections | 90,000 | 85,964 | 4,036 |
| Remote Electronic Access for Libraries Program | 2,959,250 | 2,959,250 | 0 |
| Absentee Ballots | 50,000 | 35,364 | 14,636 |
| Payment of real property leases, related services, utilities, systems furniture, structural modification, and related expenses - Expense and Equipment | 881,462 | 881,462 | 0 |
| Aid to Public Libraries | 3,001,744 | 3,001,744 | 0 |
| Literacy Investment for Tomorrow Program | 69,450 | 69,450 | 0 |
| Leasing | 313,607 | 313,607 | 0 |
| Election Printing | 21,395 | 21,395 | 0 |
| Official Manual | 10,000 | 582 | 9,418 |
| Total General Revenue Fund | <u>18,468,662</u> | <u>17,998,726</u> | <u>469,936</u> |
| NATIONAL ENDOWMENT FOR THE HUMANITIES | | | |
| SAVE AMERICA'S TREASURES GRANT FUND | | | |
| Document Preservation Grant - Personal Service | 228,060 | 86,877 | 141,183 |
| Total National Endowment for the Humanities Save America's Treasures Grant Fund | <u>228,060</u> | <u>86,877</u> | <u>141,183</u> |
| ELECTION ADMINISTRATION IMPROVEMENT FUND | | | |
| Personal Service | 190,000 | 187,898 | 2,102 |
| Expense and Equipment | 6,316,229 | 1,178,658 | 5,137,571 |
| Federal Election Reform | 25,012,756 | 18,854,018 | 6,158,738 |
| State Match | 885,000 | 644,639 | 240,361 |
| Total Election Administration Improvement Fund | <u>32,403,985</u> | <u>20,865,213</u> | <u>11,538,772</u> |
| FEDERAL FUNDS FUND | | | |
| Payment of real property leases, related services, utilities, systems furniture, structural modification, and related expenses - Expense and Equipment | 66,535 | 65,483 | 1,052 |
| Personal Service | 551,712 | 407,145 | 144,567 |
| Expense and Equipment | 227,574 | 138,952 | 88,622 |
| Allotments, grants and contributions from the Federal Government or from any sources may be deposited in the State Treasury for the use of the Missouri State Library | 4,567,000 | 2,750,833 | 1,816,167 |
| Total Federal Funds Fund | <u>5,412,821</u> | <u>3,362,413</u> | <u>2,050,408</u> |
| TECHNOLOGY TRUST FUND | | | |
| Personal Service | 250,000 | 153,012 | 96,988 |
| Expense and Equipment | 2,756,637 | 2,427,275 | 329,362 |
| Payment of real property leases, related services, utilities, systems furniture structural modification, and related expenses - Expense and Equipment | 8,554 | 8,554 | 0 |
| Total Technology Trust Fund | <u>3,015,191</u> | <u>2,588,841</u> | <u>426,350</u> |

Appendix C-1

OFFICE OF SECRETARY OF STATE
STATEMENT OF APPROPRIATIONS AND EXPENDITURES
YEAR ENDED JUNE 30, 2007

| | Appropriation Authority | Expenditures | Lapsed Balances |
|--|----------------------------|-------------------|--------------------|
| LOCAL RECORDS PRESERVATION FUND | | | |
| Payment of real property leases, related services, utilities, systems furniture, structural modification, and related expenses - Expense and Equipment | 64,634 | 64,634 | 0 |
| Personal Service | 953,431 | 883,622 | 69,809 |
| Expense and Equipment | 513,649 | 404,459 | 109,190 |
| Local Records Preservation Grants | 400,000 | 282,058 | 117,942 |
| Total Local Records Preservation Fund | <u>1,931,714</u> | <u>1,634,773</u> | <u>296,941</u> |
| INVESTOR'S RESTITUTION FUND | | | |
| Investor's Restitution | 220,000 | 218,509 | 1,491 |
| Total Investor's Restitution Fund | <u>220,000</u> | <u>218,509</u> | <u>1,491</u> |
| LIBRARY NETWORKING FUND | | | |
| Library Network Grants | 1,000,001 | 705,887 | 294,114 |
| Total Library Networking Fund | <u>1,000,001</u> | <u>705,887</u> | <u>294,114</u> |
| INVESTOR EDUCATION AND PROTECTION FUND | | | |
| Payment of real property leases, related services, utilities, systems furniture structural modification, and related expenses - Expense and Equipment | 19,010 | 19,010 | 0 |
| Personal Service | 377,324 | 369,172 | 8,152 |
| Expense and Equipment | 210,364 | 180,065 | 30,299 |
| Total Investor Education and Protection Fund | <u>606,698</u> | <u>568,247</u> | <u>38,451</u> |
| STATE DOCUMENT PRESERVATION FUND | | | |
| Expense and Equipment | 189,260 | 304 | 188,956 |
| Personal Service | 172,598 | 8,302 | 164,296 |
| Total State Document Preservation Fund | <u>361,858</u> | <u>8,606</u> | <u>353,252</u> |
| WOLFNER LIBRARY TRUST FUND | | | |
| Expense and Equipment | 14,500 | 2,168 | 12,332 |
| Total Wolfner Library Trust Fund | <u>14,500</u> | <u>2,168</u> | <u>12,332</u> |
| Total All Funds | <u>\$ 63,663,490</u> | <u>48,040,260</u> | <u>15,623,230</u> |

Appendix C-2

OFFICE OF SECRETARY OF STATE
 STATEMENT OF APPROPRIATIONS AND EXPENDITURES
 YEAR ENDED JUNE 30, 2006

| | Appropriation Authority | Expenditures | Lapsed Balances |
|--|----------------------------|-------------------|--------------------|
| GENERAL REVENUE FUND | | | |
| Personal Service | \$ 6,746,060 | 6,746,059 | 1 |
| Expense and Equipment | 2,421,166 | 2,421,166 | 0 |
| Elections Public Notice | 100,000 | 0 | 100,000 |
| Refunds of securities, corporations, uniform commercial code and miscellaneous collections | 96,000 | 92,112 | 3,888 |
| Overtime | 1,400 | 1,135 | 265 |
| Remote Electronic Access for Libraries Program | 2,959,250 | 2,959,250 | 0 |
| Absentee Ballots | 50,000 | 34,308 | 15,692 |
| Aid to Public Libraries | 3,001,744 | 3,001,744 | 0 |
| Literacy Investment for Tomorrow Program | 69,450 | 69,450 | 0 |
| Leasing | 209,247 | 199,264 | 9,983 |
| Election Printing | 21,395 | 19,970 | 1,425 |
| Official Manual | 525,000 | 380,871 | 144,129 |
| Total General Revenue Fund | <u>16,200,712</u> | <u>15,925,329</u> | <u>275,383</u> |
| RECORDS - FEDERAL FUND | | | |
| Re-Grant Program | 42,000 | 18,824 | 23,176 |
| Total Records - Federal Fund | <u>42,000</u> | <u>18,824</u> | <u>23,176</u> |
| NATIONAL ENDOWMENT FOR THE HUMANITIES SAVE AMERICA'S TREASURES GRANT FUND | | | |
| Document Preservation Grants | 66,172 | 66,172 | 0 |
| Total National Endowment for the Humanities Save America's Treasures Grant Fund | <u>66,172</u> | <u>66,172</u> | <u>0</u> |
| ELECTION ADMINISTRATION IMPROVEMENT FUND | | | |
| Federal Election Reform | 62,719,963 | 24,649,863 | 38,070,100 |
| State Match | 4,411,630 | 603 | 4,411,027 |
| Total Election Administration Improvement Fund | <u>67,131,593</u> | <u>24,650,466</u> | <u>42,481,127</u> |
| ELECTION IMPROVEMENTS REVOLVING LOAN FUND | | | |
| Federal Election Reform | 396,220 | 327,551 | 68,669 |
| Total Election Improvements Revolving Loan Fund | <u>396,220</u> | <u>327,551</u> | <u>68,669</u> |
| FEDERAL FUNDS FUND | | | |
| Personal Service | 530,492 | 394,857 | 135,635 |
| Expense and Equipment | 227,574 | 156,543 | 71,031 |
| Allotments, grants and contributions from the Federal Government or from any sources may be deposited in the State Treasury for the use of the Missouri State Library | 3,903,067 | 2,467,923 | 1,435,144 |
| Total Federal Funds Fund | <u>4,661,133</u> | <u>3,019,323</u> | <u>1,641,810</u> |
| TECHNOLOGY TRUST FUND | | | |
| Personal Service | 80,905 | 80,362 | 543 |
| Expense and Equipment | 2,922,496 | 1,348,520 | 1,573,976 |
| Total Technology Trust Fund | <u>3,003,401</u> | <u>1,428,882</u> | <u>1,574,519</u> |
| LOCAL RECORDS PRESERVATION FUND | | | |
| Personal Service | 916,763 | 866,316 | 50,447 |
| Expense and Equipment | 397,727 | 328,384 | 69,343 |
| Local Records Preservation Grants | 426,274 | 314,878 | 111,396 |
| Total Local Records Preservation Fund | <u>1,740,764</u> | <u>1,509,578</u> | <u>231,186</u> |

Appendix C-2

OFFICE OF SECRETARY OF STATE
 STATEMENT OF APPROPRIATIONS AND EXPENDITURES
 YEAR ENDED JUNE 30, 2006

| | Appropriation Authority | Expenditures | Lapsed Balances |
|--|----------------------------|-------------------|--------------------|
| STATE ELECTIONS SUBSIDY FUND | | | |
| Special Election Costs | 400,000 | 302,012 | 97,988 |
| Total State Elections Subsidy Fund | <u>400,000</u> | <u>302,012</u> | <u>97,988</u> |
| INVESTOR'S RESTITUTION FUND | | | |
| Investor's Restitution | 55,000 | 19,708 | 35,292 |
| Total Investor's Restitution Fund | <u>55,000</u> | <u>19,708</u> | <u>35,292</u> |
| MISSOURI STATE ARCHIVES-ST LOUIS TRUST FUND | | | |
| Document Preservation | 12,000,000 | 0 | 12,000,000 |
| Personal Service | 171,704 | 0 | 171,704 |
| Expense and Equipment | 183,515 | 0 | 183,515 |
| Total Missouri State Archives-St. Louis Trust Fund | <u>12,355,219</u> | <u>0</u> | <u>12,355,219</u> |
| LIBRARY NETWORKING FUND | | | |
| Library Network Grants | 550,001 | 415,866 | 134,135 |
| Total Library Networking Fund | <u>550,001</u> | <u>415,866</u> | <u>134,135</u> |
| INVESTOR EDUCATION AND PROTECTION FUND | | | |
| Personal Service | 228,158 | 200,506 | 27,652 |
| Expense and Equipment | 170,864 | 102,629 | 68,235 |
| Total Investor Education and Protection Fund | <u>399,022</u> | <u>303,135</u> | <u>95,887</u> |
| WOLFNER LIBRARY TRUST FUND | | | |
| Expense and Equipment | 14,500 | 0 | 14,500 |
| Total Wolfner Library Trust Fund | <u>14,500</u> | <u>0</u> | <u>14,500</u> |
| Total All Funds | <u>\$ 107,015,737</u> | <u>47,986,846</u> | <u>59,028,891</u> |

Appendix C-3

OFFICE OF SECRETARY OF STATE
 STATEMENT OF APPROPRIATIONS AND EXPENDITURES
 YEAR ENDED JUNE 30, 2005

| | Appropriation Authority | Expenditures | Lapsed Balances * |
|--|----------------------------|-------------------|----------------------|
| GENERAL REVENUE FUND | | | |
| Personal Service | \$ 6,754,859 | 6,711,725 | 43,134 |
| Expense and Equipment | 2,483,907 | 2,482,186 | 1,721 |
| Elections Public Notice | 1,600,000 | 580,513 | 1,019,487 |
| Refunds of securities, corporations, uniform commercial code and miscellaneous collections | 145,000 | 139,776 | 5,224 |
| Remote Electronic Access for Libraries Program | 2,959,250 | 2,959,250 | 0 |
| Absentee Ballots | 75,000 | 71,630 | 3,370 |
| Aid to Public Libraries | 4,001,744 | 4,001,744 | 0 |
| Literacy Investment for Tomorrow Program | 69,450 | 69,450 | 0 |
| Leasing | 228,925 | 198,822 | 30,103 |
| Election Printing | 21,395 | 19,980 | 1,415 |
| Grant Match - Expense and Equipment | 8,135 | 8,125 | 10 |
| Official Manual | 10,000 | 9,998 | 2 |
| Total General Revenue Fund | <u>18,357,665</u> | <u>17,253,199</u> | <u>1,104,466</u> |
| RECORDS - FEDERAL FUND | | | |
| Missouri Historical Records Advisory Board Program | 106,939 | 82,277 | 24,662 |
| Re-Grant Program | 42,000 | 41,091 | 909 |
| Total Records - Federal Fund | <u>148,939</u> | <u>123,368</u> | <u>25,571</u> |
| NATIONAL ENDOWMENT FOR THE HUMANITIES SAVE AMERICA'S TREASURES GRANT FUND | | | |
| Document Preservation Grant | <u>146,172</u> | <u>0</u> | <u>146,172</u> |
| Total National Endowment for the Humanities Save America's Treasures Grant Fund | <u>146,172</u> | <u>0</u> | <u>146,172</u> |
| ELECTION ADMINISTRATION IMPROVEMENT FUND | | | |
| Federal Election Reform | 63,764,824 | 10,202,366 | 53,562,458 |
| State Match | 118,540 | 0 | 118,540 |
| Total Election Administration Improvement Fund | <u>63,883,364</u> | <u>10,202,366</u> | <u>53,680,998</u> |
| ELECTION IMPROVEMENTS REVOLVING LOAN FUND | | | |
| Federal Election Reform | <u>232,385</u> | <u>232,185</u> | <u>200</u> |
| Total Election Improvements Revolving Loan Fund | <u>232,385</u> | <u>232,185</u> | <u>200</u> |
| FEDERAL FUNDS FUND | | | |
| Personal Service | 530,322 | 416,677 | 113,645 |
| Expense and Equipment | 227,574 | 154,188 | 73,386 |
| Allotments, grants and contributions from the Federal Government or from any sources may be deposited in the State Treasury for the use of the Missouri State Library | <u>2,750,000</u> | <u>1,647,584</u> | <u>1,102,416</u> |
| Total Federal Funds Fund | <u>3,507,896</u> | <u>2,218,449</u> | <u>1,289,447</u> |
| TECHNOLOGY TRUST FUND | | | |
| Personal Service | 80,905 | 71,214 | 9,691 |
| Expense and Equipment | 2,922,496 | 2,168,899 | 753,597 |
| Total Technology Trust Fund | <u>3,003,401</u> | <u>2,240,113</u> | <u>763,288</u> |
| LOCAL RECORDS PRESERVATION FUND | | | |
| Personal Service | 916,663 | 890,704 | 25,959 |
| Expense and Equipment | 397,727 | 262,643 | 135,084 |
| Local Records Preservation Grants | 521,043 | 274,472 | 246,571 |
| Leasing | 274 | 240 | 34 |
| Total Local Records Preservation Fund | <u>1,835,707</u> | <u>1,428,059</u> | <u>407,648</u> |

Appendix C-3

OFFICE OF SECRETARY OF STATE
 STATEMENT OF APPROPRIATIONS AND EXPENDITURES
 YEAR ENDED JUNE 30, 2005

| | Appropriation Authority | Expenditures | Lapsed Balances * |
|---|----------------------------|-------------------|----------------------|
| INVESTOR'S RESTITUTION FUND | | | |
| Investor's Restitution | 55,000 | 3,000 | 52,000 |
| Total Investor's Restitution Fund | <u>55,000</u> | <u>3,000</u> | <u>52,000</u> |
| LIBRARY NETWORKING FUND | | | |
| Library Network Grants | 450,001 | 45,779 | 404,222 |
| Total Library Networking Fund | <u>450,001</u> | <u>45,779</u> | <u>404,222</u> |
| INVESTOR EDUCATION AND PROTECTION FUND | | | |
| Personal Service | 125,658 | 96,720 | 28,938 |
| Expense and Equipment | 163,464 | 87,723 | 75,741 |
| Total Investor Education and Protection Fund | <u>289,122</u> | <u>184,443</u> | <u>104,679</u> |
| STATE DOCUMENT PRESERVATION FUND | | | |
| Expense and Equipment | 12,183,515 | 0 | 12,183,515 |
| Personal Service | 171,704 | 550 | 171,154 |
| Total State Document Preservation Fund | <u>12,355,219</u> | <u>550</u> | <u>12,354,669</u> |
| WOLFNER LIBRARY TRUST FUND | | | |
| Expense and Equipment | 14,500 | 0 | 14,500 |
| Total Wolfner Library Trust Fund | <u>14,500</u> | <u>0</u> | <u>14,500</u> |
| Total All Funds | <u>\$ 104,279,371</u> | <u>33,931,511</u> | <u>70,347,860</u> |

* The lapsed balances included the following withholdings made at the Governor's request.

| | Year Ended June 30, 2005 |
|----------------------|-----------------------------|
| General Revenue Fund | |
| Leasing | 10,000 |

Appendix D

OFFICE OF SECRETARY OF STATE
COMPARATIVE SCHEDULE OF EXPENDITURES (FROM APPROPRIATIONS)

| | Year Ended June 30, | | | | |
|------------------------------------|---------------------|------------|------------|------------|------------|
| | 2007 | 2006 | 2005 | 2004 | 2003 |
| Salaries and wages | \$ 9,108,834 | 8,289,236 | 8,187,590 | 7,971,141 | 8,555,738 |
| Travel, in-state | 149,172 | 166,291 | 151,996 | 146,873 | 164,063 |
| Travel, out-of-state | 93,819 | 66,977 | 52,432 | 41,074 | 54,502 |
| Fuel and utilities | 30,182 | 26,998 | 22,319 | 23,521 | 25,676 |
| Supplies | 707,316 | 1,119,033 | 787,895 | 871,433 | 816,476 |
| Professional development | 198,095 | 159,641 | 137,763 | 151,719 | 143,960 |
| Communication service and supplies | 358,788 | 269,841 | 306,942 | 301,216 | 301,489 |
| Services: | | | | | |
| Professional | 8,136,674 | 9,505,105 | 7,478,413 | 5,914,750 | 7,333,896 |
| Housekeeping and janitorial | 9,146 | 10,271 | 12,462 | 12,510 | 11,181 |
| Maintenance and repair | 1,638,569 | 1,298,708 | 1,304,524 | 908,563 | 794,363 |
| Equipment: | | | | | |
| Computer | 1,247,670 | 542,752 | 2,786,994 | 741,754 | 842,557 |
| Motorized | 86,288 | 39,450 | 5,489 | 20,437 | 7,500 |
| Office | 197,660 | 8,377 | 5,845 | 90,734 | 11,145 |
| Other | 194,238 | 82,594 | 180,665 | 69,925 | 48,287 |
| Property and improvements | 68,984 | 5,618 | 529,942 | 109,235 | 109,387 |
| Building lease payments | 1,374,695 | 217,588 | 209,095 | 208,668 | 196,098 |
| Equipment rental and leases | 55,299 | 44,320 | 39,010 | 37,010 | 8,747 |
| Miscellaneous expenses | 42,061 | 31,012 | 24,325 | 19,285 | 38,362 |
| Refunds | 87,212 | 94,151 | 140,129 | 110,417 | 84,204 |
| Program distributions | 24,255,558 | 26,008,883 | 11,567,681 | 6,645,954 | 6,313,782 |
| Total Expenditures | \$ 48,040,260 | 47,986,846 | 33,931,511 | 24,396,219 | 25,861,413 |

Appendix E

OFFICE OF SECRETARY OF STATE
STATEMENT OF CHANGES IN GENERAL CAPITAL ASSETS

| All Funds | Furniture and Equipment | Motor Vehicles | Total |
|------------------------|----------------------------|-------------------|-----------|
| Balance, July 1, 2004 | \$ 5,896,967 | 191,012 | 6,087,979 |
| Additions | 1,217,298 | 7,700 | 1,224,998 |
| Dispositions | (417,077) | 0 | (417,077) |
| Balance, June 30, 2005 | 6,697,188 | 198,712 | 6,895,900 |
| Additions | 335,241 | 39,450 | 374,691 |
| Dispositions | (201,471) | 0 | (201,471) |
| Balance, June 30, 2006 | 6,830,958 | 238,162 | 7,069,120 |
| Additions | 728,367 | 86,288 | 814,655 |
| Dispositions | (920,201) | (69,316) | (989,517) |
| Balance, June 30, 2007 | \$ 6,639,124 | 255,134 | 6,894,258 |

| Fund of Acquisition | Balance June 30, 2007 |
|--|--------------------------|
| General Revenue Fund | \$ 3,598,043 |
| Election Administration Improvement Fund | 819,136 |
| Federal Funds Fund | 42,660 |
| Technology Trust Fund | 2,089,905 |
| Local Records Preservation Fund | 319,601 |
| Wolfner Library Trust Fund | 24,913 |
| Total All Funds | \$ 6,894,258 |