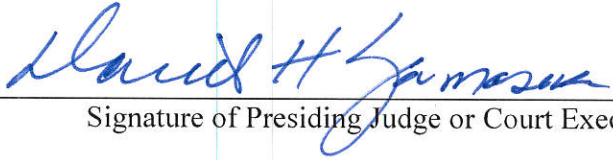


QUARTERLY FINANCIAL STATEMENT CERTIFICATION

In accordance with the requirements of the Trial Court Policies and Procedures Manual (FIN 1.02, Section 6.2.2(c); FIN 4.02, Section 6.3.2; and FIN 5.01, Section 6.72(2)) and to the best of my knowledge, I certify that the attached statements fairly present in all material respects the financial condition of the court for the periods presented.



Signature of Presiding Judge or Court Executive



Date

Santa Clara

Court

FY 2016-17 1st Quarter

Fiscal Year and Ending Quarter

QUARTERLY FINANCIAL STATEMENT FOOTNOTES

Santa Clara

Court

FY 2016-17 1st Quarter

Fiscal Year and Ending Quarter

FOOTNOTES

1	Constraints displayed in the Balance Sheet statement do not accurately reflect the current constraints on the court's fund balance.
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QUARTERLY FINANCIAL STATEMENT
Filled Court Employee Positions (FTEs)

Santa Clara

Court

FY 2016-17 1st Quarter

Fiscal Year and Ending Quarter

	Total Authorized Court Positions (FTEs) ¹ (OPTIONAL)	Positions (FTEs) Filled			
		1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
Court Employee Positions (FTEs)	685.76	611.14			

¹ The Authorized Positions should reflect the amount submitted on the court's Schedule 7A for the reporting fiscal year.

Superior Court of California, County of Santa Clara
Trial Court Operations Fund
Balance Sheet
(Unaudited)

For the month ended September									
Fiscal Year 2016/17									
	Governmental Funds						Total Funds (Info. Purposes Only)	Total Funds (Info. Purposes Only)	
	General	Special Revenue		Capital Project	Debt Service	Proprietary Funds			Fiduciary Funds
		Non-Grant	Grant						
ASSETS									
Operations	\$ (734,591)	\$ 1,825,537	\$ (973,583)	\$ (756,159)			\$ 475,160	\$ (163,636)	\$ 727,997
Payroll									
Jury									
Revolving									
Other	\$ 0							\$ 0	\$ 0
Distribution							\$ (154,585)	\$ (154,585)	\$ (133,263)
Civil Filing Fees							\$ 0	\$ 0	\$ 0
Trust							\$ 290,247	\$ 290,247	\$ 467,120
Credit Card									
Cash on Hand	\$ 15,010						\$ 0	\$ 15,010	\$ 14,810
Cash with County	\$ 7,372,692							\$ 7,372,692	\$ 7,000,000
Cash Outside of the JCC							\$ 0	\$ 0	\$ 0
Cash Equivalents	\$ 13,120,169						\$ 27,639,800	\$ 40,759,968	\$ 50,366,273
Total Cash and Cash Equivalents	\$ 19,773,280	\$ 1,825,537	\$ (973,583)	\$ (756,159)			\$ 28,250,621	\$ 48,119,695	\$ 58,442,938
Short-Term Investment									
Investments									
Total Investments									
Accrued Revenue	\$ 0	\$ 0	\$ 0	\$ 0				\$ 0	\$ 0
Accounts Receivable - General	\$ 16,065	\$ 0	\$ 552,955					\$ 569,020	\$ 253,509
Dishonored Checks									
Due From Employee									
Civil Jury Fees	\$ 0							\$ 0	\$ 0
Trust									
Due From Other Funds	\$ 0						\$ 0	\$ 0	\$ 0
Due From Other Governments	\$ 2,279	\$ 919	\$ 0					\$ 3,198	\$ 0
Due From Other Courts							\$ 0	\$ 0	\$ 0
Due From State	\$ 0	\$ 0	\$ 0					\$ 0	\$ 0
Trust Due To/From									
Distribution Due To/From							\$ 0	\$ 0	\$ 0
Civil Filing Fee Due To/From									
General Due To/From	\$ 2,425	\$ 0						\$ 2,425	\$ 459
Total Receivables	\$ 20,769	\$ 919	\$ 552,955	\$ 0			\$ 0	\$ 574,643	\$ 253,968
Prepaid Expenses - General	\$ 0							\$ 0	\$ 0
Salary and Travel Advances									
Counties									
Total Prepaid Expenses	\$ 0							\$ 0	\$ 0
Other Assets									
Total Other Assets									
Total Assets	\$ 19,794,048	\$ 1,826,456	\$ (420,627)	\$ (756,159)			\$ 28,250,621	\$ 48,694,339	\$ 58,696,906
LIABILITIES AND FUND BALANCES									
Accrued Liabilities	\$ 0	\$ 0	\$ 0					\$ 0	\$ 0
Accounts Payable - General	\$ 80,351	\$ 14,328	\$ 15,702	\$ 0			\$ 14,635	\$ 125,016	\$ 360,232
Due to Other Funds	\$ 0	\$ 0	\$ 0				\$ 2,425	\$ 2,425	\$ 459
Due to Other Courts									
Due to State	\$ 0	\$ 0						\$ 0	\$ 0
TC145 Liability							\$ 1,435,155	\$ 1,435,155	\$ 1,768,765
Due to Other Governments	\$ 0	\$ 646,264	\$ 0					\$ 646,264	\$ 0
AB145 Due to Other Government Agency	\$ 0						\$ 3,994,884	\$ 3,994,884	\$ 4,580,400
Due to Other Public Agencies									
Sales and Use Tax	\$ 103							\$ 103	\$ 238
Interest							\$ 5,471	\$ 5,471	\$ 593
Miscellaneous Accts. Pay. and Accrued Liab.									
Total Accounts Payable and Accrued Liab.	\$ 80,454	\$ 660,591	\$ 15,702	\$ 0			\$ 5,462,570	\$ 6,209,317	\$ 6,710,687
Civil							\$ 19,114,633	\$ 19,114,633	\$ 22,823,460
Criminal							\$ 3,535,343	\$ 3,535,343	\$ 3,035,273
Unreconciled - Civil and Criminal									
Trust Held Outside of the JCC							\$ 0	\$ 0	\$ 0
Trust Interest Payable							\$ 30,237	\$ 30,237	\$ 10,157
Miscellaneous Trust									
Total Trust Deposits							\$ 22,680,213	\$ 22,680,213	\$ 25,868,890
Accrued Payroll	\$ 0							\$ 0	\$ 0
Benefits Payable									
Deferred Compensation Payable									
Deductions Payable									
Payroll Clearing									
Total Payroll Liabilities	\$ 0							\$ 0	\$ 0
Revenue Collected in Advance								\$ 220,726	\$ 34,073
Liabilities For Deposits	\$ 50,576	\$ 1,028	\$ 220,726				\$ 117,839	\$ 169,443	\$ 157,713
Jury Fees - Non-Interest									
Fees - Partial Payment & Overpayment									
Uncleared Collections	\$ 0						\$ 0	\$ 0	\$ 0
Other Miscellaneous Liabilities									
Total Other Liabilities	\$ 50,576	\$ 1,028	\$ 220,726				\$ 117,839	\$ 390,169	\$ 191,786
Total Liabilities	\$ 131,030	\$ 661,620	\$ 236,428	\$ 0			\$ 28,250,621	\$ 29,279,699	\$ 32,771,363
Total Fund Balance	\$ 19,663,018	\$ 1,164,836	\$ (657,055)	\$ (756,159)				\$ 19,414,640	\$ 25,925,542
Total Liabilities and Fund Balance	\$ 19,794,048	\$ 1,826,456	\$ (420,627)	\$ (756,159)			\$ 28,250,621	\$ 48,694,339	\$ 58,696,906

Superior Court of California, County of Santa Clara
 Trial Court Operations Fund
 Statement of Revenues, Expenditures and Changes in Fund Balances
 (Unaudited)

For the month ended September											
Fiscal Year 2016/17											
	Governmental Funds							Total Funds (Info. Purposes Only)	Current Budget (Annual)	2015/16	
	General	Special Revenue		Capital Projects	Debt Service	Proprietary Funds	Fiduciary Funds			Total Funds (Info. Purposes Only)	Final Budget (Annual)
		Non-Grant	Grant								
REVENUES											
State Financing Sources											
Trial Court Trust Fund	\$ 37,806,251	\$ 51,887					\$ 37,858,138	\$ 79,535,904	\$ 37,092,985	\$ 78,045,349	
Improvement and Modernization Fund								\$ 238,520		\$ 238,520	
Judges' Compensation (45.25)	\$ 187,626						\$ 187,626	\$ 726,112	\$ 187,626	\$ 710,000	
Court Interpreter (45.45)	\$ 309,634						\$ 309,634	\$ 4,039,896	\$ 603,848	\$ 4,000,000	
Civil Coordination Reimbursement (45.55)											
MOU Reimbursements (45.10 and General)	\$ 120,522						\$ 120,522	\$ 870,193	\$ 97,619	\$ 840,693	
Other Miscellaneous								\$ 2,309,467		\$ 2,309,467	
	\$ 38,424,033	\$ 51,887					\$ 38,475,920	\$ 87,720,092	\$ 37,982,278	\$ 86,144,029	
Grants											
AB 1058 Commissioner/Facilitator			\$ 90,552				\$ 90,552	\$ 2,747,162	\$ 42,882	\$ 2,718,528	
Other Judicial Council Grants			\$ 54,291				\$ 54,291	\$ 887,333	\$ 24,628	\$ 891,454	
Non-Judicial Council Grants			\$ 67,773				\$ 67,773	\$ 1,459,387	\$ (33,084)	\$ 1,271,415	
			\$ 202,616				\$ 202,616	\$ 5,093,882	\$ 34,425	\$ 4,881,397	
Other Financing Sources											
Interest Income	\$ 14,489	\$ 127			\$ 77		\$ 14,693	\$ 96,500	\$ 5,902	\$ 60,000	
Investment Income											
Donations		\$ 11,634					\$ 11,634	\$ 22,000	\$ 16,709	\$ 40,000	
Local Fees	\$ 207,917	\$ 30,120					\$ 238,037	\$ 1,705,350	\$ 268,160	\$ 1,852,000	
Non-Fee Revenues											
Enhanced Collections		\$ 129,833					\$ 129,833	\$ 750,000	\$ 118,935	\$ 685,000	
Escheatment	\$ 1,915						\$ 1,915	\$ 7,000	\$ 1,998	\$ 17,000	
Prior Year Revenue		\$ 0					\$ 0				
County Program - Restricted		\$ 3,748					\$ 3,748	\$ 394,700	\$ 27,237	\$ 346,126	
Reimbursement Other	\$ 9,829	\$ 0					\$ (27,043)	\$ 3,728,286	\$ 30,440	\$ 3,226,156	
Sale of Fixed Assets											
Other Miscellaneous	\$ 282,908						\$ 282,908	\$ 1,808,553	\$ 318,589	\$ 1,620,903	
	\$ 517,058	\$ 175,462	\$ (36,872)	\$ 77			\$ 655,725	\$ 8,512,388	\$ 787,970	\$ 7,847,185	
Total Revenues	\$ 38,941,091	\$ 227,349	\$ 165,744	\$ 77			\$ 39,334,261	\$ 101,326,363	\$ 38,804,674	\$ 98,872,611	
EXPENDITURES											
Personal Services											
Salaries - Permanent	\$ 10,024,487	\$ 159,512	\$ 424,696				\$ 10,608,695	\$ 44,276,114	\$ 9,628,703	\$ 40,386,205	
Temp Help	\$ 125,038	\$ 15,542	\$ 0				\$ 140,580	\$ 561,815	\$ 62,534	\$ 341,171	
Overtime	\$ 22,093						\$ 22,093	\$ 170,000	\$ 11,767	\$ 25,000	
Staff Benefits	\$ 7,185,317	\$ 505,542	\$ 224,557				\$ 7,915,416	\$ 35,795,726	\$ 7,409,437	\$ 42,187,696	
	\$ 17,356,936	\$ 680,596	\$ 649,253				\$ 18,686,785	\$ 80,803,655	\$ 17,131,441	\$ 82,940,072	
Operating Expenses and Equipment											
General Expense	\$ 281,414	\$ 2,188	\$ 4,440				\$ 288,042	\$ 1,747,171	\$ 222,702	\$ 1,730,404	
Printing	\$ 1,207	\$ 35					\$ 1,241	\$ 125,000	\$ 20,445	\$ 125,000	
Telecommunications	\$ 288,366		\$ 255				\$ 288,621	\$ 680,000	\$ 153,404	\$ 650,000	
Postage	\$ 96,976						\$ 96,976	\$ 369,500	\$ 157,185	\$ 364,000	
Insurance	\$ 2,256						\$ 2,256	\$ 35,000	\$ 2,435	\$ 41,000	
In-State Travel	\$ 8,250	\$ 100	\$ 3,101				\$ 11,450	\$ 126,000	\$ 23,429	\$ 121,100	
Out-of-State Travel								\$ 35,000	\$ 5,881	\$ 22,500	
Training	\$ 18,542		\$ 1,530				\$ 20,072	\$ 94,500	\$ 13,934	\$ 104,999	
Security Services	\$ 19,447						\$ 19,447	\$ 497,143	\$ 18,386	\$ 357,001	
Facility Operations	\$ 292,469						\$ 292,469	\$ 1,386,623	\$ 251,771	\$ 1,344,156	
Utilities	\$ 36,165						\$ 36,165	\$ 180,000	\$ 19,834	\$ 185,000	
Contracted Services	\$ 987,890	\$ 134,131	\$ 69,973				\$ 1,191,994	\$ 9,430,842	\$ 1,170,799	\$ 9,598,887	
Consulting and Professional Services	\$ 365,035						\$ 365,035	\$ 1,491,527	\$ 385	\$ 2,059,595	
Information Technology	\$ 127,746	\$ 742,303					\$ 870,049	\$ 1,063,334	\$ 98,037	\$ 843,000	
Major Equipment								\$ 53,223	\$ 36,697		
Other Items of Expense	\$ 8,626						\$ 8,626	\$ 55,500	\$ 20,980	\$ 53,500	
	\$ 2,534,387	\$ 878,757	\$ 79,299				\$ 3,492,443	\$ 17,370,363	\$ 2,216,305	\$ 17,600,142	
Special Items of Expense											
Grand Jury		\$ 3,116					\$ 3,116	\$ 3,600	\$ 1,833	\$ 6,000	
Jury Costs	\$ 140,812	\$ 11,521					\$ 152,333	\$ 810,550	\$ 169,766	\$ 738,506	
Judgments, Settlements and Claims									\$ 843		
Debt Service											
Other	\$ 0						\$ 0	\$ 1,200,881			
Capital Costs				\$ 2,515,629			\$ 2,515,629	\$ 5,031,257	\$ 0	\$ 1,750,000	
Internal Cost Recovery	\$ (94,247)		\$ 94,247				\$ 0	\$ 0	\$ 0	\$ 0	
Prior Year Expense Adjustment											
	\$ 46,565	\$ 14,637	\$ 94,247	\$ 2,515,629			\$ 2,671,077	\$ 7,046,288	\$ 172,442	\$ 2,494,500	
Total Expenditures	\$ 19,937,888	\$ 1,573,989	\$ 822,799	\$ 2,515,629			\$ 24,850,304	\$ 105,220,307	\$ 19,520,187	\$ 103,034,714	
Excess (Deficit) of Revenues Over Expenditures	\$ 19,003,203	\$ (1,346,640)	\$ (657,055)	\$ (2,515,552)			\$ 14,483,957	\$ (3,893,944)	\$ 19,284,487	\$ (4,162,103)	
Operating Transfers In (Out)											
								\$ 0	\$ 0	\$ 0	
Fund Balance (Deficit)											
Beginning Balance (Deficit)	\$ 659,815	\$ 2,511,476	\$ 0	\$ 1,759,392			\$ 4,930,683	\$ 4,930,683	\$ 6,641,056	\$ 6,641,056	
Ending Balance (Deficit)	\$ 19,663,018	\$ 1,164,836	\$ (657,055)	\$ (756,159)			\$ 19,414,640	\$ 1,036,740	\$ 25,925,542	\$ 2,478,953	

Superior Court of California, County of Santa Clara
 Trial Court Operations Fund
 Statement of Program Expenditures
 (Unaudited)

For the month ended September										
Fiscal Year 2016/17										
								2015/16		
	Personal Services	Operating Expenses and Equipment	Special Items of Expense	Capital Costs	Internal Cost Recovery	Prior Year Expense Adjustment	Total Actual Expense	Current Budget (Annual)	Total Actual Expense	Final Budget (Annual)
PROGRAM EXPENDITURES:										
Judges & Courtroom Support	\$ 5,284,225	\$ 327,809					\$ 5,562,154	\$ 23,663,411	\$ 5,224,920	\$ 25,969,295
Traffic & Other Infractions	\$ 870,903	\$ 4,883				\$ (49,880)	\$ 875,786	\$ 4,164,522	\$ 868,963	\$ 4,618,813
Other Criminal Cases	\$ 2,032,444	\$ 302,577					\$ 2,341,609	\$ 10,831,231	\$ 2,095,442	\$ 10,799,433
Civil	\$ 1,840,025	\$ 26,930				\$ 6,587	\$ 1,866,955	\$ 8,025,529	\$ 1,879,239	\$ 8,368,301
Family & Children Services	\$ 2,510,034	\$ 192,675					\$ 2,752,589	\$ 12,600,847	\$ 2,516,546	\$ 13,474,461
Probate, Guardianship & Mental Health Services	\$ 653,301	\$ 8,413				\$ 49,880	\$ 661,715	\$ 2,714,540	\$ 630,153	\$ 3,002,569
Juvenile Dependency Services	\$ 121,085	\$ 8,971					\$ 130,057	\$ 529,702	\$ 144,309	\$ 636,838
Juvenile Delinquency Services	\$ 138,667	\$ 55,494					\$ 194,161	\$ 764,595	\$ 124,620	\$ 695,501
Other Court Operations	\$ 71,005	\$ 18					\$ 71,023	\$ 273,274	\$ 85,422	\$ 368,374
Court Interpreters	\$ 760,612	\$ 184,030					\$ 944,642	\$ 4,178,487	\$ 888,991	\$ 4,607,924
Jury Services	\$ 147,001	\$ 80,330	\$ 140,812				\$ 368,143	\$ 1,297,363	\$ 321,287	\$ 1,105,410
Security		\$ 87,568					\$ 87,568	\$ 116,175	\$ 29,277	
Trial Court Operations Program	\$ 14,429,303	\$ 1,279,699	\$ 140,812			\$ 6,587	\$ 15,856,401	\$ 69,159,676	\$ 14,809,169	\$ 73,646,919
Enhanced Collections										
Other Non-Court Operations	\$ 446,703	\$ 21,336	\$ 14,637				\$ 482,675	\$ 1,961,560	\$ 503,625	\$ 2,323,487
Non-Court Operations Program	\$ 446,703	\$ 21,336	\$ 14,637				\$ 482,675	\$ 1,961,560	\$ 503,625	\$ 2,323,487
Executive Office	\$ 389,083	\$ 98,406					\$ 480,901	\$ 2,044,424	\$ 719,230	\$ 2,971,456
Fiscal Services	\$ 788,016	\$ 403,836				\$ (6,587)	\$ 1,191,853	\$ 5,630,869	\$ 1,049,945	\$ 5,172,567
Human Resources	\$ 999,265	\$ 11,627	\$ 0				\$ 1,010,892	\$ 6,422,589	\$ 347,622	\$ 1,773,977
Business & Facilities Services	\$ 507,425	\$ 351,692		\$ 2,515,629			\$ 3,374,746	\$ 10,390,782	\$ 677,345	\$ 6,828,338
Information Technology	\$ 1,126,990	\$ 1,325,845					\$ 2,452,835	\$ 9,610,406	\$ 1,413,252	\$ 10,317,970
Court Administration Program	\$ 3,810,779	\$ 2,191,407	\$ 0	\$ 2,515,629	\$ (6,587)		\$ 8,511,227	\$ 34,099,070	\$ 4,207,394	\$ 27,064,308
Expenditures Not Distributed or Posted to a Program										
Prior Year Adjustments Not Posted to a Program										
Total	\$ 18,686,785	\$ 3,492,443	\$ 155,449	\$ 2,515,629	\$ 0		\$ 24,850,304	\$ 105,220,307	\$ 19,520,187	\$ 103,034,714