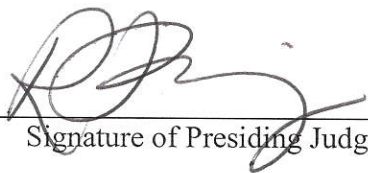


## QUARTERLY FINANCIAL STATEMENT CERTIFICATION

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

5/1/17  
\_\_\_\_\_  
Date

Santa Clara

\_\_\_\_\_  
Court

FY 2016-17 3rd Quarter

\_\_\_\_\_  
Fiscal Year and Ending Quarter

## QUARTERLY FINANCIAL STATEMENT FOOTNOTES

Santa Clara

Court

FY 2016-17 3rd 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 3rd Quarter

Fiscal Year and Ending Quarter

	Total Authorized Court Positions (FTEs) <sup>1</sup> (OPTIONAL)	Positions (FTEs) Filled			
		1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
Court Employee Positions (FTEs)	685.76	611.14	605.71	607.26	

<sup>1</sup> 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 March									
Fiscal Year 2016/17									
	Governmental Funds					Proprietary Funds	Fiduciary Funds	Total Funds (Info. Purposes Only)	Total Funds (Info. Purposes Only)
	General	Special Revenue		Capital Project	Debt Service				
		Non-Grant	Grant						
<b>ASSETS</b>									
Operations	\$ (2,671,727)	\$ 1,109,794	\$ (939,700)	\$ 2,515,629			\$ 453,133	\$ 467,128	\$ 510,423
Payroll									
Jury									
Revolving									
Other	\$ 0							\$ 0	\$ 0
Distribution							\$ 187,027	\$ 187,027	\$ 255,566
Civil Filing Fees							\$ 0	\$ 0	\$ 0
Trust							\$ (326,970)	\$ (326,970)	\$ (503,000)
Credit Card									
Cash on Hand	\$ 15,010						\$ 0	\$ 15,010	\$ 14,810
Cash with County	\$ 5,237,316							\$ 5,237,316	\$ 5,795,994
Cash Outside of the JCC							\$ 0	\$ 0	\$ 0
Cash Equivalents	\$ 1,037,459						\$ 30,088,793	\$ 31,126,252	\$ 32,458,850
<b>Total Cash and Cash Equivalents</b>	<b>\$ 3,618,057</b>	<b>\$ 1,109,794</b>	<b>\$ (939,700)</b>	<b>\$ 2,515,629</b>			<b>\$ 30,401,982</b>	<b>\$ 36,705,762</b>	<b>\$ 38,532,644</b>
Short-Term Investment									
Investments									
<b>Total Investments</b>									
Accrued Revenue	\$ 0	\$ 0	\$ 0	\$ 0				\$ 0	\$ 0
Accounts Receivable - General			\$ 12,696					\$ 12,696	\$ 38,128
Dishonored Checks									
Due From Employee									
Civil Jury Fees	\$ 0							\$ 0	\$ 0
Trust									
Due From Other Funds	\$ 0						\$ 0	\$ 0	\$ 0
Due From Other Governments	\$ 0	\$ 0	\$ 80,706					\$ 80,706	\$ 120,086
Due From Other Courts							\$ 0	\$ 0	\$ 0
Due From State	\$ 0	\$ 0	\$ 813,512					\$ 813,512	\$ 868,740
Trust Due To/From							\$ 176	\$ 176	\$ 0
Distribution Due To/From							\$ 0	\$ 0	\$ 0
Civil Filing Fee Due To/From									
General Due To/From	\$ 6,517	\$ 0						\$ 6,517	\$ 3,123
<b>Total Receivables</b>	<b>\$ 6,517</b>	<b>\$ 0</b>	<b>\$ 906,913</b>	<b>\$ 0</b>			<b>\$ 176</b>	<b>\$ 913,606</b>	<b>\$ 1,030,077</b>
Prepaid Expenses - General	\$ 0							\$ 0	\$ 0
Salary and Travel Advances									
Counties									
<b>Total Prepaid Expenses</b>	<b>\$ 0</b>							<b>\$ 0</b>	<b>\$ 0</b>
Other Assets									
<b>Total Other Assets</b>									
<b>Total Assets</b>	<b>\$ 3,624,574</b>	<b>\$ 1,109,794</b>	<b>\$ (32,787)</b>	<b>\$ 2,515,629</b>			<b>\$ 30,402,158</b>	<b>\$ 37,619,368</b>	<b>\$ 39,562,720</b>
<b>LIABILITIES AND FUND BALANCES</b>									
Accrued Liabilities	\$ 0	\$ 0	\$ 0					\$ 0	\$ 0
Accounts Payable - General	\$ 154,134	\$ 15,164	\$ 12,125	\$ 2,515,629			\$ 0	\$ 2,697,052	\$ 345,222
Due to Other Funds	\$ 176	\$ 0	\$ 0				\$ 6,517	\$ 6,693	\$ 3,123
Due to Other Courts									
Due to State	\$ 0	\$ 0						\$ 0	\$ 0
TC145 Liability							\$ 1,726,628	\$ 1,726,628	\$ 1,782,563
Due to Other Governments	\$ 0	\$ 646,264	\$ 0					\$ 646,264	\$ 100,000
AB145 Due to Other Government Agency	\$ 0						\$ 4,477,051	\$ 4,477,051	\$ 4,925,960
Due to Other Public Agencies									
Sales and Use Tax	\$ 390	\$ 0	\$ 0					\$ 390	\$ 723
Interest							\$ 13,337	\$ 13,337	\$ 4,510
Miscellaneous Accts. Pay. and Accrued Liab.									
<b>Total Accounts Payable and Accrued Liab.</b>	<b>\$ 154,700</b>	<b>\$ 661,428</b>	<b>\$ 12,125</b>	<b>\$ 2,515,629</b>			<b>\$ 6,223,533</b>	<b>\$ 9,567,415</b>	<b>\$ 7,162,101</b>
Civil							\$ 20,952,007	\$ 20,952,007	\$ 21,178,890
Criminal							\$ 3,050,203	\$ 3,050,203	\$ 2,619,027
Unreconciled - Civil and Criminal									
Trust Held Outside of the JCC							\$ 0	\$ 0	\$ 0
Trust Interest Payable							\$ 58,034	\$ 58,034	\$ 14,163
Miscellaneous Trust									
<b>Total Trust Deposits</b>							<b>\$ 24,060,245</b>	<b>\$ 24,060,245</b>	<b>\$ 23,812,080</b>
Accrued Payroll	\$ 0							\$ 0	\$ 0
Benefits Payable									
Deferred Compensation Payable									
Deductions Payable									
Payroll Clearing									
<b>Total Payroll Liabilities</b>	<b>\$ 0</b>							<b>\$ 0</b>	<b>\$ 0</b>
Revenue Collected in Advance			\$ 332,451					\$ 332,451	\$ 221,395
Liabilities For Deposits	\$ 50,730	\$ 1,070					\$ 118,380	\$ 170,180	\$ 147,513
Jury Fees - Non-Interest									
Fees - Partial Payment & Overpayment									
Uncleared Collections	\$ 0						\$ 0	\$ 0	\$ 0
Other Miscellaneous Liabilities									
<b>Total Other Liabilities</b>	<b>\$ 50,730</b>	<b>\$ 1,070</b>	<b>\$ 332,451</b>				<b>\$ 118,380</b>	<b>\$ 502,631</b>	<b>\$ 368,909</b>
<b>Total Liabilities</b>	<b>\$ 205,430</b>	<b>\$ 662,498</b>	<b>\$ 344,576</b>	<b>\$ 2,515,629</b>			<b>\$ 30,402,158</b>	<b>\$ 34,130,290</b>	<b>\$ 31,343,090</b>
<b>Total Fund Balance</b>	<b>\$ 3,419,144</b>	<b>\$ 447,296</b>	<b>\$ (377,363)</b>	<b>\$ 0</b>				<b>\$ 3,489,078</b>	<b>\$ 8,219,631</b>
<b>Total Liabilities and Fund Balance</b>	<b>\$ 3,624,574</b>	<b>\$ 1,109,794</b>	<b>\$ (32,787)</b>	<b>\$ 2,515,629</b>			<b>\$ 30,402,158</b>	<b>\$ 37,619,368</b>	<b>\$ 39,562,720</b>



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 March											
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								
<b>REVENUES</b>											
<b>State Financing Sources</b>											
Trial Court Trust Fund	\$ 58,580,038	\$ (8,863)		\$ 1,549,988			\$ 60,121,163	\$ 79,535,904	\$ 57,471,885	\$ 78,045,349	
Improvement and Modernization Fund	\$ 238,521						\$ 238,521	\$ 238,520	\$ 158,918	\$ 238,520	
Judges' Compensation (45.25)	\$ 562,878						\$ 562,878	\$ 726,112	\$ 562,878	\$ 710,000	
Court Interpreter (45.45)	\$ 3,429,617						\$ 3,429,617	\$ 4,039,896	\$ 2,356,979	\$ 4,000,000	
Civil Coordination Reimbursement (45.55)											
MOU Reimbursements (45.10 and General)	\$ 704,603						\$ 704,603	\$ 870,193	\$ 616,765	\$ 840,693	
Other Miscellaneous	\$ 2,309,467						\$ 2,309,467	\$ 2,309,467	\$ 2,309,467	\$ 2,309,467	
	\$ 65,825,124	\$ (8,863)		\$ 1,549,988			\$ 67,366,249	\$ 87,720,092	\$ 63,476,892	\$ 86,144,029	
<b>Grants</b>											
AB 1058 Commissioner/Facilitator			\$ 1,589,602				\$ 1,589,602	\$ 2,747,162	\$ 1,876,671	\$ 2,718,528	
Other Judicial Council Grants			\$ 375,948				\$ 375,948	\$ 887,333	\$ 337,236	\$ 891,454	
Non-Judicial Council Grants			\$ 545,239				\$ 545,239	\$ 1,459,387	\$ 428,396	\$ 1,271,415	
			\$ 2,510,789				\$ 2,510,789	\$ 5,093,882	\$ 2,642,304	\$ 4,881,397	
<b>Other Financing Sources</b>											
Interest Income	\$ 94,873	\$ 6,139		\$ 1,783			\$ 102,795	\$ 96,500	\$ 58,490	\$ 60,000	
Investment Income											
Donations		\$ 39,228					\$ 39,228	\$ 22,000	\$ 20,424	\$ 40,000	
Local Fees	\$ 1,195,441	\$ 112,829					\$ 1,308,270	\$ 1,705,350	\$ 1,087,136	\$ 1,852,000	
Non-Fee Revenues											
Enhanced Collections		\$ 475,065					\$ 475,065	\$ 750,000	\$ 467,692	\$ 685,000	
Escheatment	\$ 17,694						\$ 17,694	\$ 7,000	\$ (4,469)	\$ 17,000	
Prior Year Revenue		\$ 0					\$ 0				
County Program - Restricted		\$ 131,449					\$ 131,449	\$ 394,700	\$ 190,483	\$ 346,126	
Reimbursement Other	\$ 47,242	\$ 798,468	\$ 73,759				\$ 919,470	\$ 3,728,286	\$ 1,221,630	\$ 3,226,156	
Sale of Fixed Assets											
Other Miscellaneous	\$ 109,143			\$ 1,065,502			\$ 1,174,645	\$ 1,808,553	\$ 1,172,127	\$ 1,620,903	
	\$ 1,464,393	\$ 1,563,178	\$ 73,759	\$ 1,067,285			\$ 4,168,616	\$ 8,512,386	\$ 4,213,513	\$ 7,847,188	
<b>Total Revenues</b>	<b>\$ 67,289,517</b>	<b>\$ 1,554,315</b>	<b>\$ 2,584,548</b>	<b>\$ 2,617,273</b>			<b>\$ 74,045,653</b>	<b>\$ 101,326,363</b>	<b>\$ 70,332,709</b>	<b>\$ 98,872,611</b>	
<b>EXPENDITURES</b>											
<b>Personal Services</b>											
Salaries - Permanent	\$ 33,452,862	\$ 570,334	\$ 1,270,393				\$ 35,293,590	\$ 44,276,114	\$ 32,892,175	\$ 40,386,205	
Temp Help	\$ 410,531	\$ 0	\$ 36,211				\$ 446,742	\$ 561,815	\$ 352,685	\$ 341,171	
Overtime	\$ 82,411	\$ 0	\$ 0				\$ 82,411	\$ 170,000	\$ 150,953	\$ 25,000	
Staff Benefits	\$ 19,633,882	\$ 1,560,990	\$ 641,192				\$ 21,836,065	\$ 35,795,726	\$ 23,532,786	\$ 42,187,696	
	\$ 53,579,687	\$ 2,131,325	\$ 1,947,796				\$ 57,658,807	\$ 80,803,655	\$ 56,868,600	\$ 82,940,072	
<b>Operating Expenses and Equipment</b>											
General Expense	\$ 1,317,619	\$ 86,222	\$ 20,564				\$ 1,424,405	\$ 1,747,171	\$ 1,139,581	\$ 1,730,404	
Printing	\$ 76,978	\$ 139					\$ 77,118	\$ 125,000	\$ 83,499	\$ 125,000	
Telecommunications	\$ 678,974		\$ 573				\$ 679,547	\$ 680,000	\$ 480,765	\$ 650,000	
Postage	\$ 303,395						\$ 303,395	\$ 369,500	\$ 311,777	\$ 364,000	
Insurance	\$ 36,398						\$ 36,398	\$ 35,000	\$ 32,522	\$ 41,000	
In-State Travel	\$ 60,495	\$ 448	\$ 8,961				\$ 69,903	\$ 126,000	\$ 63,782	\$ 121,100	
Out-of-State Travel	\$ 1,806		\$ 1,062				\$ 3,769	\$ 35,000	\$ 27,190	\$ 22,500	
Training	\$ 48,588		\$ 6,215				\$ 54,803	\$ 94,500	\$ 57,294	\$ 104,999	
Security Services	\$ 88,886		\$ 253,979				\$ 322,864	\$ 497,143	\$ 342,780	\$ 357,001	
Facility Operations	\$ 1,096,121						\$ 1,096,121	\$ 1,386,623	\$ 885,071	\$ 1,344,156	
Utilities	\$ 115,610						\$ 115,610	\$ 180,000	\$ 122,588	\$ 185,000	
Contracted Services	\$ 4,441,301	\$ 603,069	\$ 437,042				\$ 5,481,412	\$ 9,430,842	\$ 5,417,244	\$ 9,598,887	
Consulting and Professional Services	\$ 1,175,286						\$ 1,175,286	\$ 1,491,527	\$ 1,389,707	\$ 2,059,595	
Information Technology	\$ 519,647	\$ 742,303	\$ 0				\$ 1,261,950	\$ 1,063,334	\$ 569,217	\$ 843,000	
Major Equipment	\$ 88,517						\$ 88,517	\$ 53,223	\$ 348,136	\$ 0	
Other Items of Expense	\$ 40,545						\$ 40,545	\$ 65,500	\$ 42,046	\$ 53,500	
	\$ 10,050,166	\$ 1,432,181	\$ 729,295				\$ 12,211,641	\$ 17,370,363	\$ 11,313,199	\$ 17,600,142	
<b>Special Items of Expense</b>											
Grand Jury		\$ 3,394					\$ 3,394	\$ 3,600	\$ 3,383	\$ 6,000	
Jury Costs	\$ 530,564	\$ 51,595					\$ 582,159	\$ 810,550	\$ 557,796	\$ 738,500	
Judgements, Settlements and Claims									\$ 11,157		
Debt Service											
Other	\$ 0						\$ 0	\$ 1,200,881			
<b>Capital Costs</b>											
Internal Cost Recovery	\$ (304,491)		\$ 304,491	\$ 5,031,257			\$ 5,031,257	\$ 5,031,257	\$ 0	\$ 1,750,000	
Prior Year Expense Adjustment							\$ 0	\$ 0	\$ 0	\$ 0	
	\$ 226,072	\$ 54,989	\$ 304,491	\$ 5,031,257			\$ 5,010,810	\$ 7,048,288	\$ 572,336	\$ 2,494,500	
<b>Total Expenditures</b>	<b>\$ 63,855,925</b>	<b>\$ 3,618,495</b>	<b>\$ 2,981,582</b>	<b>\$ 5,031,257</b>			<b>\$ 75,487,258</b>	<b>\$ 105,220,307</b>	<b>\$ 68,754,134</b>	<b>\$ 103,034,714</b>	
<b>Excess (Deficit) of Revenues Over Expenditures</b>	<b>\$ 3,433,592</b>	<b>\$ (2,064,180)</b>	<b>\$ (397,034)</b>	<b>\$ (2,413,984)</b>			<b>\$ (1,441,606)</b>	<b>\$ (3,893,944)</b>	<b>\$ 1,578,575</b>	<b>\$ (4,162,103)</b>	
<b>Operating Transfers In (Out)</b>	<b>\$ (674,263)</b>		<b>\$ 19,670</b>	<b>\$ 654,592</b>			<b>\$ 0</b>	<b>\$ 0</b>	<b>\$ 0</b>	<b>\$ 0</b>	
<b>Fund Balance (Deficit)</b>											
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)	\$ 3,419,144	\$ 447,296	\$ (377,363)	\$ 0			\$ 3,489,078	\$ 1,036,740	\$ 8,219,631	\$ 2,478,953	



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

For the month ended March										
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)
<b>PROGRAM EXPENDITURES:</b>										
Judges & Courtroom Support	\$ 16,848,840	\$ 1,096,010					\$ 17,823,002	\$ 23,663,411	\$ 16,429,126	\$ 25,969,295
Traffic & Other Infractions	\$ 2,763,391	\$ 24,550				\$ (121,848)	\$ 2,787,940	\$ 4,164,522	\$ 2,761,266	\$ 4,618,813
Other Criminal Cases	\$ 6,590,905	\$ 1,153,698					\$ 7,783,234	\$ 10,831,231	\$ 7,346,696	\$ 10,799,433
Civil	\$ 5,794,729	\$ 176,539				\$ 38,632	\$ 5,971,268	\$ 8,025,529	\$ 5,970,800	\$ 8,368,301
Family & Children Services	\$ 7,953,719	\$ 1,164,414				\$ 121,848	\$ 9,239,982	\$ 12,600,847	\$ 9,223,802	\$ 13,474,461
Probate, Guardianship & Mental Health Services	\$ 2,103,513	\$ 34,533					\$ 2,138,046	\$ 2,714,540	\$ 2,019,696	\$ 3,002,569
Juvenile Dependency Services	\$ 326,912	\$ 40,981					\$ 367,892	\$ 529,702	\$ 431,310	\$ 636,838
Juvenile Delinquency Services	\$ 489,519	\$ 195,869					\$ 685,388	\$ 764,595	\$ 536,632	\$ 695,501
Other Court Operations	\$ 225,913	\$ 4,901					\$ 230,813	\$ 273,274	\$ 274,692	\$ 368,374
Court Interpreters	\$ 2,263,400	\$ 1,719,160					\$ 3,982,561	\$ 4,178,487	\$ 2,951,972	\$ 4,607,924
Jury Services	\$ 478,726	\$ 173,119	\$ 530,564				\$ 1,182,409	\$ 1,297,363	\$ 1,012,172	\$ 1,105,410
Security		\$ 165,773					\$ 165,773	\$ 116,175	\$ 139,145	
<b>Trial Court Operations Program</b>	<b>\$ 45,839,566</b>	<b>\$ 5,949,546</b>	<b>\$ 530,564</b>				<b>\$ 52,358,308</b>	<b>\$ 69,159,676</b>	<b>\$ 49,097,308</b>	<b>\$ 73,646,919</b>
Enhanced Collections										
Other Non-Court Operations	\$ 1,376,787	\$ 72,975	\$ 54,989				\$ 1,504,751	\$ 1,961,560	\$ 1,691,569	\$ 2,323,487
<b>Non-Court Operations Program</b>	<b>\$ 1,376,787</b>	<b>\$ 72,975</b>	<b>\$ 54,989</b>				<b>\$ 1,504,751</b>	<b>\$ 1,961,560</b>	<b>\$ 1,691,569</b>	<b>\$ 2,323,487</b>
Executive Office	\$ 1,227,893	\$ 296,272					\$ 1,485,533	\$ 2,044,424	\$ 2,261,172	\$ 2,971,456
Fiscal Services	\$ 2,554,962	\$ 1,754,609				\$ (38,632)	\$ 4,309,571	\$ 5,630,869	\$ 3,933,224	\$ 5,172,567
Human Resources	\$ 1,444,210	\$ 54,987	\$ 0				\$ 1,499,197	\$ 6,422,589	\$ 3,309,492	\$ 1,773,977
Business & Facilities Services	\$ 1,651,644	\$ 1,497,906		\$ 5,031,257			\$ 8,180,807	\$ 10,390,782	\$ 2,341,604	\$ 6,828,338
Information Technology	\$ 3,563,745	\$ 2,585,346					\$ 6,149,091	\$ 9,610,406	\$ 6,119,765	\$ 10,317,970
<b>Court Administration Program</b>	<b>\$ 10,442,454</b>	<b>\$ 6,189,120</b>	<b>\$ 0</b>	<b>\$ 5,031,257</b>	<b>\$ (38,632)</b>		<b>\$ 21,624,199</b>	<b>\$ 34,099,070</b>	<b>\$ 17,965,258</b>	<b>\$ 27,064,308</b>
Expenditures Not Distributed or Posted to a Program										
Prior Year Adjustments Not Posted to a Program										
<b>Total</b>	<b>\$ 57,658,807</b>	<b>\$ 12,211,641</b>	<b>\$ 585,553</b>	<b>\$ 5,031,257</b>	<b>\$ 0</b>		<b>\$ 75,487,258</b>	<b>\$ 105,220,307</b>	<b>\$ 68,754,134</b>	<b>\$ 103,034,714</b>