

## 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

Superior Court – Santa Clara

\_\_\_\_\_  
Court

FY 2014-15 2nd Quarter

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

**QUARTERLY FINANCIAL STATEMENT FOOTNOTES**

Superior Court – Santa Clara

Court

FY 2014-15 2nd 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)**

Superior Court – Santa Clara

Court

FY 2014-15 2nd 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)	790.72	690.96	682.02		

<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 December									
Fiscal Year 2014/15									
	Governmental Funds					Proprietary Funds	Fiduciary Funds	Total Funds (Info. Purposes Only)	2013/14 Total Funds (Info. Purposes Only)
	General	Special Revenue		Capital Project	Debt Service				
		Non-Grant	Grant						
<b>ASSETS</b>									
Operations	\$ (3,796,877)	\$ 2,763,809	\$ (874,713)	\$ 1,750,999			\$ 498,415	\$ 341,633	\$ 6,757,347
Payroll									
Jury									
Revolving									
Other	\$ 0							\$ 0	\$ 0
Distribution									
Civil Filing Fees							\$ 267,326	\$ 267,326	\$ 268,113
Trust							\$ 0	\$ 0	\$ 0
Credit Card							\$ (238,163)	\$ (238,163)	\$ (218,889)
Cash on Hand	\$ 16,160							\$ 16,160	\$ 16,160
Cash with County	\$ 7,000,000						\$ 0	\$ 7,000,000	\$ 3,678,931
Cash Outside of the AOC								\$ 0	\$ 0
<b>Total Cash</b>	<b>\$ 3,219,283</b>	<b>\$ 2,763,809</b>	<b>\$ (874,713)</b>	<b>\$ 1,750,999</b>			<b>\$ 527,578</b>	<b>\$ 7,386,956</b>	<b>\$ 10,501,662</b>
Short Term Investment	\$ 10,792,301								
Investment in Financial Institution							\$ 17,816,490	\$ 28,608,791	\$ 25,095,965
<b>Total Investments</b>	<b>\$ 10,792,301</b>						<b>\$ 17,816,490</b>	<b>\$ 28,608,791</b>	<b>\$ 25,095,965</b>
Accrued Revenue	\$ 0	\$ 0	\$ 0	\$ 0				\$ 0	\$ 0
Accounts Receivable - General	\$ 331,655	\$ 24,250	\$ 869,475					\$ 1,225,380	\$ 362,344
Dishonored Checks									
Due From Employee									
Civil Jury Fees	\$ 0							\$ 0	
Trust									
Due From Other Funds	\$ 0							\$ 0	\$ 0
Due From Other Governments	\$ 0	\$ 0	\$ 0				\$ 0	\$ 0	\$ 0
Due From Other Courts	\$ 0	\$ 0						\$ 0	\$ 0
Due From State	\$ 0	\$ 0	\$ 0				\$ 0	\$ 0	\$ 0
Trust Due To/From							\$ 0	\$ 0	\$ 556
Distribution Due To/From							\$ 0	\$ 0	
Civil Filing Fee Due To/From							\$ 0	\$ 0	
General Due To/From	\$ 4,333	\$ 0						\$ 4,333	\$ 2,285
<b>Total Receivables</b>	<b>\$ 335,988</b>	<b>\$ 24,250</b>	<b>\$ 869,475</b>	<b>\$ 0</b>			<b>\$ 0</b>	<b>\$ 1,229,712</b>	<b>\$ 365,185</b>
Prepaid Expenses - General	\$ 0							\$ 0	\$ 15,120
Salary and Travel Advances									
Counties									
<b>Total Prepaid Expenses</b>	<b>\$ 0</b>							<b>\$ 0</b>	<b>\$ 15,120</b>
Other Assets									
<b>Total Other Assets</b>									
<b>Total Assets</b>	<b>\$ 14,347,572</b>	<b>\$ 2,788,059</b>	<b>\$ (5,239)</b>	<b>\$ 1,750,999</b>			<b>\$ 18,344,068</b>	<b>\$ 37,225,460</b>	<b>\$ 35,977,932</b>
<b>LIABILITIES AND FUND BALANCES</b>									
Accrued Liabilities	\$ 0	\$ 0	\$ 0					\$ 0	\$ 0
Accounts Payable - General	\$ 85,408	\$ 0	\$ 0	\$ 0			\$ 63,818	\$ 149,226	\$ 40,644
Due to Other Funds	\$ 0	\$ 0	\$ 0				\$ 4,333	\$ 4,333	\$ 2,841
Due to Other Courts	\$ 0							\$ 0	\$ 0
Due to State	\$ 0							\$ 0	\$ 0
TC145 Liability								\$ 0	\$ 0
Due to Other Governments	\$ 0	\$ 0	\$ 0				\$ 1,718,061	\$ 1,718,061	\$ 1,848,679
AB145 Due to Other Government Agency	\$ 0							\$ 0	\$ 0
Due to Other Public Agencies							\$ 4,821,406	\$ 4,821,406	\$ 5,230,400
Sales and Use Tax	\$ 427							\$ 427	\$ 397
Interest								\$ (683)	\$ 845
Miscellaneous Accts. Pay. and Accrued Liab.								\$ (683)	
<b>Total Accounts Payable and Accrued Liab.</b>	<b>\$ 85,835</b>	<b>\$ 0</b>	<b>\$ 0</b>	<b>\$ 0</b>			<b>\$ 6,606,935</b>	<b>\$ 6,692,770</b>	<b>\$ 7,123,806</b>
Civil									
Criminal							\$ 9,260,366	\$ 9,260,366	\$ 3,983,332
Unreconciled - Civil and Criminal							\$ 2,379,462	\$ 2,379,462	\$ 2,169,434
Trust Held Outside of the AOC									
Trust Interest Payable							\$ 0	\$ 0	\$ 0
Miscellaneous Trust							\$ 12,329	\$ 12,329	\$ 9,506
<b>Total Trust Deposits</b>							<b>\$ 11,652,157</b>	<b>\$ 11,652,157</b>	<b>\$ 6,162,272</b>
Accrued Payroll	\$ 405,132							\$ 405,132	\$ 405,132
Benefits Payable									
Deferred Compensation Payable									
Deductions Payable									
Payroll Clearing									
<b>Total Payroll Liabilities</b>	<b>\$ 405,132</b>							<b>\$ 405,132</b>	<b>\$ 405,132</b>
Revenue Collected in Advance			\$ 467,847					\$ 467,847	\$ 29,965
Liabilities For Deposits	\$ 43,575	\$ 2,363					\$ 84,976	\$ 130,914	\$ 105,122
Jury Fees - Non-Interest									
Fees - Partial Payment & Overpayment									
Uncleared Collections	\$ 0							\$ 0	\$ 0
Other Miscellaneous Liabilities									
<b>Total Other Liabilities</b>	<b>\$ 43,575</b>	<b>\$ 2,363</b>	<b>\$ 467,847</b>				<b>\$ 84,976</b>	<b>\$ 598,761</b>	<b>\$ 135,087</b>
<b>Total Liabilities</b>	<b>\$ 534,542</b>	<b>\$ 2,363</b>	<b>\$ 467,847</b>	<b>\$ 0</b>			<b>\$ 18,344,068</b>	<b>\$ 19,348,820</b>	<b>\$ 13,826,296</b>
<b>Total Fund Balance</b>	<b>\$ 13,813,030</b>	<b>\$ 2,785,696</b>	<b>\$ (473,086)</b>	<b>\$ 1,750,999</b>				<b>\$ 17,876,640</b>	<b>\$ 22,151,636</b>
<b>Total Liabilities and Fund Balance</b>	<b>\$ 14,347,572</b>	<b>\$ 2,788,059</b>	<b>\$ (5,239)</b>	<b>\$ 1,750,999</b>			<b>\$ 18,344,068</b>	<b>\$ 37,225,460</b>	<b>\$ 35,977,932</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 December											
	Fiscal Year 2014/15										2013/14	
	Governmental Funds						Total Funds (Info. Purposes Only)	Current Budget (Annual)	Total Funds (Info. Purposes Only)	Final Budget (Annual)		
	General	Special Revenue		Capital Projects	Debt Service	Proprietary Funds					Fiduciary Funds	
Non-Grant		Grant										
<b>REVENUES</b>												
<b>State Financing Sources</b>												
Trial Court Trust Fund	\$ 48,718,683	\$ 213,181					\$ 48,931,864	\$ 78,015,200	\$ 49,240,549	\$ 78,975,485		
Improvement and Modernization Fund	\$ 331,655						\$ 331,655	\$ 723,082		\$ 795,605		
Judges' Compensation (45.25)	\$ 375,252						\$ 375,252	\$ 710,000	\$ 375,251	\$ 750,500		
Court Interpreter (45.45)	\$ 1,912,347						\$ 1,912,347	\$ 4,000,000	\$ 1,505,900	\$ 3,300,000		
Civil Coordination Reimbursement (45.55)												
MOU Reimbursements (45.10 and General)	\$ 470,382						\$ 470,382	\$ 800,693	\$ 474,773	\$ 861,693		
Other Miscellaneous	\$ 2,309,467						\$ 2,309,467	\$ 2,309,467	\$ 2,309,467	\$ 2,309,467		
	\$ 54,117,786	\$ 213,181					\$ 54,330,967	\$ 86,558,442	\$ 53,905,940	\$ 86,992,750		
<b>Grants</b>												
AB 1058 Commissioner/Facilitator			\$ 1,212,294				\$ 1,212,294	\$ 2,606,208	\$ 879,588	\$ 2,606,208		
Other AOC Grants			\$ 182,660				\$ 182,660	\$ 475,775	\$ 45,464	\$ 127,813		
Non-AOC Grants			\$ 277,062				\$ 277,062	\$ 1,365,465	\$ 332,046	\$ 1,291,307		
			\$ 1,672,015				\$ 1,672,015	\$ 4,447,448	\$ 1,257,097	\$ 4,025,328		
<b>Other Financing Sources</b>												
Interest Income	\$ 23,035	\$ 1,891		\$ 999			\$ 25,925	\$ 50,000	\$ 28,108	\$ 112,000		
Investment Income												
Donations		\$ 11,234					\$ 11,234	\$ 50,000	\$ 51,655	\$ 18,000		
Local Fees	\$ 587,588						\$ 587,588	\$ 1,497,000	\$ 586,641	\$ 1,950,300		
Non-Fee Revenues												
Enhanced Collections		\$ 288,650					\$ 288,650	\$ 665,000	\$ 284,646	\$ 695,000		
Escheatment	\$ (174,208)						\$ (174,208)	\$ 60,000	\$ 137,972			
Prior Year Revenue	\$ 219,764						\$ 219,764					
County Program - Restricted		\$ 103,647					\$ 103,647	\$ 322,502	\$ 84,974	\$ 330,132		
Reimbursement Other	\$ 295,905	\$ 410,450	\$ 49,427				\$ 755,781	\$ 2,900,689	\$ 733,894	\$ 2,484,838		
Sale of Fixed Assets												
Other Miscellaneous	\$ 676,137						\$ 676,137	\$ 1,613,753	\$ 726,341	\$ 1,613,603		
	\$ 1,628,220	\$ 815,872	\$ 49,427	\$ 999			\$ 2,494,518	\$ 7,158,844	\$ 2,634,230	\$ 7,203,673		
<b>Total Revenues</b>	<b>\$ 55,746,006</b>	<b>\$ 1,029,053</b>	<b>\$ 1,721,442</b>	<b>\$ 999</b>			<b>\$ 56,497,500</b>	<b>\$ 98,164,734</b>	<b>\$ 57,797,268</b>	<b>\$ 98,221,751</b>		
<b>EXPENDITURES</b>												
<b>Personal Services</b>												
Salaries - Permanent	\$ 22,721,603	\$ 328,204	\$ 692,766				\$ 23,742,572	\$ 40,031,646	\$ 24,466,398	\$ 50,041,155		
Temp Help	\$ 191,347	\$ 10,356	\$ 57,965				\$ 259,668	\$ 953,848	\$ 404,881	\$ 471,271		
Overtime	\$ 12,059						\$ 12,059	\$ 25,000	\$ 18,435	\$ 25,000		
Staff Benefits	\$ 16,046,944	\$ 989,847	\$ 628,858				\$ 17,665,649	\$ 39,999,941	\$ 18,034,937	\$ 39,089,590		
	\$ 38,971,953	\$ 1,328,407	\$ 1,379,589				\$ 41,679,948	\$ 81,010,435	\$ 42,924,651	\$ 89,627,016		
<b>Operating Expenses and Equipment</b>												
General Expense	\$ 497,603	\$ 40,930	\$ 20,566				\$ 559,100	\$ 1,714,093	\$ 693,360	\$ 1,582,231		
Printing	\$ 45,794	\$ 139					\$ 45,933	\$ 154,000	\$ 63,182	\$ 185,000		
Telecommunications	\$ 382,765						\$ 382,765	\$ 680,000	\$ 378,972	\$ 745,000		
Postage	\$ 219,608	\$ 9					\$ 219,616	\$ 422,000	\$ 227,591	\$ 430,000		
Insurance	\$ 36,539						\$ 36,539	\$ 47,000	\$ 42,593	\$ 42,000		
In-State Travel	\$ 42,388	\$ 890	\$ 6,794				\$ 50,072	\$ 133,200	\$ 57,693	\$ 120,150		
Out-of-State Travel	\$ 1,590						\$ 1,590	\$ 10,868	\$ 7,154	\$ 15,000		
Training	\$ 45,228		\$ 1,635				\$ 46,863	\$ 113,000	\$ 47,529	\$ 98,000		
Security Services			\$ 157,979				\$ 157,979	\$ 315,958	\$ 308,712	\$ 308,712		
Facility Operations	\$ 582,023						\$ 582,023	\$ 1,371,100	\$ 568,872	\$ 1,277,204		
Utilities	\$ 87,836						\$ 87,836	\$ 165,000	\$ 76,604	\$ 163,000		
Contracted Services	\$ 1,946,410	\$ 165,593	\$ 388,017				\$ 2,500,019	\$ 6,458,813	\$ 2,394,110	\$ 5,897,501		
Consulting and Professional Services	\$ 637,170						\$ 637,170	\$ 1,048,527	\$ 636,027	\$ 1,597,904		
Information Technology	\$ 644,325	\$ 1,020					\$ 645,345	\$ 2,895,773	\$ 233,827	\$ 425,000		
Major Equipment	\$ 72,510						\$ 72,510		\$ 6,729			
Other Items of Expense	\$ 19,564						\$ 19,564	\$ 58,000	\$ 23,974	\$ 69,000		
	\$ 5,261,353	\$ 208,580	\$ 574,991				\$ 6,044,924	\$ 16,487,332	\$ 5,458,217	\$ 12,955,702		
<b>Special Items of Expense</b>												
Grand Jury		\$ 5,699					\$ 5,699	\$ 5,000	\$ 3,655	\$ 5,500		
Jury Costs	\$ 304,387	\$ 42,685					\$ 347,072	\$ 725,000	\$ 361,271	\$ 798,500		
Judgements, Settlements and Claims												
Debt Service												
Other												
<b>Capital Costs</b>												
Internal Cost Recovery	\$ (239,947)		\$ 239,947		\$ (1,750,000)		\$ (1,750,000)	\$ 3,500,000	\$ 0	\$ 3,500,000		
Prior Year Expense Adjustment							\$ 0	\$ 0	\$ 0	\$ 0		
	\$ 64,440	\$ 48,384	\$ 239,947	\$ (1,750,000)			\$ (1,397,228)	\$ 4,230,000	\$ 364,926	\$ 4,304,000		
<b>Total Expenditures</b>	<b>\$ 44,297,746</b>	<b>\$ 1,585,371</b>	<b>\$ 2,194,527</b>	<b>\$ (1,750,000)</b>			<b>\$ 46,327,644</b>	<b>\$ 101,727,787</b>	<b>\$ 48,747,795</b>	<b>\$ 106,888,718</b>		
<b>Excess (Deficit) of Revenues Over Expenditures</b>	<b>\$ 11,448,261</b>	<b>\$ (556,318)</b>	<b>\$ (473,086)</b>	<b>\$ 1,750,999</b>			<b>\$ 12,169,856</b>	<b>\$ (3,563,033)</b>	<b>\$ 9,049,473</b>	<b>\$ (8,664,967)</b>		
<b>Operating Transfers In (Out)</b>												
<b>Fund Balance (Deficit)</b>												
Beginning Balance (Deficit)	\$ 2,364,769	\$ 3,342,015	\$ 0	\$ 0			\$ 5,706,784	\$ 5,706,784	\$ 13,102,163	\$ 13,102,163		
Ending Balance (Deficit)	\$ 13,813,030	\$ 2,785,696	\$ (473,086)	\$ 1,750,999			\$ 17,876,640	\$ 2,143,751	\$ 22,151,636	\$ 4,437,196		



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

For the month ended December										
	Fiscal Year 2014/15							2013/14		
	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	\$ 11,956,729	\$ 880,466								
Traffic & Other Infractions	\$ 2,311,513	\$ 27,040				\$ (108,019)	\$ 12,729,176	\$ 25,759,700	\$ 13,553,912	\$ 29,300,727
Other Criminal Cases	\$ 4,888,673	\$ 677,052	\$ 0				\$ 2,338,553	\$ 5,444,042	\$ 2,724,633	\$ 6,118,835
Civil	\$ 4,444,305	\$ 156,102					\$ 5,565,725	\$ 11,163,023	\$ 5,952,459	\$ 12,313,621
Family & Children Services	\$ 5,665,349	\$ 804,651					\$ 4,600,408	\$ 8,611,160	\$ 4,404,515	\$ 9,443,210
Probate, Guardianship & Mental Health Services	\$ 1,507,690	\$ 25,605				\$ 108,019	\$ 6,578,019	\$ 11,772,306	\$ 5,638,210	\$ 13,200,885
Juvenile Dependency Services	\$ 302,899	\$ 23,384					\$ 1,533,296	\$ 2,999,808	\$ 1,565,934	\$ 3,120,240
Juvenile Delinquency Services	\$ 322,499	\$ 25,112					\$ 326,283	\$ 487,387	\$ 273,556	\$ 540,233
Other Court Operations	\$ 194,591	\$ 437					\$ 347,611	\$ 622,348	\$ 405,771	\$ 731,382
Court Interpreters	\$ 2,003,608	\$ 261,745					\$ 195,028	\$ 201,716	\$ 279,159	\$ 556,956
Jury Services	\$ 265,696	\$ 110,113					\$ 2,265,352	\$ 4,142,988	\$ 2,098,804	\$ 4,223,388
Security		\$ 36,592	\$ 304,387				\$ 680,197	\$ 1,098,427	\$ 719,081	\$ 1,303,324
<b>Trial Court Operations Program</b>	<b>\$ 33,863,553</b>	<b>\$ 3,028,299</b>	<b>\$ 304,387</b>			<b>\$ 0</b>	<b>\$ 37,196,239</b>	<b>\$ 72,618,863</b>	<b>\$ 37,669,032</b>	<b>\$ 81,161,513</b>
Enhanced Collections										
Other Non-Court Operations	\$ 866,291	\$ 52,510	\$ 48,384				\$ 967,186	\$ 2,160,297	\$ 969,568	\$ 2,014,976
<b>Non-Court Operations Program</b>	<b>\$ 866,291</b>	<b>\$ 52,510</b>	<b>\$ 48,384</b>				<b>\$ 967,186</b>	<b>\$ 2,160,297</b>	<b>\$ 969,568</b>	<b>\$ 2,014,976</b>
Executive Office	\$ 1,463,390	\$ 74,512					\$ 1,537,902	\$ 1,792,257	\$ 1,506,404	\$ 1,430,208
Fiscal Services	\$ 1,700,848	\$ 859,602					\$ 2,560,449	\$ 4,757,110	\$ 3,147,371	\$ 4,758,441
Human Resources	\$ 695,052	\$ 21,998					\$ 717,050	\$ 1,657,288	\$ 804,885	\$ 2,051,494
Business & Facilities Services	\$ 946,004	\$ 658,244					\$ (145,753)	\$ 9,159,477	\$ 1,654,880	\$ 9,026,654
Information Technology	\$ 2,144,810	\$ 1,349,761					\$ 3,494,571	\$ 9,582,475	\$ 2,995,655	\$ 6,443,432
<b>Court Administration Program</b>	<b>\$ 6,950,104</b>	<b>\$ 2,964,115</b>					<b>\$ 8,164,219</b>	<b>\$ 26,948,607</b>	<b>\$ 10,109,195</b>	<b>\$ 23,710,229</b>
Expenditures Not Distributed or Posted to a Program										
Prior Year Adjustments Not Posted to a Program										
<b>Total</b>	<b>\$ 41,679,948</b>	<b>\$ 6,044,924</b>	<b>\$ 352,772</b>	<b>\$ (1,750,000)</b>		<b>\$ 0</b>	<b>\$ 46,327,644</b>	<b>\$ 101,727,767</b>	<b>\$ 48,747,795</b>	<b>\$ 106,886,718</b>