Report on Non-General Fund Information
for Submission to the 2017 Legislature

Department: Commerce and Consumer Affairs
Contact Name: Cathy Takase
Prog ID(s): CCA-102
Name of Fund: State Broadband Data and Development Grant Program
Fund type (MOF): Federal Stimulus Funds (V)
Legal Authority non-appropriated 1/. CFDA: 11.558 American Recovery and Reinvestment Act-SBDD-Hawaii Department of Commerce Affairs (Award no. 15-50-M09057)
Appropriation Acct. No. S-XX-201-R

Intended Purpose:
The grant is to develop an on-line database that can be used by consumers to identify the availability, speed, and location of broadband services throughout Hawaii.

Source of Revenues:
Federal grant from the U.S. Department of Commerce

Current Program Activities/Allowable Expenses:
The initial grant includes $1,449,940 for broadband data collection and mapping activities over a two-year period and $500,000 for broadband planning activities. The overall award period is January 1, 2010 - December 31, 2011 for broadband mapping activities and January 1, 2010 - December 31, 2014 for broadband planning activities, if any. The project end-date has been subsequently extended to January 31, 2015.

Subsequently, additional federal funding in the amount of $2,400,000 was awarded on September 28, 2010 to complete the project to map broadband availability and engage in broadband planning activities for five years.

Purpose of Proposed Ceiling Increase (if applicable):
Not applicable.

Variances:
Variances in the revenues and expenditures each year reflect different projects completed by the Department to map broadband availability and promote and foster broadband use. The grant was terminated on January 31, 2015 and was fully closed out. Thus, there are no future revenues or expenditures.

<table>
<thead>
<tr>
<th>Financial Data</th>
<th>FY 2013 (actual)</th>
<th>FY 2014 (actual)</th>
<th>FY 2015 (actual)</th>
<th>FY 2016 (estimated)</th>
<th>FY 2017 (estimated)</th>
<th>FY 2018 (estimated)</th>
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<tbody>
<tr>
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<td>175</td>
<td>42,716</td>
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<tr>
<td>Ending Cash Balance</td>
<td>206</td>
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<td>42,716</td>
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<td>Encumbrances</td>
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Additional Information:

Amount Req. for Bond Conveyance

Amount from Bond Proceeds

Amount Held in GOSs, Escrow Accounts, or Other Investments

1/ Governor's approval to apply and expend federal grant (federal stimulus funds) were secured on September 17, 2010 and October 18, 2010.
Intended Purpose:
To foster the development of responsive and reliable cable communications services for the people of Hawaii, by promoting the public interest in authorizations by the State regarding cable franchises; regulate basic cable rates and service to ensure compliance with applicable State and Federal law; expand and operate the statewide institutional network; and continue the availability of public, education and government cable access. Additional responsibilities due to Act 199 tasked CATV to implement activities to create ubiquitous access to high speed broadband at affordable prices throughout the State.

Source of Revenues:
Franchise Fees (HAR 18-132) paid by cable TV operators.

Current Program Activities/Allowable Expenses:
• Issues and enforces franchises for cable communications services.
• Promulgates and enforces rules and regulations governing the practices, procedures, quality and quantity of services including rates, and customer and technical operations of cable communications companies.
• Plans and encourages the development of new, improved and more effective utilisation of cable communications services, equipment, and facilities including the State’s Institutional Network (INET), and public, educational, and government (PEG) access resources and facilities, which will enhance communications services available to Hawaii’s citizens.
• Support public and private efforts to enhance or facilitate deployment; making recommendations to establish affordable, accessible broadband services to un-served and underserved areas; increase usage and demand by facilitating deployment of expanded applications such as telework, telemedicine, e-learning; and assist in implementing recommendations in the Hawaii Broadband Task Force Report of December 2008, and the goals of the Governor's Hawaii Broadband Initiative of August 2011.

Purpose of Proposed Ceiling Increase (if applicable):
Fringe benefits
Pursuant to Finance Memorandum No. 16-12, the State's fringe benefit assessment rate for non-general fund programs increases to 60% for FY 18 and FY 19 due primarily to the projected costs for the pre-funding of other post-employment benefits. The Department requests the requested budget increase to effectively fund all authorized positions.

Variances:
Variance in revenues from FY14 to FY15 is due to the increase in franchise fees collected from cable operators from about 4.6% to the 5% limit allowed pursuant to federal law which was implemented in FY15. Variance in expenditures from FY 15 to FY 16 is due to expenses. Variance in expenditures from FY16 to FY17 and future years relate to: (1) anticipated management audits and other cable related matters using expert consulting service contracts for work related to the Legislature and to assist in anticipated large proceedings (e.g., franchise renewals and PEG3 designations), and (2) increased broadband activities required of the Department. In addition, FY17 expenditures also include FY16 encumbrances for expert services.

Report on Non-General Fund Information
for Submittal to the 2017 Legislature

Department: Commerce and Consumer Affairs
Prog ID(s): CCA-102
Name of Fund: Funds held outside the State Treasury by Time Warner
Legal Authority: Decision & Order No. 346, Section IV.A.4

Contact Name: Glen Chock
Phone: 586-2620
Fund type (MOP) Funds held outside of State Treasury

Intended Purpose:
Franchise fees over the cap amount that is paid by Oceanic Time Warner Cable, LLC (Oceanic) to Olelo are provided to DCCA for INET/Broadband purposes.

Source of Revenues:
Franchise fees (HAR 16-132) paid by cable TV operators.

Current Program Activities/Allowable Expenses:
Expenses related to expansion and upgrade of the Institutional Network (INET); and any other expenses/activities relating to broadband.

Purpose of Proposed Ceiling Increase (if applicable):
Increase ceiling to provide funds to support projects and programs to (1) strengthen and extend the State's INET for state and county government; and (2) facilitate the expansion of broadband access to unserved and underserved areas across the State through a pilot WiFi project.

Variances:
Variance in revenues each year arise due to changes in Oceanic's gross revenues, which are based on the number of customers and cable packages that customers subscribe to. The variance for FY15 expenditure reflects the payment made by the Department to DLIR for a grant to Hawaii Public Television, authorized by the 2014 Legislature as reflected in the appropriation ceiling increase for FY15. Expenditure variances in FY18 and FY19 are due to anticipated program activities to extend the State's INET for state and county government, and to expand access to broadband through the Department's pilot WiFi project in unserved and underserved areas in the State, upon Legislative approval of ceiling increase requests for FY18 and FY19.

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<th>Financial Data</th>
<th>FY 2013 (actual)</th>
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<tr>
<td>Unencumbered Cash Balance</td>
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<td>6,763,426</td>
<td>7,569,895</td>
<td>8,369,895</td>
<td>6,000,255</td>
<td>4,129,579</td>
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Additional Information:
- Amount Req. for Bond Conveyance
- Amount from Bond Proceeds
- Amount Held in CODs, Escrow
- Accounts, or Other Investments
Report on Non-General Fund Information
for Submittal to the 2017 Legislature

Department: Commerce and Consumer Affairs
Prog ID(s): CCA-103
Name of Fund: CUF-PUC Spc Fnd Allocation-Consumer Advocacy
Legal Authority: Section 269-33, HRS

Intended Purpose:
To fund the operations of the Division of Consumer Advocacy.

Source of Revenues:
Public utility fees paid to the public utilities commission pursuant to HRS §269-30, and placed in the public utilities commission special fund. Pursuant to HRS §269-33, on a quarterly basis, an amount is allocated in accordance with legislative appropriations to the DCA and deposited in the compliance resolution fund.

Current Program Activities/Allowable Expenses:
To represent, advance and protect the interests of consumers of regulated utility and transportation services. The division is a party to every proceeding before the Hawaii Public Utilities Commission. The Division participates in, among other things, reviews of utility and transportation companies' requests to increase rates, service reliability investigations, energy utility integrated resource plans, and capital improvement projects for utilities. In addition, the division strives to promote effective competition and consumer protection through contested cases and rule making proceedings regarding telecommunications and electric power infrastructure development.

Purpose of Proposed Ceiling Increase (if applicable):
N/A.

Variances:
Revenue variance: The reason for the variance in revenues is caused by new procedures, whereby monies from the PUC are reflected as transfers in the relevant quarter, as opposed to prior years where the monies were recorded in aggregate as revenues. Otherwise, there is no significant variance in revenues.

Expenditures variance: In FY2016, the major proceeding was Docket No. 2015-0022, wherein the proposed merger/acquisition involving NextEra Energy and the Hawaiian Electric Companies was being investigated. As a result of this proceeding, the Division hired various consultants to help analyze the transaction and possible resulting governance structure, if the requested relief were granted. The overall increase in spending due to 2015-0022 was offset by certain projects being put in abeyance until the merger proceeding was completed. Due to these other projects not moving forward in FY 2016 as originally expected, the Division was not required to spend as much money on consultants and other related costs in FY 2016. With the termination of 2015-0022, the proceedings that were delayed were now becoming active again.

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<tr>
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<th>FY 2019 (estimated)</th>
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<tr>
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<td>6,423,685</td>
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Transfers

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<th>FY 2015</th>
<th>FY 2016</th>
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<td>Net Total Transfers</td>
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Additional Information:
Amount Req. for Bond Conveyance
Amount from Bond Proceeds
Amount Held in GDOs, Escrow Accounts, or Other Investments

1/ Revenue projections based on Rev Est to B&M August 2016.
Report on Non-General Fund Information
for Submission to the 2017 Legislature

Department: Commerce and Consumer Affairs
Prog C(I): CCA 104, CCA-110
Name of Fund: Multi-state Mortgage Servicer Agreement Fund
Legal Authority: Multi-state Mortgage Servicer Agreement

Contact Name: Admin Services
Phone: 586-2850
Fund type (MOF): Trust Funds (1)
Appropriation Acct. No: Txx-952-R

Intended Purpose:

• Provide support of general consumer protection enforcement efforts, including but not limited to, mortgage rescue fraud, and to educate homeowners about mortgage rescue fraud scams.
• Monitor compliance with the terms of the multi-state mortgage servicer settlement agreements, supervise and regulate the mortgage loan industry, and provide consumer education.

Source of Revenues:

• Part of a grant from the Dept. of the Attorney General awarded to the DCCA out of Hawaii's share of the National Mortgage Settlement.
• Funds paid by the five mortgage servicers as required by the terms of the multi-state mortgage servicer settlement agreements.

Current Program Activities/Allowable Expenses:

• The fund permits the Office of Consumer Protection to hire additional legal, investigative and support staff to support ongoing enforcement actions, investigations and outreach programs, as well as related operating expenses.
• License, supervises and regulates mortgage loan originators, mortgage loan originator companies and mortgage servicers. Funds will be used to hire staff to conduct investigations, examine for compliance with applicable laws and rules, and to provide consumer education and outreach. Funds will also be used for related expenses including training of staff.
• Funds used to hire staff to conduct investigations, examine for compliance with applicable laws and rules, and to provide consumer education and outreach. Funds also used for related expenses including training of staff.

Purpose of Proposed Ceiling Increase (if applicable):
Not Applicable.

Variances:
Variances in revenues between various FYs due to timing of disbursements of the grant from the Dept. of the Attorney General and payments under the multi-state mortgage servicer settlement agreements. Variances in expenditures primarily due to: (1) FY14 increase due to hiring of staff for examinations and investigations, (2) FY15 increase due to replacement of computers and training of examiners, (3) FY16 decrease due to vacancies, (4) FY18 decrease because most of settlement funds will be spent through FY17, balance to be spent in FY18.

Financial Data

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<td>(actual)</td>
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<tr>
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Additional Information:
Amount Req. for Bond Conveyance
Amount from Bond Proceeds
Amount Held in CD's, Escrow Accounts, or Other Investments

Report on Non-General Fund Information for Submission to the 2017 Legislature

Department: Commerce and Consumer Affairs
Contact Name: Admin Services
Prog ID(s): CDA-104
Name of Fund: CPF - Financial Institutions
Fund type (MOF): Special Funds (B)
Legal Authority: Sections 412.2-109, 449-14, 4590-12.5, 454F-18, 454F-23,
454M-11, and 28-9(9), HRS
Appropriation Act No. 8-35, 035-8

Intended Purpose:
To allow the Commissioner to appoint examiners to examine the affairs of financial institutions, escrow depositories, money transmitters, mortgage loan originators, mortgage loan originator companies, and mortgage servicers; to appoint any necessary administrative support personnel; and to pay for any expenses incurred during examinations or necessary for the education and training of personnel and other expenses related to examinations and administrative costs as well as to support the entire program of the Division of Financial Institutions (DFI).

Source of Revenues:
Transfer of $2 million from taxes paid by banks and other financial corporations (HRS 241-7); and application, examination, licensing, and other fees and fines paid by financial institutions, escrow depositories, money transmitters, mortgage loan originators, mortgage loan originator companies, and mortgage servicers.

Current Program Activities/Allowable Expenses:
Ensures the safety and soundness of state-chartered financial institutions by fairly administering applicable statutes and rules through a program of supervision and regulation through chartering or licensure, examination, application review, off-site monitoring, investigation, and complaint handling and is also responsible for the licensing and supervision of escrow depositories, money transmitters, mortgage loan originators, mortgage loan originator companies, and mortgage servicers.

Purpose of Proposed Ceiling Increase (if applicable):
Fringe benefits
Pursuant to Finance Memorandum No. 16-12, the State's fringe benefit assessment rate for non-general fund programs increases to 60% for FY 18 and FY 19 due primarily to the projected costs for the preFunding of other post-employment benefits. The Department requests the requested budget increase to effectively fund all authorized positions.

Travel: Accordingly, the division requests that its training budget increase from $88,898 to approximately $150,000 to maintain the level of training required in order to maintain its national accreditation in banking and mortgage.

CSA: Central services assessment amount exceeds budgeted amount, impacting operations.

Variance:
FY14 revenues increased because increases in fees assessments of all entities regulated by CPF became effective in FY14. FY15 revenues increased because CFI chartered a new state bank, and FY16 expenditures increased due to personnel expenditures as Division filled vacant positions. FY17 expenditures will increase due to costs related to FRM replacement. FY17 revenue decrease due to consolidation in regulated industries.

<table>
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<td>Transfers</td>
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<td>Local, County, and Other</td>
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<td>Beginning Cash Balance</td>
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<td>Revenues Blend</td>
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<td>Expenditures</td>
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<td>Transfers</td>
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</tr>
<tr>
<td>Net Total Transfers</td>
<td>(634,650)</td>
<td>(618,761)</td>
<td>(707,081)</td>
<td>(770,978)</td>
<td>(694,369)</td>
<td>(658,657)</td>
<td>(656,594)</td>
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<tr>
<td>Ending Balances</td>
<td>5,276,725</td>
<td>6,416,485</td>
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<td>7,415,763</td>
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<td>Encumbrances</td>
<td>16,216</td>
<td>10,850</td>
<td>17,278</td>
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<tr>
<td>Unencumbered Cash Balance</td>
<td>5,260,509</td>
<td>6,402,635</td>
<td>7,843,054</td>
<td>9,450,228</td>
<td>8,265,372</td>
<td>7,415,763</td>
<td>6,580,317</td>
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</table>

Additional Information:
Amount Req. for Bond Conveyance
Amount from Bond Proceeds
Amount Held in CDOs, Escrow Accounts, or Other Investments

U/ Revenue projections based on FMR Est to B&I August 2016.
Report on Non-General Fund Information
for Submission to the 2017 Legislature

Department: Commerce and Consumer Affairs
Contact Name: Admin Services
Prog ID(s): CCA-104
Phone: 586-2850
Name of Fund: Mortgage Loan Recovery Fund
Fund type (MOF) Trust Funds (T)
Legal Authority Section 454F-41, HRS
Appropriation Acct. No. T-XX-926-R

Intended Purpose:
To allow consumers harmed by persons that violate Chapter 454F, HRS, to recover damages sustained by the fraud, misrepresentation, or deceit of such persons.

Source of Revenues:
Fees paid by mortgage loan originator companies, mortgage servicer companies that engage in mortgage loan origination, branch offices of mortgage loan originator companies, and mortgage loan originators upon initial licensure and at annual renewal.

Current Program Activities/Allowable Expenses:
Licenses and regulates mortgage loan originator companies, mortgage servicer companies that engage in mortgage loan origination, and mortgage loan originators. Mortgage Loan Recovery Fund was established to protect consumers by making it easier to recover losses caused by persons that violate Chapter 454F, HRS. Allowable expenses are the payment of claims and expenses related to the administration of the Mortgage Loan Recovery Fund.

Purpose of Proposed Ceiling increase (if applicable):
N/A

Variances:
Revenue decreased in FY16 because the Commissioner determined that the Recovery Fund has sufficient funds to pay known claims, and no fees will be assessed and collected at license renewal. Revenue decrease in FY 17 due to Commissioner using her authority to not collect fees for this fund at renewals.

Expenditure increase in FY 17 due to projecting spending to ceiling. FY 18 decrease due to non-recurring item.

<table>
<thead>
<tr>
<th>Financial Data</th>
<th>FY 2013 (actual)</th>
<th>FY 2014 (actual)</th>
<th>FY 2015 (actual)</th>
<th>FY 2016 (actual)</th>
<th>FY 2017 (estimated)</th>
<th>FY 2018 (estimated)</th>
<th>FY 2019 (estimated)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Appropriation Ceiling</td>
<td>110,000</td>
<td>110,000</td>
<td>220,000</td>
<td>220,000</td>
<td>220,000</td>
<td>110,000</td>
<td>110,000</td>
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<tr>
<td>Beginning Cash Balance</td>
<td>493,750</td>
<td>803,115</td>
<td>1,124,965</td>
<td>1,420,665</td>
<td>1,678,165</td>
<td>1,492,515</td>
<td>1,442,515</td>
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<tr>
<td>Revenues 1/</td>
<td>309,365</td>
<td>321,850</td>
<td>304,700</td>
<td>148,500</td>
<td>194,350</td>
<td>90,000</td>
<td>90,000</td>
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<tr>
<td>Expenditures</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>220,000</td>
<td>110,000</td>
<td>110,000</td>
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<tr>
<td>Transfers</td>
<td></td>
<td></td>
<td></td>
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</tr>
</tbody>
</table>

Net Total Transfers: 0

Ending Cash Balance: 803,115

Encumbrances:

Unencumbered Cash Balance: 803,115

Additional Information:

Amount Req. for Bond Conveyance:

Amount from Bond Proceeds:

Amount Held in CODs, Escrow:

Accounts, or Other Investments:

Report on Non-General Fund Information
for Submission to the 2017 Legislature

Department: Commerce and Consumer Affairs
Prog Id#: CCA 105
Name of Fund: Compliance Resolution Fund - PVL
Legal Authority: Section 26-5, HRS
Contact Name: Admin. Services
Phone: 586-2830
Fund Type: (MOF) Special Funds (9)
Appropriation Acct No: 8-XX-305-R

Intended Purpose:
To fund the operations of the Professional and Vocational Licensing Division

Source of Revenues:
Application, license, and renewal fees.

Current Program Activities/Allowable Expenses:
For 49 regulated areas - process applications for licenses, examine applicants, license, renew, update licensees files, provide information and guidance to the public, applicants and licensees regarding regulatory areas orally and in writing, assist with or adopt or amend rules, propose and respond to legislative measures, liaison between 25 regulatory boards and CCA, conduct public meetings, public hearings, produce minutes, facilitate decision-making by the boards in ordering disciplinary action against a licensee and granting, denying or otherwise conditioning license applications, network with outside entities for coordinated activities and keeping abreast of current trends, network with other State agencies for compliance (legislative auditor, ethics commission, procurement office).

Purpose of Proposed Ceiling Increase (If applicable): Fringe benefits; Pursuant to Finance Memorandum No. 16-12, the State’s fringe benefit assessment rate for non-general fund programs increases to 60% for FY 18 and FY 19 due primarily to the projected costs for the pre-funding or other post-employment benefits. The Department requires the requested budget increase to effectively fund all authorized positions.

CSA: Central services assessment is based on a percentage of collected revenue, which continues to increase. As such, an increase in the ceiling is needed for the increased assessment.

1 temp position - MDOR Trade-off one position count from CCA-101 to CCA-105.
Due to the increased workload in PVL’s Records Section of the Licensing Branch, we are requesting to have the Office Assistant position transferred to ensure the continued efficiency and timeliness of the operations of 9-305. In addition to the increasing number of license types and licensees, staff have been tasked to review and process, in addition to their current workloads, new licensing requirements as mandated by the State Legislature.

4 permanent positions: Due to the increased workload in PVL’s Licensing Branch, we are requesting to establish funding for four positions (2 Office Assistant VIs and 2 Office Assistant IIs). The positions are essential to ensure the continued efficiency and timeliness of the operations of 9-305. In addition to new licensing types continually being added for processing by staff, the Office Assistants, in addition to their current workloads, are also being tasked to review and process criminal history record checks and continuing education requirements.

Variances:
Renewal Fees are collected on a biennial basis resulting in variances between FYs

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<td>(estimated)</td>
<td>(estimated)</td>
<td>(estimated)</td>
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<tr>
<td>Appropriation Ceiling</td>
<td>5,847,901</td>
<td>8,050,486</td>
<td>6,003,686</td>
<td>5,347,895</td>
<td>5,482,133</td>
<td>7,856,895</td>
<td>7,183,623</td>
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<tr>
<td>Beginning Cash Balance</td>
<td>5,965,705</td>
<td>4,895,473</td>
<td>5,581,187</td>
<td>4,638,114</td>
<td>5,467,749</td>
<td>4,768,978</td>
<td>4,283,093</td>
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<tr>
<td>Revenues</td>
<td>5,252,976</td>
<td>6,792,344</td>
<td>6,033,096</td>
<td>7,173,872</td>
<td>7,641,233</td>
<td>7,567,300</td>
<td>5,770,030</td>
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</tr>
<tr>
<td>Expenditures</td>
<td>4,836,720</td>
<td>4,936,630</td>
<td>5,063,927</td>
<td>5,080,051</td>
<td>5,494,103</td>
<td>7,085,895</td>
<td>7,183,623</td>
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</tr>
</tbody>
</table>

Additional Information:
Amount Req. for Bond Conveyance
Amount from Bond Proceeds
Amount Held in CD, ESI, Escrow Accounts, or Other Investments

1/ Revenue projections based Per Est to BFS August 2016 and reflect Section 92-20 temporary fee increases. 

Form 37-47 (rev. 9/27/16)
Report on Non-General Fund Information
for Submittal to the 2017 Legislature

Department: Commerce and Consumer Affairs
Prog ID(s): CCA-105
Name of Fund: Compliance Resolution Fund
Legal Authority: Act 199, SLH 2015

Contact Name: Admin. Services
Phone: 586-2830
Fund type (MOF): Special Funds (B)
Appropriation Acct. No: S-XX-363-R

Intended Purpose: For the Implementation of the Behavior Analyst Program

Source of Revenues: Collection of a $50 assessment fee upon registration and renewal of behavior analyst.

Current Program Activities/Allowable Expenses: Process applications for registration, renewal and maintenance of registrants and inquiries to the general public.

Purpose of Proposed Ceiling Adjustment (if applicable):

Variances: Renewals are on a biennial basis resulting in variances between FYs. Specific appropriation for FY 16 and 17.

<table>
<thead>
<tr>
<th>Financial Data</th>
<th>FY 2013 (actual)</th>
<th>FY 2014 (actual)</th>
<th>FY 2015 (actual)</th>
<th>FY 2016 (actual)</th>
<th>FY 2017 (estimated)</th>
<th>FY 2018 (estimated)</th>
<th>FY 2019 (estimated)</th>
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</thead>
<tbody>
<tr>
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<td>40,000</td>
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<td>Net Total Transfers</td>
<td>0</td>
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</tr>
<tr>
<td>Ending Cash Balance</td>
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<td>0</td>
<td>1,980</td>
<td>480</td>
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<tr>
<td>Encumbrances</td>
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</tr>
<tr>
<td>Unencumbered Cash Balance</td>
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<td>0</td>
<td>1,980</td>
<td>480</td>
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Additional Information:
Amount Req. by Bond Covenants
Amount from Bond Proceeds
Amount Held in CODs, Escrow Accounts, or Other Investments

Form 37-47 (rev. 9/27/16)
Report on Non-General Fund Information
for Submittal to the 2017 Legislature

Department: Commerce and Consumer Affairs
Prog ID(s): CCA-105
Name of Fund: Real Estate Recovery Fund
Legal Authority: Sections 467-16-19, 21-24, HRS

Contact Name: Admin. Services
Phone: 586-2830
Fund type (MOP): Trust Funds (T)
Appropriation Acct. No. T-XX-904-R

Intended Purpose:
As stated in §467-16(a), HRS, the Real Estate Recovery Trust Fund is intended to provide recovery to persons "aggrieved by an act, representation, transaction, or conduct of a duly licensed real estate broker, or real estate salesperson, upon the grounds of fraud, misrepresentation, or deceit". The statute establishes limits of $25,000 per transaction and $550,000 per licensee.

Source of Revenues:
Original real estate license fees.

Current Program Activities/Allowable Expenses:
See attached.

Purpose of Proposed Ceiling Increase (if applicable):
Fringe benefits
Pursuant to Finance Memorandum No. 16-12, the State's fringe benefit assessment rate for non-general fund programs increases to 60% for FY 18 and FY 19 due primarily to the projected costs for the prefunding of other post-employment benefits. The Department requires the requested budget increase to effectively fund all authorized positions.

Variances:
FY2016 expenditure variance due to decrease in legal fees related to claims against the real estate recovery fund. FY2017, 2018, 2019 expenditure variances based on projection to maximum spending. Revenue variance for FY 2017 based on estimate before fee increases enacted.

<table>
<thead>
<tr>
<th>Financial Data</th>
<th>FY 2013 (actual)</th>
<th>FY 2014 (actual)</th>
<th>FY 2015 (actual)</th>
<th>FY 2016 (actual)</th>
<th>FY 2017 (estimated)</th>
<th>FY 2018 (estimated)</th>
<th>FY 2019 (estimated)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Appropriation Ceiling</td>
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<td>502,310</td>
<td>502,310</td>
<td>503,870</td>
<td>504,892</td>
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<td>718,442</td>
<td>700,568</td>
<td>710,776</td>
<td>740,077</td>
<td>285,485</td>
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</tr>
<tr>
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<td>64,918</td>
<td>73,590</td>
<td>79,402</td>
<td>50,000</td>
<td>50,000</td>
<td>50,000</td>
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<td>82,792</td>
<td>63,362</td>
<td>50,101</td>
<td>504,992</td>
<td>335,485</td>
<td>50,000</td>
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<tr>
<td>List each by JV# and date</td>
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<tr>
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</tr>
<tr>
<td>Ending Cash Balance</td>
<td>718,442</td>
<td>700,568</td>
<td>710,776</td>
<td>740,077</td>
<td>285,485</td>
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<tr>
<td>Encumbrances</td>
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<td></td>
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</tr>
<tr>
<td>Uncumbered Cash Balance</td>
<td>718,442</td>
<td>700,568</td>
<td>710,776</td>
<td>740,077</td>
<td>285,485</td>
<td>0</td>
<td>0</td>
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</table>

Additional Information:
Amount Req. for Bond Conveyance
Amount from Bond Proceeds
Amount Held in CODs, Escrow Accounts, or Other Investments

Form 37-47 (rev. 9/27/16)
Current Program Activities/Allowable Expenses:

- Defend and administer claims through contracted attorneys who represent the Commission in actions for claims, including administering contracts and payment for services.
- Provide information, advice, and referral on all inquiries concerning the Real Estate Recovery Trust Fund and claims.
- Receive, process, and act on complaint notices, court filed motions, subpoenas, settlement claims, and court ordered claims including record keeping and monitoring the complaints through the courts.
- Arrange and assist in presentation of settlement claims, court ordered claims, and other issues to the Commission at its monthly scheduled meetings or emergency meetings.
- Administer budget, including development and approval of biennium budget, record keeping, any CPA audit, investment of funds, development of statistical and other periodic reports to licensees, Budget and Finance, Governor, and the Legislature.
- Study and develop case summaries for educational purposes.
- Initiate and develop collection program, continue to administer the State Tax Intercept Program with the Department of Taxation and DAGS.
- Research, develop, print, and distribute a simple plain language brochure for claimants.
- Provide funding for clerical position, who services the program.
Department: Commerce and Consumer Affairs
Prog ID(s): CCA-105
Name of Fund: Real Estate Education Fund
Legal Authority: Sections 467-11-19, HRS

Intended Purpose:
See attached.

Source of Revenues:
Original licensing and biennial renewals fees. Registration of schools, providers, courses and instructors. Interest due from the real estate recovery fund.

Current Program Activities/Allowable Expenses:
See Attached

Purpose of Proposed Ceiling Increase (if applicable):
Fringe benefits
Pursuant to Finance Memorandum No. 16-12, the State's fringe benefit assessment rate for non-general fund programs increases to 60% for FY 18 and FY 19 due primarily to the projected costs for the prefunding of other post-employment benefits. The Department requires the requested budget increase to effectively fund all authorized positions.

Real estate Specialist--Due to the increased work complexity and expanding of the program's responsibilities, approval for the creation of a Real Estate Program Specialist to provide support for the educational activities is necessary.

Variance:
FY revenue variances between odd and even years based on renewal vs non-renewal. FY2016 expenditure variance based on decrease in personnel costs and the cost of the Commission's Continuing Education Core Course. FY16 - 17 variances actual vs estimated.

<table>
<thead>
<tr>
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</tr>
</thead>
<tbody>
<tr>
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<td>830,810</td>
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<td>754,352</td>
<td>394,194</td>
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<td>8,194</td>
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<td>772,181</td>
<td>90,264</td>
<td>817,000</td>
<td>77,000</td>
<td>923,000</td>
</tr>
<tr>
<td>Expenditures</td>
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<td>493,092</td>
<td>505,518</td>
<td>450,422</td>
<td>640,000</td>
<td>640,000</td>
<td>640,000</td>
</tr>
</tbody>
</table>

Transfers
List each by JV# and date

Net Total Transfers: 0

Ending Cash Balance: 902,791

Encumbrances: 113,261

Unencumbered Cash Balance: 789,530

Additional Information:
Amount Req. for Bond Conveyance
Amount from Bond Proceeds
Amount Held in CDOs, Escrow Accounts, or Other Investments
Report on Non-General Fund Information
for Submittal to the 2017 Legislature

DCCA Non-General Fund Information - Real Estate Education Fund
Page 2

Intended Purpose:
As stated in HRS 697-19(b), ‘the provision of education and research in the field of real estate for the benefit of the public and those licensed under the provisions of this chapter and the improvement and more efficient administration of the real estate industry.’

Current Program Activities/Allowable Expenses:
Funding of Exempt Positions
• Provide funding for Real Estate Specialists and clerical positions, who administer the programs below.
Information, Advice and Referral
• Respond to inquiries from the public, consumers, real estate licensees, government officials, attorneys, educators, and others via telephone, office walk-ins, written inquiries and applications, and website, providing information, advice and referral.
• Administer real estate website.
• Administer and provide information as required under the Uniform Information Practices Act.
• Administer and maintain a public information self-help area in the office for walk-in traffic, which includes public information documents, educational materials, and reference materials for public review.
• Arrange and conduct Real Estate Specialists of the Day at neighbor island sites.

Educational and Informational Materials
• Research, develop, publish and distribute the quarterly real estate bulletin to all real estate licensees, government officials, State Libraries, and others in related areas.
• Printing and distribution of Chapter 467, HRS, as amended to all principal brokers and brokers-in-charge.
• School Files, a quarterly bulletin to real estate prelicense schools, prelicense and continuing education instructors and continuing education providers which provides current information on instruction, education, curriculum, testing, application fees and procedures.
• Various publications and informational sheets for consumers and real estate licensees.
• Research, develop and submit articles for the media.
• Research and report on alternative delivery of educational materials.
• Develop and maintain website on the Internet for dissemination of information, publications, forms, agendas, etc. to licensees and the general public.
• Distribute new salesperson and broker start-up kits, consisting of information and educational materials.

Administer Education Review Committee, Laws and Rules Review Committee and Real Estate Commission
• Hold monthly meetings for the two standing committees and the Commission with some meetings at neighbor island sites.
• Administration of the committee meetings, including agenda, distribution materials, room and equipment arrangements, oral testimony, minutes, committee reports, post-meeting responsibilities, etc.
• Conduct and administer periodic symposiums.
• Administration of Education Evaluation Task Force Subcommittee.

Research, develop or update curriculum and instructional materials for courses and administer courses
• Continuing education core course.
• Prelicensing real estate broker course.
• Prelicensing real estate salesperson course.

Research, develop and conduct seminars, workshops and meetings
• Instructor development workshops, course briefings and other meetings for real estate educators.
• Real estate seminars for real estate licensees.
Report on Non-General Fund Information for Submittal to the 2017 Legislature

Department: Commerce and Consumer Affairs
Prog ID(s): CCA-105
Name of Fund: Condominium Education Trust Fund
Legal Authority Sections 514A-40( c), 514-A-95.1, 514-B-71,72,73 HRS

Contact Name: Admin. Services
Phone: 588-2830
Fund type (MOF) Trust Funds (T)
Appropriation Acct. No. 7-XX-906-R

Intended Purpose:
See attached.

Source of Revenues:
Developers’ final public report fees, association of unit owners registration and biennial re-registration fees.

Current Program Activities/Allowable Expenses:
See attached.

Purpose of Proposed Ceiling Increase (if applicable):
CETF specialist--Due to the increased work complexity and expanding of the program's responsibilities, approval for the creation of a Condominium Specialist position to provide support for the educational activities is necessary.

Variance:
Revenue variances - Renewal fees are on a biennial basis resulting in variances between FYs.

<table>
<thead>
<tr>
<th>Financial Data</th>
<th>FY 2013 (actual)</th>
<th>FY 2014 (actual)</th>
<th>FY 2015 (actual)</th>
<th>FY 2016 (actual)</th>
<th>FY 2017 (estimated)</th>
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<th>FY 2019 (estimated)</th>
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<td>869,968</td>
<td>785,062</td>
<td>1,889,658</td>
<td>1,634,488</td>
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Additional Information:

Amount Req. for Bond Conveyance
Amount from Bond Proceeds
Amount Held in CODs, Escrow Accounts, or Other Investments

DCCA Non-General Fund Information - Condominium Education Trust Fund

Page 2

Intended Purpose:
514B-71, HRS, the Condominium Education Trust Fund is intended to finance or promote: "(1) Education and research in the field of condominium management,

Current Program Activities/Allowable Expenses:

Funding of Exempt Positions
- Provide funding for Condominium Specialists and clerical positions, who service the programs below.

Information, Advice and Referral
- Respond to inquiries from the public, consumers, condominium owners, board of directors, condominium managing agents, real estate licensees, attorneys,
- Administer condominium website.
- Administer condominium reference library program through State Libraries, other venues and in-house, providing publications and information to condominium owners and the public.
- Administer and provide information, as required under the Uniform Information Practices Act.
- Administer and maintain a public information self-help area in the office for walk-in traffic, which includes public information documents, educational materials and reference materials for public review.
- Arrange and conduct Condominium Specialists of the Day at various neighbor island sites.
- Study the feasibility of finding other means of providing access to condominium public information through computer discs or compact discs, State Libraries, website, etc.
- Coordinate educational sessions regarding §§514A and 514B and updates.

Educational Research and Informational Materials
- Research, develop, publish and distribute quarterly condominium bulletin to registered condominium associations and condominium managing agents, government officials, State Libraries and others in related areas.
- Research, develop, publish and distribute stand-alone chapters (brochures) for the Condominium Board of Directors Guide to registered condominium associations, condominium managing agents, government officials, State Libraries and others in related areas.
- Print and distribute information and educational materials including start-up kits to new condominium associations and new condominium managing agents.
- Research, develop and submit various articles for media publication.
- Develop and maintain website on the Internet for dissemination of information, forms, publications, etc. for developers, associations, CMA's, condominium owners, and other interested parties.
- Print and distribute amended Chapters 514A and 514B to all registered condominium associations and condominium managing agents.
- Update, print and distribute updated Condominium Board of Directors series.
- Continue with the recodification of the condominium law educational efforts.

Rulemaking
- Research, develop and initiate Chapter 107, HAR rulemaking for Chapters 514A and 514B, HRS, including public workshops with those affected.
- Research, present, and receive recommendations for amendments to Chapter 107, HAR, and discuss and receive comments at the monthly Condominium Review Committee meetings with the condominium community.
- Research, study, and make recommendations concerning fees for Chapter 53 HAR, and assist the Professional and Vocational Licensing Division in the rulemaking process.
Mediation of Governance and Management Problems
- Administer contracts and provide funding for alternative dispute resolution through mediation, through the procured mediation providers for all islands.
- Secure mediation information and develop report to the Legislature and Governor.
- Continue to seek other mediation service vendors.
- Coordinate and administer joint complaint/mediation program with the Regulated Industries Complaints Office including funding of mediations.
- Research, development, publication, and distribution of brochure on dispute resolution alternatives.
- Where requested by the Office of Administrative Hearing, support the Condominium Dispute Resolution Program which is to be sunsetted June 30, 2009.

Arbitration of Condominium Problems
- Administer program through American Arbitration Association and other arbitration organizations.

Condominium Project Registration and Public Reports
- Administer registration of new condominium projects, review of documents, owner-occupants reservation procedures, and public reports, including records management.
- Administer consultant contracts and the review of project documents and public reports.
- Administer public review of condominium project documents and public reports, including requests for copies.
- Conduct periodic meetings and workshops with the condominium consultants, developers and attorneys.

Administer Condominium Review Committee
- Administer and conduct monthly meetings of the Condominium Review Committee, standing committee of the Commission, including meetings at various neighbor island sites.
- Administration includes agenda, distribution of materials, room and equipment arrangements, receipt of testimony, minutes, Committee Reports, post-meeting responsibilities.
- Conduct and administer periodic educational symposiums.

Administer Seminars, Workshops and Meetings
- Research, develop, procure, contract and conduct condominium seminars, workshops and special meetings with those in the condominium community.
- Administer seminar subsidy program, including contract administration.

Interactive Educational and Research Participation
- Provide Educational speakers to organizations, government entities and others.
- Participate, exchange and network with local, state, national and international organizations and other governmental entities.
- Provide briefings to Legislators, testify on legislative bills and participate in other legislative matters.
- Research and report to the Legislature annually on condominium programs, budget and mediation programs.
- Research, coordinate, and implement Recodification Plan for Chapter 614A, HRS.

Administration of Condominium Association, Condominium Managing Agent Registrations, and Condominium Hotel Operators
- Administer registration and biennial re-registration of condominium associations, condominium managing agents and condominium hotel operators, including applications, review/approval process and records management.
- Conduct periodic workshops and meetings with registrants.

Administration of Budget and Biennial Plans
- Development and approval of the Condominium Education Trust Fund budget.
- Administration of budget, investment of funds and any CPA audits.
- Research, development and submission of information and reports required by the Department, Budget and Finance, Governor and the Legislature.
- Research, development, approval and administration of the Biennial Education and Research Plan.
Intended Purpose:
Provide fund from which a person injured by an act, representation, transaction, or conduct of a duly licensed contractor may recover by an order of the court, an amount of not more than $12,500 per contract and $25,000 per contractor.

Source of Revenues:
All new contracting entity licensees (firms/sole proprietors) shall pay $150 into the fund upon initial licensure and $10 upon each license renewal. At any time the fund balance falls below $250,000 the Contractors License Board may assess every contractor a fee not to exceed $500 annually for deposit into the fund.

Current Program Activities/Allowable Expenses:
Allowable expenses include payments to eligible consumers who have obtained an arbitrated award or court judgment against a contractor, and payment of attorney - consultant fees.

Purpose of Proposed Ceiling Increase (if applicable):
Not applicable.

Variances:
Revenue variances - Renewal fees are on a biennial basis resulting in variances between FYs. Expenditure variances - Dependent upon the amount of claims paid.

<table>
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<tr>
<th>Financial Data</th>
<th>FY 2013 (actual)</th>
<th>FY 2014 (actual)</th>
<th>FY 2015 (actual)</th>
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<th>FY 2018 (estimated)</th>
<th>FY 2019 (estimated)</th>
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Additional Information:
Amount Req. for Bond Conveyance
Amount from Bond Proceeds
Amount Held in CDIs, Escrow Accounts, or Other Investments

Report on Non-General Fund Information
for Submittal to the 2017 Legislature

Department: Commerce and Consumer Affairs
Program ID(s): CCA-105
Legal Authority: Section 444-29, HRS
Intended Purpose:
To be used for consumers, licensees, Contractors License Board members and staff; to be used for publications, media exposure, participation in national association meetings, classes and other educational purpose the Board deems necessary.

Contact Name: Admin. Services
Phone: 986-2830
Name of Fund: Contractors' Education Fund
Fund Type (MOP): Trust Funds (T)
Appropriation Acct. No. T-XX-909-R

Source of Revenues:
The interest from the investments for the contractors’ recovery fund shall be deposited to the credit of the contractors’ education fund. In addition, all new contracting entity licensees (firms/sole proprietors) shall pay $10 into the fund upon initial licensure and $5 upon each license renewal.

Current Program Activities/Allowable Expenses:
Funded activities include: National Association dues; attendance by Executive Officer and Board members at national association meetings; registration fees for attendance at national meetings, travel expense for neighbor island Board members to attend special Board meetings on Oahu; publication of educational materials; and overtime pay for clerical staff as needed.

Purpose of Proposed Ceiling Increase (if applicable):
Not Applicable

Variances:
Revenue variances - Renewal fees are on a biennial basis resulting in variances between FYs. Expenditure variances - Dependent upon participation at national association meetings, special meetings requiring travel for neighbor island board members and publication of educational materials.

<table>
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<th>Financial Data</th>
<th>FY 2013 (actual)</th>
<th>FY 2014 (actual)</th>
<th>FY 2015 (actual)</th>
<th>FY 2016 (actual)</th>
<th>FY 2017 (estimated)</th>
<th>FY 2018 (estimated)</th>
<th>FY 2019 (estimated)</th>
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<td>462,158</td>
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<td>510,083</td>
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<tr>
<td>List each by JV# and date</td>
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<tr>
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<td>510,083</td>
<td>578,115</td>
<td>614,147</td>
<td>682,179</td>
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</table>

Additional Information:

Amount Req. for Bond Conveyance
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Amount Held in CODs, Escrow Accounts, or Other Investments

/1 Revenue Projections based on Rev Est to B&F August 2016.
Report on Non-General Fund Information
for Submittal to the 2017 Legislature

Department: Commerce and Consumer Affairs
Prog ID(s): CCA-105
Name of Fund: Real Estate Appraisers
Legal Authority: Chapter 468K, HRS; Title 16, Chapter 114, HAR

Contact Name: Admin. Services
Phone: 586-2830
Fund type (MOF) Trust Funds (T)
Appropriation Acct. No. T-XX-918-R

Intended Purpose:
See attached.

Source of Revenues:
The Federal Financial Institutions Examination Council ("FFIEC") mandates that each state collect a $40 annual fee from each licensed and certified real estate appraiser to maintain the federal national registry. Appraisers must be on the national registry to perform appraisals in connection with federally related real estate transactions.

Current Program Activities/Allowable Expenses:
See attached.

Purpose of Proposed Ceiling Increase (if applicable):
Not Applicable

Variance:
The fees collected for the national registry are collected every other year at renewal thus explaining the large variance every other year.

<table>
<thead>
<tr>
<th>Financial Data</th>
<th>FY 2013 (actual)</th>
<th>FY 2014 (actual)</th>
<th>FY 2015 (actual)</th>
<th>FY 2016 (actual)</th>
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Transfers
List each by JV# and date

Not Total Transfer
0  0  0

Ending Cash Balance
5,330  6,030  5,330  5,250  0  0  0

Encumbrances
0  0

Unencumbered Cash Balance
5,330  6,030  5,330  5,250  0  0  0

Additional Information:
Amount Req. for Bond Conveyance
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Intended Purpose:
The Legislature finds that the regulation of real estate appraisers is reasonably necessary to protect consumers. The Legislature further finds that 12 United States Code §3301 et seq. requires that real estate appraisals utilized in connection with federally related transactions be performed by individuals who are licensed or certified appraisers. The purposes of this chapter (468K, HRS) are to implement the requirements of 12 United States Code Sec §3301 et seq. and to require that all real estate appraisals be performed by licensed or certified appraisers. The requirements of this chapter do not apply to any real estate appraiser employed by any county for purposes of valuing real property for ad valorem taxation.

Current Program Activities/Allowable Expenses:
In addition to any other powers and duties authorized by law, the director shall have the following powers and duties:

1. To grant permission to practice as a certified real estate appraiser in this State pursuant to this chapter and 12 United States Code §3301 et seq. and the rules and regulations adopted pursuant thereto;
2. To adopt, amend, or repeal rules as the director finds necessary to effectuate fully this chapter and 12 United States Code §3301 et seq.;
3. To enforce this chapter and 12 United States Code §3301 et seq. and rules and regulations adopted pursuant thereto;
4. To discipline a certified real estate appraiser for any cause prescribed by this chapter or 12 United States Code §3301 et seq. for any violation of the rules and regulations and refuse to grant a person permission to practice as a certified real estate appraiser for any cause that would be grounds for disciplining a certified real estate appraiser;
5. To act as the designated representative of this State to implement 12 United States Code §3301 et seq.; and
6. To appoint an advisory committee to assist with the implementation of this chapter and 12 United States Code §3301 et seq. and the rules and regulations adopted pursuant thereto.
Intended Purpose:
To enhance the current capacity to review and, to extent permitted by state law, approve or deny rate increases in the individual and group markets.

Source of Revenues:
$1.0 million Federal Grant - Department of Health & Human Services; Grant period 8/9/10 to 9/30/12.

Current Program Activities/Allowable Expenses:
Grant has expired. A level II grant is being utilized for a similar purpose.

Purpose of Proposed Ceiling Increase (if applicable):
Not Applicable

Variances:
Variance due to Federal Grant expiring during FY 2012.

<table>
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<th>FY 2014 (actual)</th>
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</table>

Additional Information:
Amount Req. for Bond Conveyance
Amount from Bond Proceeds
Amount Held in CODs, Escrow Accounts, or Other Investments
Report on Non-General Fund Information
for Submittal to the 2017 Legislature

Department: Commerce and Consumer Affairs
Prog ID(s): CCA-106
Name of Fund: State Planning & Establishment Grants for the Affordable Care Act’s Exchanges
Legal Authority: Non-appropriated; CFDA: 93.525; Section 1311 of the Affordable Care Act

Contact Name: Jerry Bump
Phone: 586-0985
Fund type (MOF) Federal Funds (N)
Appropriation Acct. No. S-XX-204-R

Intended Purpose:
To research whether an exchange is needed and whether an exchange is feasible given the State's information technology structure.

Source of Revenues:
$1.0 million Federal Grant - Department of Health & Human Services; Grant period 9/30/10 to 9/29/13

Current Program Activities/Allowable Expenses:
Research being conducted regarding the implementation of the Patient Protection and Affordable Care Act.

Purpose of Proposed Ceiling Increase (if applicable):
Not Applicable

Variance:
FY13-FY14 and FY14-FY15 variances due to grant funds expiring.

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<td>Net Total Transfers</td>
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<td>Encumbrances</td>
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Additional Information:
Amount Req. for Bond Conveyance
Amount from Bond Proceeds
Amount Held in CODs, Escrow Accounts, or Other Investments
Report on Non-General Fund Information
for Submittal to the 2017 Legislature

Department: Commerce and Consumer Affairs
Prog ID(s): CCA-106
Name of Fund: Grants to States for Health Insurance Premium Review Cycle II
Legal Authority: Non-appropriated; CFDA: 93.511; Section 1003 of the Affordable Care Act
Contact Name: Jerry Bump
Phone: 586-0985
Fund type (MOF) Federal Funds (P)
Appropriation Acct. No. S-XX-205-R

Intended Purpose:
To enhance the current capacity to review and, to extent permitted by state law, approve or deny rate increases in the individual and group markets.

Source of Revenues:
$3.0 million Federal Grant - Department of Health & Human Services; Grant period 10/1/11 to 9/30/17

Current Program Activities/Allowable Expenses:
Modification to electronic rate filing system. Hiring of additional rate analysts.

Purpose of Proposed Ceiling Increase (if applicable):
Not Applicable

Variances:
Variances related to the timing in hiring additional rate analysts and finding appropriate vendors for modifying electronic rate filing system.

<table>
<thead>
<tr>
<th>Financial Data</th>
<th>FY 2013 (actual)</th>
<th>FY 2014 1/ (actual)</th>
<th>FY 2015 (actual)</th>
<th>FY 2016 (actual)</th>
<th>FY 2017 (estimated)</th>
<th>FY 2018 (estimated)</th>
<th>FY 2019 (estimated)</th>
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Transfers
List each by JV# and date

| Net Total Transfers            | 0                | 0                   | 0                | 0                | 0                   | 0                   | 0                   |
| Ending Cash Balance            | 65,254           | 15,998              | 7,042            | 0                | 0                   | 0                   | 0                   |
| Encumbrances                   | 64,062           | 64,062              |                  |                  |                     |                     |                     |
| Unencumbered Cash Balance      | 1,192            | (48,064)            | 7,042            | 0                | 0                   | 0                   | 0                   |

Additional information:
Amount Req. for Bond Conveyance
Amount from Bond Proceeds
Amount Held in CODs, Escrow Accounts, or Other Investments

1/ Governor approved expenditure ceiling increase of $1,747,698.03 on 9-19-14.
Report on Non-General Fund Information
for Submittal to the 2017 Legislature

Department: Commerce and Consumer Affairs
Prog ID(s): CCA-106
Name of Fund: Cooperative Agreements to Support Establishment of State-Operated Health Insurance Exchanges
Legal Authority: Non-appropriated; CFDA: 93.525; Section 1311 of the Affordable Care Act

Intended Purpose:

Source of Revenues:

Current Program Activities/Allowable Expenses:
Working to establish a centralized website to allow individuals and small businesses to shop for health insurance.

Purpose of Proposed Ceiling Increase (if applicable):
Not applicable

Variance:
FY13-14 variance due to grant funds expiring.

Financial Data

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Additional Information:

Amount Req. for Bond Conveyance
Amount from Bond Proceeds
Amount Held in CODs, Escrow Accounts, or Other Investments

Form 37-47 (rev. 9/27/16)
Report on Non-General Fund Information
for Submittal to the 2017 Legislature

Department: Commerce and Consumer Affairs
Prog ID(s): CCA-106
Name of Fund: Cooperative Agreements to Support Establishment of State-Operated Health Insurance Exchanges
Legal Authority: Non-appropriated; CFDA: 93.525; Section 1311 of the Affordable Care Act

Contact Name: Jerry Bump
Phone: 808-586-0985
Fund type (MOF): Federal Funds (N)
Appropriation Acct. No. S-XX-207-R

Intended Purpose:

Source of Revenues:
Sub-awardee from Hawaii Health Connector Federal Grant.

Current Program Activities/Allowable Expenses:
Working to establish a centralized website to allow individuals and small businesses to shop for health insurance.

Purpose of Proposed Ceiling Increase (if applicable):
Not applicable

Variances:
FY13-F14 variance due to funds not received until near the end of FY13, and FY14 represents a full year. FY14-FY15 variance due to grant funds expiring.

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<th>FY 2016 (actual)</th>
<th>FY 2017 (estimated)</th>
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<td>List each by JV# and date</td>
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Additional Information:
Amount Req. for Bond Conveyance
Amount from Bond Proceeds
Amount Held in CDOs, Escrow Accounts, or Other Investments
Report on Non-General Fund Information
for Submittal to the 2017 Legislature

Department: Commerce and Consumer Affairs
Prog ID(s): CCA-106
Name of Fund: Driver Education Fund
Legal Authority: Section 431:10C-115, HRS; Section 431:10G-107, HRS

Contact Name: Admin. Services
Phone: 586-2830
Fund type (MOF) Special Funds (B)
Appropriation Acct. No. S-XX-309-R

Intended Purpose:
Provide drivers training and education.

Source of Revenues:
An annual fee paid by insurers and self-insurers for each vehicle, motorcycle and motor scooter insured.

Current Program Activities/Allowable Expenses:
All collected revenues disbursed to the Judiciary, Department of Education (DOE), and Department of Transportation (DOT). Judiciary’s funds are expended for the operation of the drivers’ education program. DOE’s funds support drivers’ education for high school students. The DOT uses its funds for the operation of a drivers’ education program for operators of motorcycles, motor scooters or similar vehicles.

Purpose of Proposed Ceiling Increase (if applicable):
Increase ceiling for funds transfer
This request consists of increasing the Special Fund ceiling by $500,000 for the Drivers Education Fund. Fees collected and deposited into the Drivers Education Fund are transferred to the Dept. of Education, Dept. of Transportation, and the Judiciary. In recent years the fees collected have exceeded the base allocation amount available for transfer to the various departments and this is projected to continue into future years. In FY15 and FY16, fees collected were $3.11 million and $3.22 million, respectively. As such, we request to increase the amount available for transfer our of the Drivers Education Fund to $3.6 million in total.

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<td>List each by JV# and date</td>
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<td>(2,900,000)</td>
<td>(3,100,000)</td>
<td>(3,100,000)</td>
<td>(3,600,000)</td>
<td>(3,600,000)</td>
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<tr>
<td>Ending Cash Balance</td>
<td>150,147</td>
<td>227,292</td>
<td>433,919</td>
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<tr>
<td>Unencumbered Cash Balance</td>
<td>150,147</td>
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<td>433,919</td>
<td>548,952</td>
<td>753,952</td>
<td>558,952</td>
<td>463,952</td>
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</tbody>
</table>

Additional Information:

| Amount Req. for Bond Conveyance |          |          |          |          |          |          |          |
| Amount from Bond Proceeds       |          |          |          |          |          |          |          |
| Amount Held in CDOs, Escrow Accounts, or Other Investments |          |          |          |          |          |          |          |
**Report on Non-General Fund Information**
for Submittal to the 2017 Legislature

**Department:** Commerce and Consumer Affairs
**Contact Name:** Admin Services

**Prog ID(s):** CCA-106
**Phone:** 586-2830

**Name of Fund:** Compliance Resolution Fund - Insurance Regulation Fund
**Fund type (MOF):** Special Funds (B)
**Legal Authority:** Sections 481-2-215 & 481-2-216, HRS
**Special Acct. No.:** S-XX-312-R

**Intended Purpose:**
The fund permits the Insurance Division to become self-sufficient and eliminates reliance on general funds and revolving funds administered by the Division.

**Source of Revenues:**
Fees, fines, penalties, assessments, and reimbursements collected under Title 24, Hawaii Revised Statutes.

**Current Program Activities/Allowable Expenses:**
Used to defray any administrative cost, including personnel cost, associated with all of the programs of the Insurance Division, and incurred by supporting offices and divisions.

**Purpose of Proposed Ceiling Increase (if applicable):**
Add 2 positions - Due to increasing workload, additional positions are necessary.

**Fringe Benefits:**
Pursuant to Financial Memorandum No. 16-12, the State's fringe benefit assessment rate for non-general fund programs increases to 60% for FY 18 and FY 19 due primarily to the projected costs for the pre-funding of other post-employment benefits. The Department requests the required budget increase to effectively fund all authorized positions.

**CSA - Central services assessment is based on a percentage of collected revenue, which continues to increase. As such, an increase in the ceiling is needed for the increased assessment.**

**Rent:**
With the growth in positions related to the regulation of the federal affordable care act and the increased examiners needed for Hawaii's captive insurance industry, the Insurance Division had been working with DAGS the last few years to locate a suitable office space outside the fully occupied King Kakaako building. With the recent liquidation of the Hawaii Health Connector, a suitable portion of their office space in the City Financial Tower became available for the Insurance Division's 15 position health branch to occupy.

**Variances:**
Between FY16 & FY17, expenditures expected to increase as vacancies become filled and a significant increase in contracted examination work is expected.

Between FY15 & FY16, revenues increased due to a larger assessment of the insurance industry 1.4M in FY15 to 2.3M in FY16 to fund division operations.

<table>
<thead>
<tr>
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<td>(376,174)</td>
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<td>3,536,149</td>
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<td>3,080,928</td>
<td>(31,251)</td>
<td>(2,927,395)</td>
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**Additional Information:**
- Amount Req. for Bond Conveyance
- Amount from Bond Proceeds
- Amount Held in CIDs, Escrow Accounts, or Other Investments

1/ Revenue projections based on Revenue Estimates to 6/30 August 2016.
Intended Purpose:
The fund shall be expended by the Insurance Commissioner to carry out his/her duties and obligations under article 19 of chapter 431, HRS.

Source of Revenues:
All moneys collected from captive licensees pursuant to article 19, chapter 431, including premium taxes, application and annual licensing fees, examination fees, and other reimbursements.

Current Program Activities/Allowable Expenses:
 LICENSING, MONITORING, REGULATION, DEVELOPMENT OF CAPTIVE INSURANCE COMPANIES, AND PROMOTION OF HAWAII AS A CAPTIVE INSURANCE Domicile pursuant to article 19, chapter 431, including defrayal of any administrative costs, employment or retention of hearings officers, attorneys, investigators, accountants, examiners, and other necessary professional, technical, and support personnel.

Purpose of Proposed Ceiling Increase (If applicable):
Not Applicable

Variances:
Between FY16 & FY17, expenditures expected to increase as vacancies become filled.
Between FY14 & FY15, expenditures rose as positions were filled and additional examination work was contracted out.
From FY13 thru F15 revenues rose as number of Captive licensees grew from 176 to 193.

<table>
<thead>
<tr>
<th></th>
<th>FY 2013 (actual)</th>
<th>FY 2014 (actual)</th>
<th>FY 2015 (actual)</th>
<th>FY 2016 (actual)</th>
<th>FY 2017 (estimated)</th>
<th>FY 2018 (estimated)</th>
<th>FY 2019 (estimated)</th>
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<td>2,725,806</td>
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<td>2,732,817</td>
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</table>

Transfers
List each by JV# and date

Not Total Transfers   0      0      0      0      0      0      0

Ending Cash Balance 4,417,661 4,746,720 5,348,686 6,011,624 5,615,818 5,213,001 4,810,184

Encumbrances 9,030 124,099 26,612 19,530

Uncumbered Cash Balance 4,108,631 4,622,711 5,322,074 5,992,094 5,615,818 5,213,001 4,810,184

Additional Information:
Amount Req. for Bond Conveyance
Amount from Bond Proceeds
Amount Held in CDOs, Escrow Accounts, or Other Investments

1/ Revenue projections based on Rev Est to 1st August 2016.
Report on Non-General Fund Information
for Submittal to the 2017 Legislature

Department: Commerce and Consumer Affairs
Prog ID(s): CCA-106
Name of Fund: Patient's Compensation Fund
Legal Authority: Act 232, SLH 1984; Act 219, SLH 1976

Contact Name: Admin. Services
Phone: 586-2830
Fund type (MOF) Trust Funds (T)
Appropriation Acct. No. T-XX-912-R

Intended Purpose:
In 1976 this fund was established to provide doctors medical malpractice insurance for coverage in excess of their underlying policy from a commercial insurer.

Source of Revenues:
None.

Current Program Activities/Allowable Expenses:
Final payments were made in FY14 & FY15, Fund is closed.

Purpose of Proposed Ceiling Increase (if applicable):
Not Applicable

Variances:
Variances due to final payment of funds on deposit.

<table>
<thead>
<tr>
<th>Financial Data</th>
<th>FY 2013 (actual)</th>
<th>FY 2014 (actual)</th>
<th>FY 2015 (actual)</th>
<th>FY 2016 (actual)</th>
<th>FY 2017 (estimated)</th>
<th>FY 2018 (estimated)</th>
<th>FY 2019 (estimated)</th>
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<tr>
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<td>178,618</td>
<td>9,287</td>
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<td>List each by JV# and date</td>
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<tr>
<td>Ending Cash Balance</td>
<td>178,618</td>
<td>9,287</td>
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<td>Encumbrances</td>
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Additional Information:
Amount Req. for Bond Conveyance

Amount from Bond Proceeds

Amount Held in CODs, Escrow Accounts, or Other Investments

Form 37-47 (rev. 9/27/16)
Report on Non-General Fund Information  
for Submittal to the 2017 Legislature

Department: Commerce and Consumer Affairs  
Prog ID(s): CCA-106  
Name of Fund: Premium Taxes Paid Pending Appeal  
Legal Authority: Sections 431:7-202, 431:7-209, HRS

Contact Name: Admin. Services  
Phone: 586-2830  
Fund type (MOF) Trust Funds (T)  
Appropriation Acct. No. T-XX-916-R

**Intended Purpose:**
Premium taxes paid in protest due to denial of high tech tax credits.

**Source of Revenues:**
Premium taxes.

**Current Program Activities/Allowable Expenses:**
Pending result of appeal.

**Purpose of Proposed Ceiling Increase (if applicable):**
Not Applicable

**Variances:**
Varies year to year depending on an insurers' request for appeal. No premium taxes paid in protest were received in FY 2015.

<table>
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<tr>
<th>Financial Data</th>
<th>FY 2013 (actual)</th>
<th>FY 2014 (actual)</th>
<th>FY 2015 (actual)</th>
<th>FY 2016 (actual)</th>
<th>FY 2017 (estimated)</th>
<th>FY 2018 (estimated)</th>
<th>FY 2019 (estimated)</th>
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<td>List each by JV# and date</td>
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<td>Net Total Transfers</td>
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<tr>
<td>Ending Cash Balance</td>
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<td>2,265,346</td>
<td>2,815,842</td>
<td>2,815,842</td>
<td>2,815,842</td>
<td>2,815,842</td>
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<tr>
<td>Encumbrances</td>
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<tr>
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<td>2,265,346</td>
<td>2,815,842</td>
<td>2,815,842</td>
<td>2,815,842</td>
<td>2,815,842</td>
</tr>
</tbody>
</table>

**Additional Information:**
| Amount Req. for Bond Conveyance |                   |
| Amount from Bond Proceeds       |                   |
| Amount Held in CODs, Escrow Accounts, or Other Investments |                   |

Form 37-47 (rev. 9/27/16)
Report on Non-General Fund Information
for Submission to the 2017 Legislature

Department: Commerce and Consumer Affairs
Prog ID(s): CCA-105
Name of Fund: Commissioner's Education and Training Fund
Legal Authority: Section 431:2-214, HRS; Act 348, SLH 1987
Contact Name: Admin. Services
Phone: 586-2630
Fund type (MOF) Trust Funds (T)
Appropriation Acct. No. T-XX-917-R

Intended Purpose:

This fund is used for the education and training of Insurance Division staff and personnel, and to pay for the cost of consumer education and information.

Source of Revenues:

Fees for rate and form filings.

Current Program Activities/Allowable Expenses:

Reimburse staff and personnel for various education and training expenses, including insurance and computer courses, conferences, and seminars. Publish annually, the Report of the Insurance Commissioner for consumer information. Presentations of insurance information to Hawaii consumers. Purchase of books and periodicals for staff education and training.

Purpose of Proposed Ceiling Increase (if applicable):

Not Applicable

Variances:

Revenues vary depending on the number of rate and form filings. Expected increase in Expenditures for FY17 due to recent hiring of Multimedia Education Specialist and the education programs she will be developing.

<table>
<thead>
<tr>
<th>Financial Data</th>
<th>FY 2013 (actual)</th>
<th>FY 2014 (actual)</th>
<th>FY 2015 (actual)</th>
<th>FY 2016 (actual)</th>
<th>FY 2017 (estimated)</th>
<th>FY 2018 (estimated)</th>
<th>FY 2019 (estimated)</th>
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</thead>
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<tr>
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<td>982,960</td>
<td>1,079,596</td>
<td>1,146,016</td>
<td>1,218,602</td>
<td>1,174,602</td>
<td>1,130,602</td>
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<tr>
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<td>148,392</td>
<td>159,013</td>
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<tr>
<td>List each by JV# and date</td>
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<tr>
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<tr>
<td>Ending Cash Balance</td>
<td>982,960</td>
<td>1,079,596</td>
<td>1,146,016</td>
<td>1,218,602</td>
<td>1,174,602</td>
<td>1,130,602</td>
<td>1,087,602</td>
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<td>Encumbrances</td>
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<td>1,100,093</td>
<td>1,208,497</td>
<td>1,174,602</td>
<td>1,130,602</td>
<td>1,087,602</td>
</tr>
</tbody>
</table>

Additional Information:

| Amount Req. for Bond Conveyance |                  |
| Amount from Bond Proceeds       |                  |
| Amount Held in CDS, Escrow Accounts, or Other Investments |                  |

Form 37-47 (rev. 9/27/16)
Report on Non-General Fund Information  
for Submittal to the 2017 Legislature

Department: Commerce and Consumer Affairs  
Prog ID(s): CCA-106  
Name of Fund: Service Contract Provider's Fin Sec Dep  
Legal Authority: Section 481X-4, HRS  
Contact Name: Admin. Services  
Phone: 586-2830  
Fund type (MOF) Trust Funds (T)  
Appropriation Acct. No. T-XX-927-R

Intended Purpose:
The fund will hold financial security deposits placed in trust with the Commissioner by service contract providers for all service contracts issued and in force in this State.

Source of Revenues:
Financial security deposits from service contract providers placed in trust with the Insurance Commissioner.

Current Program Activities/Allowable Expenses:
Current activities include the issuance and renewal of service contract providers registration.

Purpose of Proposed Ceiling Increase (if applicable):
Not Applicable

Variances:
Variances due to new or departing service contract provider security deposits.

<table>
<thead>
<tr>
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<tbody>
<tr>
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<td>(estimated)</td>
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<td>0</td>
<td>16,560</td>
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</tbody>
</table>

Transfers
List each by JV# and date

Net Total Transfers

Ending Cash Balance | 41,560   | 41,560   | 66,560   | 50,000   | 50,000   | 50,000   |

Encumbrances

Unencumbered Cash Balance | 41,560   | 41,560   | 66,560   | 50,000   | 50,000   | 50,000   |

Additional Information:
Amount Req. for Bond Conveyance
Amount from Bond Proceeds
Amount Held in CODs, Escrow Accounts, or Other Investments
Report on Non-General Fund Information
for Submittal to the 2017 Legislature

Department: Commerce and Consumer Affairs
Proji ID(s): CCA-106
Name of Fund: Insurance Division Restitution
Legal Authority: Section 431:2-203, HRS

Contact Name: Admin. Services
Phone: 586-2830
Fund type (MOF) Trust Funds (T)
Appropriation Acct. No. T-XX-928-R

Intended Purpose:
The fund will hold deposits placed in trust with the Commissioner by defendants from an enforcement action brought by the Insurance Division. If the defendant does not comply with the terms of the settlement agreement, the Insurance Division then has the power to use these funds to provide restitution to the complainants involved.

Source of Revenues:
Deposits from defendants pursuant to a settlement agreement.

Current Program Activities/Allowable Expenses:
No deposits being held.

Purpose of Proposed Ceiling Increase (if applicable):
Not Applicable

Variance:

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<tr>
<th>Financial Data</th>
<th>FY 2013 (actual)</th>
<th>FY 2014 (actual)</th>
<th>FY 2015 (actual)</th>
<th>FY 2016 (actual)</th>
<th>FY 2017 (estimated)</th>
<th>FY 2018 (estimated)</th>
<th>FY 2019 (estimated)</th>
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Transfers
List each by JV# and date

Net Total Transfers | 0 | 0 | 0 | 0 | 0 | 0 | 0 |

Ending Cash Balance | 0 | 0 | 0 | 0 | 0 | 0 | 0 |

Encumbrances | 0 | 0 | 0 | 0 | 0 | 0 | 0 |

Unencumbered Cash Balance | 0 | 0 | 0 | 0 | 0 | 0 | 0 |

Additional Information:
Amount Req. for Bond Conveyance
Amount from Bond Proceeds
Amount Held in Cods, Escrow Accounts, or Other Investments

Form 37-47 (rev. 9/27/16)
Report on Non-General Fund Information
for Submittal to the 2017 Legislature

Department: Commerce and Consumer Affairs
Prog ID(s): CCA-106
Name of Fund: Captive Insurance Companies LOC Escrow
Legal Authority: Section 431:19-104(b), HRS

Contact Name: Admin. Services
Phone: 586-2830
Fund type (MOF): Trust Funds (T)
Appropriation Acct. No. T-XX-931-R

Intended Purpose:
The fund shall be used to maintain cash drawn from Letters of Credit (LOC) issued on behalf of captive insurance licensees and in favor of the Insurance Commissioner.

Source of Revenues:
Cash draw from Letter of Credits (LOC) issued on behalf of captive licensees.

Current Program Activities/Allowable Expenses:
The Commissioner may draw upon the LOC when the captive licensee is not in compliance with the provisions of article 19 of chapter 431, including but not limited to its minimum capital and surplus requirements, applicable investment provisions, or otherwise in adverse financial condition, or operating in a manner that is detrimental or its condition unsound with respect to the public or to its policyholders. The cash drawn from the LOC is used to cover liabilities and other obligations of the captive licensee, including policy holder claims, operating expenses, taxes, fees, fines, and other expenses.

Purpose of Proposed Ceiling Increase (if applicable):
Not Applicable

Variance:

<table>
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<tr>
<th>Financial Data</th>
<th>FY 2013 (actual)</th>
<th>FY 2014 (actual)</th>
<th>FY 2015 (actual)</th>
<th>FY 2016 (actual)</th>
<th>FY 2017 (estimated)</th>
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<td>List each by JV# and date</td>
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Additional Information:
Amount Req. for Bond Conveyance
Amount from Bond Proceeds
Amount Held in CODs, Escrow Accounts, or Other Investments

Form 37-47 (rev. 9/27/16)
Report on Non-General Fund Information
for Submittal to the 2017 Legislature

Department: DCCA-Insurance Division
Prog ID(s): CCA-106
Name of Fund: Hawaii Hurricane Relief Fund
Legal Authority Chapter 431P, HRS

Contact Name: Jerry Bump
Phone: 808-586-0985
Fund type (MOF) Trust Fund (T)
Appropriation Acct. No. T-XX-999-R

Intended Purpose: Provide hurricane insurance in the event that such coverage is unavailable in the private insurance market.

Source of Revenues: Investment income.

Current Program Activities/Allowable Expenses:
Program activities - investments. Allowable expenses - financial services and management expenses.

Purpose of Proposed Ceiling Increase (if applicable):
Not applicable.

Variances:
Variances related to transfers from State General Fund of interest earned and gains on assets.

<table>
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<tr>
<th>Financial Data</th>
<th>FY 2013 (actual)</th>
<th>FY 2014 (actual)</th>
<th>FY 2015 (actual)</th>
<th>FY 2016 (actual)</th>
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<tr>
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<td>(3,100,000)</td>
<td>(3,100,000)</td>
<td>(3,100,000)</td>
</tr>
<tr>
<td>Net Total Transfers</td>
<td>(318,648)</td>
<td>104,412,696</td>
<td>53,059,629</td>
<td>(3,049,388)</td>
<td>(3,100,000)</td>
<td>(3,100,000)</td>
<td>(3,100,000)</td>
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<tr>
<td>Ending Fund Balance</td>
<td>20,794,227</td>
<td>126,645,536</td>
<td>182,440,064</td>
<td>186,936,494</td>
<td>186,711,494</td>
<td>186,486,494</td>
<td>186,261,494</td>
</tr>
</tbody>
</table>

Encumbrances

Unencumbered Cash Balance           | 21,078,646       | 126,645,536      | 182,440,064      | 186,936,494      | 186,711,494         | 186,486,494         | 186,261,494         |

Additional Information:

Amount Req. for Bond Conveyance

Amount from Bond Proceeds

Amount Held in CODs, Escrow Accounts, or Other Investments

A/ = Prepared on the accrual basis of accounting as required by the Governmental Accounting Standards Board for Enterprise Funds.

Form 37-47 (rev. 9/27/16)
Report on Non-General Fund Information  
for Submittal to the 2017 Legislature

Department: Commerce and Consumer Affairs  
Prog ID(s): CCA-107  
Name of Fund: Compliance Resolution Fund- HPEAP  
Legal Authority HRS §305J-19  

Contact Name: Bobbi Lum-Mew  
Phone: 586-7327  
Fund type (MOF) Special Funds (B)  
Appropriation Acct. No. S-x-307-R

Intended Purpose:
Per HRS §305J-19 the moneys in the special subaccount shall be used to fund the operations of the department to carry out its duties under this chapter.

Source of Revenues:
Authorization, re-authorization, and complaints administration fees.

Current Program Activities/Allowable Expenses:
Review and authorize qualified post-secondary educational institutions and receive and process complaints against authorized institutions.

Purpose of Proposed Ceiling Increase (if applicable):
N/A

Variances:
Institutions apply for re-authorization biennially resulting in variances between fiscal years.

<table>
<thead>
<tr>
<th>Financial Data</th>
<th>FY 2013 (actual)</th>
<th>FY 2014 (actual)</th>
<th>FY 2015 (actual)</th>
<th>FY 2016 (estimated)</th>
<th>FY 2017 (estimated)</th>
<th>FY 2018 (estimated)</th>
<th>FY 2019 (estimated)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Appropriation Ceiling</td>
<td>263,796</td>
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<td>288,611</td>
<td>288,611</td>
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<tr>
<td>Beginning Cash Balance</td>
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<td>0</td>
<td>336,583</td>
<td>367,317</td>
<td>91,378</td>
<td>60,853</td>
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<tr>
<td>List each by JV# and date</td>
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<tr>
<td>JS1232 9/8/15</td>
<td>(10,003)</td>
<td>(10,003)</td>
<td>(10,003)</td>
<td>(10,003)</td>
<td>(10,004)</td>
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<td>JS4334 2/12/16</td>
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<td>JS5512 4/18/16</td>
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<tr>
<td>Net Total Transfers</td>
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<td>(36,728)</td>
<td>(39,314)</td>
<td>(39,179)</td>
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<tr>
<td>Ending Cash Balance</td>
<td>0</td>
<td>0</td>
<td>336,583</td>
<td>367,317</td>
<td>91,378</td>
<td>60,853</td>
<td>(170,537)</td>
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<tr>
<td>Encumbrances</td>
<td>3,104</td>
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<td>0</td>
<td>0</td>
<td>0</td>
<td></td>
<td></td>
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<tr>
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<td>0</td>
<td>333,479</td>
<td>367,317</td>
<td>91,378</td>
<td>60,853</td>
<td>(170,537)</td>
</tr>
</tbody>
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Additional Information:
Amount Req. by Bond Covenants
Amount from Bond Proceeds
Amount Held in CDS, Escrow Accounts, or Other Investments

Report on Non-General Fund Information for Submission to the 2017 Legislature

Department: Commerce and Consumer Affairs
Prog ID(s): CCA-110
Name of Fund: CRF-Office Of Consumer Protection
Legal Authority: Section 487-2, HRS
Contact Name: Admin. Services
Phone: 586-5900
Fund type (MOF) Special Funds (B)
Apropr. Acct. No. 5-XX-363-R

Intended Purpose:
To protect Hawaii consumers utilizing investigative resources, civil enforcement actions and consumer education.

Source of Revenues:
Penalties or fines assessed as a result of actions brought by OCP, and penalties, fines, or reimbursement of costs or attorneys' fees assessed as a result of actions brought for violations of chapters 480 and 487 HRS.

Current Program Activities/Allowable Expenses:
OCP receives and investigates consumer complaints, provides consumer education to the public through oral presentations and the dissemination of consumer literature, and enforces consumer protection laws through legal process coordinated by its attorneys.

Purpose of Proposed Ceiling Increase (if applicable):
Fringes benefits
Pursuant to Finanos Memorandum No. 16-12, the State’s fringe benefit assessment rate for non-general fund programs increases to 60% for FY 18 and FY 19 due primarily to the projected costs for the prefunding of other post-employment benefits. The Department requires the requested budget increase to effectively fund all authorized positions.

Attorney: Add 1 Staff Attorney II position and funds to provide sufficient legal resources to prosecute individuals and companies who commit unfair or deceptive trade practices in the state of Hawaii.

Variances:
Revenue: OCP revenue from year to year may fluctuate greatly due to a number of factors including the absence of settlements in multistate cases and the complexities of some OCP enforcement actions.

Expenditures: FY 13 - due to Central Services Assessment on increased revenues from multi-state settlements. FY 14 - due to unanticipated position vacancies and retirement. Increase in FY15 due to hiring to fill vacant positions and increased fringe benefits. FY 17 forward projected to ceiling.

Financial Data

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<tr>
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<td>2,109,284</td>
<td>2,301,177</td>
<td>2,363,512</td>
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<td>1,776,108</td>
<td>5,586,878</td>
<td>4,640,406</td>
<td>5,695,453</td>
<td>5,284,470</td>
<td>6,494,674</td>
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<td>95,772</td>
<td>2,331,028</td>
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<td>2,610,300</td>
<td>2,710,300</td>
<td>2,211,000</td>
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<td>1,495,728</td>
<td>1,744,937</td>
<td>1,731,894</td>
<td>2,109,284</td>
<td>2,361,177</td>
<td>2,363,512</td>
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</tbody>
</table>

Transfers
List each by J# and date
JS1232 9/3/15 126,390
JS3248 12/5/15 126,390
JS4324 2/12/16 (253,183)

Net Total Transfers | (251,800) | 450,484 | 468,506 | (270,827) | (313,461) | (320,808) |

Ending Cash Balance | 5,586,876 | 4,640,406 | 5,695,453 | 6,284,470 | 6,494,674 | 6,090,336 | 5,617,318 |

Encumbrances | 11,385 | 46,186 | 14,724 | 20,282 |

Unencumbered Cash Balance | 5,574,493 | 4,594,220 | 5,680,729 | 6,264,188 | 6,494,674 | 6,090,336 | 5,617,318 |

Additional Information:
Amount Req. for Bond Conveyance
Amount from Bond Proceeds
Amount Held in CDOs, Escrow Accounts, or Other Investments

Report on Non-General Fund Information
for Submittal to the 2017 Legislature

Department: Commerce and Consumer Affairs
Prog ID(s): CCA-110
Name of Fund: OCP Restitution Fund
Legal Authority: Section 487-14(c), HRS

Contact Name: Admin Services
Phone: 586-2830
Fund type (MOF): Trust Funds (T)
Appropriation Acct. No. T-XX-920-R

Intended Purpose:
To hold and disburse moneys received or recovered by the Office of Consumer Protection payable to consumers as restitution pursuant to settlement or appropriate court orders and judgments.

Source of Revenues:
Consumer restitution paid by respondents and disbursed by OCP pursuant to settlement or court order.

Current Program Activities/Allowable Expenses:
We are continuing to collect and distribute restitution payments from this account pursuant to appropriate court orders and judgments.

Purpose of Proposed Ceiling Increase (if applicable):
Not Applicable

Variances:
Revenues: Restitution recoveries awarded by a court or through voluntary compliance agreements vary greatly from year to year and the circumstances of each OCP case.
Expenditures: Restitution payments distributed in any given year varies widely based upon the resolution of enforcement actions through settlement or court action as well as the manner in which the restitution payments to consumers is structured.

<table>
<thead>
<tr>
<th>Financial Data</th>
<th>FY 2013 (actual)</th>
<th>FY 2014 (actual)</th>
<th>FY 2015 (actual)</th>
<th>FY 2016 (actual)</th>
<th>FY 2017 (estimated)</th>
<th>FY 2018 (estimated)</th>
<th>FY 2019 (estimated)</th>
</tr>
</thead>
<tbody>
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<td>100,681</td>
<td>100,681</td>
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<td>Beginning Cash Balance</td>
<td>143,419</td>
<td>147,521</td>
<td>108,056</td>
<td>84,172</td>
<td>91,184</td>
<td>106,184</td>
<td>106,184</td>
</tr>
<tr>
<td>Revenues 1/</td>
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<td>18,210</td>
<td>5,940</td>
<td>15,772</td>
<td>15,000</td>
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<tr>
<td>List each by JV# and date</td>
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<td></td>
</tr>
<tr>
<td>Net Total Transfers</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Ending Cash Balance</td>
<td>147,521</td>
<td>108,056</td>
<td>84,172</td>
<td>91,184</td>
<td>106,184</td>
<td>106,184</td>
<td>106,184</td>
</tr>
<tr>
<td>Encumbrances</td>
<td></td>
<td></td>
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<td></td>
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</tr>
<tr>
<td>Unencumbered Cash Balance</td>
<td>147,521</td>
<td>108,056</td>
<td>84,172</td>
<td>91,184</td>
<td>106,184</td>
<td>106,184</td>
<td>106,184</td>
</tr>
</tbody>
</table>

Additional Information:
Amount Req. for Bond Conveyance
Amount from Bond Proceeds
Amount Held in CODs, Escrow Accounts, or Other Investments


Form 37-47 (rev. 9/27/16)
Report on Non-General Fund Information
for Submission to the 2017 Legislature

Department: Commerce and Consumer Affairs
Program ID(s): CCA-111
Name of Fund: Compliance Resolution Fund, Business Registration
Legal Authority: Section 26-9, HRS

Intended Purpose:
To fund the operations of the Business Registration Division.

Source of Revenues:
Chapter 482E - Franchise filing fees and penalties for franchise violations.
Chapter 48SA - Securities fees and penalties. - Securities, broker-dealers, escrow agents, investment advisors and investment advisor representatives filing fees and penalty fees for securities law violations.

Current Program Activities/Allowable Expenses:
Register and maintain the registry for public access for corporations, partnerships, limited liability companies, cooperatives, trademarks, trade names, service marks and publicity rights. Help the public in their business registration filings through business centers that offer assistance in facilitating, coordinating and expediting filings. Review and approve filing applications and investigations, prosecute and enforce substantive regulatory compliance pursuant to State securities and franchise filing laws. Conduct investor education programs and outreach statewide.

Purpose of Proposed Ceiling Increase (if applicable):
Fringe Benefits: Pursuant to Finance Memorandum No. 16-12, the State’s fringe benefit assessment rate for non-general fund programs increases to 60% for FY 18 and FY 19 due primarily to the projected costs for the pre-funding of other post-employment benefits. The Department requires the requested budget increase to effectively fund all authorized positions.

Deputy Commissioner: Budget ceiling increase requested to add the permanent position of Deputy Securities Commissioner to provide support to the Business Registration Division (BREG). The position would assist the Securities Commissioner by carrying out policies and initiatives set forth by the Commissioner in handling the day-to-day administrative and operational functions of BREG. The Commissioner is the final adjudicator in the administrative legal cases prosecuted by the Securities Enforcement Branch (SEB); while cases are being investigated and litigated, the Commissioner is unable to know the specifics about a case and as a result, is unable to manage certain aspects of cases in order to maintain objectivity and fairness in this legal process. The Deputy Commissioner would be able to actively manage all aspects and provide oversight to the SEB. The Deputy Commissioner would provide program continuity and expertise as the Commissioner position is filled by appointment.

IT Project: Program operating budget ceiling increase in the amount of $420,000 requested for FY18 for the Division’s IT improvement project; and $70,000 per year thereafter is requested to cover recurring annual costs. This IT project will allow BREG to replace the current ineffective CMS application and provide a solution to modernize the current manual system of tracking the intake and review of franchise and securities filings and applications and field examinations. A new application is needed to efficiently be able to manage the caseload of the Securities Enforcement Branch and to allow for data analysis in order to provide for proper data reporting and management.

Variance:
The variance for FY13-14 actual revenue can be primarily attributed to temporary fee reductions for securities registrations.
The variance for FY14-15 actual revenue can be attributed in part to temporary fee reductions for securities registrations from FY13-14 and the lower amount of penalties actually collected during the fiscal year.
The variance for FY17 estimated expenditures can be attributed to the comparison of an actual number (FY16) to an estimated number (FY17) that is projected to ceiling.
The variance for FY18 estimated expenditures can be attributed to the requested ceiling increases as stated above in this report.

<table>
<thead>
<tr>
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<td>5,472,012</td>
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<td>6,649,249</td>
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<td>9,494,029</td>
<td>6,145,724</td>
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<td>8,588,299</td>
<td>7,391,298</td>
<td>6,214,503</td>
<td>6,762,319</td>
<td>6,295,100</td>
<td>6,295,100</td>
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<td>5,435,375</td>
<td>5,502,877</td>
<td>6,614,481</td>
<td>7,414,130</td>
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<td>Net Total Transfers</td>
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<td>(1,128,154)</td>
<td>(2,057,258)</td>
<td>(1,057,258)</td>
<td>(970,355)</td>
<td>(1,158,712)</td>
<td>(1,117,684)</td>
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<td>Ending Cash Balance 1/2</td>
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<td>11,870,602</td>
<td>11,483,082</td>
<td>11,582,005</td>
<td>9,494,029</td>
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<td>3,084,005</td>
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<tr>
<td>Unencumbered Cash Balance</td>
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<td>11,688,626</td>
<td>11,335,196</td>
<td>11,435,004</td>
<td>9,494,029</td>
<td>6,140,724</td>
<td>3,084,005</td>
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Additional Information:
Amount Req. for Used Guaranty
Amount from Bond Proceeds
Amount Held in CDOs, Escrow Accounts, or Other Investments

1/ Revenue projections based on Re Ex II to B&F August 2016.
Report on Non-General Fund Information
for Submission to the 2017 Legislature

Department: Commerce and Consumer Affairs
Prog ID(s): CCA-112
Name of Fund: Compliance Resolution Fund - RICO
Legal Authority: Section 26-9(0), HRS
Contact Name: Admin Services
Phone: 256-2830
Fund type (MOT): Special Funds (B)
Appropriation Acct. No: 5-XX-312-R

Intended Purpose:
Complaints receipt, mediation, arbitration, investigation, and prosecution of matters in areas for which a license, registration or certificate is required from the Department or its boards, commissions or regulatory programs.

Source of Revenues:
Compliance Resolution Fund fee; penalties and fines collected; interest earned on fund balances.

Current Program Activities/Allowable Expenses:
Complaints receipt, mediation, investigation, complaint resolution and prosecution related to licenses, registrations or certificates required from the Department or its boards, commissions or programs.

Purpose of Proposed Ceiling Increase (if applicable):
Position Conversion- A better ratio of investigators to attorneys should lead to more efficient, effective and timely licensing enforcement.

Fringe Benefits: Pursuant to Finance Memorandum No. 16-12, the State's fringe benefit assessment rate for non-general fund programs increases to 60% for FY 16 and FY 19 due primarily to the projected costs for the prefunding of other post-employment benefits. The Department requires the requested budget increase to effectively fund all authorized positions.

CSA- Central services assessment is based on a percentage of collected revenue, which continues to increase. As such, an increase in the ceiling is needed for the increased assessment.

Variances:
Division saw an increase in revenue following an emergency fee increase of 23% approved in FY 15 and varying permanent fee increases effective 5/6/2016. Revenues vary due to renewal cycle. Expenditure variance for FY 17 and FY 18 due to projection to ceiling.

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<td>(actual)</td>
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<td>(actual)</td>
<td>(estimated)</td>
<td>(estimated)</td>
<td>(estimated)</td>
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<td>5,631,030</td>
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<td>8,197,827</td>
<td>7,336,789</td>
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<tr>
<td>List each by JV# and date</td>
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<td>(228,351)</td>
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<td>(956,002)</td>
<td>(976,291)</td>
<td>(972,039)</td>
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<td>7,264,471</td>
<td>5,318,863</td>
<td>4,515,549</td>
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</table>

Additional Information:
Amount Req. for Bond Conveyance
Amount from Bond Proceeds
Amount Held in CDS, Escrow Accounts, or Other Investments

**Intended Purpose:**
Administration of the State Certified Motor Vehicle Arbitration Program (Lemon Law) created pursuant to Chapter 4811, HRS.

**Source of Revenues:**
Filing fees paid by vehicle manufacturers and consumers.

**Current Program Activities/Allowable Expenses:**
Implementation and administration of the State Certified Arbitration Program (Lemon Law) created pursuant to Chapter 4811, HRS.

**Purpose of Proposed Ceiling Increase (if applicable):**
Not Applicable

**Variances:**
Revenues and expenditures will vary depending on arbitration fees received and costs paid for arbitration hearings.

### Financial Data

<table>
<thead>
<tr>
<th></th>
<th>FY 2013 (actual)</th>
<th>FY 2014 (actual)</th>
<th>FY 2015 (actual)</th>
<th>FY 2016 (actual)</th>
<th>FY 2017 (estimated)</th>
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<tbody>
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</table>

**Additional Information:**

| Amount Req. for Bond Conveyance |                   |                   |                   |                   |                   |                   |                   |
| Amount from Bond Proceeds       |                   |                   |                   |                   |                   |                   |                   |
| Amount Held in CDS, Escrow      |                   |                   |                   |                   |                   |                   |                   |

Report on Non-General Fund Information
for Submittal to the 2017 Legislature

Department: Commerce and Consumer Affairs
Prog ID(s): CCA-191
Name of Fund: Electric Vehicle Rebate Program
Legal Authority: Non-appropriated, (ARRA, Transportation Energy Diversification Project, State Energy Program-DBEDT).
Contact Name: Admin Services
Phone: 586-2830
Fund type (MOF): Federal Stimulus Funds (V)
Appropriation Accl. No. S-XX-202-R

Intended Purpose:
American Recovery and Reinvestment Act of 2009 (ARRA) funds awarded to the Department of Business, Economic Development, and Tourism (DBEDT) for the purpose of carrying out the Transportation Energy Diversification Project (Project) under the State Energy Program (SEP). The Electric Vehicle Rebate Program is to help accelerate the adoption of electric vehicles (EV) in Hawaii. The Department of Commerce and Consumer Affairs (DCCA) to administer the EV Rebate Program for DBEDT through December, 31, 2012 or until project funds have been exhausted, whichever comes first.

Source of Revenues:
Federal grant through the U.S. Department of Energy (USDOE).

Current Program Activities/Allowable Expenses:

Project funds were budgeted for a rebate program for electric vehicles and charging equipment. Program ended in FY13.

Purpose of Proposed Ceiling Increase (if applicable):
Not applicable

Variance:
Revenues and expenditures varied in FY 13 due to program ending.

Financial Data

<table>
<thead>
<tr>
<th>Financial Data</th>
<th>FY 2013 (actual)</th>
<th>FY 2014 (actual)</th>
<th>FY 2015 (actual)</th>
<th>FY 2016 (actual)</th>
<th>FY 2017 (estimated)</th>
<th>FY 2018 (estimated)</th>
<th>FY 2019 (estimated)</th>
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<tbody>
<tr>
<td>Appropriation Ceiling</td>
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<td>Transfers</td>
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</tr>
<tr>
<td>List each by JV# and date</td>
<td></td>
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<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
</tbody>
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Additional Information:
Amount Req. for Bond Conveyance
Amount from Bond Proceeds
Amount Held in CODs, Escrow Accounts, or Other Investments

Form 37-47 (rev. 9/27/16)
### Report on Non-General Fund Information for Submittal to the 2017 Legislature

**Department:** Commerce and Consumer Affairs  
**Contact Name:** Admin Services  
**Phone:** 586-2630  
**Name of Fund:** Compliance Resolution Fund  
**Fund type (MOP):** Special Funds (B)  
**Legal Authority** Section 26-9(o), HRS  
**Appropriation Acct. No.:** 5-XX-310-R, 5-XX-398-R, 5-14-360

#### Intended Purpose:
To enhance program effectiveness and efficiency by providing direction and general support services.

#### Source of Revenues:
Administrative fee from MICP claim fees pursuant to HRS §671-11(d), publication/copy fees.

#### Current Program Activities/Allowable Expenses:
See attached.

#### Purpose of Proposed Ceiling Increase (if applicable):
**Fringe benefits**

Pursuant to Finance Memorandum No. 16-12, the State’s fringe benefit assessment rate for non-general fund programs increases to 60% for FY 18 and FY 19 due primarily to the projected costs for the pretaxing of other post-employment benefits. The Department requires the requested budget increase to effectively fund all authorized positions.

**Chiller maintenance—Currently DAGs is covering 100% of the cost to maintain the condenser water system. This cost should be shared by both the USPS (Post Office) and DCCA.**

#### Variances
Revenue variance for FY 14 due to newly established Hawaii Post-Secondary Education Authorization Program (HPEAP). Variance for FY 15 due to HPEAP being separate program. Variances in FY 16 and FY 17 due to PUC added as an attached agency. FY 16 and 17 variances due to non-recurring adjustment.

**Expenditure variances for FY 17 forward reflect spending to ceiling.**

### Financial Data

<table>
<thead>
<tr>
<th></th>
<th>FY 2013 (actual)</th>
<th>FY 2014* (actual)</th>
<th>FY 2015 (actual)</th>
<th>FY 2016 (actual)</th>
<th>FY 2017 (estimated)</th>
<th>FY 2018 (estimated)</th>
<th>FY 2019 (estimated)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Appropriation Ceiling</td>
<td>6,532,299</td>
<td>7,256,050</td>
<td>6,860,350</td>
<td>7,595,620</td>
<td>7,751,845</td>
<td>8,130,870</td>
<td>8,130,870</td>
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<tr>
<td>Beginning Cash Balance</td>
<td>1,987,718</td>
<td>2,613,491</td>
<td>3,521,497</td>
<td>2,874,897</td>
<td>3,222,005</td>
<td>3,008,588</td>
<td>2,753,873</td>
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<tr>
<td>Revenues 1/</td>
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<td>1,175,247</td>
<td>513,697</td>
<td>951,322</td>
<td>1,229,267</td>
<td>861,372</td>
<td>861,372</td>
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<td>6,411,244</td>
<td>6,543,591</td>
<td>6,777,852</td>
<td>7,751,845</td>
<td>8,130,870</td>
<td>8,130,870</td>
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</table>

**Transfers**  
List each by JV# and date

<table>
<thead>
<tr>
<th>JV#</th>
<th>Amount</th>
</tr>
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<tbody>
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<td>250,000</td>
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<tr>
<td>JS1232 9/8/15</td>
<td>1,354,319</td>
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<tr>
<td>JS3248 12/5/15</td>
<td>1,354,319</td>
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<tr>
<td>JS5334 2/12/16</td>
<td>1,734,089</td>
</tr>
<tr>
<td>JS5124 4/18/16</td>
<td>1,480,911</td>
</tr>
</tbody>
</table>

| Net Total Transfers | 6,127,759 | 6,144,003 | 5,383,384 | 6,173,638 | 6,322,029 | 7,014,785 | 7,014,785 |

| Ending Cash Balance | 2,613,491 | 3,521,497 | 2,874,897 | 3,222,005 | 3,008,588 | 2,753,873 | 2,499,160 |

| Encumberances       | 204,317   | 196,299   | 381,236   | 210,360   |

| Unencumbered Cash Balance | 2,409,174 | 3,323,198 | 2,493,681 | 3,011,615 | 3,008,588 | 2,753,873 | 2,499,160 |

#### Additional Information:

<table>
<thead>
<tr>
<th>Amount Req. for Bond Conveyance</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Amount from Bond Proceeds</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Amount Held in CODs, Escrow Accounts, or Other Investments</th>
</tr>
</thead>
</table>

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2/ Include Post-Secondary Education Authorization Program established pursuant to Act 180, SLH 2013.

Form 37-47 (rev. 9/27/16)
Current Program Activities/Allowable Expenses:

Provide general policy and administrative leadership, supervision and coordination of the various programs of the department. Provide individual programs with financial resources, budgetary direction and control necessary for their operation. Assist individual programs with the supply, development and maintenance of the human resources necessary for staffing their operations. Provide Director with staff assistance in the direction and supervision of the operating division; and provide centralized clerical services and relief necessary to support and supplement the operating division. Plans, directs and coordinates the department's internal and external communications through the sharing and transfer of the information via various mediums. Directs the development, implementation and maintenance of computerized information systems capable of communicating and sharing data and information internally and externally. Administers a program for informed consumerism through the sharing and transfer of information departmentally and statewide.

Provide specialized staff support to all divisions and boards by conducting hearings, as required, to ensure impartial and informed treatment in resolving consumer complaints; and provide a means for prompt and fair disposition or settlement of medical tort claims or claims of professional negligence against an engineer, architect or surveyor licensed under Chapter 464, HRS.
Report on Non-General Fund Information
for Submission to the 2017 Legislature

Department: Commerce and Consumer Affairs
Prog ID(s): CCA-191
Name of Fund: MFDR Special Fund
Legal Authority: Section 667-86, HRS

Contact Name: Admin Services
Phone: 516-2830
Fund type (MOF): Special Funds (B)
Appropriation Acct. No. S-XX-316-R

Intended Purpose:
To give a mortgagor the power to require a foreclosing mortgagee to engage in dispute resolution with the mortgagee prior to a nonjudicial mortgage foreclosure in an effort to avoid foreclosure or mitigate damages if foreclosure is unavoidable.

Source of Revenues:
Fees collected from the mortgagee and the mortgagor.

Current Program Activities/Allowable Expenses:
For all expenses of the mortgage foreclosure dispute resolution program to carry out the purposes of Act 48, SLH 2011 and to reimburse the Compliance Resolution Fund for the seed capital.

Purpose of Proposed Ceiling Increase (if applicable):
Not Applicable

Variances:
Expenditure variances: FY14-16 - due to vacancies, and positions are anticipated to be vacant for the out-years due to lack of program activities. FY 17 due to estimated program activity

<table>
<thead>
<tr>
<th>Financial Data</th>
<th>FY 2013 (actual)</th>
<th>FY 2014 (actual)</th>
<th>FY 2015 (actual)</th>
<th>FY 2016 (actual)</th>
<th>FY 2017 (estimated)</th>
<th>FY 2018 (estimated)</th>
<th>FY 2019 (estimated)</th>
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<td>238,185</td>
<td>337,232</td>
<td>153,230</td>
<td>103,130</td>
<td>59,027</td>
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<td>4,249</td>
<td>100,000</td>
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<td>(33,003)</td>
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<td>Ending Cash Balance</td>
<td>121,071</td>
<td>238,185</td>
<td>337,232</td>
<td>153,230</td>
<td>103,130</td>
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<td>337,083</td>
<td>153,090</td>
<td>103,130</td>
<td>59,027</td>
<td>15,137</td>
</tr>
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</table>

Additional Information:
Amount Req. for Bond Conveyance
Amount from Bond Proceeds
Amount Held in CD's, Escrow Accounts, or Other Investments

Report on Non-General Fund Information
for Submittal to the 2017 Legislature

Department: Commerce and Consumer Affairs
Prog ID(s): Various
Name of Fund: Temporary Deposits
Legal Authority

Contact Name: Kay Okimoto
Phone: 586-2831
Fund type (MOF) Temporary Deposits
Appropriation Acct. No. T-XX-802-R

Intended Purpose:
The fund was established by DCCA to account for temporary deposits. Moneys deposited in this fund may be later transferred to the appropriate fund.

Source of Revenues:
Various revenue sources (e.g., Moneys for the Medical Claims Conciliation Panel, Design Claims Conciliation Panel, & Hawaii Joint Underwriting Plan are deposited into this account, and when an invoice is received it is paid out from this account).

Current Program Activities/Allowable Expenses:
See above information.

Purpose of Proposed Ceiling Increase (if applicable):
Not Applicable

Variances:
Revenue and expenditure variances are based on divisions' timing and execution of contracts and projects.

Financial Data

<table>
<thead>
<tr>
<th></th>
<th>FY 2013 (actual)</th>
<th>FY 2014 (actual)</th>
<th>FY 2015 (actual)</th>
<th>FY 2016 (actual)</th>
<th>FY 2017 (estimated)</th>
<th>FY 2018 (estimated)</th>
<th>FY 2019 (estimated)</th>
</tr>
</thead>
<tbody>
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<td>935,472</td>
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Transfers
List each by JV# and date

<p>| | | | | | | | |</p>
<table>
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<tr>
<td>Ending Cash Balance</td>
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<td>1,511,786</td>
<td>1,810,621</td>
<td>1,149,621</td>
<td>1,616,246</td>
<td>935,472</td>
<td>1,590,817</td>
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<tr>
<td>Encumbrances</td>
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<td>1,140,046</td>
<td>1,616,246</td>
<td>935,472</td>
<td>1,590,817</td>
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</tbody>
</table>

Additional Information:
Amount Req. for Bond Conveyance
Amount from Bond Proceeds
Amount Held in CODs, Escrow Accounts, or Other Investments

Form 37-47 (rev. 9/27/16)
Report on Non-General Fund Information
for Submittal to the 2017 Legislature

Department: Department of Commerce and Consumer Affairs
Prog ID(s): CCA 901
Name of Fund: Public Utilities Commission Special Fund
Legal Authority: Section 269-33

Contact Name: Phyllis Paik/Renee Nakagawa
Phone: 586-3753
Fund type (MOF): B
Appropriation Acct. No: S-16-340-R

Intended Purpose:
To pay for expenses incurred by the Public Utilities Commission ("PUC") and the Division of Consumer Advocacy ("DCA") of the Department Of Commerce and Consumer Affairs ("DCCA") for all expenses incurred in the administration of chapters, 269, 271, 271G, 289E, and 786J and for costs incurred by DCCA to fulfill the department's limited oversight and administrative support functions provided that the expenditures are in accordance with the legislative appropriations.

Source of Revenues:
The Special Fund's sources of income include public utility, motor carrier, application and intervention filing, Hawaii One Call, and duplicating fees; and penalties and interest.

Current Program Activities/Allowable Expenses:
Provides effective, proactive, and informed oversight of all regulated entities to ensure that they operate at a high level of performance so as to serve the public fairly, efficiently, safely, and reliably, while addressing the goals and future needs of the State in the most economically, operationally, and environmentally sound manner, and affording the opportunity for regulated entities to achieve and maintain commercial viability. All monies in excess of $1M remaining on balance in the Special Fund on June 30 of each year shall lapse to the credit of the State General Fund.

Purpose of Proposed Ceiling Adjustment (if applicable):
$72,683 for recurring costs for office expansion renovation project and reorganization implementation, $303,949 for non-recurring costs for office expansion renovation project and reorganization implementation, and $942,000 for consultant and staff training costs to assist with the Commission's investigations of highly technical and complex dockets as it applies to the renewable energy initiatives.

Variances:
Expenditure variance for FY 17 is based on spending to ceiling

<table>
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<th>Financial Data</th>
<th>FY 2013 (actual)</th>
<th>FY 2014 (actual)</th>
<th>FY 2015 (actual)</th>
<th>FY 2016 (actual)</th>
<th>FY 2017 (estimated)</th>
<th>FY 2018 (estimated)</th>
<th>FY 2019 (estimated)</th>
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<tr>
<td>Appropriation Ceiling</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Beginning Cash Balance</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Revenues</td>
<td>22,497,217</td>
<td>20,109,301</td>
<td>20,109,801</td>
<td>20,110,000</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Expenditures</td>
<td>13,145,207</td>
<td>16,045,272</td>
<td>15,056,028</td>
<td>15,056,028</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Transfers
List each net transfer in/out or projection in/out; list each account number

| JS3554 PUC16-1 | 10/5/2016 | (3,264,149) |
| JS7050 PUC16-148 | 6/29/2016 | (1,622,745) |
| JS0038 BF16-000 | 7/27/2015 | 1,000,000   |
| JS0219 160109 | 7/20/2016 | 2,472,006   |
| JS7080 PUC16-0 | 8/17/2015 | (60,000)    |

Net Total Transfers:
|                      | 0    | 0     | 0   | 0  |

Ending Cash Balance:
|                      | 0    | 0     | 0   | 0  |

Encumbrances:
|                      | 2,009,502 |

Uncumbered Cash Balance:
|                      | 0    | 0     | 0   | 0  |

Additional Information:
Amount Req. by Bond Covenants
Amount from Bond Proceeds
Amount Held in CIDs, Escrow Accounts, or Other Investments

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