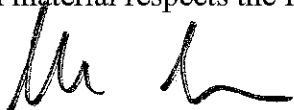


**QUARTERLY FINANCIAL STATEMENT CERTIFICATION**

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



\_\_\_\_\_  
Signature of Court Executive

\_\_\_\_\_  
December 7, 2016

Date

SANTA CRUZ SUPERIOR COURT

Court

2016-17 Quarter 1

Fiscal Year and Ending Quarter

**QUARTERLY FINANCIAL STATEMENT FOOTNOTES**

SANTA CRUZ SUPERIOR COURT

Court

2016-17 Quarter 1

Fiscal Year and Ending Quarter

**FOOTNOTES**

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**QUARTERLY FINANCIAL STATEMENT**  
**Filled Court Employee Positions (FTEs)**

SANTA CRUZ SUPERIOR COURT

Court

2016-17 Quarter 1

Fiscal Year and Ending Quarter

	Total Authorized Court Positions (FTEs) <sup>1</sup> (OPTIONAL)	Positions (FTEs) Filled			
		1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
Court Employee Positions (FTEs)		121.50			

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

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

For the month ended September									
Fiscal Year 2016/17									
	Governmental Funds					Proprietary Funds	Fiduciary Funds	Total Funds (Info. Purposes Only)	2015/16 Total Funds (Info. Purposes Only)
	General	Special Revenue		Capital Project	Debt Service				
		Non-Grant	Grant						
<b>ASSETS</b>									
Operations	\$ (222,533)	\$ 235,763	\$ 111,628	\$ 0		\$ 57,698	\$ 182,556	\$ 120,623	
Payroll	\$ (4,249)					\$ 0	\$ (4,249)	\$ 0	
Jury									
Revolving	\$ 5,000						\$ 5,000	\$ 5,000	
Other									
Distribution						\$ (63,622)	\$ (63,622)	\$ 0	
Civil Filing Fees						\$ (6,689)	\$ (6,689)	\$ 5,943	
Trust						\$ (3,493)	\$ (3,493)	\$ (14,996)	
Credit Card									
Cash on Hand	\$ 3,350						\$ 3,350	\$ 3,350	
Cash with County						\$ 1,320,214	\$ 1,320,214	\$ 2,082,210	
Cash Outside of the JCC									
Cash Equivalents	\$ 4,057,636					\$ 807,385	\$ 4,865,021	\$ 4,074,234	
<b>Total Cash and Cash Equivalents</b>	<b>\$ 3,839,204</b>	<b>\$ 235,763</b>	<b>\$ 111,628</b>	<b>\$ 0</b>		<b>\$ 2,111,493</b>	<b>\$ 6,298,088</b>	<b>\$ 6,276,363</b>	
Short-Term Investment									
Investments									
<b>Total Investments</b>									
Accrued Revenue	\$ 0	\$ 0		\$ 0		\$ 0	\$ 0	\$ 0	
Accounts Receivable - General									
Dishonored Checks									
Due From Employee	\$ 457	\$ 0	\$ 0				\$ 457	\$ 0	
Civil Jury Fees									
Trust									
Due From Other Funds	\$ 0						\$ 0	\$ 0	
Due From Other Governments	\$ 32,264	\$ 0				\$ 11,944	\$ 44,208	\$ 11,944	
Due From Other Courts	\$ 0					\$ 0	\$ 0	\$ 0	
Due From State	\$ (20,791)	\$ 0	\$ 33,011				\$ 12,219	\$ 61,574	
Trust Due To/From									
Distribution Due To/From									
Civil Filing Fee Due To/From						\$ 0	\$ 0		
General Due To/From	\$ 72						\$ 72	\$ 4	
<b>Total Receivables</b>	<b>\$ 12,002</b>	<b>\$ 0</b>	<b>\$ 33,011</b>	<b>\$ 0</b>		<b>\$ 11,944</b>	<b>\$ 56,957</b>	<b>\$ 73,521</b>	
Prepaid Expenses - General								\$ 0	
Salary and Travel Advances								\$ 0	
Counties									
<b>Total Prepaid Expenses</b>								<b>\$ 0</b>	
Other Assets									
<b>Total Other Assets</b>									
<b>Total Assets</b>	<b>\$ 3,851,206</b>	<b>\$ 235,763</b>	<b>\$ 144,639</b>	<b>\$ 0</b>		<b>\$ 2,123,437</b>	<b>\$ 6,355,045</b>	<b>\$ 6,349,884</b>	

<b>LIABILITIES AND FUND BALANCES</b>									
Accrued Liabilities	\$ 0	\$ 0	\$ 0					\$ 0	\$ 0
Accounts Payable - General	\$ 194,763	\$ 0	\$ 0	\$ 0			\$ 0	\$ 194,763	\$ 12,582
Due to Other Funds	\$ 0	\$ 0	\$ 0				\$ 72	\$ 72	\$ 4
Due to Other Courts	\$ 0							\$ 0	
Due to State	\$ 0							\$ 0	\$ 0
TC145 Liability							\$ 324,313	\$ 324,313	\$ 409,459
Due to Other Governments	\$ 0		\$ 0					\$ 0	\$ 0
AB145 Due to Other Government Agency									
Due to Other Public Agencies									
Sales and Use Tax	\$ 56							\$ 56	\$ 1,920
Interest							\$ 107	\$ 107	\$ 18
Miscellaneous Accts. Pay. and Accrued Liab.									\$ 0
<b>Total Accounts Payable and Accrued Liab.</b>	<b>\$ 194,819</b>	<b>\$ 0</b>	<b>\$ 0</b>	<b>\$ 0</b>			<b>\$ 324,492</b>	<b>\$ 519,311</b>	<b>\$ 423,983</b>
Civil							\$ 455,670	\$ 455,670	\$ 31,498
Criminal							\$ 0	\$ 0	\$ 0
Unreconciled - Civil and Criminal									
Trust Held Outside of the JCC							\$ 1,320,214	\$ 1,320,214	\$ 2,082,210
Trust Interest Payable							\$ 380	\$ 380	
Miscellaneous Trust									
<b>Total Trust Deposits</b>							<b>\$ 1,776,264</b>	<b>\$ 1,776,264</b>	<b>\$ 2,113,708</b>
Accrued Payroll	\$ 0	\$ 0	\$ 0					\$ 0	\$ 0
Benefits Payable	\$ (1,614)							\$ (1,614)	\$ (6,486)
Deferred Compensation Payable	\$ 0							\$ 0	\$ 0
Deductions Payable	\$ 748							\$ 748	\$ 482
Payroll Clearing	\$ 0							\$ 0	\$ (12)
<b>Total Payroll Liabilities</b>	<b>\$ (866)</b>	<b>\$ 0</b>	<b>\$ 0</b>					<b>\$ (866)</b>	<b>\$ (6,017)</b>
Revenue Collected in Advance	\$ 0		\$ 319,595					\$ 319,595	\$ 59,696
Liabilities For Deposits	\$ 17,122						\$ 20,328	\$ 37,450	\$ 23,287
Jury Fees - Non-Interest							\$ 0	\$ 0	\$ 0
Fees - Partial Payment & Overpayment							\$ 2,343	\$ 2,343	\$ 2,543
Uncleared Collections	\$ 0						\$ 10	\$ 10	\$ 232
Other Miscellaneous Liabilities									
<b>Total Other Liabilities</b>	<b>\$ 17,122</b>		<b>\$ 319,595</b>				<b>\$ 22,680</b>	<b>\$ 359,397</b>	<b>\$ 85,757</b>
<b>Total Liabilities</b>	<b>\$ 211,075</b>	<b>\$ 0</b>	<b>\$ 319,595</b>	<b>\$ 0</b>			<b>\$ 2,123,437</b>	<b>\$ 2,654,107</b>	<b>\$ 2,617,432</b>
<b>Total Fund Balance</b>	<b>\$ 3,640,131</b>	<b>\$ 235,763</b>	<b>\$ (174,956)</b>	<b>\$ 0</b>				<b>\$ 3,700,939</b>	<b>\$ 3,732,452</b>
<b>Total Liabilities and Fund Balance</b>	<b>\$ 3,851,206</b>	<b>\$ 235,763</b>	<b>\$ 144,639</b>	<b>\$ 0</b>			<b>\$ 2,123,437</b>	<b>\$ 6,355,045</b>	<b>\$ 6,349,884</b>

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

For the month ended September											
Fiscal Year 2016/17											
	Governmental Funds							Total Funds (Info. Purposes Only)	Current Budget (Annual)	2015/16	
	Special Revenue			Capital Projects	Debt Service	Proprietary Funds	Fiduciary Funds			Total Funds (Info. Purposes Only)	Final Budget (Annual)
	General	Non-Grant	Grant								
<b>REVENUES</b>											
<b>State Financing Sources</b>											
Trial Court Trust Fund	\$ 5,960,363	\$ 9,434						\$ 5,969,797	\$ 12,270,911	\$ 5,687,558	\$ 12,402,957
Improvement and Modernization Fund								\$ 35,289	\$ 35,289	\$ 0	\$ 35,289
Judges' Compensation (45.25)											
Court Interpreter (45.45)	\$ 176,834							\$ 176,834	\$ 884,000	\$ 194,089	\$ 868,000
Civil Coordination Reimbursement (45.55)	\$ 21,179							\$ 21,179	\$ 183,940	\$ 21,359	\$ 195,480
MOU Reimbursements (45.10 and General)									\$ 203,558		\$ 203,557
Other Miscellaneous											
	\$ 6,158,376	\$ 9,434						\$ 6,167,810	\$ 13,577,698	\$ 5,903,006	\$ 13,705,282
<b>Grants</b>											
AB 1058 Commissioner/Facilitator			\$ 486					\$ 486	\$ 334,788	\$ 33,415	\$ 315,002
Other Judicial Council Grants			\$ (71,057)					\$ (71,057)	\$ 522,194	\$ 29,021	\$ 178,096
Non-Judicial Council Grants											
			\$ (70,571)					\$ (70,571)	\$ 856,982	\$ 62,436	\$ 493,098
<b>Other Financing Sources</b>											
Interest Income	\$ 340	\$ 141						\$ 480	\$ 9,500	\$ 73	\$ 7,800
Investment Income											
Donations										\$ 28	
Local Fees	\$ (25,255)	\$ (15,331)						\$ (40,586)	\$ 190,150	\$ 29,841	\$ 261,062
Non-Fee Revenues											
Enhanced Collections		\$ (38,793)						\$ (38,793)	\$ 228,000	\$ 32,856	\$ 204,997
Escheatment											
Prior Year Revenue											
County Program - Restricted	\$ (10,295)	\$ (1,784)						\$ (1,784)	\$ 42,000	\$ 809	\$ 41,300
Reimbursement Other								\$ (10,295)	\$ 142,500	\$ 3,327	\$ 196,946
Sale of Fixed Assets	\$ 1,875							\$ 1,875	\$ 9,600	\$ 3,548	\$ 16,850
Other Miscellaneous											
	\$ (33,335)	\$ (55,767)						\$ (89,102)	\$ 621,750	\$ 70,483	\$ 728,955
<b>Total Revenues</b>	<b>\$ 6,125,041</b>	<b>\$ (46,333)</b>	<b>\$ (70,571)</b>					<b>\$ 6,008,138</b>	<b>\$ 15,056,430</b>	<b>\$ 6,035,925</b>	<b>\$ 14,927,335</b>
<b>EXPENDITURES</b>											
<b>Personal Services</b>											
Salaries - Permanent	\$ 1,790,672	\$ 39,512	\$ 59,396					\$ 1,889,580	\$ 7,983,913	\$ 1,650,640	\$ 8,123,487
Temp Help										\$ 4,246	
Overtime	\$ 8,829	\$ 1,079	\$ 173					\$ 10,081	\$ 25,000	\$ 1,394	
Staff Benefits	\$ 968,503	\$ 20,715	\$ 29,964					\$ 1,019,181	\$ 4,730,993	\$ 930,007	\$ 4,370,226
	\$ 2,768,004	\$ 61,306	\$ 89,532					\$ 2,918,841	\$ 12,739,906	\$ 2,586,286	\$ 12,493,713
<b>Operating Expenses and Equipment</b>											
General Expense	\$ 23,414		\$ 969					\$ 24,383	\$ 193,144	\$ 39,023	\$ 281,094
Printing	\$ 15,427							\$ 15,427	\$ 76,300	\$ 22,285	\$ 70,101
Telecommunications	\$ (755)							\$ (755)	\$ 107,900	\$ (39,176)	\$ 107,900
Postage	\$ 8,189							\$ 8,189	\$ 70,500	\$ 7,227	\$ 67,500
Insurance											\$ 6,000
In-State Travel	\$ 3,457		\$ 884					\$ 4,341	\$ 40,900	\$ 7,050	\$ 24,150
Out-of-State Travel									\$ 2,000	\$ 889	
Training	\$ 1,335		\$ 765					\$ 2,100	\$ 6,000	\$ 440	\$ 8,500
Security Services									\$ 925		\$ 100
Facility Operations	\$ (39,878)							\$ (39,878)	\$ 484,951	\$ 103,580	\$ 355,950
Utilities											
Contracted Services	\$ 59,996	\$ 5,500	\$ 6,450					\$ 71,946	\$ 582,980	\$ 105,144	\$ 685,430
Consulting and Professional Services	\$ 1,015							\$ 1,015	\$ 12,000	\$ 1,985	\$ 13,140
Information Technology	\$ (368,826)							\$ (368,826)	\$ 334,574	\$ 118,837	\$ 931,000
Major Equipment	\$ 2,800							\$ 2,800	\$ 10,000	\$ 29,639	\$ 50,000
Other Items of Expense	\$ 187							\$ 187	\$ 1,850	\$ 613	\$ 1,850
	\$ (293,639)	\$ 5,500	\$ 9,068					\$ (279,070)	\$ 1,924,024	\$ 398,535	\$ 2,602,715
<b>Special Items of Expense</b>											
Grand Jury											
Jury Costs	\$ 21,122							\$ 21,122	\$ 112,500	\$ 10,495	\$ 133,000
Judgments, Settlements and Claims											
Debt Service											
Other									\$ 280,000		
<b>Capital Costs</b>											
Internal Cost Recovery	\$ (5,785)		\$ 5,785					\$ 0	\$ 0	\$ 0	\$ 0
<b>Prior Year Expense Adjustment</b>											
	\$ 15,337		\$ 5,785					\$ 21,122	\$ 392,500	\$ 10,495	\$ 133,000
<b>Total Expenditures</b>	<b>\$ 2,489,702</b>	<b>\$ 66,806</b>	<b>\$ 104,385</b>					<b>\$ 2,660,893</b>	<b>\$ 15,056,430</b>	<b>\$ 2,995,316</b>	<b>\$ 15,229,428</b>
<b>Excess (Deficit) of Revenues Over Expenditures</b>	<b>\$ 3,635,339</b>	<b>\$ (113,138)</b>	<b>\$ (174,956)</b>					<b>\$ 3,347,245</b>	<b>\$ 0</b>	<b>\$ 3,040,609</b>	<b>\$ (302,093)</b>
<b>Operating Transfers In (Out)</b>											
									\$ 0	\$ 0	\$ 0
<b>Fund Balance (Deficit)</b>											
Beginning Balance (Deficit)	\$ 4,792	\$ 348,902	\$ 0	\$ 0				\$ 353,694	\$ 353,694	\$ 691,843	\$ 691,843
Ending Balance (Deficit)	\$ 3,640,131	\$ 235,763	\$ (174,956)	\$ 0				\$ 3,700,939	\$ 353,694	\$ 3,732,452	\$ 389,750

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

For the month ended September										
Fiscal Year 2016/17								2015/16		
	Personal Services	Operating Expenses and Equipment	Special Items of Expense	Capital Costs	Internal Cost Recovery	Prior Year Expense Adjustment	Total Actual Expense	Current Budget (Annual)	Total Actual Expense	Final Budget (Annual)
<b>PROGRAM EXPENDITURES:</b>										
Judges & Courtroom Support	\$ 1,018,630	\$ 57,589					\$ 1,076,220	\$ 3,807,349	\$ 848,767	\$ 4,319,770
Traffic & Other Infractions	\$ 158,435	\$ 4,104					\$ 162,539	\$ 543,037	\$ 133,174	\$ 693,538
Other Criminal Cases	\$ 89,473	\$ 24,195					\$ 113,669	\$ 1,123,142	\$ 167,980	\$ 813,027
Civil	\$ 245,249	\$ 6,757					\$ 252,006	\$ 1,272,760	\$ 220,367	\$ 1,065,776
Family & Children Services	\$ 106,876	\$ 7,339			\$ 5,785		\$ 119,999	\$ 455,280	\$ 130,550	\$ 591,326
Probate, Guardianship & Mental Health Services	\$ 85,196						\$ 85,196	\$ 373,628	\$ 73,601	\$ 394,632
Juvenile Dependency Services	\$ 51,549						\$ 51,549	\$ 232,967	\$ 45,097	\$ 225,904
Juvenile Delinquency Services		\$ 296					\$ 296	\$ 1,400	\$ 160	\$ 1,908
Other Court Operations	\$ 173,128	\$ 1,061					\$ 174,189	\$ 994,993	\$ 179,864	\$ 817,108
Court Interpreters	\$ 177,980	\$ 1,333					\$ 179,313	\$ 872,506	\$ 176,924	\$ 905,945
Jury Services	\$ 35,565	\$ 24,577	\$ 21,122				\$ 81,264	\$ 350,420	\$ 71,708	\$ 300,490
Security		\$ 2,800					\$ 2,800	\$ 425		\$ 100
<b>Trial Court Operations Program</b>	<b>\$ 2,142,082</b>	<b>\$ 130,051</b>	<b>\$ 21,122</b>		<b>\$ 5,785</b>		<b>\$ 2,299,039</b>	<b>\$ 10,027,907</b>	<b>\$ 2,048,192</b>	<b>\$ 10,129,524</b>
Enhanced Collections	\$ 67,594						\$ 67,594	\$ 228,000	\$ 39,183	\$ 204,997
Other Non-Court Operations	\$ 159,453	\$ 1,513					\$ 160,966	\$ 1,131,495	\$ 221,418	\$ 987,336
<b>Non-Court Operations Program</b>	<b>\$ 227,047</b>	<b>\$ 1,513</b>					<b>\$ 228,560</b>	<b>\$ 1,359,495</b>	<b>\$ 260,601</b>	<b>\$ 1,192,333</b>
Executive Office	\$ 62,946	\$ 0					\$ 62,946	\$ 306,020	\$ 56,019	\$ 266,347
Fiscal Services	\$ 161,636	\$ 2,081			\$ (5,785)		\$ 157,932	\$ 858,836	\$ 190,798	\$ 899,359
Human Resources	\$ 81,948	\$ 5,349					\$ 87,297	\$ 703,645	\$ 80,747	\$ 3,216
Business & Facilities Services	\$ 45,704	\$ 19,307					\$ 65,011	\$ 419,375	\$ 67,703	\$ 542,652
Information Technology	\$ 197,479	\$ (437,372)					\$ (239,893)	\$ 1,381,152	\$ 291,256	\$ 2,195,997
<b>Court Administration Program</b>	<b>\$ 549,713</b>	<b>\$ (410,635)</b>			<b>\$ (5,785)</b>		<b>\$ 133,293</b>	<b>\$ 3,669,028</b>	<b>\$ 686,523</b>	<b>\$ 3,907,571</b>
Expenditures Not Distributed or Posted to a Program										
Prior Year Adjustments Not Posted to a Program										
<b>Total</b>	<b>\$ 2,918,841</b>	<b>\$ (279,070)</b>	<b>\$ 21,122</b>		<b>\$ 0</b>		<b>\$ 2,660,893</b>	<b>\$ 15,056,430</b>	<b>\$ 2,995,316</b>	<b>\$ 15,229,428</b>