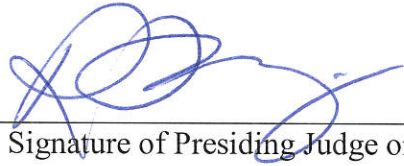


**QUARTERLY FINANCIAL STATEMENT CERTIFICATION**

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



\_\_\_\_\_  
Signature of Presiding Judge or Court Executive

1/8/19  
\_\_\_\_\_  
Date

Santa Clara

\_\_\_\_\_  
Court

FY 2018-19 1st Quarter

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

## QUARTERLY FINANCIAL STATEMENT FOOTNOTES

Santa Clara

Court

FY 2018-19 1st Quarter

Fiscal Year and Ending Quarter

### FOOTNOTES

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

Santa Clara

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Court

FY 2018-19 1st Quarter

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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)	627.90	594.80			

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

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

For the month ended September									
Fiscal Year 2018/19									
	Governmental Funds						Total Funds (Info. Purposes Only)	Total Funds (Info. Purposes Only)	
	General	Special Revenue		Capital Project	Debt Service	Proprietary Funds			Fiduciary Funds
		Non-Grant	Grant						
<b>ASSETS</b>									
Operations	\$ 4,293,883	\$ (749,762)	\$ (775,431)	\$ (2,015,396)			\$ 604,390	\$ 1,357,683	\$ (972,427)
Payroll									
Jury									
Revolving									
Other	\$ 0							\$ 0	\$ 0
Distribution							\$ (405,789)	\$ (405,789)	\$ 520,706
Civil Filing Fees							\$ 0	\$ 0	\$ 0
Trust							\$ (760,849)	\$ (760,849)	\$ (178,921)
Credit Card									
Cash on Hand	\$ 14,865	\$ 150					\$ 0	\$ 15,015	\$ 15,010
Cash with County	\$ 1,930,255							\$ 1,930,255	\$ 221,311
Cash Outside of the JCC							\$ 0	\$ 0	\$ 0
Cash Equivalents	\$ 10,610,798						\$ 46,433,217	\$ 57,044,015	\$ 58,173,612
<b>Total Cash and Cash Equivalents</b>	<b>\$ 16,849,800</b>	<b>\$ (749,612)</b>	<b>\$ (775,431)</b>	<b>\$ (2,015,396)</b>			<b>\$ 45,870,970</b>	<b>\$ 59,180,329</b>	<b>\$ 57,779,291</b>
Short-Term Investment									
Investments									
<b>Total Investments</b>									
Accrued Revenue	\$ 0	\$ 0	\$ 0					\$ 0	\$ 0
Accounts Receivable - General									\$ 0
Dishonored Checks									
Due From Employee								\$ 0	\$ 0
Civil Jury Fees	\$ 0								\$ 0
Trust							\$ 287,238	\$ 287,238	
Due From Other Funds	\$ 0						\$ 0	\$ 0	\$ 139,957
Due From Other Governments	\$ 100,000	\$ 307,838	\$ 12,529					\$ 420,366	\$ 113,604
Due From Other Courts							\$ 0	\$ 0	\$ 0
Due From State	\$ 0	\$ 0	\$ 388,307					\$ 388,307	\$ 624,109
Trust Due To/From							\$ 0	\$ 0	
Distribution Due To/From									\$ 0
Civil Filing Fee Due To/From									
General Due To/From	\$ 40,022	\$ 658,246						\$ 698,269	\$ 17,149
<b>Total Receivables</b>	<b>\$ 140,022</b>	<b>\$ 966,084</b>	<b>\$ 400,836</b>				<b>\$ 287,238</b>	<b>\$ 1,794,181</b>	<b>\$ 894,819</b>
Prepaid Expenses - General	\$ 0							\$ 0	\$ 0
Salary and Travel Advances									
Counties									
<b>Total Prepaid Expenses</b>	<b>\$ 0</b>							<b>\$ 0</b>	<b>\$ 0</b>
Other Assets									
<b>Total Other Assets</b>									
<b>Total Assets</b>	<b>\$ 16,989,822</b>	<b>\$ 216,472</b>	<b>\$ (374,596)</b>	<b>\$ (2,015,396)</b>			<b>\$ 46,158,208</b>	<b>\$ 60,974,510</b>	<b>\$ 58,674,110</b>
<b>LIABILITIES AND FUND BALANCES</b>									
Accrued Liabilities	\$ 0	\$ 0	\$ 0					\$ 0	\$ 0
Accounts Payable - General	\$ 108,744	\$ 0	\$ 13,318	\$ 0			\$ 20,798	\$ 142,860	\$ 134,063
Due to Other Funds	\$ 0	\$ 0	\$ 0				\$ 698,269	\$ 698,269	\$ 157,106
Due to Other Courts									\$ 0
Due to State	\$ 0	\$ 0						\$ 0	\$ 0
TC145 Liability							\$ 1,772,537	\$ 1,772,537	\$ 1,737,032
Due to Other Governments	\$ 0		\$ 0					\$ 0	\$ 646,264
AB145 Due to Other Government Agency	\$ 0						\$ 7,505,766	\$ 7,505,766	\$ 4,349,581
Due to Other Public Agencies									
Sales and Use Tax	\$ 165							\$ 165	\$ 70
Interest							\$ 71,425	\$ 71,425	\$ 28,003
Miscellaneous Accts. Pay. and Accrued Liab.									
<b>Total Accounts Payable and Accrued Liab.</b>	<b>\$ 108,908</b>	<b>\$ 0</b>	<b>\$ 13,318</b>	<b>\$ 0</b>			<b>\$ 10,068,795</b>	<b>\$ 10,191,021</b>	<b>\$ 7,052,119</b>
Civil							\$ 32,807,582	\$ 32,807,582	\$ 30,087,880
Criminal							\$ 2,594,101	\$ 2,594,101	\$ 2,662,581
Unreconciled - Civil and Criminal									
Trust Held Outside of the JCC							\$ 0	\$ 0	\$ 0
Trust Interest Payable							\$ 558,391	\$ 558,391	\$ 149,066
Miscellaneous Trust									
<b>Total Trust Deposits</b>							<b>\$ 35,960,074</b>	<b>\$ 35,960,074</b>	<b>\$ 32,899,528</b>
Accrued Payroll	\$ 0							\$ 0	\$ 0
Benefits Payable	\$ 163,665							\$ 163,665	\$ 30,110
Deferred Compensation Payable									
Deductions Payable	\$ 0							\$ 0	\$ 424
Payroll Clearing									
<b>Total Payroll Liabilities</b>	<b>\$ 163,665</b>							<b>\$ 163,665</b>	<b>\$ 30,534</b>
Revenue Collected in Advance	\$ 1,706,486		\$ 126,149					\$ 1,832,635	\$ 302,024
Liabilities For Deposits	\$ 66,109	\$ 1,349	\$ 1,162				\$ 129,339	\$ 197,958	\$ 154,226
Jury Fees - Non-Interest									
Fees - Partial Payment & Overpayment									
Uncleared Collections							\$ 0	\$ 0	\$ 0
Other Miscellaneous Liabilities									
<b>Total Other Liabilities</b>	<b>\$ 1,772,595</b>	<b>\$ 1,349</b>	<b>\$ 127,310</b>				<b>\$ 129,339</b>	<b>\$ 2,030,593</b>	<b>\$ 456,250</b>
<b>Total Liabilities</b>	<b>\$ 2,045,168</b>	<b>\$ 1,349</b>	<b>\$ 140,628</b>	<b>\$ 0</b>			<b>\$ 46,158,208</b>	<b>\$ 48,345,353</b>	<b>\$ 40,438,431</b>
<b>Total Fund Balance</b>	<b>\$ 14,944,655</b>	<b>\$ 215,123</b>	<b>\$ (515,224)</b>	<b>\$ (2,015,396)</b>				<b>\$ 12,629,157</b>	<b>\$ 18,235,679</b>
<b>Total Liabilities and Fund Balance</b>	<b>\$ 16,989,822</b>	<b>\$ 216,472</b>	<b>\$ (374,596)</b>	<b>\$ (2,015,396)</b>			<b>\$ 46,158,208</b>	<b>\$ 60,974,510</b>	<b>\$ 58,674,110</b>

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

For the month ended September											
Fiscal Year 2018/19											
	Governmental Funds						Total Funds (Info. Purposes Only)	Current Budget (Annual)	Total Funds (Info. Purposes Only)	Final Budget (Annual)	
	General	Special Revenue		Capital Projects	Debt Service	Proprietary Funds					Fiduciary Funds
		Non-Grant	Grant								
<b>REVENUES</b>											
<b>State Financing Sources</b>											
Trial Court Trust Fund	\$ 34,987,228	\$ 54,560					\$ 35,041,788	\$ 83,492,551	\$ 37,091,698	\$ 77,479,174	
Improvement and Modernization Fund								\$ 245,193		\$ 238,521	
Judges' Compensation (0150019)	\$ 187,626						\$ 187,626	\$ 712,514	\$ 187,626	\$ 712,514	
Court Interpreter (0150037)	\$ 560,170						\$ 560,170	\$ 6,852,814	\$ 931,313	\$ 5,852,814	
Civil Coordination Reimbursement (0150091)								\$ 1,964,171	\$ 133,308	\$ 1,021,893	
MOU Reimbursements (0150010 and General)	\$ 164,877						\$ 164,877	\$ 2,309,466		\$ 2,309,467	
Other Miscellaneous											
	\$ 35,899,901	\$ 54,560					\$ 35,954,401	\$ 95,576,709	\$ 38,343,945	\$ 87,614,383	
<b>Grants</b>											
AB 1058 Commissioner/Facilitator			\$ (271,075)				\$ (271,075)	\$ 2,846,373	\$ 141,701	\$ 2,764,502	
Other Judicial Council Grants			\$ 8,867				\$ 8,867	\$ 469,915	\$ 53,200	\$ 900,917	
Non-Judicial Council Grants			\$ 78,719				\$ 78,719	\$ 1,008,133	\$ 75,401	\$ 1,137,739	
			\$ (183,490)				\$ (183,490)	\$ 4,324,421	\$ 270,303	\$ 4,803,158	
<b>Other Financing Sources</b>											
Interest Income	\$ 38,171	\$ 203		\$ 232			\$ 38,606	\$ 168,700	\$ 23,249	\$ 168,700	
Investment Income								\$ 49,218	\$ 10,685	\$ 44,300	
Donations		\$ 5,249					\$ 5,249	\$ 2,182,068	\$ 293,334	\$ 2,016,400	
Local Fees	\$ 20,762	\$ (1,914)					\$ 18,847				
Non-Fee Revenues								\$ 750,200	\$ 142,338	\$ 750,200	
Enhanced Collections		\$ 21,701					\$ 21,701	\$ 37,000	\$ 1,854	\$ 37,000	
Escheatment											
Prior Year Revenue								\$ 3,909	\$ 4,017	\$ 109,393	
County Program - Restricted		\$ 3,909					\$ 3,909	\$ 107,436	\$ 18,684	\$ 720,594	
Reimbursement Other	\$ 99,155	\$ 183,295	\$ (12,429)				\$ 270,021	\$ 2,112,561			
Sale of Fixed Assets											
Other Miscellaneous	\$ 1,433						\$ 1,433	\$ 13,400	\$ 268,893	\$ 1,611,653	
	\$ 159,520	\$ 212,443	\$ (12,429)	\$ 232			\$ 359,766	\$ 5,420,583	\$ 762,854	\$ 5,458,230	
<b>Total Revenues</b>	<b>\$ 36,059,421</b>	<b>\$ 267,003</b>	<b>\$ (195,919)</b>	<b>\$ 232</b>			<b>\$ 36,130,737</b>	<b>\$ 105,321,713</b>	<b>\$ 39,377,102</b>	<b>\$ 97,875,771</b>	
<b>EXPENDITURES</b>											
<b>Personal Services</b>											
Salaries - Permanent	\$ 11,401,103	\$ 139,105	\$ 88,090				\$ 11,628,298	\$ 49,639,718	\$ 11,423,381	\$ 48,300,972	
Temp Help	\$ 77,955						\$ 77,955	\$ 759,760	\$ 90,723	\$ 443,065	
Overtime	\$ 18,879						\$ 18,879	\$ 250,000	\$ 31,372	\$ 170,000	
Staff Benefits	\$ 6,895,219	\$ 436,666	\$ 51,797				\$ 7,383,682	\$ 33,083,854	\$ 7,646,923	\$ 27,428,663	
	\$ 18,393,157	\$ 575,771	\$ 139,887				\$ 19,108,814	\$ 83,733,332	\$ 19,192,399	\$ 76,342,700	
<b>Operating Expenses and Equipment</b>											
General Expense	\$ 264,632	\$ 1,418	\$ 33,295				\$ 299,345	\$ 1,304,640	\$ 236,950	\$ 1,626,735	
Printing	\$ 25,430						\$ 25,430	\$ 129,478	\$ 19,065	\$ 117,000	
Telecommunications	\$ 97,358	\$ 135	\$ 168				\$ 97,660	\$ 815,000	\$ 110,693	\$ 1,020,000	
Postage	\$ 103,572						\$ 103,572	\$ 369,500	\$ 125,739	\$ 370,000	
Insurance	\$ 1,912						\$ 1,912	\$ 39,500	\$ 2,438	\$ 38,000	
In-State Travel	\$ 19,799	\$ 11					\$ 19,810	\$ 120,338	\$ 20,378	\$ 104,500	
Out-of-State Travel	\$ 356		\$ 1,722				\$ 2,078	\$ 51,734	\$ 15,714	\$ 28,858	
Training	\$ 7,149		\$ 944				\$ 8,093	\$ 112,731	\$ 20,906	\$ 115,250	
Security Services	\$ 12,056						\$ 12,056	\$ 404,164	\$ 10,482	\$ 504,844	
Facility Operations	\$ 498,201						\$ 498,201	\$ 1,617,158	\$ 358,602	\$ 1,579,828	
Utilities	\$ 35,753						\$ 35,753	\$ 165,000	\$ 26,859	\$ 169,674	
Contracted Services	\$ 1,263,940	\$ 56,889	\$ 133,614				\$ 1,454,444	\$ 9,302,828	\$ 1,463,044	\$ 10,495,657	
Consulting and Professional Services	\$ 385						\$ 385	\$ 454,676	\$ 3,347	\$ 752,200	
Information Technology	\$ 244,488						\$ 244,488	\$ 2,332,668	\$ 87,579	\$ 2,186,866	
Major Equipment	\$ 110,043						\$ 110,043		\$ 8,164	\$ 8,164	
Other Items of Expense	\$ 10,675						\$ 10,675	\$ 42,670	\$ 4,684	\$ 51,570	
	\$ 2,695,750	\$ 58,453	\$ 169,743				\$ 2,923,946	\$ 17,262,985	\$ 2,524,714	\$ 19,169,144	
<b>Special Items of Expense</b>											
Grand Jury		\$ 2,038					\$ 2,038	\$ 5,500	\$ 3,483	\$ 3,800	
Jury Costs	\$ 185,740	\$ 20,043					\$ 205,782	\$ 771,000	\$ 172,529	\$ 846,200	
Judgements, Settlements and Claims											
Debt Service											
Other	\$ 0						\$ 0			\$ 250,000	
				\$ 2,015,629			\$ 2,015,629	\$ 4,031,000	\$ 2,015,629	\$ 4,031,257	
<b>Capital Costs</b>											
Internal Cost Recovery	\$ (9,675)		\$ 9,675				\$ 0	\$ 0	\$ 0	\$ 0	
<b>Prior Year Expense Adjustment</b>											
	\$ 176,065	\$ 22,081	\$ 9,675	\$ 2,015,629			\$ 2,223,449	\$ 4,807,500	\$ 2,191,640	\$ 5,131,257	
<b>Total Expenditures</b>	<b>\$ 21,264,971</b>	<b>\$ 656,305</b>	<b>\$ 319,305</b>	<b>\$ 2,015,629</b>			<b>\$ 24,256,210</b>	<b>\$ 105,802,917</b>	<b>\$ 23,908,753</b>	<b>\$ 100,643,101</b>	
<b>Excess (Deficit) of Revenues Over Expenditures</b>	<b>\$ 14,794,450</b>	<b>\$ (389,302)</b>	<b>\$ (515,224)</b>	<b>\$ (2,015,396)</b>			<b>\$ 11,874,528</b>	<b>\$ (481,204)</b>	<b>\$ 15,468,349</b>	<b>\$ (2,787,330)</b>	
<b>Operating Transfers In (Out)</b>								\$ 0		\$ 0	
<b>Fund Balance (Deficit)</b>											
Beginning Balance (Deficit)	\$ 150,205	\$ 604,424	\$ 0	\$ 0			\$ 754,629	\$ 754,629	\$ 2,767,330	\$ 2,767,330	
Ending Balance (Deficit)	\$ 14,944,855	\$ 215,123	\$ (515,224)	\$ (2,015,396)			\$ 12,829,157	\$ 273,425	\$ 18,235,679	\$ 0	

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

	For the month ended September									
	Fiscal Year 2018/19								2017/18	
	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	\$ 5,322,858	\$ 258,967	\$ 0				\$ 5,581,825	\$ 24,226,145	\$ 6,171,078	\$ 23,425,916
Traffic & Other Infractions	\$ 868,694	\$ 7,578					\$ 876,272	\$ 4,008,175	\$ 890,428	\$ 3,731,232
Other Criminal Cases	\$ 2,225,738	\$ 202,438			\$ 3,624		\$ 2,431,800	\$ 11,521,945	\$ 2,176,861	\$ 10,547,717
Civil	\$ 1,740,246	\$ 26,733					\$ 1,766,980	\$ 8,223,116	\$ 1,804,500	\$ 7,331,542
Family & Children Services	\$ 2,254,390	\$ 170,524			\$ 167		\$ 2,425,080	\$ 13,451,202	\$ 2,617,375	\$ 13,493,403
Probate, Guardianship & Mental Health Services	\$ 722,037	\$ 5,491					\$ 727,528	\$ 3,266,903	\$ 712,060	\$ 2,959,427
Juvenile Dependency Services	\$ 76,868	\$ 76,453			\$ 853		\$ 154,173	\$ 869,799	\$ 95,158	\$ 282,356
Juvenile Delinquency Services	\$ 117,163	\$ 8,493					\$ 125,656	\$ 804,860	\$ 226,304	\$ 885,352
Other Court Operations	\$ 327,922	\$ 1,015					\$ 328,937	\$ 1,444,762	\$ 100,248	\$ 450,766
Court Interpreters	\$ 729,397	\$ 869,718					\$ 1,599,115	\$ 7,081,218	\$ 1,475,525	\$ 6,255,602
Jury Services	\$ 113,336	\$ 32,523	\$ 185,740				\$ 331,599	\$ 2,009,261	\$ 320,727	\$ 1,585,069
Security		\$ 22,363					\$ 22,363	\$ 31,500	\$ 16,593	\$ 120,864
<b>Trial Court Operations Program</b>	<b>\$ 14,498,648</b>	<b>\$ 1,682,296</b>	<b>\$ 185,740</b>		<b>\$ 4,644</b>		<b>\$ 16,371,328</b>	<b>\$ 76,938,886</b>	<b>\$ 16,606,858</b>	<b>\$ 71,069,246</b>
Enhanced Collections										
Other Non-Court Operations	\$ 416,522	\$ 18,407	\$ 22,081				\$ 457,010	\$ 2,545,134	\$ 93,698	\$ 231,835
<b>Non-Court Operations Program</b>	<b>\$ 416,522</b>	<b>\$ 18,407</b>	<b>\$ 22,081</b>				<b>\$ 457,010</b>	<b>\$ 2,545,134</b>	<b>\$ 93,698</b>	<b>\$ 231,835</b>
Executive Office	\$ 496,318	\$ 113,236			\$ (4,644)		\$ 604,909	\$ 1,651,344	\$ 415,550	\$ 1,864,827
Fiscal Services	\$ 873,835	\$ 130,347					\$ 1,004,182	\$ 6,466,431	\$ 1,120,863	\$ 6,157,687
Human Resources	\$ 1,188,660	\$ 10,851					\$ 1,199,511	\$ 1,693,239	\$ 1,337,563	\$ 1,614,761
Business & Facilities Services	\$ 503,479	\$ 541,537		\$ 2,015,629			\$ 3,060,645	\$ 8,301,974	\$ 2,974,778	\$ 9,677,217
Information Technology	\$ 1,131,353	\$ 427,273					\$ 1,558,625	\$ 8,205,909	\$ 1,359,443	\$ 10,027,529
<b>Court Administration Program</b>	<b>\$ 4,193,644</b>	<b>\$ 1,223,244</b>		<b>\$ 2,015,629</b>	<b>\$ (4,644)</b>		<b>\$ 7,427,872</b>	<b>\$ 26,318,897</b>	<b>\$ 7,208,197</b>	<b>\$ 29,342,020</b>
Expenditures Not Distributed or Posted to a Program										
Prior Year Adjustments Not Posted to a Program										
<b>Total</b>	<b>\$ 19,108,814</b>	<b>\$ 2,923,946</b>	<b>\$ 207,821</b>	<b>\$ 2,015,629</b>	<b>\$ 0</b>		<b>\$ 24,256,210</b>	<b>\$ 105,802,917</b>	<b>\$ 23,908,753</b>	<b>\$ 100,643,101</b>