



**QUARTERLY FINANCIAL STATEMENT CERTIFICATION**

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

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

  
\_\_\_\_\_  
Date

Santa Clara

\_\_\_\_\_  
Court

FY 12-13 First Quarter

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

## QUARTERLY FINANCIAL STATEMENT FOOTNOTES

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Court

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Fiscal Year and Ending Quarter

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

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Court

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Fiscal Year and Ending Quarter

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

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

Santa Clara Superior Court  
Trial Court Operations Fund  
Balance Sheet  
(Unaudited)

For the month ended Sep									
Fiscal Year 2012/13								2011/12	
	Governmental Funds					Proprietary Funds	Fiduciary Funds	Total Funds (Info. Purposes Only)	Total Funds (Info. Purposes Only)
	General	Special Revenue		Capital Project	Debt Service				
		Non-Grant	Grant						
<b>ASSETS</b>									
Operations	\$ (5,899,177)	\$ 414,015	\$ (1,081,460)	\$ 6,506,398			\$ 9,205,035	\$ 9,144,811	\$ (742,590)
Payroll									
Jury									
Revolving									
Other	\$ 0							\$ 0	\$ 0
Distribution							\$ 451,023	\$ 451,023	\$ 802,864
Civil Filing Fees							\$ 0	\$ 0	\$ 0
Trust							\$ 258,127	\$ 258,127	\$ 23,514,167
Credit Card									
Cash on Hand	\$ 16,160							\$ 16,160	\$ 16,185
Cash with County	\$ 7,000,000							\$ 7,000,000	\$ 7,000,000
Cash Outside of the AOC							\$ 0	\$ 0	\$ 0
Total Cash	\$ 1,116,983	\$ 414,015	\$ (1,081,460)	\$ 6,506,398			\$ 9,914,184	\$ 16,870,121	\$ 30,590,626
Short Term Investment									
Investment in Financial Institution	\$ 19,589,675						\$ 10,381,384	\$ 29,971,059	\$ 27,383,310
Total Investments	\$ 19,589,675						\$ 10,381,384	\$ 29,971,059	\$ 27,383,310
Accrued Revenue	\$ 0	\$ 0	\$ 0	\$ 0				\$ 0	\$ 0
Accounts Receivable - General	\$ 70,475	\$ (1)	\$ 232,392					\$ 302,866	\$ 421,767
Dishonored Checks									
Due From Employee									
Civil Jury Fees									
Trust									
Due From Other Funds	\$ 0						\$ 0	\$ 0	\$ 0
Due From Other Governments	\$ 0	\$ 0	\$ 0					\$ 0	\$ 1,045
Due From Other Courts	\$ 0	\$ 0					\$ 0	\$ 0	\$ 0
Due From State	\$ 0	\$ 0	\$ 0					\$ 0	\$ 0
Trust Due To/From							\$ 0	\$ 0	\$ 0
Distribution Due To/From									
Civil Filing Fee Due To/From									
General Due To/From	\$ 4,928							\$ 4,928	\$ 9,484
Total Receivables	\$ 75,403	\$ (1)	\$ 232,392	\$ 0			\$ 0	\$ 307,794	\$ 432,296
Prepaid Expenses - General	\$ 64,680							\$ 64,680	\$ 65,468
Salary and Travel Advances									
Counties									
Total Prepaid Expenses	\$ 64,680							\$ 64,680	\$ 65,468
Other Assets									
Total Other Assets									
Total Assets	\$ 20,846,741	\$ 414,014	\$ (849,068)	\$ 6,506,398			\$ 20,295,569	\$ 47,213,654	\$ 58,471,700
<b>LIABILITIES AND FUND BALANCES</b>									
Accrued Liabilities	\$ 0	\$ 0	\$ 0					\$ 0	\$ 0
Accounts Payable - General	\$ 17,473	\$ 71	\$ 0	\$ 0			\$ 826,035	\$ 843,579	\$ 597,755
Due to Other Funds	\$ 0	\$ 0	\$ 0				\$ 4,928	\$ 4,928	\$ 9,484
Due to Other Courts									
Due to State	\$ 0			\$ 0				\$ 0	\$ 0
TC145 Liability							\$ 2,580,670	\$ 2,580,670	\$ 2,219,378
Due to Other Governments	\$ 0	\$ 0	\$ 0					\$ 0	\$ 53
AB145 Due to Other Government Agency	\$ 0						\$ 8,014,117	\$ 8,014,117	\$ 5,478,535
Due to Other Public Agencies									
Sales and Use Tax	\$ 1,892							\$ 1,892	\$ 580
Interest							\$ 1,806	\$ 1,806	\$ 2,898
Miscellaneous Accts. Pay. and Accrued Liab.									
Total Accounts Payable and Accrued Liab.	\$ 19,365	\$ 71	\$ 0	\$ 0			\$ 11,427,556	\$ 11,446,992	\$ 8,308,684
Civil							\$ 4,259,152	\$ 4,259,152	\$ 19,025,751
Criminal							\$ 4,463,280	\$ 4,463,280	\$ 4,331,081
Unreconciled - Civil and Criminal									
Trust Held Outside of the AOC							\$ 0	\$ 0	\$ 0
Trust Interest Payable							\$ 16,891	\$ 16,891	\$ 69,139
Miscellaneous Trust									
Total Trust Deposits							\$ 8,739,323	\$ 8,739,323	\$ 23,425,971
Accrued Payroll	\$ 405,132							\$ 405,132	\$ 405,132
Benefits Payable									
Deferred Compensation Payable									
Deductions Payable									
Payroll Clearing									
Total Payroll Liabilities	\$ 405,132							\$ 405,132	\$ 405,132
Revenue Collected in Advance			\$ 12,570					\$ 12,570	\$ 261,549
Liabilities For Deposits	\$ 34,172	\$ 1,131	\$ 0				\$ 128,689	\$ 163,992	\$ 110,906
Jury Fees - Non-Interest									
Fees - Partial Payment & Overpayment									
Uncleared Collections	\$ 0							\$ 0	\$ 0
Other Miscellaneous Liabilities									
Total Other Liabilities	\$ 34,172	\$ 1,131	\$ 12,570				\$ 128,689	\$ 176,562	\$ 372,455
Total Liabilities	\$ 458,669	\$ 1,201	\$ 12,570	\$ 0			\$ 20,295,569	\$ 20,768,009	\$ 32,512,242
Fund Balance - Nonspendable									
Fund Balance - Restricted	\$ 0	\$ 956,113	\$ 0					\$ 956,113	\$ 3,357,487
Fund Balance - Committed	\$ 0			\$ 3,406,010				\$ 3,406,010	\$ 0
Fund Balance - Assigned	\$ 22,077,746			\$ 1,850,222				\$ 23,927,968	\$ 16,998,539
Fund Balance - Unassigned	\$ 0	\$ 0	\$ 0	\$ 0				\$ 0	\$ 4,330,093
Excess (Deficit) of Rev. Over Expenses/Op. Transfers	\$ (1,689,674)	\$ (543,300)	\$ (861,639)	\$ 1,250,167				\$ (1,844,446)	\$ 1,273,340
Total Fund Balance	\$ 20,388,073	\$ 412,813	\$ (861,639)	\$ 6,506,398				\$ 26,445,645	\$ 25,959,458
Total Liabilities and Fund Balance	\$ 20,846,741	\$ 414,014	\$ (849,068)	\$ 6,506,398			\$ 20,295,569	\$ 47,213,654	\$ 58,471,700

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

For the month ended Sep										
Fiscal Year 2012/13									2011/12	
	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	\$ 5,791,608	\$ 365,424				\$ 0	\$ 6,157,032	\$ 30,370,773	\$ 6,225,021	\$ 33,353,898
Traffic & Other Infractions	\$ 1,300,840	\$ 11,469					\$ 1,312,309	\$ 6,841,622	\$ 1,546,699	\$ 8,185,837
Other Criminal Cases	\$ 2,400,644	\$ 226,924				\$ 0	\$ 2,627,568	\$ 14,515,899	\$ 2,575,230	\$ 16,092,855
Civil	\$ 1,894,393	\$ 45,736					\$ 1,940,129	\$ 10,264,369	\$ 2,182,379	\$ 11,209,438
Family & Children Services	\$ 2,305,473	\$ 233,036				\$ 0	\$ 2,538,509	\$ 14,185,088	\$ 2,328,409	\$ 13,895,059
Probate, Guardianship & Mental Health Services	\$ 653,975	\$ 11,183					\$ 665,158	\$ 3,317,004	\$ 643,109	\$ 3,487,978
Juvenile Dependency Services	\$ 122,118	\$ 17,243				\$ 0	\$ 139,361	\$ 744,069	\$ 155,392	\$ 980,832
Juvenile Delinquency Services	\$ 133,037	\$ 6,401					\$ 139,437	\$ 1,089,909	\$ 156,334	\$ 781,058
Other Court Operations	\$ 112,593	\$ 54					\$ 112,647	\$ 550,832	\$ 114,977	\$ 749,979
Court Interpreters	\$ 692,529	\$ 127,100					\$ 819,629	\$ 4,116,090	\$ 803,386	\$ 5,416,558
Jury Services	\$ 172,268	\$ 12,006	\$ 130,306				\$ 314,580	\$ 1,441,984	\$ 373,705	\$ 1,570,822
Security		\$ 12,698					\$ 12,698	\$ 301,656	\$ (199)	\$ 345,376
Trial Court Operations Program	\$ 15,579,477	\$ 1,069,273	\$ 130,306			\$ 0	\$ 16,779,057	\$ 87,739,295	\$ 17,104,443	\$ 96,069,690
Enhanced Collections										
Other Non-Court Operations	\$ 429,195	\$ 15,753	\$ 27,058				\$ 472,005	\$ 1,741,394	\$ 464,070	\$ 288,860
Non-Court Operations Program	\$ 429,195	\$ 15,753	\$ 27,058				\$ 472,005	\$ 1,741,394	\$ 464,070	\$ 288,860
Executive Office	\$ 544,505	\$ 17,254					\$ 561,760	\$ 1,717,603	\$ 653,144	\$ 1,700,992
Fiscal Services	\$ 447,891	\$ 353,226					\$ 801,116	\$ 3,684,133	\$ 694,932	\$ 4,317,269
Human Resources	\$ 379,438	\$ 24,300					\$ 403,738	\$ 2,259,331	\$ 454,055	\$ 2,517,916
Business & Facilities Services	\$ 810,212	\$ 374,617		\$ (1,250,000)			\$ (65,171)	\$ 9,852,868	\$ 132,681	\$ 10,820,616
Information Technology	\$ 918,991	\$ 332,502					\$ 1,251,493	\$ 7,397,831	\$ 1,694,949	\$ 6,808,584
Court Administration Program	\$ 3,101,037	\$ 1,101,899		\$ (1,250,000)			\$ 2,952,936	\$ 24,911,766	\$ 3,629,761	\$ 26,165,377
Expenditures Not Distributed or Posted to a Program										
Prior Year Adjustments Not Posted to a Program										
<b>Total</b>	\$ 19,109,709	\$ 2,186,925	\$ 157,364	\$ (1,250,000)		\$ 0	\$ 20,203,998	\$ 114,392,455	\$ 21,198,274	\$ 122,523,927

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

For the month ended Sep											
Fiscal Year 2012/13										2011/12	
	Governmental Funds					Proprietary Funds	Fiduciary Funds	Total Funds (Info. Purposes Only)	Current Budget (Annual)	Total Funds (Info. Purposes Only)	Final Budget (Annual)
	Special Revenue			Capital Projects	Debt Service						
	General	Non-Grant	Grant								
<b>REVENUES</b>											
State Financing Sources											
Trial Court Trust Fund	\$ 16,181,437	\$ 16,467						\$ 16,197,903	\$ 70,967,307	\$ 20,250,301	\$ 93,233,935
Trial Court Improvement Fund									\$ 332,172	\$ (782)	\$ 332,173
Judicial Administration Efficiency & Mod Fund	\$ 0							\$ 0	\$ 464,370	\$ 0	\$ 526,387
Judges' Compensation (45.25)	\$ 187,626							\$ 187,626	\$ 750,500	\$ 187,626	\$ 750,500
Court Interpreter (45.45)	\$ 724,436							\$ 724,436	\$ 3,000,000	\$ 681,863	\$ 3,000,000
Civil Coordination Reimbursement (45.55)											
MOU Reimbursements (45.10 and General)	\$ 143,041							\$ 143,041	\$ 824,693	\$ 135,747	\$ 1,320,576
Other Miscellaneous									\$ 1,810,282		\$ 1,797,417
	\$ 17,236,540	\$ 16,467						\$ 17,253,006	\$ 78,149,324	\$ 21,254,755	\$ 100,960,988
Grants											
AB 1058 Commissioner/Facilitator									\$ 2,606,199	\$ 0	\$ 2,625,607
Other AOC Grants	\$ 0		\$ 2,127					\$ 2,127	\$ 126,634	\$ 166,144	\$ 302,486
Non-AOC Grants			\$ 14,291					\$ 14,291	\$ 2,099,535	\$ 25,233	\$ 1,906,202
	\$ 0		\$ 16,418					\$ 16,418	\$ 4,832,368	\$ 191,377	\$ 4,834,295
Other Financing Sources											
Interest Income	\$ 14,385	\$ 32		\$ 167				\$ 14,583	\$ 75,000	\$ 19,578	\$ 150,000
Investment Income		\$ 4,885						\$ 4,885	\$ 14,000	\$ 4,866	\$ 20,000
Donations									\$ 1,603,500	\$ 232,697	\$ 1,406,000
Local Fees	\$ 331,819							\$ 331,819			
Non-Fee Revenues											
Enhanced Collections		\$ 111,135						\$ 111,135	\$ 723,000	\$ 123,945	\$ 700,000
Escheatment	\$ 0							\$ 0			\$ 1,000,000
Prior Year Revenue	\$ (5,733)							\$ (5,733)		\$ 46,214	
County Program - Restricted		\$ 2,524						\$ 2,524	\$ 331,220	\$ 28,606	\$ 351,714
Reimbursement Other	\$ 359,979	\$ 0						\$ 359,979	\$ 1,818,745	\$ 22,464	\$ 1,913,317
Sale of Fixed Assets											
Other Miscellaneous	\$ 270,936							\$ 270,936	\$ 1,613,253	\$ 547,111	\$ 2,168,253
	\$ 971,386	\$ 118,575		\$ 167				\$ 1,090,128	\$ 6,178,718	\$ 1,025,482	\$ 7,709,284
<b>Total Revenues</b>	<b>\$ 18,207,926</b>	<b>\$ 135,042</b>	<b>\$ 16,418</b>	<b>\$ 167</b>				<b>\$ 18,359,552</b>	<b>\$ 89,160,410</b>	<b>\$ 22,471,613</b>	<b>\$ 113,504,567</b>
<b>EXPENDITURES</b>											
Personal Services											
Salaries - Permanent	\$ 10,806,180	\$ 142,003	\$ 316,959					\$ 11,265,143	\$ 56,843,639	\$ 11,704,633	\$ 59,222,889
Temp Help	\$ 159,079	\$ 1,692	\$ 32,926					\$ 193,697	\$ 598,963	\$ 232,739	\$ 1,163,960
Overtime	\$ 5,415							\$ 5,415	\$ 48,000	\$ 16,607	\$ 50,000
Staff Benefits	\$ 6,909,402	\$ 465,410	\$ 270,642					\$ 7,645,454	\$ 38,815,528	\$ 7,799,814	\$ 43,606,682
	\$ 17,880,076	\$ 609,106	\$ 620,527					\$ 19,109,709	\$ 96,306,130	\$ 19,753,792	\$ 104,043,531
Operating Expenses and Equipment											
General Expense	\$ 261,747	\$ 4,270	\$ 7,377					\$ 273,394	\$ 1,709,481	\$ 307,378	\$ 1,876,911
Printing	\$ 59,333	\$ 435						\$ 59,769	\$ 191,200	\$ 42,954	\$ 200,000
Telecommunications	\$ 241,372		\$ 205					\$ 241,577	\$ 800,000	\$ 253,028	\$ 850,000
Postage	\$ 85,745							\$ 85,745	\$ 467,000	\$ 137,289	\$ 460,000
Insurance	\$ 2,627							\$ 2,627	\$ 40,000	\$ 4,107	\$ 40,000
In-State Travel	\$ 12,602	\$ 6	\$ 0					\$ 12,608	\$ 97,817	\$ 9,620	\$ 163,880
Out-of-State Travel	\$ 64		\$ 1,017					\$ 1,082	\$ 20,492	\$ 4,899	
Training	\$ 23,807		\$ 0					\$ 23,807	\$ 104,676	\$ 24,006	\$ 167,942
Security Services									\$ 301,656		\$ 295,376
Facility Operations	\$ 238,273							\$ 238,273	\$ 1,134,778	\$ 139,419	\$ 1,169,236
Utilities	\$ 34,300							\$ 34,300	\$ 160,000	\$ 34,014	\$ 160,000
Contracted Services	\$ 647,792	\$ 37,467	\$ 144,959					\$ 830,219	\$ 6,720,802	\$ 1,016,561	\$ 6,963,705
Consulting and Professional Services	\$ 293,443							\$ 293,443	\$ 2,165,113	\$ 138,350	\$ 2,100,113
Information Technology	\$ 73,302							\$ 73,302	\$ 878,939	\$ 132,643	\$ 631,684
Major Equipment	\$ 7,101							\$ 7,101	\$ 7,101	\$ 306,033	\$ 112,549
Other Items of Expense	\$ 9,680							\$ 9,680	\$ 69,500	\$ 9,741	\$ 73,000
	\$ 1,991,187	\$ 42,179	\$ 153,559					\$ 2,186,925	\$ 14,868,555	\$ 2,560,043	\$ 15,264,397
Special Items of Expense											
Grand Jury		\$ 2,745						\$ 2,745	\$ 4,000	\$ 3,638	\$ 11,000
Jury Costs	\$ 130,306	\$ 24,313						\$ 154,619	\$ 713,770	\$ 130,801	\$ 705,000
Judgements, Settlements and Claims											
Debt Service											
Other										\$ 0	
Capital Costs					\$ (1,250,000)			\$ (1,250,000)	\$ 2,500,000	\$ (1,250,000)	\$ 2,500,000
Internal Cost Recovery	\$ (103,970)		\$ 103,970					\$ 0	\$ 0	\$ 0	\$ 0
Prior Year Expense Adjustment											
	\$ 26,336	\$ 27,058	\$ 103,970	\$ (1,250,000)				\$ (1,092,636)	\$ 3,217,770	\$ (1,115,561)	\$ 3,216,000
<b>Total Expenditures</b>	<b>\$ 19,897,599</b>	<b>\$ 678,342</b>	<b>\$ 878,057</b>	<b>\$ (1,250,000)</b>				<b>\$ 20,203,998</b>	<b>\$ 114,392,455</b>	<b>\$ 21,198,274</b>	<b>\$ 122,523,927</b>
Excess (Deficit) of Revenues Over Expenditures	\$ (1,689,674)	\$ (543,300)	\$ (861,639)	\$ 1,250,167				\$ (1,844,446)	\$ (25,232,045)	\$ 1,273,340	\$ (9,019,360)
Operating Transfers In (Out)									\$ 0	\$ 0	\$ 0
Fund Balance (Deficit)											
Beginning Balance (Deficit)	\$ 22,077,746	\$ 956,113	\$ 0	\$ 5,256,232				\$ 28,290,091	\$ 28,290,091	\$ 24,686,118	\$ 24,686,118
Ending Balance (Deficit)	\$ 20,388,073	\$ 412,813	\$ (861,639)	\$ 6,506,398				\$ 26,445,645	\$ 3,058,046	\$ 25,959,458	\$ 15,666,758