

BUDGET ENTITY	D3A ISSUE CODE	COLUMN NUMBERS	CODE	ERROR MESSAGE	PAGE
---------------	----------------	----------------	------	---------------	------

THERE WERE 0 ERRORS DETECTED

	COL A12	COL A14	COL A15	COL A16	COL A14-A12	
	AGY FIN REQ	AGY AMD REQ	AGY AMD N/R	AGY AMD ANZ	AGY FIN REQ	
	FY 2021-22	FY 2021-22	FY 2021-22	FY 2021-22	FY 2021-22	
POS	AMOUNT	POS	AMOUNT	POS	AMOUNT	CODES
FINANCIAL SERVICES						43000000
PGM: FINANCIAL SVCS COMM						43900000
OFFICE OF FINANCIAL REG						43900500
SFTY & SOUND ST BKG SYST						43900530
PUBLIC PROTECTION						12
REGULATION AND LICENSING						1204.00.00.00
INTRA-AGENCY REORGANIZATIONS						1800000
LEGAL TEAM REALIGNMENT - LEGAL AND						
ADMINISTRATIVE POSITIONS WITHIN						
OFFICE OF FINANCIAL REGULATION -						
DEDUCT						1800600
SALARY RATE						000000
SALARY RATE.....	272,700-	242,700-			30,000	
SALARIES AND BENEFITS						010000
FINANCIAL INST REG TF -STATE	4.00- 382,501-	3.00- 332,676-			1.00 49,825	2275 1
EXPENSES						040000
FINANCIAL INST REG TF -STATE	7,200-	5,400-			1,800	2275 1
TOTAL: LEGAL TEAM REALIGNMENT - LEGAL AND						1800600
ADMINISTRATIVE POSITIONS WITHIN						
OFFICE OF FINANCIAL REGULATION -						
DEDUCT						
TOTAL POSITIONS.....	4.00-	3.00-			1.00	
TOTAL ISSUE.....	389,701-	338,076-			51,625	
TOTAL SALARY RATE.....	272,700-	242,700-			30,000	

AGENCY ISSUE NARRATIVE:

2021-2022 BUDGET YEAR NARRATIVE:

IT COMPONENT? NO

AGENCY ISSUE NARRATIVE:

2021-2022 BUDGET YEAR NARRATIVE:

IT COMPONENT? NO

This issue requests the approval to transfer twenty-four (24) attorney positions and six (6) administrative assistant positions from the Division of Financial Institutions, Division of Consumer Finance, Division of Securities and the Bureau of Financial Investigations to the General Counsel's Office within Executive Direction and Support Services.

During FY 2010-11, the Office of Financial Regulation (OFR) transferred the attorneys and administrative support staff to the divisions. The intent was for each division to have their own legal unit supporting their

COL A12		COL A14		COL A15		COL A16		COL A14-A12		CODES
AGY FIN REQ FY 2021-22	AGY AMD REQ FY 2021-22	AGY AMD REQ FY 2021-22	AGY AMD N/R FY 2021-22	AGY AMD ANZ FY 2021-22	AGY AMD ANZ FY 2021-22	AGY AMD ANZ FY 2021-22	AGY AMD ANZ FY 2021-22	AGY AMD REQ FY 2021-22	AGY FIN REQ FY 2021-22	
POS	AMOUNT	POS	AMOUNT	POS	AMOUNT	POS	AMOUNT	POS	AMOUNT	
FINANCIAL SERVICES										43000000
PGM: FINANCIAL SVCS COMM										43900000
OFFICE OF FINANCIAL REG										43900500
SFTY & SOUND ST BKG SYST										43900530
PUBLIC PROTECTION										12
REGULATION AND LICENSING										1204.00.00.00
INTRA-AGENCY REORGANIZATIONS										1800000
LEGAL TEAM REALIGNMENT - LEGAL AND										
ADMINISTRATIVE POSITIONS WITHIN										
OFFICE OF FINANCIAL REGULATION -										
DEDUCT										1800600

activities, reporting the Division Directors.

This realignment of positions will centralize the attorneys and administrative support staff and provide better cross training opportunities as well as the ability to handle legal cases in a more timely and efficient manner.

Four (4) FTE positions will be transferred from the Division of Financial Institutions to the General Counsel's Office within Executive Direction and Support Services. These positions include one (1) Attorney Supervisor, two (2) Senior Attorneys and one (1) administrative support position.

One (1) FTE position will be transferred from the Bureau of Financial Investigations to the General Counsel's Office within Executive Direction and Support Services. This includes one (1) administrative support position.

Fourteen (14) FTE positions will be transferred from the Division of Consumer Finance to the General Counsel's Office within Executive Direction and Support Services. These positions include one (1) Attorney Supervisor, nine (9) Senior Attorneys, one (1) Attorney, and three (3) administrative support positions.

Eleven (11) FTE positions will be transferred from the Division of Securities to the General Counsel's Office within Executive Direction and Support Services. These positions include one (1) Attorney Supervisor, nine (9) Senior Attorneys, and one (1) administrative support position.

Division of Financial Institutions (BE Detail of Costs:43900530)

Quantity	Description	Amount	Non-Recurring
-----	-----	-----	-----
(1)	Reduce Attorney Supervisor, PG 240 \$90,000 each Salaries and Benefits	(\$124,780)	\$0
(2)	Reduce Sr. Attorney, PG 230 \$75,000 each Salaries and Benefits	(\$207,896)	\$0

	COL A12	COL A14	COL A15	COL A16	COL A14-A12	
	AGY FIN REQ	AGY AMD REQ	AGY AMD N/R	AGY AMD ANZ	AGY AMD REQ	
	FY 2021-22	FY 2021-22	FY 2021-22	FY 2021-22	FY 2021-22	
	POS	AMOUNT	POS	AMOUNT	POS	AMOUNT
						CODES
FINANCIAL SERVICES						43000000
PGM: FINANCIAL SVCS COMM						43900000
OFFICE OF FINANCIAL REG						43900500
SFTY & SOUND ST BKG SYST						43900530
<u>PUBLIC PROTECTION</u>						12
<u>REGULATION AND LICENSING</u>						1204.00.00.00
INTRA-AGENCY REORGANIZATIONS						1800000
LEGAL TEAM REALIGNMENT - LEGAL AND						
ADMINISTRATIVE POSITIONS WITHIN						
OFFICE OF FINANCIAL REGULATION -						
DEDUCT						1800600

(1)	Reduce Admin. Support Staff	(\$49,825)	\$0
	Total Salaries and Benefits	(\$382,501)	\$0
(4)	Reduce Expenses \$1,800 each	(\$7,200)	\$0
	Issue Total	(\$389,701)	\$0

This issue code 1800600 is the deduct from Salaries and Benefits, and Expenses categories, issue code 1800610 is the add to Salaries and Benefits, and Expenses categories.

Amended 2021-22 Narrative after February 10, 2021

AGENCY ISSUE NARRATIVE:

2021-2022 BUDGET YEAR NARRATIVE:

IT COMPONENT? NO

This issue requests the approval to transfer twenty-four (24) attorney positions and four (4) administrative assistant positions from the Division of Financial Institutions, Division of Consumer Finance, Division of Securities and the Bureau of Financial Investigations to the General Counsel's Office within Executive Direction and Support Services.

During FY 2010-11, the Office of Financial Regulation (OFR) transferred the attorneys and administrative support staff to the divisions. The intent was for each division to have their own legal unit supporting their activities, reporting the Division Directors.

This realignment of positions will centralize the attorneys and administrative support staff and provide better cross training opportunities as well as the ability to handle legal cases in a more timely and efficient manner.

Three (3) FTE positions will be transferred from the Division of Financial Institutions to the General Counsel's Office within Executive Direction and Support Services. These positions include one (1) Attorney Supervisor and two (2) Senior Attorneys.

	COL A12	COL A14	COL A15	COL A16	COL A14-A12	
					AGY AMD REQ	
					FY 2021-22	
					OVER(UNDER)	
	AGY FIN REQ	AGY AMD REQ	AGY AMD N/R	AGY AMD ANZ	AGY FIN REQ	
	FY 2021-22	FY 2021-22	FY 2021-22	FY 2021-22	FY 2021-22	
POS	AMOUNT	POS	AMOUNT	POS	AMOUNT	CODES
FINANCIAL SERVICES						43000000
PGM: FINANCIAL SVCS COMM						43900000
OFFICE OF FINANCIAL REG						43900500
SFTY & SOUND ST BKG SYST						43900530
<u>PUBLIC PROTECTION</u>						12
<u>REGULATION AND LICENSING</u>						1204.00.00.00
INTRA-AGENCY REORGANIZATIONS						1800000
LEGAL TEAM REALIGNMENT - LEGAL AND						
ADMINISTRATIVE POSITIONS WITHIN						
OFFICE OF FINANCIAL REGULATION -						
DEDUCT						1800600

One (1) FTE position will be transferred from the Bureau of Financial Investigations to the General Counsel's Office within Executive Direction and Support Services. This includes one (1) administrative support position.

Twelve (12) FTE positions will be transferred from the Division of Consumer Finance to the General Counsel's Office within Executive Direction and Support Services. These positions include one (1) Attorney Supervisor, nine (9) Senior Attorneys, one (1) Attorney, and one (1) administrative support position.

Twelve (12) FTE positions will be transferred from the Division of Securities to the General Counsel's Office within Executive Direction and Support Services. These positions include one (1) Attorney Supervisor, nine (9) Senior Attorneys, and two (2) administrative support positions.

Division of Financial Regulation (BE Detail of Costs:43900560)

Quantity	Description	Amount	Non-Recurring
(1)	Reduce Admin. Support Staff	(\$49,825)	\$0
	Total Salaries and Benefits	(\$49,825)	\$0
(1)	Reduce Expenses \$1,800 each	(\$1,800)	\$0
	Issue Total	(\$51,625)	\$0

This issue code 1800600 is the deduct and is linked to issue code 1800610 which is the add back. This issue is also linked to fund shift issue codes 3400310 and 3400320.

Summary:

Position 04828 - Administrative Assistant I was removed from the original request. The removal of this position deleted \$51,625 in total cost (\$30,000 Salary Rate + \$19,825 Benefits + \$1,800 Expenses). Total overall impact is a net decrease to the original request for Safety and Soundness of State Banking System in the amount of \$51,625.

COL A12		COL A14		COL A15		COL A16		COL A14-A12		CODES
POS	AMOUNT	POS	AMOUNT	POS	AMOUNT	POS	AMOUNT	POS	AMOUNT	

FINANCIAL SERVICES 43000000
 PGM: FINANCIAL SVCS COMM 43900000
 OFFICE OF FINANCIAL REG 43900500
 SFTY & SOUND ST BKG SYST 43900530
PUBLIC PROTECTION 12
REGULATION AND LICENSING 1204.00.00.00
 INTRA-AGENCY REORGANIZATIONS 1800000
 LEGAL TEAM REALIGNMENT - LEGAL AND
 ADMINISTRATIVE POSITIONS WITHIN
 OFFICE OF FINANCIAL REGULATION -
 DEDUCT 1800600

POSITION DETAIL OF SALARIES AND BENEFITS:

FTE	BASE RATE	ADDITIVES	BENEFITS	SUBTOTAL	LAPSE %	LAPSED SALARIES AND BENEFITS
A12 - AGY FIN REQ FY 2021-22						
CHANGES TO CURRENTLY AUTHORIZED POSITIONS						
0709 ADMINISTRATIVE ASSISTANT I						
04828 001	1.00-	30,000-		19,825-	49,825- 0.00	49,825-
7738 SENIOR ATTORNEY						
04328 001	1.00-	75,000-		28,948-	103,948- 0.00	103,948-
04345 001	1.00-	75,000-		28,948-	103,948- 0.00	103,948-
7743 ATTORNEY SUPERVISOR						
01642 001	1.00-	92,700-		32,080-	124,780- 0.00	124,780-

TOTALS FOR ISSUE BY FUND						
2275 FINANCIAL INST REG TF						
	4.00-	272,700-		109,801-	382,501-	382,501-
=====						

A14 - AGY AMD REQ FY 2021-22

CHANGES TO CURRENTLY AUTHORIZED POSITIONS

7738 SENIOR ATTORNEY						
04328 001	1.00-	75,000-		28,948-	103,948- 0.00	103,948-
04345 001	1.00-	75,000-		28,948-	103,948- 0.00	103,948-
7743 ATTORNEY SUPERVISOR						

COL A12		COL A14		COL A15		COL A16		COL A14-A12		CODES
AGY FIN REQ FY 2021-22	POS	AGY AMD REQ FY 2021-22	POS	AGY AMD N/R FY 2021-22	POS	AGY AMD ANZ FY 2021-22	POS	AGY AMD REQ FY 2021-22 OVER(UNDER)	AGY FIN REQ FY 2021-22	
AMOUNT		AMOUNT		AMOUNT		AMOUNT		AMOUNT	AMOUNT	

FINANCIAL SERVICES 43000000
 PGM: FINANCIAL SVCS COMM 43900000
 OFFICE OF FINANCIAL REG 43900500
 SFTY & SOUND ST BKG SYST 43900530
PUBLIC PROTECTION 12
REGULATION AND LICENSING 1204.00.00.00
 INTRA-AGENCY REORGANIZATIONS 1800000
 LEGAL TEAM REALIGNMENT - LEGAL AND
 ADMINISTRATIVE POSITIONS WITHIN
 OFFICE OF FINANCIAL REGULATION -
 DEDUCT 1800600

POSITION DETAIL OF SALARIES AND BENEFITS:

FTE	BASE RATE	ADDITIVES	BENEFITS	SUBTOTAL	LAPSE %	LAPSED SALARIES AND BENEFITS
A14 - AGY AMD REQ FY 2021-22						
CHANGES TO CURRENTLY AUTHORIZED POSITIONS						
01642 001	1.00-	92,700-		32,080-	124,780-	0.00 124,780-
TOTALS FOR ISSUE BY FUND						
2275 FINANCIAL INST REG TF	3.00-	242,700-		89,976-	332,676-	332,676-

TOTAL: REGULATION AND LICENSING 1204.00.00.00
 BY FUND TYPE

TRUST FUNDS.....	4.00-	389,701-	3.00-	338,076-	1.00	51,625	2000
SALARY RATE.....	272,700-		242,700-		30,000		

	COL A12	COL A14	COL A15	COL A16	COL A14-A12	
	AGY FIN REQ	AGY AMD REQ	AGY AMD N/R	AGY AMD ANZ	AGY AMD REQ	
	FY 2021-22	FY 2021-22	FY 2021-22	FY 2021-22	FY 2021-22	
	POS	AMOUNT	POS	AMOUNT	POS	AMOUNT
FINANCIAL SERVICES						43000000
PGM: FINANCIAL SVCS COMM						43900000
OFFICE OF FINANCIAL REG						43900500
FINANCIAL INVESTIGATIONS						43900540
PUBLIC PROTECTION						12
REGULATION AND LICENSING						1204.00.00.00
INTRA-AGENCY REORGANIZATIONS						1800000
LEGAL TEAM REALIGNMENT - LEGAL AND						
ADMINISTRATIVE POSITIONS WITHIN						
OFFICE OF FINANCIAL REGULATION -						
DEDUCT						1800600
SALARY RATE						000000
SALARY RATE.....	30,000-	30,000-				
SALARIES AND BENEFITS						010000
ADMINISTRATIVE TRUST FUND -STATE	1.00- 49,825-	1.00- 49,825-				2021 1
EXPENSES						040000
ADMINISTRATIVE TRUST FUND -STATE	1,800-	1,800-				2021 1
TOTAL: LEGAL TEAM REALIGNMENT - LEGAL AND						1800600
ADMINISTRATIVE POSITIONS WITHIN						
OFFICE OF FINANCIAL REGULATION -						
DEDUCT						
TOTAL POSITIONS.....	1.00-	1.00-				
TOTAL ISSUE.....	51,625-	51,625-				
TOTAL SALARY RATE.....	30,000-	30,000-				

AGENCY ISSUE NARRATIVE:

2021-2022 BUDGET YEAR NARRATIVE:

IT COMPONENT? NO

AGENCY ISSUE NARRATIVE:

2021-2022 BUDGET YEAR NARRATIVE:

IT COMPONENT? NO

This issue requests the approval to transfer twenty-four (24) attorney positions and six (6) administrative assistant positions from the Division of Financial Institutions, Division of Consumer Finance, Division of Securities and the Bureau of Financial Investigations to the General Counsel's Office within Executive Direction and Support Services.

During FY 2010-11, the Office of Financial Regulation (OFR) transferred the attorneys and administrative support staff to the divisions. The intent was for each division to have their own legal unit supporting their

	COL A12	COL A14	COL A15	COL A16	COL A14-A12	
					AGY AMD REQ	
					FY 2021-22	
					OVER(UNDER)	
	AGY FIN REQ	AGY AMD REQ	AGY AMD N/R	AGY AMD ANZ	AGY FIN REQ	
	FY 2021-22	FY 2021-22	FY 2021-22	FY 2021-22	FY 2021-22	
POS	AMOUNT	POS	AMOUNT	POS	AMOUNT	CODES
FINANCIAL SERVICES						43000000
PGM: FINANCIAL SVCS COMM						43900000
OFFICE OF FINANCIAL REG						43900500
FINANCIAL INVESTIGATIONS						43900540
PUBLIC PROTECTION						12
REGULATION AND LICENSING						1204.00.00.00
INTRA-AGENCY REORGANIZATIONS						1800000
LEGAL TEAM REALIGNMENT - LEGAL AND						
ADMINISTRATIVE POSITIONS WITHIN						
OFFICE OF FINANCIAL REGULATION -						
DEDUCT						1800600

activities, reporting the Division Directors.

This realignment of positions will centralize the attorneys and administrative support staff and provide better cross training opportunities as well as the ability to handle legal cases in a more timely and efficient manner.

Four (4) FTE positions will be transferred from the Division of Financial Institutions to the General Counsel's Office within Executive Direction and Support Services. These positions include one (1) Attorney Supervisor, two (2) Senior Attorneys and one (1) administrative support position.

One (1) FTE position will be transferred from the Bureau of Financial Investigations to the General Counsel's Office within Executive Direction and Support Services. This includes one (1) administrative support position.

Fourteen (14) FTE positions will be transferred from the Division of Consumer Finance to the General Counsel's Office within Executive Direction and Support Services. These positions include one (1) Attorney Supervisor, nine (9) Senior Attorneys, one (1) Attorney, and three (3) administrative support positions.

Eleven (11) FTE positions will be transferred from the Division of Securities to the General Counsel's Office within Executive Direction and Support Services. These positions include one (1) Attorney Supervisor, nine (9) Senior Attorneys, and one (1) administrative support position.

Bureau of Financial Investigations (BE Detail of Costs:43900540)

Quantity	Description	Amount	Non-Recurring
(1)	Reduce Admin. Support Staff	(\$49,825)	\$0
	Total Salaries and Benefits	(\$49,825)	\$0
(1)	Reduce Expenses \$1,800 each	(\$1,800)	\$0
	Issue Total	(\$51,625)	\$0

COL A12		COL A14		COL A15		COL A16		COL A14-A12		CODES
AGY FIN REQ FY 2021-22	POS AMOUNT	AGY AMD REQ FY 2021-22	POS AMOUNT	AGY AMD N/R FY 2021-22	POS AMOUNT	AGY AMD ANZ FY 2021-22	POS AMOUNT	AGY AMD REQ FY 2021-22 OVER(UNDER)	AGY FIN REQ FY 2021-22	
FINANCIAL SERVICES										43000000
PGM: FINANCIAL SVCS COMM										43900000
OFFICE OF FINANCIAL REG										43900500
FINANCIAL INVESTIGATIONS										43900540
PUBLIC PROTECTION										12
REGULATION AND LICENSING										1204.00.00.00
INTRA-AGENCY REORGANIZATIONS										1800000
LEGAL TEAM REALIGNMENT - LEGAL AND ADMINISTRATIVE POSITIONS WITHIN OFFICE OF FINANCIAL REGULATION - DEDUCT										1800600

This issue code 1800600 is the deduct from Salaries and Benefits, and Expenses categories, issue code 1800610 is the add to Salaries and Benefits, and Expenses categories.

Amended 2021-22 Narrative after February 10, 2021

AGENCY ISSUE NARRATIVE:

2021-2022 BUDGET YEAR NARRATIVE:

IT COMPONENT? NO

This issue requests the approval to transfer twenty-four (24) attorney positions and four (4) administrative assistant positions from the Division of Financial Institutions, Division of Consumer Finance, Division of Securities and the Bureau of Financial Investigations to the General Counsel's Office within Executive Direction and Support Services.

During FY 2010-11, the Office of Financial Regulation (OFR) transferred the attorneys and administrative support staff to the divisions. The intent was for each division to have their own legal unit supporting their activities, reporting the Division Directors.

This realignment of positions will centralize the attorneys and administrative support staff and provide better cross training opportunities as well as the ability to handle legal cases in a more timely and efficient manner.

Three (3) FTE positions will be transferred from the Division of Financial Institutions to the General Counsel's Office within Executive Direction and Support Services. These positions include one (1) Attorney Supervisor and two (2) Senior Attorneys.

One (1) FTE position will be transferred from the Bureau of Financial Investigations to the General Counsel's Office within Executive Direction and Support Services. This includes one (1) administrative support position.

Twelve (12) FTE positions will be transferred from the Division of Consumer Finance to the General Counsel's Office within Executive Direction and Support Services. These positions include one (1) Attorney Supervisor, nine (9) Senior Attorneys, one (1) Attorney, and one (1) administrative support position.

Twelve (12) FTE positions will be transferred from the Division of Securities to the General Counsel's Office within Executive Direction and Support Services. These positions include one (1) Attorney Supervisor, nine (9) Senior Attorneys, and two (2) administrative support positions.

	COL A12	COL A14	COL A15	COL A16	COL A14-A12	
					AGY AMD REQ	
					FY 2021-22	
					OVER(UNDER)	
	AGY FIN REQ	AGY AMD REQ	AGY AMD N/R	AGY AMD ANZ	AGY FIN REQ	
	FY 2021-22	FY 2021-22	FY 2021-22	FY 2021-22	FY 2021-22	
POS	AMOUNT	POS	AMOUNT	POS	AMOUNT	CODES
FINANCIAL SERVICES						43000000
PGM: FINANCIAL SVCS COMM						43900000
OFFICE OF FINANCIAL REG						43900500
<u>FINANCIAL INVESTIGATIONS</u>						43900540
<u>PUBLIC PROTECTION</u>						12
<u>REGULATION AND LICENSING</u>						<u>1204.00.00.00</u>
INTRA-AGENCY REORGANIZATIONS						1800000
LEGAL TEAM REALIGNMENT - LEGAL AND						
ADMINISTRATIVE POSITIONS WITHIN						
OFFICE OF FINANCIAL REGULATION -						
DEDUCT						1800600

Bureau of Financial Investigations (BE Detail of Costs:43900540)

Quantity	Description	Amount	Non-Recurring
-----	-----	-----	-----
(1)	Reduce Admin. Support Staff	(\$49,825)	\$0
	Total Salaries and Benefits	(\$49,825)	\$0
(1)	Reduce Expenses \$1,800 each	(\$1,800)	\$0
	Issue Total	(\$51,625)	\$0

This issue code 1800600 is the deduct and is linked to issue code 1800610 which is the add back. This issue is also linked to fund shift issue codes 3400310 and 3400320.

Summary: No changes to the LBR for Financial Investigations.

COL A12		COL A14		COL A15		COL A16		COL A14-A12		CODES
AGY FIN REQ FY 2021-22	AGY AMD REQ FY 2021-22	AGY AMD N/R FY 2021-22	AGY AMD ANZ FY 2021-22	AGY AMD REQ FY 2021-22	AGY FIN REQ FY 2021-22	AGY AMD REQ FY 2021-22	AGY AMD N/R FY 2021-22	AGY AMD ANZ FY 2021-22	AGY FIN REQ FY 2021-22	
POS	AMOUNT	POS	AMOUNT	POS	AMOUNT	POS	AMOUNT	POS	AMOUNT	

FINANCIAL SERVICES 43000000
 PGM: FINANCIAL SVCS COMM 43900000
 OFFICE OF FINANCIAL REG 43900500
 FINANCIAL INVESTIGATIONS 43900540
PUBLIC PROTECTION 12
REGULATION AND LICENSING 1204.00.00.00
 INTRA-AGENCY REORGANIZATIONS 1800000
 LEGAL TEAM REALIGNMENT - LEGAL AND
 ADMINISTRATIVE POSITIONS WITHIN
 OFFICE OF FINANCIAL REGULATION -
 DEDUCT 1800600

POSITION DETAIL OF SALARIES AND BENEFITS:

FTE	BASE RATE	ADDITIVES	BENEFITS	SUBTOTAL	LAPSE %	LAPSED SALARIES AND BENEFITS
A12 - AGY FIN REQ FY 2021-22						
CHANGES TO CURRENTLY AUTHORIZED POSITIONS						
0709 ADMINISTRATIVE ASSISTANT I						
04684 001	1.00-	30,000-		19,825-	49,825- 0.00	49,825-
TOTALS FOR ISSUE BY FUND						
2021 ADMINISTRATIVE TRUST FUND						49,825-
	1.00-	30,000-		19,825-	49,825-	49,825-

A14 - AGY AMD REQ FY 2021-22

CHANGES TO CURRENTLY AUTHORIZED POSITIONS						
0709 ADMINISTRATIVE ASSISTANT I						
04684 001	1.00-	30,000-		19,825-	49,825- 0.00	49,825-

COL A12		COL A14		COL A15		COL A16		COL A14-A12		CODES
AGY FIN REQ FY 2021-22	POS	AGY AMD REQ FY 2021-22	POS	AGY AMD N/R FY 2021-22	POS	AGY AMD ANZ FY 2021-22	POS	AGY AMD REQ FY 2021-22 OVER(UNDER)	AGY FIN REQ FY 2021-22	
AMOUNT		AMOUNT		AMOUNT		AMOUNT		AMOUNT	AMOUNT	

FINANCIAL SERVICES 43000000
 PGM: FINANCIAL SVCS COMM 43900000
 OFFICE OF FINANCIAL REG 43900500
 FINANCIAL INVESTIGATIONS 43900540
 PUBLIC PROTECTION 12
 REGULATION AND LICENSING 1204.00.00.00
 INTRA-AGENCY REORGANIZATIONS 1800000
 LEGAL TEAM REALIGNMENT - LEGAL AND
 ADMINISTRATIVE POSITIONS WITHIN
 OFFICE OF FINANCIAL REGULATION -
 DEDUCT 1800600

POSITION DETAIL OF SALARIES AND BENEFITS:

FTE	BASE RATE	ADDITIVES	BENEFITS	SUBTOTAL	LAPSE %	LAPSED SALARIES AND BENEFITS
A14 - AGY AMD REQ FY 2021-22						
CHANGES TO CURRENTLY AUTHORIZED POSITIONS						
TOTALS FOR ISSUE BY FUND						
2021 ADMINISTRATIVE TRUST FUND						
1.00-	30,000-		19,825-	49,825-		49,825-

 TOTAL: REGULATION AND LICENSING 1204.00.00.00
 BY FUND TYPE
 TRUST FUNDS..... 1.00- 1.00-
 SALARY RATE..... 30,000- 30,000-
 =====

	COL A12	COL A14	COL A15	COL A16	COL A14-A12	
					AGY AMD REQ	
					FY 2021-22	
					OVER(UNDER)	
	AGY FIN REQ	AGY AMD REQ	AGY AMD N/R	AGY AMD ANZ	AGY FIN REQ	
	FY 2021-22	FY 2021-22	FY 2021-22	FY 2021-22	FY 2021-22	
POS	AMOUNT	POS	AMOUNT	POS	AMOUNT	CODES
FINANCIAL SERVICES						43000000
PGM: FINANCIAL SVCS COMM						43900000
OFFICE OF FINANCIAL REG						43900500
EXEC DIR & SUPPORT SERVICE						43900550
PUBLIC PROTECTION						12
REGULATION AND LICENSING						1204.00.00.00
INTRA-AGENCY REORGANIZATIONS						1800000
LEGAL TEAM REALIGNMENT - LEGAL AND						
ADMINISTRATIVE POSITIONS WITHIN						
OFFICE OF FINANCIAL REGULATION -						
ADD						1800610
SALARY RATE						000000
SALARY RATE.....	2,034,600	1,987,300			47,300-	
SALARIES AND BENEFITS						010000
ADMINISTRATIVE TRUST FUND -STATE	49,825	49,825				2021 1
FINANCIAL INST REG TF -STATE	382,501	332,676			49,825-	2275 1
REGULATORY TRUST FUND -STATE	2,427,959	2,393,081			34,878-	2573 1
TOTAL POSITIONS.....	30.00	28.00			2.00-	
TOTAL APPRO.....	2,860,285	2,775,582			84,703-	
EXPENSES						040000
ADMINISTRATIVE TRUST FUND -STATE	1,800	1,800				2021 1
FINANCIAL INST REG TF -STATE	7,200	5,400			1,800-	2275 1
REGULATORY TRUST FUND -STATE	45,000	43,200			1,800-	2573 1
TOTAL APPRO.....	54,000	50,400			3,600-	
TOTAL: LEGAL TEAM REALIGNMENT - LEGAL AND						1800610
ADMINISTRATIVE POSITIONS WITHIN						
OFFICE OF FINANCIAL REGULATION -						
ADD						
TOTAL POSITIONS.....	30.00	28.00			2.00-	
TOTAL ISSUE.....	2,914,285	2,825,982			88,303-	
TOTAL SALARY RATE.....	2,034,600	1,987,300			47,300-	

COL A12	COL A14	COL A15	COL A16	COL A14-A12	
AGY FIN REQ FY 2021-22	AGY AMD REQ FY 2021-22	AGY AMD N/R FY 2021-22	AGY AMD ANZ FY 2021-22	AGY AMD REQ FY 2021-22 OVER(UNDER) AGY FIN REQ FY 2021-22	CODES
POS	AMOUNT	POS	AMOUNT	POS	AMOUNT
FINANCIAL SERVICES					43000000
PGM: FINANCIAL SVCS COMM					43900000
OFFICE OF FINANCIAL REG					43900500
<u>EXEC DIR & SUPPORT SERVICE</u>					43900550
<u>PUBLIC PROTECTION</u>					12
<u>REGULATION AND LICENSING</u>					<u>1204.00.00.00</u>
INTRA-AGENCY REORGANIZATIONS					1800000
LEGAL TEAM REALIGNMENT - LEGAL AND ADMINISTRATIVE POSITIONS WITHIN OFFICE OF FINANCIAL REGULATION - ADD					1800610

AGENCY ISSUE NARRATIVE:

2021-2022 BUDGET YEAR NARRATIVE: IT COMPONENT? NO
 AGENCY ISSUE NARRATIVE:
 2021-2022 BUDGET YEAR NARRATIVE: IT COMPONENT? NO

This issue requests the approval to transfer twenty-four (24) attorney positions and six (6) administrative assistant positions from the Division of Financial Institutions, Division of Consumer Finance, Division of Securities and the Bureau of Financial Investigations to the General Counsel's Office within Executive Direction and Support Services.

During FY 2010-11, the Office of Financial Regulation (OFR) transferred the attorneys and administrative support staff to the divisions. The intent was for each division to have their own legal unit supporting their activities, reporting the Division Directors.

This realignment of positions will centralize the attorneys and administrative support staff and provide better cross training opportunities as well as the ability to handle legal cases in a more timely and efficient manner.

Four (4) FTE positions will be transferred from the Division of Financial Institutions to the General Counsel's Office within Executive Direction and Support Services. These positions include one (1) Attorney Supervisor, two (2) Senior Attorneys and one (1) administrative support position.

One (1) FTE position will be transferred from the Bureau of Financial Investigations to the General Counsel's Office within Executive Direction and Support Services. This includes one (1) administrative support position.

Fourteen (14) FTE positions will be transferred from the Division of Consumer Finance to the General Counsel's Office within Executive Direction and Support Services. These positions include one (1) Attorney Supervisor, nine (9) Senior Attorneys, one (1) Attorney, and three (3) administrative support positions.

Eleven (11) FTE positions will be transferred from the Division of Securities to the General Counsel's Office within Executive Direction and Support Services. These positions include one (1) Attorney Supervisor, nine (9) Senior Attorneys, and one (1) administrative support position.

Executive Direction and Support Services (BE Detail of Costs:43900550)

COL A12		COL A14		COL A15		COL A16		COL A14-A12		CODES
AGY FIN REQ FY 2021-22	AGY AMD REQ FY 2021-22	AGY AMD REQ FY 2021-22	AGY AMD N/R FY 2021-22	AGY AMD ANZ FY 2021-22	AGY AMD ANZ FY 2021-22	AGY FIN REQ FY 2021-22	AGY AMD REQ FY 2021-22	OVER(UNDER)		
POS	AMOUNT	POS	AMOUNT	POS	AMOUNT	POS	AMOUNT	POS	AMOUNT	

FINANCIAL SERVICES 43000000
 PGM: FINANCIAL SVCS COMM 43900000
 OFFICE OF FINANCIAL REG 43900500
 EXEC DIR & SUPPORT SERVICE 43900550
 PUBLIC PROTECTION 12
 REGULATION AND LICENSING 1204.00.00.00
 INTRA-AGENCY REORGANIZATIONS 1800000
 LEGAL TEAM REALIGNMENT - LEGAL AND
 ADMINISTRATIVE POSITIONS WITHIN
 OFFICE OF FINANCIAL REGULATION -
 ADD 1800610

Quantity	Description	Amount	Non-Recurring
3	Add Back Attorney Supervisor, PG 240 \$90,000 each Salaries and Benefits	\$374,340	\$0
20	Add Back Sr. Attorney, PG 230 \$75,000 each Salaries and Benefits	\$2,078,960	\$0
1	Add Back Attorney, PG 220 \$55,000 each Salaries and Benefits	\$80,410	\$0
6	Add Back Admin. Support Staff	\$326,575	\$0
	Total Salaries and Benefits	\$2,860,285	\$0
30	Add Back Expenses \$1,800 each	\$54,000	\$0
	Issue Total	\$2,914,285	\$0

This issue code 1800610 is the add to Salaries and Benefits, and Expenses categories, issue code 1800600 is the deduct from Salaries and Benefits, and Expenses categories.

Amended 2021-22 Narrative after February 10, 2021

AGENCY ISSUE NARRATIVE:
 2021-2022 BUDGET YEAR NARRATIVE:

IT COMPONENT? NO

COL A12		COL A14		COL A15		COL A16		COL A14-A12		CODES
AGY FIN REQ FY 2021-22	AGY AMD REQ FY 2021-22	AGY AMD REQ FY 2021-22	AGY AMD N/R FY 2021-22	AGY AMD ANZ FY 2021-22	AGY AMD ANZ FY 2021-22	AGY AMD ANZ FY 2021-22	AGY AMD ANZ FY 2021-22	AGY AMD REQ FY 2021-22	AGY FIN REQ FY 2021-22	
POS	AMOUNT	POS	AMOUNT	POS	AMOUNT	POS	AMOUNT	POS	AMOUNT	
FINANCIAL SERVICES										43000000
PGM: FINANCIAL SVCS COMM										43900000
OFFICE OF FINANCIAL REG										43900500
<u>EXEC DIR & SUPPORT SERVICE</u>										43900550
PUBLIC PROTECTION										12
<u>REGULATION AND LICENSING</u>										<u>1204.00.00.00</u>
INTRA-AGENCY REORGANIZATIONS										1800000
LEGAL TEAM REALIGNMENT - LEGAL AND										
ADMINISTRATIVE POSITIONS WITHIN										
OFFICE OF FINANCIAL REGULATION -										
ADD										1800610

This issue requests the approval to transfer twenty-four (24) attorney positions and four (4) administrative assistant positions from the Division of Financial Institutions, Division of Consumer Finance, Division of Securities and the Bureau of Financial Investigations to the General Counsel's Office within Executive Direction and Support Services.

During FY 2010-11, the Office of Financial Regulation (OFR) transferred the attorneys and administrative support staff to the divisions. The intent was for each division to have their own legal unit supporting their activities, reporting the Division Directors.

This realignment of positions will centralize the attorneys and administrative support staff and provide better cross training opportunities as well as the ability to handle legal cases in a more timely and efficient manner.

Three (3) FTE positions will be transferred from the Division of Financial Institutions to the General Counsel's Office within Executive Direction and Support Services. These positions include one (1) Attorney Supervisor and two (2) Senior Attorneys.

One (1) FTE position will be transferred from the Bureau of Financial Investigations to the General Counsel's Office within Executive Direction and Support Services. This includes one (1) administrative support position.

Twelve (12) FTE positions will be transferred from the Division of Consumer Finance to the General Counsel's Office within Executive Direction and Support Services. These positions include one (1) Attorney Supervisor, nine (9) Senior Attorneys, one (1) Attorney, and one (1) administrative support position.

Twelve (12) FTE positions will be transferred from the Division of Securities to the General Counsel's Office within Executive Direction and Support Services. These positions include one (1) Attorney Supervisor, nine (9) Senior Attorneys, and two (2) administrative support positions.

Division of Financial Regulation (BE Detail of Costs:43900550)

Quantity	Description	Amount	Non-Recurring
-----	-----	-----	-----
3	Add Back Attorney Supervisor, PG 240		

	COL A12	COL A14	COL A15	COL A16	COL A14-A12	
	AGY FIN REQ	AGY AMD REQ	AGY AMD N/R	AGY AMD ANZ	AGY AMD REQ	
	FY 2021-22	FY 2021-22	FY 2021-22	FY 2021-22	FY 2021-22	
	POS	AMOUNT	POS	AMOUNT	POS	AMOUNT
						CODES
FINANCIAL SERVICES						43000000
PGM: FINANCIAL SVCS COMM						43900000
OFFICE OF FINANCIAL REG						43900500
EXEC DIR & SUPPORT SERVICE						43900550
PUBLIC PROTECTION						12
REGULATION AND LICENSING						1204.00.00.00
INTRA-AGENCY REORGANIZATIONS						1800000
LEGAL TEAM REALIGNMENT - LEGAL AND						
ADMINISTRATIVE POSITIONS WITHIN						
OFFICE OF FINANCIAL REGULATION -						
ADD						1800610
	\$92,700 each					
	Salaries and Benefits	\$374,340	\$0			
20	Add Back Sr. Attorney, PG 230					
	\$75,000 each					
	Salaries and Benefits	\$2,078,960	\$0			
1	Add Back Attorney, PG 220					
	\$55,000 each					
	Salaries and Benefits	\$80,410	\$0			
4	Add Back Admin. Support Staff	\$241,872	\$0			
	Total Salaries and Benefits	\$2,775,582	\$0			
28	Add Back Expenses \$1,800 each	\$50,400	\$0			
	Issue Total	\$2,825,982	\$0			

This issue code 1800600 is the deduct and is linked to issue code 1800610 which is the add back. This issue is also linked to fund shift issue codes 3400310 and 3400320.

Summary:

Position 04828 Administrative Assistant I - Removed position from the original Legislative Budget Request (LBR) for the Safety and Soundness of State Banking System. The removal of this position deleted \$51,625 in total cost (\$30,000 Salary Rate + \$19,825 Benefits + \$1,800 Expenses).

Position 04686 Administrative Assistant I - Removed position from the original LBR for Finance Regulation. This reduced the total amount of \$51,625 (Salary Rate \$30,000 + Benefits \$19,825 + Expenses \$1,800).

Position 04450 Administrative Assistant III (SES) - Increased the base salary from \$34,500 to \$47,200. This will create a net increase to the total in the amount of \$14,947 (Base Salary Increase \$12,700 + Benefits \$2,247).

COL A12		COL A14		COL A15		COL A16		COL A14-A12		CODES
AGY FIN REQ FY 2021-22	POS AMOUNT	AGY AMD REQ FY 2021-22	POS AMOUNT	AGY AMD N/R FY 2021-22	POS AMOUNT	AGY AMD ANZ FY 2021-22	POS AMOUNT	AGY AMD REQ FY 2021-22 OVER(UNDER)	AGY FIN REQ FY 2021-22	

FINANCIAL SERVICES 43000000
 PGM: FINANCIAL SVCS COMM 43900000
 OFFICE OF FINANCIAL REG 43900500
 EXEC DIR & SUPPORT SERVICE 43900550
 PUBLIC PROTECTION 12
 REGULATION AND LICENSING 1204.00.00.00
 INTRA-AGENCY REORGANIZATIONS 1800000
 LEGAL TEAM REALIGNMENT - LEGAL AND
 ADMINISTRATIVE POSITIONS WITHIN
 OFFICE OF FINANCIAL REGULATION -
 ADD 1800610

Total overall impact is a net decrease to the original LBR for Executive Direction and Support Services in the amount of
 -\$88,303 (-\$51,625 - \$51,625 + \$14,947).

POSITION DETAIL OF SALARIES AND BENEFITS:

	FTE	BASE RATE	ADDITIVES	BENEFITS	SUBTOTAL	LAPSE %	LAPSED SALARIES AND BENEFITS
A12 - AGY FIN REQ FY 2021-22							
CHANGES TO CURRENTLY AUTHORIZED POSITIONS							
0709 ADMINISTRATIVE ASSISTANT I							
04684 001	1.00	30,000		19,825	49,825	0.00	49,825
04686 001	1.00	30,000		19,825	49,825	0.00	49,825
04828 001	1.00	30,000		19,825	49,825	0.00	49,825
0712 ADMINISTRATIVE ASSISTANT II							
04514 001	1.00	37,000		21,061	58,061	0.00	58,061
0712 ADMINISTRATIVE ASSISTANT II - SES							
04011 001	1.00	40,000		22,756	62,756	0.00	62,756
0714 ADMINISTRATIVE ASSISTANT III - SES							
04450 001	1.00	34,500		21,783	56,283	0.00	56,283
7736 ATTORNEY							
04668 001	1.00	55,000		25,410	80,410	0.00	80,410
7738 SENIOR ATTORNEY							
01645 001	1.00	75,000		28,948	103,948	0.00	103,948
01931 001	1.00	75,000		28,948	103,948	0.00	103,948
01937 001	1.00	75,000		28,948	103,948	0.00	103,948
04184 001	1.00	75,000		28,948	103,948	0.00	103,948
04203 001	1.00	75,000		28,948	103,948	0.00	103,948
04242 001	1.00	75,000		28,948	103,948	0.00	103,948

COL A12		COL A14		COL A15		COL A16		COL A14-A12		CODES
AGY FIN REQ FY 2021-22	POS AMOUNT	AGY AMD REQ FY 2021-22	POS AMOUNT	AGY AMD N/R FY 2021-22	POS AMOUNT	AGY AMD ANZ FY 2021-22	POS AMOUNT	AGY AMD REQ FY 2021-22 OVER(UNDER)	AGY FIN REQ FY 2021-22	

FINANCIAL SERVICES 43000000
 PGM: FINANCIAL SVCS COMM 43900000
 OFFICE OF FINANCIAL REG 43900500
 EXEC DIR & SUPPORT SERVICE 43900550
PUBLIC PROTECTION 12
REGULATION AND LICENSING 1204.00.00.00
 INTRA-AGENCY REORGANIZATIONS 1800000
 LEGAL TEAM REALIGNMENT - LEGAL AND
 ADMINISTRATIVE POSITIONS WITHIN
 OFFICE OF FINANCIAL REGULATION -
 ADD 1800610

POSITION DETAIL OF SALARIES AND BENEFITS:

FTE	BASE RATE	ADDITIVES	BENEFITS	SUBTOTAL	LAPSE %	LAPSED SALARIES AND BENEFITS
A12 - AGY FIN REQ FY 2021-22						
CHANGES TO CURRENTLY AUTHORIZED POSITIONS						
04278 001	1.00	75,000	28,948	103,948	0.00	103,948
04328 001	1.00	75,000	28,948	103,948	0.00	103,948
04345 001	1.00	75,000	28,948	103,948	0.00	103,948
04351 001	1.00	75,000	28,948	103,948	0.00	103,948
04403 001	1.00	75,000	28,948	103,948	0.00	103,948
04456 001	1.00	75,000	28,948	103,948	0.00	103,948
04468 001	1.00	75,000	28,948	103,948	0.00	103,948
04614 001	1.00	75,000	28,948	103,948	0.00	103,948
04639 001	1.00	75,000	28,948	103,948	0.00	103,948
04647 001	1.00	75,000	28,948	103,948	0.00	103,948
04667 001	1.00	75,000	28,948	103,948	0.00	103,948
04816 001	1.00	75,000	28,948	103,948	0.00	103,948
04861 001	1.00	75,000	28,948	103,948	0.00	103,948
04889 001	1.00	75,000	28,948	103,948	0.00	103,948
7743 ATTORNEY SUPERVISOR						
01642 001	1.00	92,700	32,080	124,780	0.00	124,780
04907 001	1.00	92,700	32,080	124,780	0.00	124,780
04908 001	1.00	92,700	32,080	124,780	0.00	124,780

COL A12		COL A14		COL A15		COL A16		COL A14-A12		CODES
POS	AMOUNT	POS	AMOUNT	POS	AMOUNT	POS	AMOUNT	POS	AMOUNT	

FINANCIAL SERVICES 43000000
 PGM: FINANCIAL SVCS COMM 43900000
 OFFICE OF FINANCIAL REG 43900500
 EXEC DIR & SUPPORT SERVICE 43900550
PUBLIC PROTECTION 12
REGULATION AND LICENSING 1204.00.00.00
 INTRA-AGENCY REORGANIZATIONS 1800000
 LEGAL TEAM REALIGNMENT - LEGAL AND
 ADMINISTRATIVE POSITIONS WITHIN
 OFFICE OF FINANCIAL REGULATION -
 ADD 1800610

POSITION DETAIL OF SALARIES AND BENEFITS:

FTE	BASE RATE	ADDITIVES	BENEFITS	SUBTOTAL	LAPSE %	LAPSED SALARIES AND BENEFITS
A12 - AGY FIN REQ FY 2021-22						
CHANGES TO CURRENTLY AUTHORIZED POSITIONS						
TOTALS FOR ISSUE BY FUND						
						49,825
						2,427,959
						382,501
30.00	2,034,600		825,685	2,860,285		2,860,285

A14 - AGY AMD REQ FY 2021-22

CHANGES TO CURRENTLY AUTHORIZED POSITIONS

0709 ADMINISTRATIVE ASSISTANT I						
04684 001	1.00	30,000	19,825	49,825	0.00	49,825
0712 ADMINISTRATIVE ASSISTANT II						
04514 001	1.00	37,000	21,061	58,061	0.00	58,061
0712 ADMINISTRATIVE ASSISTANT II - SES						
04011 001	1.00	40,000	22,756	62,756	0.00	62,756
0714 ADMINISTRATIVE ASSISTANT III - SES						
04450 001	1.00	47,200	24,030	71,230	0.00	71,230
7736 ATTORNEY						
04668 001	1.00	55,000	25,410	80,410	0.00	80,410

COL A12		COL A14		COL A15		COL A16		COL A14-A12		CODES
POS	AMOUNT	POS	AMOUNT	POS	AMOUNT	POS	AMOUNT	POS	AMOUNT	

FINANCIAL SERVICES										43000000
PGM: FINANCIAL SVCS COMM										43900000
OFFICE OF FINANCIAL REG										43900500
EXEC DIR & SUPPORT SERVICE										43900550
PUBLIC PROTECTION										12
REGULATION AND LICENSING										1204.00.00.00
INTRA-AGENCY REORGANIZATIONS										1800000
LEGAL TEAM REALIGNMENT - LEGAL AND										
ADMINISTRATIVE POSITIONS WITHIN										
OFFICE OF FINANCIAL REGULATION -										
ADD										1800610

POSITION DETAIL OF SALARIES AND BENEFITS:

FTE	BASE RATE	ADDITIVES	BENEFITS	SUBTOTAL	LAPSE %	LAPSED SALARIES AND BENEFITS
-----	-----------	-----------	----------	----------	---------	------------------------------

A14 - AGY AMD REQ FY 2021-22

CHANGES TO CURRENTLY AUTHORIZED POSITIONS

7738 SENIOR ATTORNEY

01645 001	1.00	75,000	28,948	103,948	0.00	103,948
01931 001	1.00	75,000	28,948	103,948	0.00	103,948
01937 001	1.00	75,000	28,948	103,948	0.00	103,948
04184 001	1.00	75,000	28,948	103,948	0.00	103,948
04203 001	1.00	75,000	28,948	103,948	0.00	103,948
04242 001	1.00	75,000	28,948	103,948	0.00	103,948
04278 001	1.00	75,000	28,948	103,948	0.00	103,948
04328 001	1.00	75,000	28,948	103,948	0.00	103,948
04345 001	1.00	75,000	28,948	103,948	0.00	103,948
04351 001	1.00	75,000	28,948	103,948	0.00	103,948
04403 001	1.00	75,000	28,948	103,948	0.00	103,948
04456 001	1.00	75,000	28,948	103,948	0.00	103,948
04468 001	1.00	75,000	28,948	103,948	0.00	103,948
04614 001	1.00	75,000	28,948	103,948	0.00	103,948
04639 001	1.00	75,000	28,948	103,948	0.00	103,948
04647 001	1.00	75,000	28,948	103,948	0.00	103,948
04667 001	1.00	75,000	28,948	103,948	0.00	103,948
04816 001	1.00	75,000	28,948	103,948	0.00	103,948
04861 001	1.00	75,000	28,948	103,948	0.00	103,948
04889 001	1.00	75,000	28,948	103,948	0.00	103,948

7743 ATTORNEY SUPERVISOR

01642 001	1.00	92,700	32,080	124,780	0.00	124,780
04907 001	1.00	92,700	32,080	124,780	0.00	124,780
04908 001	1.00	92,700	32,080	124,780	0.00	124,780

COL A12		COL A14		COL A15		COL A16		COL A14-A12		CODES
AGY FIN REQ FY 2021-22	POS	AGY AMD REQ FY 2021-22	POS	AGY AMD N/R FY 2021-22	POS	AGY AMD ANZ FY 2021-22	POS	AGY AMD REQ FY 2021-22 OVER(UNDER)	AGY FIN REQ FY 2021-22	
AMOUNT		AMOUNT		AMOUNT		AMOUNT		AMOUNT	AMOUNT	

FINANCIAL SERVICES 43000000
 PGM: FINANCIAL SVCS COMM 43900000
 OFFICE OF FINANCIAL REG 43900500
 EXEC DIR & SUPPORT SERVICE 43900550
 PUBLIC PROTECTION 12
 REGULATION AND LICENSING 1204.00.00.00
 INTRA-AGENCY REORGANIZATIONS 1800000
 LEGAL TEAM REALIGNMENT - LEGAL AND
 ADMINISTRATIVE POSITIONS WITHIN
 OFFICE OF FINANCIAL REGULATION -
 ADD 1800610

POSITION DETAIL OF SALARIES AND BENEFITS:

FTE	BASE RATE	ADDITIVES	BENEFITS	SUBTOTAL	LAPSE %	LAPSED SALARIES AND BENEFITS
A14 - AGY AMD REQ FY 2021-22						
CHANGES TO CURRENTLY AUTHORIZED POSITIONS						
TOTALS FOR ISSUE BY FUND						
2021 ADMINISTRATIVE TRUST FUND						49,825
2573 REGULATORY TRUST FUND						2,393,081
2275 FINANCIAL INST REG TF						332,676
28.00	1,987,300		788,282	2,775,582		2,775,582

TECHNOLOGY SUPPORT - REALIGNMENT OF
 POSITIONS AND FUNDING WITHIN OFFICE
 OF FINANCIAL REGULATION - ADD 1800630
 SALARY RATE 000000
 SALARY RATE..... 235,980 250,980 15,000
 SALARIES AND BENEFITS 010000
 REGULATORY TRUST FUND -STATE 4.00 336,935 4.00 354,582 17,647 2573 1

	COL A12	COL A14	COL A15	COL A16	COL A14-A12	
	AGY FIN REQ FY 2021-22	AGY AMD REQ FY 2021-22	AGY AMD N/R FY 2021-22	AGY AMD ANZ FY 2021-22	AGY AMD REQ FY 2021-22	AGY FIN REQ FY 2021-22
	POS	AMOUNT	POS	AMOUNT	POS	AMOUNT
FINANCIAL SERVICES						43000000
PGM: FINANCIAL SVCS COMM						43900000
OFFICE OF FINANCIAL REG						43900500
EXEC DIR & SUPPORT SERVICE						43900550
PUBLIC PROTECTION						12
REGULATION AND LICENSING						1204.00.00.00
INTRA-AGENCY REORGANIZATIONS						1800000
TECHNOLOGY SUPPORT - REALIGNMENT OF POSITIONS AND FUNDING WITHIN OFFICE OF FINANCIAL REGULATION - ADD EXPENSES						1800630 040000
REGULATORY TRUST FUND -STATE	7,200	7,200				2573 1
TOTAL: TECHNOLOGY SUPPORT - REALIGNMENT OF POSITIONS AND FUNDING WITHIN OFFICE OF FINANCIAL REGULATION - ADD						1800630
TOTAL POSITIONS.....	4.00	4.00				
TOTAL ISSUE.....	344,135	361,782			17,647	
TOTAL SALARY RATE.....	235,980	250,980			15,000	

AGENCY ISSUE NARRATIVE:

2021-2022 BUDGET YEAR NARRATIVE: IT COMPONENT? YES

AGENCY ISSUE NARRATIVE:

2021-2022 BUDGET YEAR NARRATIVE: IT COMPONENT? YES

This issue requests the approval to transfer four (4) positions including (1) Financial Administrator, (2) Government Analyst II positions one (1) administrative assistant position from the Division of Consumer Finance and Division of Securities to the Executive Direction and Support Services.

This realignment of positions will form at technology support team that will provide information technology assistance to the Executive Direction Chief Operating Officer for special projects and overall agency needs.

Three (3) FTE positions will be transferred from the Division of Consumer Finance to Executive Direction and Support Services. This will include one (1) Financial Administrator and two (2) Government Analyst II positions.

One (1) FTE position will be transferred from the Division of Securities to Executive Direction and Support Services. This will include one (1) Administrative Assistant I position.

Executive Direction and Support Services BE 43900550

Quantity	Description	Amount	Non-Recurring
1	Add Back Financial Admin., PG 429		

	COL A12	COL A14	COL A15	COL A16	COL A14-A12	
					AGY AMD REQ	
					FY 2021-22	
					OVER(UNDER)	
	AGY FIN REQ	AGY AMD REQ	AGY AMD N/R	AGY AMD ANZ	AGY FIN REQ	
	FY 2021-22	FY 2021-22	FY 2021-22	FY 2021-22	FY 2021-22	
POS	AMOUNT	POS	AMOUNT	POS	AMOUNT	CODES
FINANCIAL SERVICES						43000000
PGM: FINANCIAL SVCS COMM						43900000
OFFICE OF FINANCIAL REG						43900500
<u>EXEC DIR & SUPPORT SERVICE</u>						43900550
<u>PUBLIC PROTECTION</u>						12
<u>REGULATION AND LICENSING</u>						<u>1204.00.00.00</u>
INTRA-AGENCY REORGANIZATIONS						1800000
TECHNOLOGY SUPPORT - REALIGNMENT OF						
POSITIONS AND FUNDING WITHIN OFFICE						
OF FINANCIAL REGULATION - ADD						1800630
Salaries and Benefits		\$110,839	\$0			
2 Add Back GAILI, PG 26						
Salaries and Benefits		\$176,271	\$0			
1 Add Back Adm. Asst. I, PG 15						
Salaries and Benefits		\$49,825	\$0			
Total Salaries and Benefits		\$336,935	\$0			
4 Add Back Expenses \$1,800 each		\$7,200	\$0			
Issue Total		\$344,135	\$0			

This issue code 1800630 is the add to Salaries and Benefits, and Expenses categories, issue code 1800620 is the deduct to Salaries and Benefits, and Expenses categories

Amended 2021-22 Narrative after February 10, 2021

AGENCY ISSUE NARRATIVE:

2021-2022 BUDGET YEAR NARRATIVE:

IT COMPONENT? YES

This issue requests the approval to transfer four (4) positions including (1) Financial Administrator, (1) Senior Program Analyst, (1) Government Analyst II, and one (1) administrative assistant from the Division of Consumer Finance and Division of Securities to the Executive Direction and Support Services.

This realignment of positions will form a technology support team that will provide information technology assistance to the Executive Direction Chief Operating Officer for special projects and overall agency needs.

Three (3) FTE positions will be transferred from the Division of Consumer Finance to Executive Direction and Support Services. This will include one (1) Financial Administrator, one (1) Senior Program Analyst and one (1) Government Analyst II position.

One (1) FTE position will be transferred from the Division of Securities to Executive Direction and Support Services.

COL A12		COL A14		COL A15		COL A16		COL A14-A12		CODES
AGY FIN REQ FY 2021-22	AGY AMD REQ FY 2021-22	AGY AMD REQ FY 2021-22	AGY AMD N/R FY 2021-22	AGY AMD ANZ FY 2021-22	AGY AMD ANZ FY 2021-22	AGY FIN REQ FY 2021-22	AGY FIN REQ FY 2021-22	AGY AMD REQ FY 2021-22	OVER(UNDER)	
POS	AMOUNT	POS	AMOUNT	POS	AMOUNT	POS	AMOUNT	POS	AMOUNT	
FINANCIAL SERVICES										43000000
PGM: FINANCIAL SVCS COMM										43900000
OFFICE OF FINANCIAL REG										43900500
EXEC DIR & SUPPORT SERVICE										43900550
PUBLIC PROTECTION										12
REGULATION AND LICENSING										1204.00.00.00
INTRA-AGENCY REORGANIZATIONS										1800000
TECHNOLOGY SUPPORT - REALIGNMENT OF										
POSITIONS AND FUNDING WITHIN OFFICE										
OF FINANCIAL REGULATION - ADD										1800630

This will include one (1) Administrative Assistant I position.

Quantity	Description	Amount	Non-Recurring
Office of Executive Direction BE 43900550			
1	Add Back Financial Admin, PG 429 Salaries and Benefits	\$110,839	\$0
1	Add Back Sr. Program Analyst, PG 27 Salaries and Benefits	\$96,885	\$0
1	Add Back GAII, PG 26 Salaries and Benefits	\$97,033	\$0
1	Add Back Admin. Asst. I PG 15 Salaries and Benefits	\$49,825	\$0
	Total Salaries and Benefits	\$354,582	\$0
4	Add Back Expenses \$1,800 each	\$7,200	\$0
	Issue Total	\$361,782	\$0

This issue code 1800620 is the deduct and is linked to issue code 1800630 which is the add back. This issue is also linked to fund shift issue codes 3400330 and 3400340.

Summary:

Position 01895 - Change in title from Government Analyst II, PG 26 to Senior Program Analyst, PG 27 and an increase to the base salary from \$55,000 to \$70,000. This will increase the total amount for this position by \$17,647 (Base Salary \$15,000 + Benefits \$2,647).

	COL A12	COL A14	COL A15	COL A16	COL A14-A12	
					AGY AMD REQ	
					FY 2021-22	
					OVER(UNDER)	
	AGY FIN REQ	AGY AMD REQ	AGY AMD N/R	AGY AMD ANZ	AGY FIN REQ	
	FY 2021-22	FY 2021-22	FY 2021-22	FY 2021-22	FY 2021-22	
POS	AMOUNT	POS	AMOUNT	POS	AMOUNT	CODES
FINANCIAL SERVICES						43000000
PGM: FINANCIAL SVCS COMM						43900000
OFFICE OF FINANCIAL REG						43900500
EXEC DIR & SUPPORT SERVICE						43900550
PUBLIC PROTECTION						12
REGULATION AND LICENSING						1204.00.00.00
INTRA-AGENCY REORGANIZATIONS						1800000
TECHNOLOGY SUPPORT - REALIGNMENT OF						
POSITIONS AND FUNDING WITHIN OFFICE						
OF FINANCIAL REGULATION - ADD						1800630

Total overall impact is a net increase to the LBR for Executive Direction and Support Services in the amount of \$17,647.

POSITION DETAIL OF SALARIES AND BENEFITS:

	FTE	BASE RATE	ADDITIVES	BENEFITS	SUBTOTAL	LAPSE %	LAPSED SALARIES AND BENEFITS
A12 - AGY FIN REQ FY 2021-22							
CHANGES TO CURRENTLY AUTHORIZED POSITIONS							
0709 ADMINISTRATIVE ASSISTANT I							
04682 001	1.00	30,000		19,825	49,825	0.00	49,825
2225 GOVERNMENT ANALYST II							
01895 001	1.00	55,000		24,238	79,238	0.00	79,238
02078 001	1.00	70,125		26,908	97,033	0.00	97,033
1587 FINANCIAL ADMINISTRATOR - SES							
04454 001	1.00	80,855		29,984	110,839	0.00	110,839
TOTALS FOR ISSUE BY FUND							
2573 REGULATORY TRUST FUND							336,935
	4.00	235,980		100,955	336,935		336,935

COL A12		COL A14		COL A15		COL A16		COL A14-A12		CODES
AGY FIN REQ FY 2021-22	POS	AGY AMD REQ FY 2021-22	POS	AGY AMD N/R FY 2021-22	POS	AGY AMD ANZ FY 2021-22	POS	AGY AMD REQ FY 2021-22 OVER(UNDER)	AGY FIN REQ FY 2021-22	
AMOUNT		AMOUNT		AMOUNT		AMOUNT		AMOUNT	AMOUNT	

FINANCIAL SERVICES 43000000
 PGM: FINANCIAL SVCS COMM 43900000
 OFFICE OF FINANCIAL REG 43900500
 EXEC DIR & SUPPORT SERVICE 43900550
 PUBLIC PROTECTION 12
 REGULATION AND LICENSING 1204.00.00.00
 INTRA-AGENCY REORGANIZATIONS 1800000
 TECHNOLOGY SUPPORT - REALIGNMENT OF
 POSITIONS AND FUNDING WITHIN OFFICE
 OF FINANCIAL REGULATION - ADD 1800630

POSITION DETAIL OF SALARIES AND BENEFITS:

FTE	BASE RATE	ADDITIVES	BENEFITS	SUBTOTAL	LAPSE %	LAPSED SALARIES AND BENEFITS
A14 - AGY AMD REQ FY 2021-22						
CHANGES TO CURRENTLY AUTHORIZED POSITIONS						
0709 ADMINISTRATIVE ASSISTANT I						
04682 001	1.00	30,000	19,825	49,825	0.00	49,825
2225 GOVERNMENT ANALYST II						
02078 001	1.00	70,125	26,908	97,033	0.00	97,033
6843 SENIOR PROGRAM ANALYST						
01895 001	1.00	70,000	26,885	96,885	0.00	96,885
1587 FINANCIAL ADMINISTRATOR - SES						
04454 001	1.00	80,855	29,984	110,839	0.00	110,839
TOTALS FOR ISSUE BY FUND						
2573 REGULATORY TRUST FUND						354,582
4.00	250,980		103,602	354,582		354,582

	COL A12	COL A14	COL A15	COL A16	COL A14-A12	
	AGY FIN REQ FY 2021-22	AGY AMD REQ FY 2021-22	AGY AMD N/R FY 2021-22	AGY AMD ANZ FY 2021-22	AGY AMD REQ FY 2021-22	AGY FIN REQ FY 2021-22
	POS AMOUNT	POS AMOUNT	POS AMOUNT	POS AMOUNT	POS AMOUNT	POS AMOUNT
FINANCIAL SERVICES						43000000
PGM: FINANCIAL SVCS COMM						43900000
OFFICE OF FINANCIAL REG						43900500
EXEC DIR & SUPPORT SERVICE						43900550
PUBLIC PROTECTION						12
REGULATION AND LICENSING						1204.00.00.00
FUND SHIFT						3400000
FUND SHIFT RESULTING FROM REALIGNMENT OF LEGAL TEAM POSITIONS						
- DEDUCT						3400310
SALARY RATE						000000
SALARY RATE.....	2,810,460-	2,725,757-			84,703	
=====						
SALARIES AND BENEFITS						010000
FINANCIAL INST REG TF -STATE	382,501-	332,676-			49,825	2275 1
REGULATORY TRUST FUND -STATE	2,427,959-	2,393,081-			34,878	2573 1
TOTAL APPRO.....	2,810,460-	2,725,757-			84,703	
=====						
EXPENSES						040000
FINANCIAL INST REG TF -STATE	7,200-	5,400-			1,800	2275 1
REGULATORY TRUST FUND -STATE	45,000-	43,200-			1,800	2573 1
TOTAL APPRO.....	52,200-	48,600-			3,600	
=====						
TOTAL: FUND SHIFT RESULTING FROM REALIGNMENT OF LEGAL TEAM POSITIONS						3400310
- DEDUCT						
TOTAL ISSUE.....	2,862,660-	2,774,357-			88,303	
TOTAL SALARY RATE.....	2,810,460-	2,725,757-			84,703	
=====						

AGENCY ISSUE NARRATIVE:
 2021-2022 BUDGET YEAR NARRATIVE: IT COMPONENT? NO
 AGENCY ISSUE NARRATIVE:
 2021-22 BUDGET YEAR NARRATIVE: IT COMPONENT? NO

This fund shift is for the re-alignment of the legal team within the agency (IC 1800600 and 1800610). The positions and funding are being transferred from the Financial Institutions Trust Fund (2275) and Regulatory Trust Fund (2573) to the

COL A12		COL A14		COL A15		COL A16		COL A14-A12		CODES
POS	AMOUNT	POS	AMOUNT	POS	AMOUNT	POS	AMOUNT	POS	AMOUNT	

FINANCIAL SERVICES 43000000
 PGM: FINANCIAL SVCS COMM 43900000
 OFFICE OF FINANCIAL REG 43900500
 EXEC DIR & SUPPORT SERVICE 43900550
 PUBLIC PROTECTION 12
 REGULATION AND LICENSING 1204.00.00.00
 FUND SHIFT 3400000
 FUND SHIFT RESULTING FROM
 REALIGNMENT OF LEGAL TEAM POSITIONS
 - DEDUCT 3400310

agency's Executive Direction and Support Services (EDSS) salary and benefits category. All budget in EDSS is funded from the Administrative Trust Fund. This fund shift, along with issue code 3400310 and 3400320 moves the authority into the Administrative Trust Fund.

POSITION DETAIL OF SALARIES AND BENEFITS:

FTE	BASE RATE	ADDITIVES	BENEFITS	SUBTOTAL	LAPSE %	LAPSED SALARIES AND BENEFITS
A12 - AGY FIN REQ FY 2021-22						
CHANGES TO CURRENTLY AUTHORIZED POSITIONS						
RA00 RATE AND SALARY ADJ - NO FTE/BENEFITS						
C0001 001	0.00	382,501-		382,501-	0.00	382,501-
C0002 001	0.00	1,311,364-		1,311,364-	0.00	1,311,364-
C0003 001	0.00	1,116,595-		1,116,595-	0.00	1,116,595-
TOTALS FOR ISSUE BY FUND						
2275 FINANCIAL INST REG TF						382,501-
2573 REGULATORY TRUST FUND						2,427,959-
	0.00	2,810,460-		2,810,460-		2,810,460-

=====

COL A12		COL A14		COL A15		COL A16		COL A14-A12		CODES
AGY FIN REQ FY 2021-22	POS	AGY AMD REQ FY 2021-22	POS	AGY AMD N/R FY 2021-22	POS	AGY AMD ANZ FY 2021-22	POS	AGY AMD REQ FY 2021-22 OVER(UNDER)	AGY FIN REQ FY 2021-22	
AMOUNT	AMOUNT	AMOUNT	AMOUNT	AMOUNT	AMOUNT	AMOUNT	AMOUNT	AMOUNT	AMOUNT	

FINANCIAL SERVICES 43000000
 PGM: FINANCIAL SVCS COMM 43900000
 OFFICE OF FINANCIAL REG 43900500
 EXEC DIR & SUPPORT SERVICE 43900550
 PUBLIC PROTECTION 12
 REGULATION AND LICENSING 1204.00.00.00
 FUND SHIFT 3400000
 FUND SHIFT RESULTING FROM
 REALIGNMENT OF LEGAL TEAM POSITIONS
 - DEDUCT 3400310

POSITION DETAIL OF SALARIES AND BENEFITS:

FTE	BASE RATE	ADDITIVES	BENEFITS	SUBTOTAL	LAPSE %	LAPSED SALARIES AND BENEFITS
A14 - AGY AMD REQ FY 2021-22						
CHANGES TO CURRENTLY AUTHORIZED POSITIONS						
RA00 RATE AND SALARY ADJ - NO FTE/BENEFITS						
C0001 001	0.00	332,676-		332,676-	0.00	332,676-
C0002 001	0.00	1,203,478-		1,203,478-	0.00	1,203,478-
C0003 001	0.00	1,189,603-		1,189,603-	0.00	1,189,603-
TOTALS FOR ISSUE BY FUND						
2275 FINANCIAL INST REG TF						332,676-
2573 REGULATORY TRUST FUND						2,393,081-
0.00	2,725,757-			2,725,757-		2,725,757-

FUND SHIFT RESULTING FROM
 REALIGNMENT OF LEGAL TEAM POSITIONS
 - ADD 3400320
 SALARY RATE 000000
 SALARY RATE..... 2,808,660 2,725,757 82,903-

	COL A12	COL A14	COL A15	COL A16	COL A14-A12	
					AGY AMD REQ	
					FY 2021-22	
					OVER(UNDER)	
	AGY FIN REQ	AGY AMD REQ	AGY AMD N/R	AGY AMD ANZ	AGY FIN REQ	
	FY 2021-22	FY 2021-22	FY 2021-22	FY 2021-22	FY 2021-22	
POS	AMOUNT	POS	AMOUNT	POS	AMOUNT	CODES
FINANCIAL SERVICES						43000000
PGM: FINANCIAL SVCS COMM						43900000
OFFICE OF FINANCIAL REG						43900500
EXEC DIR & SUPPORT SERVICE						43900550
PUBLIC PROTECTION						12
REGULATION AND LICENSING						1204.00.00.00
FUND SHIFT						3400000
FUND SHIFT RESULTING FROM						
REALIGNMENT OF LEGAL TEAM POSITIONS						
- ADD						3400320
SALARIES AND BENEFITS						010000
ADMINISTRATIVE TRUST FUND -STATE	2,808,660	2,725,757			82,903-	2021 1
EXPENSES						040000
ADMINISTRATIVE TRUST FUND -STATE	54,000	48,600			5,400-	2021 1
TOTAL: FUND SHIFT RESULTING FROM						3400320
REALIGNMENT OF LEGAL TEAM POSITIONS						
- ADD						
TOTAL ISSUE.....	2,862,660	2,774,357			88,303-	
TOTAL SALARY RATE.....	2,808,660	2,725,757			82,903-	

AGENCY ISSUE NARRATIVE:
 2021-2022 BUDGET YEAR NARRATIVE: IT COMPONENT? NO
 AGENCY ISSUE NARRATIVE:
 2021-22 BUDGET YEAR NARRATIVE: IT COMPONENT? NO

This fund shift is for the re-alignment of the legal team within the agency (IC 1800600 and 1800610). The positions and funding are being transferred from the Financial Institutions Trust Fund (2275) and Regulatory Trust Fund (2573) to the agency's Executive Direction and Support Services (EDSS) salary and benefits category. All budget in EDSS is funded from the Administrative Trust Fund. This fund shift, along with issue code 3400310 and 3400320 moves the authority into the Administrative Trust Fund.

COL A12		COL A14		COL A15		COL A16		COL A14-A12		CODES
AGY FIN REQ FY 2021-22	POS AMOUNT	AGY AMD REQ FY 2021-22	POS AMOUNT	AGY AMD N/R FY 2021-22	POS AMOUNT	AGY AMD ANZ FY 2021-22	POS AMOUNT	AGY AMD REQ FY 2021-22 OVER(UNDER)	AGY FIN REQ FY 2021-22	

FINANCIAL SERVICES 43000000
 PGM: FINANCIAL SVCS COMM 43900000
 OFFICE OF FINANCIAL REG 43900500
 EXEC DIR & SUPPORT SERVICE 43900550
 PUBLIC PROTECTION 12
 REGULATION AND LICENSING 1204.00.00.00
 FUND SHIFT 3400000
 FUND SHIFT RESULTING FROM
 REALIGNMENT OF LEGAL TEAM POSITIONS
 - ADD 3400320

POSITION DETAIL OF SALARIES AND BENEFITS:

FTE	BASE RATE	ADDITIVES	BENEFITS	SUBTOTAL	LAPSE %	LAPSED SALARIES AND BENEFITS
A12 - AGY FIN REQ FY 2021-22						
CHANGES TO CURRENTLY AUTHORIZED POSITIONS						
RA00 RATE AND SALARY ADJ - NO FTE/BENEFITS						
C0001 001	0.00	2,808,660		2,808,660	0.00	2,808,660
TOTALS FOR ISSUE BY FUND						
2021 ADMINISTRATIVE TRUST FUND						
0.00	2,808,660			2,808,660		2,808,660

A14 - AGY AMD REQ FY 2021-22

CHANGES TO CURRENTLY AUTHORIZED POSITIONS						
RA00 RATE AND SALARY ADJ - NO FTE/BENEFITS						
C0001 001	0.00	2,725,757		2,725,757	0.00	2,725,757
TOTALS FOR ISSUE BY FUND						
2021 ADMINISTRATIVE TRUST FUND						
0.00	2,725,757			2,725,757		2,725,757

	COL A12	COL A14	COL A15	COL A16	COL A14-A12	
	AGY FIN REQ FY 2021-22	AGY AMD REQ FY 2021-22	AGY AMD N/R FY 2021-22	AGY AMD ANZ FY 2021-22	AGY AMD REQ FY 2021-22	AGY FIN REQ FY 2021-22
	POS	AMOUNT	POS	AMOUNT	POS	AMOUNT
FINANCIAL SERVICES						43000000
PGM: FINANCIAL SVCS COMM						43900000
OFFICE OF FINANCIAL REG						43900500
EXEC DIR & SUPPORT SERVICE						43900550
PUBLIC PROTECTION						12
REGULATION AND LICENSING						1204.00.00.00
FUND SHIFT						3400000
FUND SHIFT RESULTING FROM REALIGNMENT OF TECHNOLOGY SUPPORT TEAM POSITIONS - DEDUCT SALARY RATE						3400330
SALARY RATE.....	336,935-	354,582-			17,647-	000000
SALARIES AND BENEFITS						010000
REGULATORY TRUST FUND -STATE	336,935-	354,582-			17,647-	2573 1
EXPENSES						040000
REGULATORY TRUST FUND -STATE	7,200-	7,200-				2573 1
TOTAL: FUND SHIFT RESULTING FROM REALIGNMENT OF TECHNOLOGY SUPPORT TEAM POSITIONS - DEDUCT						3400330
TOTAL ISSUE.....	344,135-	361,782-			17,647-	
TOTAL SALARY RATE.....	336,935-	354,582-			17,647-	

AGENCY ISSUE NARRATIVE:
 2021-2022 BUDGET YEAR NARRATIVE: IT COMPONENT? YES
 AGENCY ISSUE NARRATIVE:
 2021-22 BUDGET YEAR NARRATIVE: IT COMPONENT? YES

This fund shift is for the re-alignment of positions for the technology support team within the agency (IC 1800620 and 1800630). The positions and funding are being transferred from the Regulatory Trust Fund (2573) to the agency's Executive Direction and Support Services (EDSS) salary and benefits category. All budget in EDSS is funded from the Administrative Trust Fund. This fund shift, along with issue code 3400330 and 3400340 moves the authority into the Administrative Trust Fund.

COL A12		COL A14		COL A15		COL A16		COL A14-A12		CODES
AGY FIN REQ FY 2021-22	POS AMOUNT	AGY AMD REQ FY 2021-22	POS AMOUNT	AGY AMD N/R FY 2021-22	POS AMOUNT	AGY AMD ANZ FY 2021-22	POS AMOUNT	AGY AMD REQ FY 2021-22 OVER(UNDER)	AGY FIN REQ FY 2021-22	

FINANCIAL SERVICES 43000000
 PGM: FINANCIAL SVCS COMM 43900000
 OFFICE OF FINANCIAL REG 43900500
 EXEC DIR & SUPPORT SERVICE 43900550
 PUBLIC PROTECTION 12
 REGULATION AND LICENSING 1204.00.00.00
 FUND SHIFT 3400000
 FUND SHIFT RESULTING FROM
 REALIGNMENT OF TECHNOLOGY SUPPORT
 TEAM POSITIONS - DEDUCT 3400330

POSITION DETAIL OF SALARIES AND BENEFITS:

FTE	BASE RATE	ADDITIVES	BENEFITS	SUBTOTAL	LAPSE %	LAPSED SALARIES AND BENEFITS
A12 - AGY FIN REQ FY 2021-22						
CHANGES TO CURRENTLY AUTHORIZED POSITIONS						
RA00 RATE AND SALARY ADJ - NO FTE/BENEFITS						
C0001 001	0.00	336,935-		336,935-	0.00	336,935-
TOTALS FOR ISSUE BY FUND						
2573 REGULATORY TRUST FUND	0.00	336,935-		336,935-		336,935-

A14 - AGY AMD REQ FY 2021-22

CHANGES TO CURRENTLY AUTHORIZED POSITIONS						
RA00 RATE AND SALARY ADJ - NO FTE/BENEFITS						
C0001 001	0.00	354,582-		354,582-	0.00	354,582-
TOTALS FOR ISSUE BY FUND						
2573 REGULATORY TRUST FUND	0.00	354,582-		354,582-		354,582-

	COL A12	COL A14	COL A15	COL A16	COL A14-A12	
	AGY FIN REQ	AGY AMD REQ	AGY AMD N/R	AGY AMD ANZ	AGY FIN REQ	
	FY 2021-22	FY 2021-22	FY 2021-22	FY 2021-22	FY 2021-22	
POS	AMOUNT	POS	AMOUNT	POS	AMOUNT	CODES
FINANCIAL SERVICES						43000000
PGM: FINANCIAL SVCS COMM						43900000
OFFICE OF FINANCIAL REG						43900500
EXEC DIR & SUPPORT SERVICE						43900550
PUBLIC PROTECTION						12
REGULATION AND LICENSING						1204.00.00.00
FUND SHIFT						3400000
FUND SHIFT RESULTING FROM						
REALIGNMENT OF TECHNOLOGY SUPPORT						
TEAM POSITIONS - ADD						3400340
SALARY RATE						000000
SALARY RATE.....	336,935	354,582			17,647	
SALARIES AND BENEFITS						010000
ADMINISTRATIVE TRUST FUND -STATE	336,935	354,582			17,647	2021 1
EXPENSES						040000
ADMINISTRATIVE TRUST FUND -STATE	7,200	7,200				2021 1
TOTAL: FUND SHIFT RESULTING FROM						3400340
REALIGNMENT OF TECHNOLOGY SUPPORT						
TEAM POSITIONS - ADD						
TOTAL ISSUE.....	344,135	361,782			17,647	
TOTAL SALARY RATE.....	336,935	354,582			17,647	

AGENCY ISSUE NARRATIVE:
 2021-2022 BUDGET YEAR NARRATIVE: IT COMPONENT? YES
 AGENCY ISSUE NARRATIVE:
 2021-22 BUDGET YEAR NARRATIVE: IT COMPONENT? YES

This fund shift is for the re-alignment of positions for the technology support team within the agency (IC 1800620 and 1800630). The positions and funding are being transferred from the Regulatory Trust Fund (2573) to the agency's Executive Direction and Support Services (EDSS) salary and benefits category. All budget in EDSS is funded from the Administrative Trust Fund. This fund shift, along with issue code 3400330 and 3400340 moves the authority into the Administrative Trust Fund.

COL A12		COL A14		COL A15		COL A16		COL A14-A12		CODES
AGY FIN REQ FY 2021-22	AGY AMD REQ FY 2021-22	AGY AMD N/R FY 2021-22	AGY AMD ANZ FY 2021-22	AGY FIN REQ FY 2021-22	AGY AMD REQ FY 2021-22	AGY AMD N/R FY 2021-22	AGY AMD ANZ FY 2021-22	AGY FIN REQ FY 2021-22	AGY AMD REQ FY 2021-22	
POS	AMOUNT	POS	AMOUNT	POS	AMOUNT	POS	AMOUNT	POS	AMOUNT	

FINANCIAL SERVICES 43000000
 PGM: FINANCIAL SVCS COMM 43900000
 OFFICE OF FINANCIAL REG 43900500
 EXEC DIR & SUPPORT SERVICE 43900550
 PUBLIC PROTECTION 12
 REGULATION AND LICENSING 1204.00.00.00
 FUND SHIFT 3400000
 FUND SHIFT RESULTING FROM
 REALIGNMENT OF TECHNOLOGY SUPPORT
 TEAM POSITIONS - ADD 3400340

POSITION DETAIL OF SALARIES AND BENEFITS:

FTE	BASE RATE	ADDITIVES	BENEFITS	SUBTOTAL	LAPSE %	LAPSED SALARIES AND BENEFITS
A12 - AGY FIN REQ FY 2021-22						
CHANGES TO CURRENTLY AUTHORIZED POSITIONS						
RA00 RATE AND SALARY ADJ - NO FTE/BENEFITS						
C0001 001	0.00	336,935		336,935	0.00	336,935
TOTALS FOR ISSUE BY FUND						
2021 ADMINISTRATIVE TRUST FUND						
0.00	336,935			336,935		336,935

A14 - AGY AMD REQ FY 2021-22

CHANGES TO CURRENTLY AUTHORIZED POSITIONS						
RA00 RATE AND SALARY ADJ - NO FTE/BENEFITS						
C0001 001	0.00	354,582		354,582	0.00	354,582
TOTALS FOR ISSUE BY FUND						
2021 ADMINISTRATIVE TRUST FUND						
0.00	354,582			354,582		354,582

	COL A12	COL A14	COL A15	COL A16	COL A14-A12	
					AGY AMD REQ	
					FY 2021-22	
					OVER(UNDER)	
	AGY FIN REQ	AGY AMD REQ	AGY AMD N/R	AGY AMD ANZ	AGY FIN REQ	
	FY 2021-22	FY 2021-22	FY 2021-22	FY 2021-22	FY 2021-22	
POS	AMOUNT	POS	AMOUNT	POS	AMOUNT	POS
						AMOUNT
						CODES
FINANCIAL SERVICES						43000000
PGM: FINANCIAL SVCS COMM						43900000
OFFICE OF FINANCIAL REG						43900500
EXEC DIR & SUPPORT SERVICE						43900550
PUBLIC PROTECTION						12
REGULATION AND LICENSING						<u>1204.00.00.00</u>
TOTAL: REGULATION AND LICENSING						<u>1204.00.00.00</u>
BY FUND TYPE						
TRUST FUNDS.....	34.00	32.00			2.00-	70,656- 2000
SALARY RATE.....	3,258,420	3,187,764			30,500-	
	2,268,780	2,238,280				
	=====	=====	=====	=====	=====	

	COL A12	COL A14	COL A15	COL A16	COL A14-A12	
	AGY FIN REQ	AGY AMD REQ	AGY AMD N/R	AGY AMD ANZ	AGY FIN REQ	
	FY 2021-22	FY 2021-22	FY 2021-22	FY 2021-22	FY 2021-22	
	POS	AMOUNT	POS	AMOUNT	POS	AMOUNT
FINANCIAL SERVICES						43000000
PGM: FINANCIAL SVCS COMM						43900000
OFFICE OF FINANCIAL REG						43900500
FINANCE REGULATION						43900560
PUBLIC PROTECTION						12
REGULATION AND LICENSING						1204.00.00.00
INTRA-AGENCY REORGANIZATIONS						1800000
LEGAL TEAM REALIGNMENT - LEGAL AND						
ADMINISTRATIVE POSITIONS WITHIN						
OFFICE OF FINANCIAL REGULATION -						
DEDUCT						1800600
SALARY RATE						000000
SALARY RATE.....	929,700-	862,700-			67,000	
SALARIES AND BENEFITS						010000
REGULATORY TRUST FUND -STATE	14.00- 1,311,364-	12.00- 1,203,478-			2.00 107,886	2573 1
EXPENSES						040000
REGULATORY TRUST FUND -STATE	25,200-	21,600-			3,600	2573 1
TOTAL: LEGAL TEAM REALIGNMENT - LEGAL AND						1800600
ADMINISTRATIVE POSITIONS WITHIN						
OFFICE OF FINANCIAL REGULATION -						
DEDUCT						
TOTAL POSITIONS.....	14.00-	12.00-			2.00	
TOTAL ISSUE.....	1,336,564-	1,225,078-			111,486	
TOTAL SALARY RATE.....	929,700-	862,700-			67,000	

AGENCY ISSUE NARRATIVE:

2021-2022 BUDGET YEAR NARRATIVE:

IT COMPONENT? NO

AGENCY ISSUE NARRATIVE:

2021-2022 BUDGET YEAR NARRATIVE:

IT COMPONENT? NO

This issue requests the approval to transfer twenty-four (24) attorney positions and six (6) administrative assistant positions from the Division of Financial Institutions, Division of Consumer Finance, Division of Securities and the Bureau of Financial Investigations to the General Counsel's Office within Executive Direction and Support Services.

During FY 2010-11, the Office of Financial Regulation (OFR) transferred the attorneys and administrative support staff to the divisions. The intent was for each division to have their own legal unit supporting their

	COL A12	COL A14	COL A15	COL A16	COL A14-A12	
					AGY AMD REQ	
					FY 2021-22	
					OVER(UNDER)	
	AGY FIN REQ	AGY AMD REQ	AGY AMD N/R	AGY AMD ANZ	AGY FIN REQ	
	FY 2021-22	FY 2021-22	FY 2021-22	FY 2021-22	FY 2021-22	
POS	AMOUNT	POS	AMOUNT	POS	AMOUNT	CODES
FINANCIAL SERVICES						43000000
PGM: FINANCIAL SVCS COMM						43900000
OFFICE OF FINANCIAL REG						43900500
<u>FINANCE REGULATION</u>						43900560
<u>PUBLIC PROTECTION</u>						12
<u>REGULATION AND LICENSING</u>						<u>1204.00.00.00</u>
INTRA-AGENCY REORGANIZATIONS						1800000
LEGAL TEAM REALIGNMENT - LEGAL AND						
ADMINISTRATIVE POSITIONS WITHIN						
OFFICE OF FINANCIAL REGULATION -						
DEDUCT						1800600

activities, reporting the Division Directors.

This realignment of positions will centralize the attorneys and administrative support staff and provide better cross training opportunities as well as the ability to handle legal cases in a more timely and efficient manner.

Four (4) FTE positions will be transferred from the Division of Financial Institutions to the General Counsel's Office within Executive Direction and Support Services. These positions include one (1) Attorney Supervisor, two (2) Senior Attorneys and one (1) administrative support position.

One (1) FTE position will be transferred from the Bureau of Financial Investigations to the General Counsel's Office within Executive Direction and Support Services. This includes one (1) administrative support position.

Fourteen (14) FTE positions will be transferred from the Division of Consumer Finance to the General Counsel's Office within Executive Direction and Support Services. These positions include one (1) Attorney Supervisor, nine (9) Senior Attorneys, one (1) Attorney, and three (3) administrative support positions.

Eleven (11) FTE positions will be transferred from the Division of Securities to the General Counsel's Office within Executive Direction and Support Services. These positions include one (1) Attorney Supervisor, nine (9) Senior Attorneys, and one (1) administrative support position.

Division of Consumer Finance (BE Detail of Costs:43900560)

Quantity	Description	Amount	Non-Recurring
-----	-----	-----	-----
(1)	Reduce Attorney Supervisor, PG 240 \$90,000 each Salaries and Benefits	(\$124,780)	\$0
(9)	Reduce Sr. Attorney, PG 230 \$75,000 each Salaries and Benefits	(\$935,532)	\$0

	COL A12	COL A14	COL A15	COL A16	COL A14-A12	
					AGY AMD REQ	
					FY 2021-22	
					OVER(UNDER)	
	AGY FIN REQ	AGY AMD REQ	AGY AMD N/R	AGY AMD ANZ	AGY FIN REQ	
	FY 2021-22	FY 2021-22	FY 2021-22	FY 2021-22	FY 2021-22	
	POS	AMOUNT	POS	AMOUNT	POS	AMOUNT
FINANCIAL SERVICES						43000000
PGM: FINANCIAL SVCS COMM						43900000
OFFICE OF FINANCIAL REG						43900500
<u>FINANCE REGULATION</u>						43900560
<u>PUBLIC PROTECTION</u>						12
<u>REGULATION AND LICENSING</u>						<u>1204.00.00.00</u>
INTRA-AGENCY REORGANIZATIONS						1800000
LEGAL TEAM REALIGNMENT - LEGAL AND						
ADMINISTRATIVE POSITIONS WITHIN						
OFFICE OF FINANCIAL REGULATION -						
DEDUCT						1800600
(1) Reduce Attorney, PG 220						
\$55,000 each						
Salaries and Benefits		(\$80,410)		\$0		
(3) Reduce Admin. Support Staff		(\$170,642)		\$0		
Total Salaries and Benefits		(\$1,311,364)		\$0		
(14) Reduce Expenses \$1,800 each		(\$25,200)		\$0		
Issue Total		(\$1,336,564)		\$0		

This issue code 1800600 is the deduct from Salaries and Benefits, and Expenses categories, issue code 1800610 is the add to Salaries and Benefits, and Expenses categories.

Amended 2021-22 Narrative after February 10, 2021

AGENCY ISSUE NARRATIVE:

2021-2022 BUDGET YEAR NARRATIVE:

IT COMPONENT? NO

This issue requests the approval to transfer twenty-four (24) attorney positions and four (4) administrative assistant positions from the Division of Financial Institutions, Division of Consumer Finance, Division of Securities and the Bureau of Financial Investigations to the General Counsel's Office within Executive Direction and Support Services.

During FY 2010-11, the Office of Financial Regulation (OFR) transferred the attorneys and administrative support staff to the divisions. The intent was for each division to have their own legal unit supporting their activities, reporting the Division Directors.

This realignment of positions will centralize the attorneys and administrative support staff and provide better cross training opportunities as well as the ability to handle legal cases in a more timely and efficient manner.

COL A12	COL A14	COL A15	COL A16	COL A14-A12	CODES
AGY FIN REQ FY 2021-22	AGY AMD REQ FY 2021-22	AGY AMD N/R FY 2021-22	AGY AMD ANZ FY 2021-22	AGY AMD REQ FY 2021-22 OVER(UNDER) AGY FIN REQ FY 2021-22	
POS	AMOUNT	POS	AMOUNT	POS	AMOUNT
FINANCIAL SERVICES					43000000
PGM: FINANCIAL SVCS COMM					43900000
OFFICE OF FINANCIAL REG					43900500
<u>FINANCE REGULATION</u>					43900560
<u>PUBLIC PROTECTION</u>					12
<u>REGULATION AND LICENSING</u>					1204.00.00.00
INTRA-AGENCY REORGANIZATIONS					1800000
LEGAL TEAM REALIGNMENT - LEGAL AND ADMINISTRATIVE POSITIONS WITHIN OFFICE OF FINANCIAL REGULATION - DEDUCT					1800600

Three (3) FTE positions will be transferred from the Division of Financial Institutions to the General Counsel's Office within Executive Direction and Support Services. These positions include one (1) Attorney Supervisor and two (2) Senior Attorneys.

One (1) FTE position will be transferred from the Bureau of Financial Investigations to the General Counsel's Office within Executive Direction and Support Services. This includes one (1) administrative support position.

Twelve (12) FTE positions will be transferred from the Division of Consumer Finance to the General Counsel's Office within Executive Direction and Support Services. These positions include one (1) Attorney Supervisor, nine (9) Senior Attorneys, one (1) Attorney, and one (1) administrative support position.

Twelve (12) FTE positions will be transferred from the Division of Securities to the General Counsel's Office within Executive Direction and Support Services. These positions include one (1) Attorney Supervisor, nine (9) Senior Attorneys, and two (2) administrative support positions.

Division of Financial Regulation (BE Detail of Costs:43900560)

Quantity	Description	Amount	Non-Recurring
-----	-----	-----	-----
(1)	Reduce Attorney Supervisor, PG 240 \$92,700 each Salaries and Benefits	(\$124,780)	\$0
(9)	Reduce Sr. Attorney, PG 230 \$75,000 each Salaries and Benefits	(\$935,532)	\$0
(1)	Reduce Attorney, PG 220 \$55,000 each Salaries and Benefits	(\$80,410)	\$0

	COL A12	COL A14	COL A15	COL A16	COL A14-A12	
	AGY FIN REQ	AGY AMD REQ	AGY AMD N/R	AGY AMD ANZ	AGY AMD REQ	
	FY 2021-22	FY 2021-22	FY 2021-22	FY 2021-22	FY 2021-22	
	POS	AMOUNT	POS	AMOUNT	POS	AMOUNT
						CODES
FINANCIAL SERVICES						43000000
PGM: FINANCIAL SVCS COMM						43900000
OFFICE OF FINANCIAL REG						43900500
<u>FINANCE REGULATION</u>						43900560
<u>PUBLIC PROTECTION</u>						12
<u>REGULATION AND LICENSING</u>						<u>1204.00.00.00</u>
INTRA-AGENCY REORGANIZATIONS						1800000
LEGAL TEAM REALIGNMENT - LEGAL AND						
ADMINISTRATIVE POSITIONS WITHIN						
OFFICE OF FINANCIAL REGULATION -						
DEDUCT						1800600
(1) Reduce Admin. Support Staff		(\$62,756)		\$0		
Total Salaries and Benefits		(\$1,203,478)		\$0		
(12) Reduce Expenses \$1,800 each		(\$21,600)		\$0		
Issue Total		(\$1,225,078)		\$0		

This issue code 1800600 is the deduct and is linked to issue code 1800610 which is the add back. This issue is also linked to fund shift issue codes 3400310 and 3400320.

Summary:

Position 04514 Administrative Assistant II - Incorrect Funding Source; Changed Fund from Finance Regulation (502573002) to Securities Regulation (502573005). This removed this position from this section in the total amount of \$59,861 (Salary Rate \$37,000 + Benefits \$21,061 + Expenses \$1,800).

Position 04686 Administrative Assistant I - Removed position from this section of the LBR. This reduced the total amount of \$51,625 (Salary Rate \$30,000 + Benefits \$19,825 + Expenses \$1,800).

Total overall impact is a net decrease to the original LBR for Finance Regulation in the amount of \$111,486 (\$59,861 + \$51,625).

	COL A12	COL A14	COL A15	COL A16	COL A14-A12	
	AGY FIN REQ	AGY AMD REQ	AGY AMD N/R	AGY AMD ANZ	AGY AMD REQ	
	FY 2021-22	FY 2021-22	FY 2021-22	FY 2021-22	FY 2021-22	
	POS	AMOUNT	POS	AMOUNT	POS	AMOUNT
						CODES
FINANCIAL SERVICES						43000000
PGM: FINANCIAL SVCS COMM						43900000
OFFICE OF FINANCIAL REG						43900500
FINANCE REGULATION						43900560
PUBLIC PROTECTION						12
REGULATION AND LICENSING						1204.00.00.00
INTRA-AGENCY REORGANIZATIONS						1800000
LEGAL TEAM REALIGNMENT - LEGAL AND						
ADMINISTRATIVE POSITIONS WITHIN						
OFFICE OF FINANCIAL REGULATION -						
DEDUCT						1800600

POSITION DETAIL OF SALARIES AND BENEFITS:

	FTE	BASE RATE	ADDITIVES	BENEFITS	SUBTOTAL	LAPSE %	LAPSED SALARIES AND BENEFITS
A12 - AGY FIN REQ FY 2021-22							
CHANGES TO CURRENTLY AUTHORIZED POSITIONS							
0709 ADMINISTRATIVE ASSISTANT I							
04686 001	1.00-	30,000-		19,825-	49,825-	0.00	49,825-
0712 ADMINISTRATIVE ASSISTANT II							
04514 001	1.00-	37,000-		21,061-	58,061-	0.00	58,061-
0712 ADMINISTRATIVE ASSISTANT II - SES							
04011 001	1.00-	40,000-		22,756-	62,756-	0.00	62,756-
7736 ATTORNEY							
04668 001	1.00-	55,000-		25,410-	80,410-	0.00	80,410-
7738 SENIOR ATTORNEY							
01931 001	1.00-	75,000-		28,948-	103,948-	0.00	103,948-
04203 001	1.00-	75,000-		28,948-	103,948-	0.00	103,948-
04242 001	1.00-	75,000-		28,948-	103,948-	0.00	103,948-
04351 001	1.00-	75,000-		28,948-	103,948-	0.00	103,948-
04456 001	1.00-	75,000-		28,948-	103,948-	0.00	103,948-
04468 001	1.00-	75,000-		28,948-	103,948-	0.00	103,948-
04639 001	1.00-	75,000-		28,948-	103,948-	0.00	103,948-
04861 001	1.00-	75,000-		28,948-	103,948-	0.00	103,948-
04889 001	1.00-	75,000-		28,948-	103,948-	0.00	103,948-
7743 ATTORNEY SUPERVISOR							
04908 001	1.00-	92,700-		32,080-	124,780-	0.00	124,780-

COL A12		COL A14		COL A15		COL A16		COL A14-A12		CODES
AGY FIN REQ FY 2021-22	AGY AMD REQ FY 2021-22	AGY AMD N/R FY 2021-22	AGY AMD ANZ FY 2021-22	AGY FIN REQ FY 2021-22	AGY AMD REQ FY 2021-22	AGY AMD N/R FY 2021-22	AGY AMD ANZ FY 2021-22	AGY FIN REQ FY 2021-22	OVER(UNDER)	
POS	AMOUNT	POS	AMOUNT	POS	AMOUNT	POS	AMOUNT	POS	AMOUNT	

FINANCIAL SERVICES 43000000
 PGM: FINANCIAL SVCS COMM 43900000
 OFFICE OF FINANCIAL REG 43900500
 FINANCE REGULATION 43900560
 PUBLIC PROTECTION 12
 REGULATION AND LICENSING 1204.00.00.00
 INTRA-AGENCY REORGANIZATIONS 1800000
 LEGAL TEAM REALIGNMENT - LEGAL AND
 ADMINISTRATIVE POSITIONS WITHIN
 OFFICE OF FINANCIAL REGULATION -
 DEDUCT 1800600

POSITION DETAIL OF SALARIES AND BENEFITS:

FTE	BASE RATE	ADDITIVES	BENEFITS	SUBTOTAL	LAPSE %	LAPSED SALARIES AND BENEFITS
A12 - AGY FIN REQ FY 2021-22						
CHANGES TO CURRENTLY AUTHORIZED POSITIONS						
TOTALS FOR ISSUE BY FUND						
2573 REGULATORY TRUST FUND						1,311,364-
14.00-	929,700-		381,664-	1,311,364-		1,311,364-

A14 - AGY AMD REQ FY 2021-22

CHANGES TO CURRENTLY AUTHORIZED POSITIONS

0712 ADMINISTRATIVE ASSISTANT II - SES						
04011 001	1.00-	40,000-	22,756-	62,756-	0.00	62,756-
7736 ATTORNEY						
04668 001	1.00-	55,000-	25,410-	80,410-	0.00	80,410-
7738 SENIOR ATTORNEY						
01931 001	1.00-	75,000-	28,948-	103,948-	0.00	103,948-
04203 001	1.00-	75,000-	28,948-	103,948-	0.00	103,948-
04242 001	1.00-	75,000-	28,948-	103,948-	0.00	103,948-
04351 001	1.00-	75,000-	28,948-	103,948-	0.00	103,948-
04456 001	1.00-	75,000-	28,948-	103,948-	0.00	103,948-
04468 001	1.00-	75,000-	28,948-	103,948-	0.00	103,948-
04639 001	1.00-	75,000-	28,948-	103,948-	0.00	103,948-

COL A12		COL A14		COL A15		COL A16		COL A14-A12		CODES
AGY FIN REQ FY 2021-22	POS AMOUNT	AGY AMD REQ FY 2021-22	POS AMOUNT	AGY AMD N/R FY 2021-22	POS AMOUNT	AGY AMD ANZ FY 2021-22	POS AMOUNT	AGY AMD REQ FY 2021-22 OVER(UNDER)	AGY FIN REQ FY 2021-22	

FINANCIAL SERVICES 43000000
 PGM: FINANCIAL SVCS COMM 43900000
 OFFICE OF FINANCIAL REG 43900500
 FINANCE REGULATION 43900560
 PUBLIC PROTECTION 12
 REGULATION AND LICENSING 1204.00.00.00
 INTRA-AGENCY REORGANIZATIONS 1800000
 LEGAL TEAM REALIGNMENT - LEGAL AND
 ADMINISTRATIVE POSITIONS WITHIN
 OFFICE OF FINANCIAL REGULATION -
 DEDUCT 1800600

POSITION DETAIL OF SALARIES AND BENEFITS:

	FTE	BASE RATE	ADDITIVES	BENEFITS	SUBTOTAL	LAPSE %	LAPSED SALARIES AND BENEFITS
A14 - AGY AMD REQ FY 2021-22							
CHANGES TO CURRENTLY AUTHORIZED POSITIONS							
04861 001	1.00-	75,000-		28,948-	103,948-	0.00	103,948-
04889 001	1.00-	75,000-		28,948-	103,948-	0.00	103,948-
7743 ATTORNEY SUPERVISOR							
04908 001	1.00-	92,700-		32,080-	124,780-	0.00	124,780-
TOTALS FOR ISSUE BY FUND							
2573 REGULATORY TRUST FUND							1,203,478-
	12.00-	862,700-		340,778-	1,203,478-		1,203,478-

TECHNOLOGY SUPPORT - REALIGNMENT OF
 POSITIONS AND FUNDING WITHIN OFFICE
 OF FINANCIAL REGULATION - DEDUCT 1800620
 SALARY RATE 000000
 SALARY RATE..... 205,980- 220,980- 15,000-

	COL A12	COL A14	COL A15	COL A16	COL A14-A12	
	AGY FIN REQ FY 2021-22	AGY AMD REQ FY 2021-22	AGY AMD N/R FY 2021-22	AGY AMD ANZ FY 2021-22	AGY AMD REQ FY 2021-22	AGY FIN REQ FY 2021-22
	POS AMOUNT	POS AMOUNT	POS AMOUNT	POS AMOUNT	POS AMOUNT	POS AMOUNT
						CODES
FINANCIAL SERVICES						43000000
PGM: FINANCIAL SVCS COMM						43900000
OFFICE OF FINANCIAL REG						43900500
FINANCE REGULATION						43900560
PUBLIC PROTECTION						12
REGULATION AND LICENSING						1204.00.00.00
INTRA-AGENCY REORGANIZATIONS						1800000
TECHNOLOGY SUPPORT - REALIGNMENT OF POSITIONS AND FUNDING WITHIN OFFICE OF FINANCIAL REGULATION - DEDUCT SALARIES AND BENEFITS						1800620 010000
REGULATORY TRUST FUND -STATE	3.00- 287,110-	3.00- 304,757-				17,647- 2573 1
EXPENSES						040000
REGULATORY TRUST FUND -STATE	5,400-	5,400-				2573 1
TOTAL: TECHNOLOGY SUPPORT - REALIGNMENT OF POSITIONS AND FUNDING WITHIN OFFICE OF FINANCIAL REGULATION - DEDUCT						1800620
TOTAL POSITIONS.....	3.00-	3.00-				
TOTAL ISSUE.....	292,510-	310,157-				17,647-
TOTAL SALARY RATE.....	205,980-	220,980-				15,000-

AGENCY ISSUE NARRATIVE:

2021-2022 BUDGET YEAR NARRATIVE: IT COMPONENT? YES
 AGENCY ISSUE NARRATIVE:
 2021-2022 BUDGET YEAR NARRATIVE: IT COMPONENT? YES

This issue requests the approval to transfer four (4) positions including (1) Financial Administrator, (2) Government Analyst II positions one (1) administrative assistant position from the Division of Consumer Finance and Division of Securities to the Executive Direction and Support Services.

This realignment of positions will form a technology support team that will provide information technology assistance to the Executive Direction Chief Operating Officer for special projects and overall agency needs.

Three (3) FTE positions will be transferred from the Division of Consumer Finance to Executive Direction and Support Services. This will include one (1) Financial Administrator and two (2) Government Analyst II positions.

One (1) FTE position will be transferred from the Division of Securities to Executive Direction and Support Services. This will include one (1) Administrative Assistant I position.

	COL A12	COL A14	COL A15	COL A16	COL A14-A12	
					AGY AMD REQ	
					FY 2021-22	
					OVER(UNDER)	
	AGY FIN REQ	AGY AMD REQ	AGY AMD N/R	AGY AMD ANZ	AGY FIN REQ	
	FY 2021-22	FY 2021-22	FY 2021-22	FY 2021-22	FY 2021-22	
	POS	AMOUNT	POS	AMOUNT	POS	AMOUNT
FINANCIAL SERVICES						43000000
PGM: FINANCIAL SVCS COMM						43900000
OFFICE OF FINANCIAL REG						43900500
<u>FINANCE REGULATION</u>						43900560
<u>PUBLIC PROTECTION</u>						12
<u>REGULATION AND LICENSING</u>						<u>1204.00.00.00</u>
INTRA-AGENCY REORGANIZATIONS						1800000
TECHNOLOGY SUPPORT - REALIGNMENT OF						
POSITIONS AND FUNDING WITHIN OFFICE						
OF FINANCIAL REGULATION - DEDUCT						1800620

Division of Consumer Finance BE 43900560

Quantity	Description	Amount	Non-Recurring
-----	-----	-----	-----
(1)	Reduce Financial Admin., PG 429 Salaries and Benefits	(\$110,839)	\$0
(2)	Reduce GAI, PG 26 Salaries and Benefits	(\$176,271)	\$0
	Total Salaries and Benefits	(\$287,110)	\$0
(3)	Reduce Expenses \$1,800 each	(\$5,400)	\$0
	Issue Total	(\$292,510)	\$0

This issue code 1800620 is the deduct from Salaries and Benefits, and Expenses categories, issue code 1800630 is the add to Salaries and Benefits, and Expenses categories.

Amended 2021-22 Narrative after February 10, 2021

AGENCY ISSUE NARRATIVE:

2021-2022 BUDGET YEAR NARRATIVE:

IT COMPONENT? YES

This issue requests the approval to transfer four (4) positions including (1) Financial Administrator, (1) Senior Program Analyst, (1) Government Analyst II, and one (1) administrative assistant from the Division of Consumer Finance and Division of Securities to the Executive Direction and Support Services.

This realignment of positions will form a technology support team that will provide information technology assistance to the Executive Direction Chief Operating Officer for special projects and overall agency needs.

Three (3) FTE positions will be transferred from the Division of Consumer Finance to Executive Direction and Support

	COL A12	COL A14	COL A15	COL A16	COL A14-A12	
	AGY FIN REQ	AGY AMD REQ	AGY AMD N/R	AGY AMD ANZ	AGY AMD REQ	
	FY 2021-22	FY 2021-22	FY 2021-22	FY 2021-22	FY 2021-22	
	POS	AMOUNT	POS	AMOUNT	POS	AMOUNT
						CODES
FINANCIAL SERVICES						43000000
PGM: FINANCIAL SVCS COMM						43900000
OFFICE OF FINANCIAL REG						43900500
<u>FINANCE REGULATION</u>						43900560
<u>PUBLIC PROTECTION</u>						12
<u>REGULATION AND LICENSING</u>						<u>1204.00.00.00</u>
INTRA-AGENCY REORGANIZATIONS						1800000
TECHNOLOGY SUPPORT - REALIGNMENT OF						
POSITIONS AND FUNDING WITHIN OFFICE						
OF FINANCIAL REGULATION - DEDUCT						1800620

Services. This will include one (1) Financial Administrator, one (1) Senior Program Analyst and one (1) Government Analyst II position.

One (1) FTE position will be transferred from the Division of Securities to Executive Direction and Support Services. This will include one (1) Administrative Assistant I position.

Division of Consumer Finance BE 43900560

Quantity	Description	Amount	Non-Recurring
(1)	Reduce Financial Admin, PG 429 Salaries and Benefits	(\$110,839)	\$0
(1)	Reduce Sr. Program Analyst, PG 27 Salaries and Benefits	(\$96,885)	\$0
(1)	Reduce GAI, PG 26 Salaries and Benefits	(\$97,033)	\$0
	Total Salaries and Benefits	(\$304,757)	\$0
(3)	Reduce Expenses \$1,800 each	(\$5,400)	\$0
	Issue Total	(\$310,157)	\$0

This issue code 1800620 is the deduct and is linked to issue code 1800630 which is the add back. This issue is also linked to fund shift issue codes 3400330 and 3400340.

Summary:

Position 01895 - Change in title from Government Analyst II, PG 26 to Senior Program Analyst, PG 27 and an increase to

COL A12		COL A14		COL A15		COL A16		COL A14-A12		CODES
AGY FIN REQ FY 2021-22	POS	AGY AMD REQ FY 2021-22	POS	AGY AMD N/R FY 2021-22	POS	AGY AMD ANZ FY 2021-22	POS	AGY AMD REQ FY 2021-22 OVER(UNDER)	AGY FIN REQ FY 2021-22	
AMOUNT		AMOUNT		AMOUNT		AMOUNT		AMOUNT	AMOUNT	

FINANCIAL SERVICES 43000000
 PGM: FINANCIAL SVCS COMM 43900000
 OFFICE OF FINANCIAL REG 43900500
 FINANCE REGULATION 43900560
 PUBLIC PROTECTION 12
 REGULATION AND LICENSING 1204.00.00.00
 INTRA-AGENCY REORGANIZATIONS 1800000
 TECHNOLOGY SUPPORT - REALIGNMENT OF
 POSITIONS AND FUNDING WITHIN OFFICE
 OF FINANCIAL REGULATION - DEDUCT 1800620

the base salary from \$55,000 to \$70,000. This will increase the total amount for this position by \$17,647 (Base Salary \$15,000 + Benefits \$2,647).

Total overall impact is a net increase to the deduction to the LBR for Finance Regulation in the amount of \$17,647.

POSITION DETAIL OF SALARIES AND BENEFITS:

	FTE	BASE RATE	ADDITIVES	BENEFITS	SUBTOTAL	LAPSE %	LAPSED SALARIES AND BENEFITS
A12 - AGY FIN REQ FY 2021-22							
CHANGES TO CURRENTLY AUTHORIZED POSITIONS							
2225 GOVERNMENT ANALYST II							
01895 001	1.00-	55,000-		24,238-	79,238-	0.00	79,238-
02078 001	1.00-	70,125-		26,908-	97,033-	0.00	97,033-
1587 FINANCIAL ADMINISTRATOR - SES							
04454 001	1.00-	80,855-		29,984-	110,839-	0.00	110,839-
TOTALS FOR ISSUE BY FUND							
2573 REGULATORY TRUST FUND							287,110-
	3.00-	205,980-		81,130-	287,110-		287,110-

COL A12		COL A14		COL A15		COL A16		COL A14-A12		CODES
AGY FIN REQ FY 2021-22	POS	AGY AMD REQ FY 2021-22	POS	AGY AMD N/R FY 2021-22	POS	AGY AMD ANZ FY 2021-22	POS	AGY AMD REQ FY 2021-22 OVER(UNDER)	AGY FIN REQ FY 2021-22	
AMOUNT		AMOUNT		AMOUNT		AMOUNT		AMOUNT	AMOUNT	

FINANCIAL SERVICES 43000000
 PGM: FINANCIAL SVCS COMM 43900000
 OFFICE OF FINANCIAL REG 43900500
 FINANCE REGULATION 43900560
 PUBLIC PROTECTION 12
 REGULATION AND LICENSING 1204.00.00.00
 INTRA-AGENCY REORGANIZATIONS 1800000
 TECHNOLOGY SUPPORT - REALIGNMENT OF
 POSITIONS AND FUNDING WITHIN OFFICE
 OF FINANCIAL REGULATION - DEDUCT 1800620

POSITION DETAIL OF SALARIES AND BENEFITS:

FTE	BASE RATE	ADDITIVES	BENEFITS	SUBTOTAL	LAPSE %	LAPSED SALARIES AND BENEFITS
A14 - AGY AMD REQ FY 2021-22						
CHANGES TO CURRENTLY AUTHORIZED POSITIONS						
2225 GOVERNMENT ANALYST II						
02078 001	1.00-	70,125-		26,908-	97,033-	0.00 97,033-
6843 SENIOR PROGRAM ANALYST						
01895 001	1.00-	70,000-		26,885-	96,885-	0.00 96,885-
1587 FINANCIAL ADMINISTRATOR - SES						
04454 001	1.00-	80,855-		29,984-	110,839-	0.00 110,839-
TOTALS FOR ISSUE BY FUND						
2573 REGULATORY TRUST FUND						304,757-
	3.00-	220,980-		83,777-	304,757-	304,757-

 TOTAL: REGULATION AND LICENSING 1204.00.00.00
 BY FUND TYPE

TRUST FUNDS.....	17.00-	15.00-		2.00	93,839	2000
SALARY RATE.....	1,629,074-	1,535,235-		52,000		
	1,135,680-	1,083,680-				

	COL A12	COL A14	COL A15	COL A16	COL A14-A12	
	AGY FIN REQ FY 2021-22	AGY AMD REQ FY 2021-22	AGY AMD N/R FY 2021-22	AGY AMD ANZ FY 2021-22	AGY AMD REQ FY 2021-22	AGY FIN REQ FY 2021-22
	POS AMOUNT	POS AMOUNT	POS AMOUNT	POS AMOUNT	POS AMOUNT	POS AMOUNT
FINANCIAL SERVICES						43000000
PGM: FINANCIAL SVCS COMM						43900000
OFFICE OF FINANCIAL REG						43900500
SECURITIES REGULATION						43900570
PUBLIC PROTECTION						12
REGULATION AND LICENSING						1204.00.00.00
INTRA-AGENCY REORGANIZATIONS						1800000
LEGAL TEAM REALIGNMENT - LEGAL AND						
ADMINISTRATIVE POSITIONS WITHIN						
OFFICE OF FINANCIAL REGULATION -						
DEDUCT						1800600
SALARY RATE						000000
SALARY RATE.....	802,200-	851,900-			49,700-	
SALARIES AND BENEFITS						010000
REGULATORY TRUST FUND -STATE	11.00- 1,116,595-	12.00- 1,189,603-			1.00- 73,008-	2573 1
EXPENSES						040000
REGULATORY TRUST FUND -STATE	19,800-	21,600-			1,800-	2573 1
TOTAL: LEGAL TEAM REALIGNMENT - LEGAL AND						1800600
ADMINISTRATIVE POSITIONS WITHIN						
OFFICE OF FINANCIAL REGULATION -						
DEDUCT						
TOTAL POSITIONS.....	11.00-	12.00-			1.00-	
TOTAL ISSUE.....	1,136,395-	1,211,203-			74,808-	
TOTAL SALARY RATE.....	802,200-	851,900-			49,700-	

AGENCY ISSUE NARRATIVE:

2021-2022 BUDGET YEAR NARRATIVE:

IT COMPONENT? NO

AGENCY ISSUE NARRATIVE:

2021-2022 BUDGET YEAR NARRATIVE:

IT COMPONENT? NO

This issue requests the approval to transfer twenty-four (24) attorney positions and six (6) administrative assistant positions from the Division of Financial Institutions, Division of Consumer Finance, Division of Securities and the Bureau of Financial Investigations to the General Counsel's Office within Executive Direction and Support Services.

During FY 2010-11, the Office of Financial Regulation (OFR) transferred the attorneys and administrative support staff to the divisions. The intent was for each division to have their own legal unit supporting their

	COL A12	COL A14	COL A15	COL A16	COL A14-A12	
					AGY AMD REQ	
					FY 2021-22	
					OVER(UNDER)	
	AGY FIN REQ	AGY AMD REQ	AGY AMD N/R	AGY AMD ANZ	AGY FIN REQ	
	FY 2021-22	FY 2021-22	FY 2021-22	FY 2021-22	FY 2021-22	
POS	AMOUNT	POS	AMOUNT	POS	AMOUNT	POS
						AMOUNT
						CODES
FINANCIAL SERVICES						43000000
PGM: FINANCIAL SVCS COMM						43900000
OFFICE OF FINANCIAL REG						43900500
<u>SECURITIES REGULATION</u>						43900570
<u>PUBLIC PROTECTION</u>						12
<u>REGULATION AND LICENSING</u>						1204.00.00.00
INTRA-AGENCY REORGANIZATIONS						1800000
LEGAL TEAM REALIGNMENT - LEGAL AND						
ADMINISTRATIVE POSITIONS WITHIN						
OFFICE OF FINANCIAL REGULATION -						
DEDUCT						1800600

activities, reporting the Division Directors.

This realignment of positions will centralize the attorneys and administrative support staff and provide better cross training opportunities as well as the ability to handle legal cases in a more timely and efficient manner.

Four (4) FTE positions will be transferred from the Division of Financial Institutions to the General Counsel's Office within Executive Direction and Support Services. These positions include one (1) Attorney Supervisor, two (2) Senior Attorneys and one (1) administrative support position.

One (1) FTE position will be transferred from the Bureau of Financial Investigations to the General Counsel's Office within Executive Direction and Support Services. This includes one (1) administrative support position.

Fourteen (14) FTE positions will be transferred from the Division of Consumer Finance to the General Counsel's Office within Executive Direction and Support Services. These positions include one (1) Attorney Supervisor, nine (9) Senior Attorneys, one (1) Attorney, and three (3) administrative support positions.

Eleven (11) FTE positions will be transferred from the Division of Securities to the General Counsel's Office within Executive Direction and Support Services. These positions include one (1) Attorney Supervisor, nine (9) Senior Attorneys, and one (1) administrative support position.

Division of Securities(BE Detail of Costs:43900570)

Quantity	Description	Amount	Non-Recurring
-----	-----	-----	-----
(1)	Reduce Attorney Supervisor, PG 240 \$90,000 each Salaries and Benefits	(\$124,780)	\$0
(9)	Reduce Sr. Attorney, PG 230 \$75,000 each Salaries and Benefits	(\$935,532)	\$0

	COL A12	COL A14	COL A15	COL A16	COL A14-A12	
					AGY AMD REQ	
					FY 2021-22	
					OVER(UNDER)	
	AGY FIN REQ	AGY AMD REQ	AGY AMD N/R	AGY AMD ANZ	AGY FIN REQ	
	FY 2021-22	FY 2021-22	FY 2021-22	FY 2021-22	FY 2021-22	
POS	AMOUNT	POS	AMOUNT	POS	AMOUNT	CODES
FINANCIAL SERVICES						43000000
PGM: FINANCIAL SVCS COMM						43900000
OFFICE OF FINANCIAL REG						43900500
<u>SECURITIES REGULATION</u>						43900570
<u>PUBLIC PROTECTION</u>						12
<u>REGULATION AND LICENSING</u>						<u>1204.00.00.00</u>
INTRA-AGENCY REORGANIZATIONS						1800000
LEGAL TEAM REALIGNMENT - LEGAL AND						
ADMINISTRATIVE POSITIONS WITHIN						
OFFICE OF FINANCIAL REGULATION -						
DEDUCT						1800600

- (1) Reduce Admin. Support Staff (\$56,283) \$0
 Total Salaries and Benefits (\$1,116,595) \$0

- (11) Reduce Expenses \$1,800 each (\$19,800) \$0
 Issue Total (\$1,136,395) \$0

This issue code 1800600 is the deduct from Salaries and Benefits, and Expenses categories, issue code 1800610 is the add to Salaries and Benefits, and Expenses categories.

Amended 2021-22 Narrative after February 10, 2021

AGENCY ISSUE NARRATIVE:

2021-2022 BUDGET YEAR NARRATIVE:

IT COMPONENT? NO

This issue requests the approval to transfer twenty-four (24) attorney positions and four (4) administrative assistant positions from the Division of Financial Institutions, Division of Consumer Finance, Division of Securities and the Bureau of Financial Investigations to the General Counsel's Office within Executive Direction and Support Services.

During FY 2010-11, the Office of Financial Regulation (OFR) transferred the attorneys and administrative support staff to the divisions. The intent was for each division to have their own legal unit supporting their activities, reporting the Division Directors.

This realignment of positions will centralize the attorneys and administrative support staff and provide better cross training opportunities as well as the ability to handle legal cases in a more timely and efficient manner.

Three (3) FTE positions will be transferred from the Division of Financial Institutions to the General Counsel's Office within Executive Direction and Support Services. These positions include one (1) Attorney Supervisor and two (2) Senior Attorneys.

	COL A12	COL A14	COL A15	COL A16	COL A14-A12	
	AGY FIN REQ	AGY AMD REQ	AGY AMD N/R	AGY AMD ANZ	AGY AMD REQ	
	FY 2021-22	FY 2021-22	FY 2021-22	FY 2021-22	FY 2021-22	
	POS	AMOUNT	POS	AMOUNT	POS	AMOUNT
						CODES
FINANCIAL SERVICES						43000000
PGM: FINANCIAL SVCS COMM						43900000
OFFICE OF FINANCIAL REG						43900500
<u>SECURITIES REGULATION</u>						43900570
<u>PUBLIC PROTECTION</u>						12
<u>REGULATION AND LICENSING</u>						<u>1204.00.00.00</u>
INTRA-AGENCY REORGANIZATIONS						1800000
LEGAL TEAM REALIGNMENT - LEGAL AND						
ADMINISTRATIVE POSITIONS WITHIN						
OFFICE OF FINANCIAL REGULATION -						
DEDUCT						1800600

One (1) FTE position will be transferred from the Bureau of Financial Investigations to the General Counsel's Office within Executive Direction and Support Services. This includes one (1) administrative support position.

Twelve (12) FTE positions will be transferred from the Division of Consumer Finance to the General Counsel's Office within Executive Direction and Support Services. These positions include one (1) Attorney Supervisor, nine (9) Senior Attorneys, one (1) Attorney, and one (1) administrative support position.

Twelve (12) FTE positions will be transferred from the Division of Securities to the General Counsel's Office within Executive Direction and Support Services. These positions include one (1) Attorney Supervisor, nine (9) Senior Attorneys, and two (2) administrative support positions.

Division of Financial Regulation (BE Detail of Costs:43900570)

Quantity	Description	Amount	Non-Recurring
-----	-----	-----	-----
(1)	Reduce Attorney Supervisor, PG 240 \$92,700 each Salaries and Benefits	(\$124,780)	\$0
(9)	Reduce Sr. Attorney, PG 230 \$75,000 each Salaries and Benefits	(\$935,532)	\$0
(2)	Reduce Admin. Support Staff Total Salaries and Benefits	(\$129,291) (\$1,189,603)	\$0 \$0
(12)	Reduce Expenses \$1,800 each	(\$21,600)	\$0

COL A12	COL A14	COL A15	COL A16	COL A14-A12	CODES
AGY FIN REQ FY 2021-22 POS AMOUNT	AGY AMD REQ FY 2021-22 POS AMOUNT	AGY AMD N/R FY 2021-22 POS AMOUNT	AGY AMD ANZ FY 2021-22 POS AMOUNT	AGY AMD REQ FY 2021-22 OVER(UNDER) AGY FIN REQ FY 2021-22 POS AMOUNT	
					43000000
					43900000
					43900500
					43900570
					12
					<u>1204.00.00.00</u>
					1800000
					1800600
Issue Total	(\$1,211,203)	\$0			

This issue code 1800600 is the deduct and is linked to issue code 1800610 which is the add back. This issue is also linked to fund shift issue codes 3400310 and 3400320.

Summary:

Position 04514 Administrative Assistant II - Adding position to this section due to incorrect fund code used in original LBR. This position was originally in Finance Regulation (502573002) and is being moved to the correct section in Securities Regulation (502573005). This correction to the fund code will increase the total in the amount of \$59,861 (Salary Rate \$37,000 + Benefits \$21,061 + Expenses \$1,800).

Position 04450 Administrative Assistant III (SES) - Increased the base salary from \$34,500 to \$47,200. This will create a net increase to the total in the amount of \$14,947 (Base Salary Increase \$12,700 + Benefits \$2,247).

Total overall impact is a net increase to the original LBR for Securities Regulation in the amount of \$74,808 (\$59,861 + \$14,947).

POSITION DETAIL OF SALARIES AND BENEFITS:

FTE	BASE RATE	ADDITIVES	BENEFITS	SUBTOTAL	LAPSE %	LAPSED SALARIES AND BENEFITS
A12 - AGY FIN REQ FY 2021-22						
CHANGES TO CURRENTLY AUTHORIZED POSITIONS						
0714 ADMINISTRATIVE ASSISTANT III - SES						
04450 001	1.00-	34,500-	21,783-	56,283-	0.00	56,283-
7738 SENIOR ATTORNEY						
01645 001	1.00-	75,000-	28,948-	103,948-	0.00	103,948-

	COL A12	COL A14	COL A15	COL A16	COL A14-A12	
					AGY AMD REQ	
					FY 2021-22	
					OVER(UNDER)	
	AGY FIN REQ	AGY AMD REQ	AGY AMD N/R	AGY AMD ANZ	AGY FIN REQ	
	FY 2021-22	FY 2021-22	FY 2021-22	FY 2021-22	FY 2021-22	
POS	AMOUNT	POS	AMOUNT	POS	AMOUNT	CODES
FINANCIAL SERVICES						43000000
PGM: FINANCIAL SVCS COMM						43900000
OFFICE OF FINANCIAL REG						43900500
SECURITIES REGULATION						43900570
<u>PUBLIC PROTECTION</u>						12
<u>REGULATION AND LICENSING</u>						1204.00.00.00
INTRA-AGENCY REORGANIZATIONS						1800000
LEGAL TEAM REALIGNMENT - LEGAL AND						
ADMINISTRATIVE POSITIONS WITHIN						
OFFICE OF FINANCIAL REGULATION -						
DEDUCT						1800600

POSITION DETAIL OF SALARIES AND BENEFITS:

	FTE	BASE RATE	ADDITIVES	BENEFITS	SUBTOTAL	LAPSE %	LAPSED SALARIES AND BENEFITS
A12 - AGY FIN REQ FY 2021-22							
CHANGES TO CURRENTLY AUTHORIZED POSITIONS							
01937 001	1.00-	75,000-		28,948-	103,948-	0.00	103,948-
04184 001	1.00-	75,000-		28,948-	103,948-	0.00	103,948-
04278 001	1.00-	75,000-		28,948-	103,948-	0.00	103,948-
04403 001	1.00-	75,000-		28,948-	103,948-	0.00	103,948-
04614 001	1.00-	75,000-		28,948-	103,948-	0.00	103,948-
04647 001	1.00-	75,000-		28,948-	103,948-	0.00	103,948-
04667 001	1.00-	75,000-		28,948-	103,948-	0.00	103,948-
04816 001	1.00-	75,000-		28,948-	103,948-	0.00	103,948-
7743 ATTORNEY SUPERVISOR							
04907 001	1.00-	92,700-		32,080-	124,780-	0.00	124,780-
TOTALS FOR ISSUE BY FUND							
2573 REGULATORY TRUST FUND							1,116,595-
	11.00-	802,200-		314,395-	1,116,595-		1,116,595-

COL A12		COL A14		COL A15		COL A16		COL A14-A12		CODES
AGY FIN REQ FY 2021-22	POS AMOUNT	AGY AMD REQ FY 2021-22	POS AMOUNT	AGY AMD N/R FY 2021-22	POS AMOUNT	AGY AMD ANZ FY 2021-22	POS AMOUNT	AGY AMD REQ FY 2021-22 OVER(UNDER)	AGY FIN REQ FY 2021-22	

FINANCIAL SERVICES 43000000
 PGM: FINANCIAL SVCS COMM 43900000
 OFFICE OF FINANCIAL REG 43900500
 SECURITIES REGULATION 43900570
PUBLIC PROTECTION 12
REGULATION AND LICENSING 1204.00.00.00
 INTRA-AGENCY REORGANIZATIONS 1800000
 LEGAL TEAM REALIGNMENT - LEGAL AND
 ADMINISTRATIVE POSITIONS WITHIN
 OFFICE OF FINANCIAL REGULATION -
 DEDUCT 1800600

POSITION DETAIL OF SALARIES AND BENEFITS:

FTE	BASE RATE	ADDITIVES	BENEFITS	SUBTOTAL	LAPSE %	LAPSED SALARIES AND BENEFITS
A14 - AGY AMD REQ FY 2021-22						
CHANGES TO CURRENTLY AUTHORIZED POSITIONS						
0712 ADMINISTRATIVE ASSISTANT II						
04514 001	1.00-	37,000-		21,061-	0.00	58,061-
0714 ADMINISTRATIVE ASSISTANT III - SES						
04450 001	1.00-	47,200-		24,030-	0.00	71,230-
7738 SENIOR ATTORNEY						
01645 001	1.00-	75,000-		28,948-	0.00	103,948-
01937 001	1.00-	75,000-		28,948-	0.00	103,948-
04184 001	1.00-	75,000-		28,948-	0.00	103,948-
04278 001	1.00-	75,000-		28,948-	0.00	103,948-
04403 001	1.00-	75,000-		28,948-	0.00	103,948-
04614 001	1.00-	75,000-		28,948-	0.00	103,948-
04647 001	1.00-	75,000-		28,948-	0.00	103,948-
04667 001	1.00-	75,000-		28,948-	0.00	103,948-
04816 001	1.00-	75,000-		28,948-	0.00	103,948-
7743 ATTORNEY SUPERVISOR						
04907 001	1.00-	92,700-		32,080-	0.00	124,780-
TOTALS FOR ISSUE BY FUND						
2573 REGULATORY TRUST FUND						1,189,603-
	12.00-	851,900-		337,703-	1,189,603-	1,189,603-

	COL A12	COL A14	COL A15	COL A16	COL A14-A12	
	AGY FIN REQ	AGY AMD REQ	AGY AMD N/R	AGY AMD ANZ	AGY AMD REQ	
	FY 2021-22	FY 2021-22	FY 2021-22	FY 2021-22	FY 2021-22	
	POS	AMOUNT	POS	AMOUNT	POS	AMOUNT
						CODES
FINANCIAL SERVICES						43000000
PGM: FINANCIAL SVCS COMM						43900000
OFFICE OF FINANCIAL REG						43900500
SECURITIES REGULATION						43900570
PUBLIC PROTECTION						12
REGULATION AND LICENSING						1204.00.00.00
INTRA-AGENCY REORGANIZATIONS						1800000
TECHNOLOGY SUPPORT - REALIGNMENT OF						
POSITIONS AND FUNDING WITHIN OFFICE						
OF FINANCIAL REGULATION - DEDUCT						
SALARY RATE						1800620
SALARY RATE.....	30,000-	30,000-				000000
=====						
SALARIES AND BENEFITS						010000
REGULATORY TRUST FUND -STATE	1.00- 49,825-	1.00- 49,825-				2573 1
=====						
EXPENSES						040000
REGULATORY TRUST FUND -STATE	1,800-	1,800-				2573 1
=====						
TOTAL: TECHNOLOGY SUPPORT - REALIGNMENT OF						1800620
POSITIONS AND FUNDING WITHIN OFFICE						
OF FINANCIAL REGULATION - DEDUCT						
TOTAL POSITIONS.....	1.00-	1.00-				
TOTAL ISSUE.....	51,625-	51,625-				
TOTAL SALARY RATE.....	30,000-	30,000-				
=====						

AGENCY ISSUE NARRATIVE:

2021-2022 BUDGET YEAR NARRATIVE: IT COMPONENT? YES

AGENCY ISSUE NARRATIVE:

2021-2022 BUDGET YEAR NARRATIVE: IT COMPONENT? YES

This issue requests the approval to transfer four (4) positions including (1) Financial Administrator, (2) Government Analyst II positions and one (1) administrative assistant position from the Division of Consumer Finance and Division of Securities to the Executive Direction and Support Services.

This realignment of positions will form a technology support team that will provide information technology assistance to the Executive Direction Chief Operating Officer for special projects and overall agency needs.

Three (3) FTE positions will be transferred from the Division of Consumer Finance to Executive Direction and Support Services. This will include one (1) Financial Administrator and two (2) Government Analyst II positions.

	COL A12	COL A14	COL A15	COL A16	COL A14-A12	
	AGY FIN REQ	AGY AMD REQ	AGY AMD N/R	AGY AMD ANZ	AGY AMD REQ	
	FY 2021-22	FY 2021-22	FY 2021-22	FY 2021-22	FY 2021-22	
	POS	AMOUNT	POS	AMOUNT	POS	AMOUNT
						CODES
FINANCIAL SERVICES						43000000
PGM: FINANCIAL SVCS COMM						43900000
OFFICE OF FINANCIAL REG						43900500
<u>SECURITIES REGULATION</u>						43900570
<u>PUBLIC PROTECTION</u>						12
<u>REGULATION AND LICENSING</u>						<u>1204.00.00.00</u>
INTRA-AGENCY REORGANIZATIONS						1800000
TECHNOLOGY SUPPORT - REALIGNMENT OF						
POSITIONS AND FUNDING WITHIN OFFICE						
OF FINANCIAL REGULATION - DEDUCT						1800620

One (1) FTE position will be transferred from the Division of Securities to Executive Direction and Support Services. This will include one (1) Administrative Assistant I position.

Division of Securities BE 43900570

Quantity	Description	Amount	Non-Recurring
(1)	Reduce Admin. Asst. I PG 15 Salaries and Benefits	(\$49,825)	\$0
	Total Salaries and Benefits	(\$49,825)	\$0
(1)	Reduce Expenses \$1,800 each	(\$1,800)	\$0
	Issue Total	(\$51,625)	\$0

This issue code 1800620 is the deduct from Salaries and Benefits, and Expenses categories, issue code 1800630 is the add to Salaries and Benefits, and Expenses categories.

Amended 2021-22 Narrative after February 10, 2021

AGENCY ISSUE NARRATIVE:

2021-2022 BUDGET YEAR NARRATIVE:

IT COMPONENT? YES

This issue requests the approval to transfer four (4) positions including (1) Financial Administrator, (1) Senior Program Analyst, (1) Government Analyst II, and one (1) administrative assistant from the Division of Consumer Finance and Division of Securities to the Executive Direction and Support Services.

This realignment of positions will form a technology support team that will provide information technology assistance to the Executive Direction Chief Operating Officer for special projects and overall agency needs.

Three (3) FTE positions will be transferred from the Division of Consumer Finance to Executive Direction and Support

	COL A12	COL A14	COL A15	COL A16	COL A14-A12	
					AGY AMD REQ	
					FY 2021-22	
					OVER(UNDER)	
	AGY FIN REQ	AGY AMD REQ	AGY AMD N/R	AGY AMD ANZ	AGY FIN REQ	
	FY 2021-22	FY 2021-22	FY 2021-22	FY 2021-22	FY 2021-22	
POS	AMOUNT	POS	AMOUNT	POS	AMOUNT	POS
						AMOUNT
						CODES
FINANCIAL SERVICES						43000000
PGM: FINANCIAL SVCS COMM						43900000
OFFICE OF FINANCIAL REG						43900500
<u>SECURITIES REGULATION</u>						43900570
<u>PUBLIC PROTECTION</u>						12
<u>REGULATION AND LICENSING</u>						1204.00.00.00
INTRA-AGENCY REORGANIZATIONS						1800000
TECHNOLOGY SUPPORT - REALIGNMENT OF						
POSITIONS AND FUNDING WITHIN OFFICE						
OF FINANCIAL REGULATION - DEDUCT						1800620

Services. This will include one (1) Financial Administrator, one (1) Senior Program Analyst and one (1) Government Analyst II position.

One (1) FTE position will be transferred from the Division of Securities to Executive Direction and Support Services. This will include one (1) Administrative Assistant I position.

Division of Consumer Finance BE 43900570

Quantity	Description	Amount	Non-Recurring
-----	-----	-----	-----
(1)	Reduce Admin. Asst. I PG 15 Salaries and Benefits	(\$49,825)	\$0
	Total Salaries and Benefits	(\$49,825)	\$0
(1)	Reduce Expenses \$1,800 each	(\$1,800)	\$0
	Issue Total	(\$51,625)	\$0

This issue code 1800620 is the deduct and is linked to issue code 1800630 which is the add back. This issue is also linked to fund shift issue codes 3400330 and 3400340.

Summary: No changes to the LBR for Securities Regulation.

COL A12		COL A14		COL A15		COL A16		COL A14-A12		CODES
AGY FIN REQ FY 2021-22	POS AMOUNT	AGY AMD REQ FY 2021-22	POS AMOUNT	AGY AMD N/R FY 2021-22	POS AMOUNT	AGY AMD ANZ FY 2021-22	POS AMOUNT	AGY AMD REQ FY 2021-22 OVER(UNDER)	AGY FIN REQ FY 2021-22	

FINANCIAL SERVICES 43000000
 PGM: FINANCIAL SVCS COMM 43900000
 OFFICE OF FINANCIAL REG 43900500
 SECURITIES REGULATION 43900570
PUBLIC PROTECTION 12
REGULATION AND LICENSING 1204.00.00.00
 INTRA-AGENCY REORGANIZATIONS 1800000
 TECHNOLOGY SUPPORT - REALIGNMENT OF
 POSITIONS AND FUNDING WITHIN OFFICE
 OF FINANCIAL REGULATION - DEDUCT 1800620

POSITION DETAIL OF SALARIES AND BENEFITS:

FTE	BASE RATE	ADDITIVES	BENEFITS	SUBTOTAL	LAPSE %	LAPSED SALARIES AND BENEFITS
A12 - AGY FIN REQ FY 2021-22						
CHANGES TO CURRENTLY AUTHORIZED POSITIONS						
0709 ADMINISTRATIVE ASSISTANT I						
04682 001	1.00-	30,000-		19,825-	49,825- 0.00	49,825-
TOTALS FOR ISSUE BY FUND						
2573 REGULATORY TRUST FUND						
	1.00-	30,000-		19,825-	49,825-	49,825-

A14 - AGY AMD REQ FY 2021-22

CHANGES TO CURRENTLY AUTHORIZED POSITIONS

0709 ADMINISTRATIVE ASSISTANT I
 04682 001

	1.00-	30,000-		19,825-	49,825- 0.00	49,825-
TOTALS FOR ISSUE BY FUND						
2573 REGULATORY TRUST FUND						
	1.00-	30,000-		19,825-	49,825-	49,825-

	COL A12	COL A14	COL A15	COL A16	COL A14-A12	
					AGY AMD REQ	
					FY 2021-22	
					OVER(UNDER)	
	AGY FIN REQ	AGY AMD REQ	AGY AMD N/R	AGY AMD ANZ	AGY FIN REQ	
	FY 2021-22	FY 2021-22	FY 2021-22	FY 2021-22	FY 2021-22	
POS	AMOUNT	POS	AMOUNT	POS	AMOUNT	POS
						AMOUNT
						CODES
FINANCIAL SERVICES						43000000
PGM: FINANCIAL SVCS COMM						43900000
OFFICE OF FINANCIAL REG						43900500
<u>SECURITIES REGULATION</u>						43900570
PUBLIC PROTECTION						12
<u>REGULATION AND LICENSING</u>						<u>1204.00.00.00</u>
TOTAL: REGULATION AND LICENSING						<u>1204.00.00.00</u>
BY FUND TYPE						
TRUST FUNDS.....	12.00-	13.00-			1.00-	
	1,188,020-	1,262,828-			74,808-	2000
SALARY RATE.....	832,200-	881,900-			49,700-	
	=====	=====	=====	=====	=====	

```

*****
* NEADLP01                                STATISTICAL INFORMATION                                02/17/2021 16:50 *
* BUDGET PERIOD: 2008-2022                EXHIBIT A, D AND D-3A REPORT                            BBV 43 SP *
*                                                                                                     PAGE: 1 *
*****
*          SAVE INITIALS:          SAVE DEPARTMENT: 07          SAVE TITLE: EXHIBIT D-3A AMENDED REQUEST
* -----
* ** DATA SELECTIONS **
*
* REPORT OPTION: 1 - EXHIBIT A, D AND D-3A          SCHEDULE VIIIA ISSUE SPREADSHEET (Y/N): N
*
* COLUMN: A12          A14          A15          A16          A14-A12          CODES
*
* CALCULATE DIFFERENCE ONLY (Y/N): N THAT EXCEEDS:
*
* INCLUDE (Y/N) FTE: Y          SALARY RATE: Y POSITION DATA: Y
*
* REPORT TOTALS: NO TOTAL
* -----
* BUDGET ENTITY OR GROUP/ACCUMULATION LEVEL (0=MERGE, 1=LEVEL 1, 2=LEVEL 2, 3=LEVEL 3, 4=LOWEST LEVEL)
*   1-7:          4
*   8-14:
*   15-21:
*   22-27:
* EXCLUDE:
*
* BUDGET ENTITY TOTALS:
*
*   LEVEL 1: NO TOTAL
*   LEVEL 2: NO TOTAL
*   LEVEL 3: NO TOTAL
*   LOWEST LEVEL: BY FUND TYPE
* -----
* PROGRAM COMPONENT/ACCUMULATION LEVEL (0=MERGED, 1, 2, 3, 4 OR 5 FOR 2, 4, 6, 8 OR 10 DIGITS):
*   5
*
* PROGRAM COMPONENT TOTALS:
*   POLICY AREA: NO TOTAL
*   PROGRAM COMPONENT: BY FUND TYPE
* -----
* ISSUE CODE OR GROUP/ACCUMULATION LEVEL (0=MERGED, 1, 2 OR 3 FOR 1, 3 OR 7 CHARACTERS):
*   18          3          34          3
*
* ISSUE TOTALS:
*   SUMMARY: NO TOTAL
*   DETAIL: LINE TOTAL
* -----
* APPROPRIATION CATEGORY OR GROUP/ACCUMULATION LEVEL (0=MERGED, 1=MAJOR, 2=MINOR):
*   2
*
* INCLUDE FCO (Y/N): Y APPROPRIATION CATEGORY TITLE: SHORT
*
* APPROPRIATION CATEGORY TOTALS:
*   MAJOR: NO TOTAL
*   MINOR: BY DETAIL FUND
* -----

```



```

*****
* NEADLP01                                STATISTICAL INFORMATION                                02/17/2021 16:50 *
* BUDGET PERIOD: 2008-2022                EXHIBIT A, D AND D-3A REPORT                                BBV 43 SP *
*                                                                                                     PAGE: 2 *
*****
* ITEMIZATION OF EXPENDITURE:
*
* ITEMIZATION OF EXPENDITURE ACCUMULATION LEVEL: MERGED
*
* ITEMIZATION OF EXPENDITURE TOTAL: NO TOTAL
* -----
* FUND GROUP SET: OR FUND:
* -----
* FUNDING SOURCE IDENTIFIER:
*
* REPORT BY FSI (Y/N): Y
* -----
* DEPARTMENT NARRATIVE SET: ISSUE/ACTIVITY NARRATIVE SET: A1 PRIORITY NARRATIVE SET:
*
* BUDGET ENTITY NARRATIVE SET:
*
* INCLUDE PROGRAM COMPONENT NARRATIVE (Y/N): N
* -----
* ** FORMATTING **
*
* REPORT HEADING: EXHIBIT D-3A
* EXPENDITURES BY
* ISSUE AND APPROPRIATION CATEGORY
*
* PAGE BREAKS: LOWEST LEVEL PROGRAM COMPONENT
*
* FORMAT: LANDSCAPE
*
* COLUMN CODES (Y/N): Y
*
* SORT OPTIONS:
* PROGRAM COMPONENT: CODE
* DEPARTMENT/BUDGET ENTITY: CODE
* -----
* TOTAL SORT RECORDS READ: 50
* TOTAL CARD RECORDS READ: 44
* TOTAL PAF RECORDS READ: 144
* TOTAL OAF RECORDS READ: 0
* TOTAL IEF RECORDS READ: 0
* TOTAL BGF RECORDS READ: 0
* TOTAL BEF RECORDS READ: 8
* TOTAL PCF RECORDS READ: 10
* TOTAL ICF RECORDS READ: 18
* TOTAL INF RECORDS READ: 874
* TOTAL ACF RECORDS READ: 3
* TOTAL FCF RECORDS READ: 4
* TOTAL FSF RECORDS READ: 10
* TOTAL PCN RECORDS READ: 0
* TOTAL BEN RECORDS READ: 0
* TOTAL DPC RECORDS READ: 120
* TOTAL RECORDS IN ERROR: 0
*****

```

* NEADLP01 STATISTICAL INFORMATION 02/17/2021 16:50 *
* BUDGET PERIOD: 2008-2022 EXHIBIT A, D AND D-3A REPORT BBV 43 SP *
* PAGE: 3 *

* BUDGET ENTITIES SELECTED: *
* 1-9: 439005 *
* 10-18: *
* 19-27: *
