

**DEPARTMENT OF COMMERCE AND CONSUMER AFFAIRS
Compliance Resolution Fund**

Subaccounts	FY06 (act)		FY07 (act)		FY08 (act)			FY09 (est = 4 mo. act + 8 mo. est)		
	END Bal	Overhead	Rev/(Exp)	END Bal	Overhead	Rev/(Exp)	END Bal	Overhead	Rev/(Exp)	END Bal
CRF-CATV CCA-102	4,299,087		185,577	2,076,375		258,278	957,596		1,304,000	784,532
		(442,647)	(1,966,458)		(234,953)	(1,142,183)		(212,496)	(1,264,568)	
	37.7			9.3			7.8			6.4
CRF-DCA CCA-103	2,778,833		2,763,810	2,874,860		3,089,399	3,650,443		2,779,914	3,996,219
		(505,882)	(2,220,856)		(514,211)	(1,918,850)		(492,777)	(1,941,361)	
	11.4			10.8			12.6			14.0
CRF-DFI CCA-104	3,843,945		2,798,163	4,263,336		2,620,852	4,269,876		2,526,286	3,768,824
		(505,882)	(1,881,023)		(513,687)	(2,104,693)		(521,245)	(2,506,093)	
	16.4			16.6			15.8			12.5
CRF-PVL CCA-105	6,469,219		5,776,860	6,950,690		5,024,023	6,402,702		5,231,500	5,628,742
		(1,011,764)	(4,385,450)		(1,044,756)	(4,540,466)		(923,829)	(5,081,631)	
	13.8			13.5			11.7			10.4
CRF-INS CCA-106	2,453,080		7,532,652	3,251,719		5,517,386	2,298,557		12,218,639	4,936,683
		(1,327,941)	(6,392,676)		(1,421,698)	(5,994,664)		(1,554,884)	(8,025,629)	
	3.8			4.0			3.0			5.5
CRF-OCP CCA-110	466,578	1,163,114	131,483	540,463	940,241	1,706,590	1,802,056	272,856	1,211,386	1,700,499
			(1,225,090)			(1,388,647)			(1,585,799)	
	3.7			4.1			13.2			12.2
CRF-BREG CCA-111	6,807,871		5,860,371	6,433,568		7,221,316	6,875,486		6,608,130	6,286,548
		(1,201,470)	(5,050,084)		(1,243,966)	(5,560,864)		(1,150,656)	(6,046,412)	
	12.1			10.3			10.5			9.4
CRF-RICO CCA-112	6,765,935		6,003,844	7,121,245		4,669,546	6,278,744		6,015,810	6,150,039
		(1,011,764)	(4,656,878)		(1,014,105)	(4,515,400)		(928,877)	(5,215,638)	
	14.3			13.7			11.8			11.4
CRF-ADMN CCA-191	832,845	4,844,236	432,459	1,269,088	5,047,135	690,547	2,022,651	5,511,908	476,384	2,510,245
			(4,860,179)			(5,006,731)			(5,500,698)	
	2.0			3.0			4.3			5.1
CRF Total	34,717,393	0	31,485,219	34,781,344	0	30,797,937	34,558,111	0	38,372,049	35,762,331
			(32,638,674)			(32,172,498)			(37,167,829)	
	11.6			10.6			10.5			10.2

December 29, 2008

FOOTNOTES:

Ending Balance (months):

all FYs OCP, ADMN

•(Ending balance \$ x 12) / (Ceiling).

all FYs, other programs

•(Ending balance \$ x 12) / (Overhead + Ceiling).

Administrative Overhead:

all FYs paying pr paying programs

•Assessment = (Program ceiling / Aggregate ceiling of paying programs)*(OCP ceiling + ADMN ceiling - adj for OCP, ADMN account balance).

Revenue:

FY09 on all programs

•Estimate as of 11-2008.

Expenditure:

FY09 on all programs

•4 mo. actuals + 8 mo. est.

DEPARTMENT OF COMMERCE AND CONSUMER AFFAIRS
Compliance Resolution Fund
Initiatives to Reduce Fund Balance / Align Revenues and Expenses

PROGRAM	INITIATIVE	AUTHORITY	EFF DATE	IMPACT		
				FY 04 to FY 08*	FY 09 (Proj)	Total
CCA-102 (CATV)	Temporarily cease/reduce collecting DCCA's portion of franchise fee from subscribers.	HAR 16-132	11/1/05-11/30/07	(3,371,747)	(400,000)	(3,771,747)
CCA-104 (DFI)	Waive exam fees and related expenses for financial institutions, escrow depositories.	HRS §412:2-105 & §449:14	FYs 04-07 and FY08 until 12/31	(1,225,305)	-	(1,225,305)
CCA-105 (PVL)	10% fee reduction for online renewals for programs authorized under HRS §92-28.	HRS §92-28 & §436B-15	12/31/05-6/30/07	(297,164)	-	(297,164)
	25% fee reduction for online renewals for programs authorized under HRS §92-28.	HRS §92-28, Act 155/07 & §436B-15	12/31/07-6/30/09	(689,982)	(528,672)	(1,218,654)
CCA-106 (INS)	Waive/Reduce direct assessment.	HRS §431:2-215(d) & §216	FY04 - FY08	(18,221,238)	(1,752,650)	(19,973,888)
	\$25 fee reduction for resident producers.	Act 122/04	as of FY05	(608,208)	(170,000)	(778,208)
CCA-111 (BREG)	25% disc for online filings/pyrmt by credit card; 50% disc for HI internet portal subscribers.	HRS §92-28	as of FY03	(1,630,000) *	(180,000)	(1,810,000)
	50% fee reduction in document registrations except new bus registrations/annual filings.	Act 116/04	as of FY05	(3,630,000) *	(350,000)	(3,980,000)
	Reduce fee for certificate of good standing.	Act 117/04	as of FY05	(445,000) *	(150,000)	(595,000)
	50% fee reduction for initial filings.	HRS §92-28	as of FY05	(1,802,500) *	(700,000)	(2,502,500)
	50% fee reduction for annual filings.	HRS §92-28	as of FY05	(2,355,500) *	(615,000)	(2,970,500)
	50% fee reduction for salesperson renewals.	HRS §92-28	FY05	(1,375,000)	-	(1,375,000)
	50% fee reduction for Reg D filings.	HRS §92-28	11/1/04-10/31/06			
	50% fee reduction for franchise apps/amendments/renewals.	HRS §92-28	11/1/05-10/31/06	(2,985,070) *	-	(2,985,070)
	50% fee reduction for apps/renewals for dealers/salespeople, inv advisors/ reps, intial notice/renewals for investment company securities.	HRS §92-28	11/1/05-10/31/06			
	50% fee reduction for franchise apps/amendments/renewals.	HRS §92-28	11/1/06-10/31/07			
50% fee reduction for apps/renewals for dealers/salespeople, inv advisors/ reps, initial notice/renewals for investment company securities - Reg D filings	HRS §92-28	11/1/06-10/31/07	(3,025,416) *	-	(3,025,416)	
25% fee reduction for apps/renewals for dealers/salespeople, inv advisors/ reps, initial notice/renewals for investment company securities, franchise apps/amendments/renewals.	HRS §92-28	11/1/07-10/31/08	(1,375,000) *	(190,500)	(1,565,500)	
25% fee reduction for apps/renewals for dealers/salespeople, inv advisors/ reps, initial notice/renewals for investment company securities, franchise apps/amendments/renewals.	HRS §92-28	11/1/08-10/31/09	-	(1,300,000)	(1,300,000)	
Additional 25% fee reduction for apps/renewals for dealers/salespeople, inv advisors/ reps, initial notice/renewals for investment company securities, franchise apps/amendments/renewals from 1/1/09 to 10/31/09 and a new 50% reduction from 11/1/09 to 12/31/09.	HRS §92-28	01/1/09-12/31/09		(300,000)	(300,000)	
50% reduction in registration of trademark, trade name & service mark, etc.	HRS §92-28	01/01/09-12/31/09		(95,000)	(95,000)	
CCA-112 (RICO)	25% compliance resolution fee reduction associated with PVL online renewals.	HRS §92-28	1/1/05-12/31/06	(908,775)	-	(908,775)
	10% compliance resolution fee reduction associated with PVL online renewals	HRS §92-28	1/1/07-12/31/08	(316,220)	(224,508)	(540,728)

Total (44,262,125) (6,956,330) (51,218,455)

* Estimated, includes revised estimates in prior years

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