



## **Staff Reports for June 2016**

## Reception and Communication Services Division

### Incoming Calls

	Sep-15	Oct-15	Nov-15	Dec-15	Jan-16	Feb-16	Mar-16	Apr-16	May-16	Jun-16	Jul-16	Aug-16	FYTD Total 2016
Local Lines	16,624	15,445	15,557	16,835	21,161	21,160	22,077	19,167	18,440	17,234			183,700
<b>TALCB LL</b>	<b>947</b>	<b>916</b>	<b>1,033</b>	<b>1,079</b>	<b>1,337</b>	<b>1,256</b>	<b>1,320</b>	<b>1,199</b>	<b>1,216</b>	<b>1,092</b>			<b>11,395</b>
<b>Total Calls</b>	<b>17,571</b>	<b>16,361</b>	<b>16,590</b>	<b>17,914</b>	<b>22,498</b>	<b>22,416</b>	<b>23,397</b>	<b>20,366</b>	<b>19,656</b>	<b>18,326</b>			<b>195,095</b>

### Walk Ins

	Sep-15	Oct-15	Nov-15	Dec-15	Jan-16	Feb-16	Mar-16	Apr-16	May-16	Jun-16	Jul-16	Aug-16	FYTD Total 2016
Licensing	131	108	145	154	176	205	140	108	131	127			1,425
Education	26	22	24	25	41	34	29	26	48	32			307
Inspector	3	17	10	10	11	9	11	11	18	17			117
Enforcement	6	3	4	10	10	14	12	9	15	29			112
<b>TALCB Lic</b>	<b>3</b>	<b>6</b>	<b>1</b>	<b>1</b>	<b>6</b>	<b>4</b>	<b>4</b>	<b>3</b>	<b>7</b>	<b>9</b>			<b>44</b>
<b>TALCB Enf</b>	<b>3</b>	<b>3</b>	<b>2</b>	<b>1</b>	<b>1</b>	<b>1</b>	<b>1</b>	<b>1</b>	<b>0</b>	<b>3</b>			<b>16</b>
<b>Total</b>	<b>172</b>	<b>159</b>	<b>186</b>	<b>201</b>	<b>245</b>	<b>267</b>	<b>197</b>	<b>158</b>	<b>219</b>	<b>217</b>			<b>2,021</b>

### Emails

	Sep-15	Oct-15	Nov-15	Dec-15	Jan-16	Feb-16	Mar-16	Apr-16	May-16	Jun-16	Jul-16	Aug-16	FYTD Total 2016
Licensing	5,023	4,113	4,058	5,227	6,091	5,193	5,650	5,440	5,021	5,027			50,843
Education	1,066	938	785	1,065	1,272	1,327	1,652	1,344	1,468	1,836			12,753
Inspector	84	50	39	38	17	24	43	36	21	49			401
Enforcement	117	108	125	128	135	155	177	132	146	158			1,381
<b>TALCB Lic</b>	<b>289</b>	<b>286</b>	<b>280</b>	<b>341</b>	<b>400</b>	<b>327</b>	<b>343</b>	<b>299</b>	<b>356</b>	<b>385</b>			<b>3,306</b>
<b>TALCB Enf</b>	<b>16</b>	<b>15</b>	<b>49</b>	<b>17</b>	<b>7</b>	<b>10</b>	<b>22</b>	<b>22</b>	<b>20</b>	<b>16</b>			<b>194</b>
<b>Total</b>	<b>6,595</b>	<b>5,510</b>	<b>5,336</b>	<b>6,816</b>	<b>7,922</b>	<b>7,036</b>	<b>7,887</b>	<b>7,273</b>	<b>7,032</b>	<b>7,471</b>			<b>68,878</b>

C1 Report  
FY2016

## Customer Service Surveys

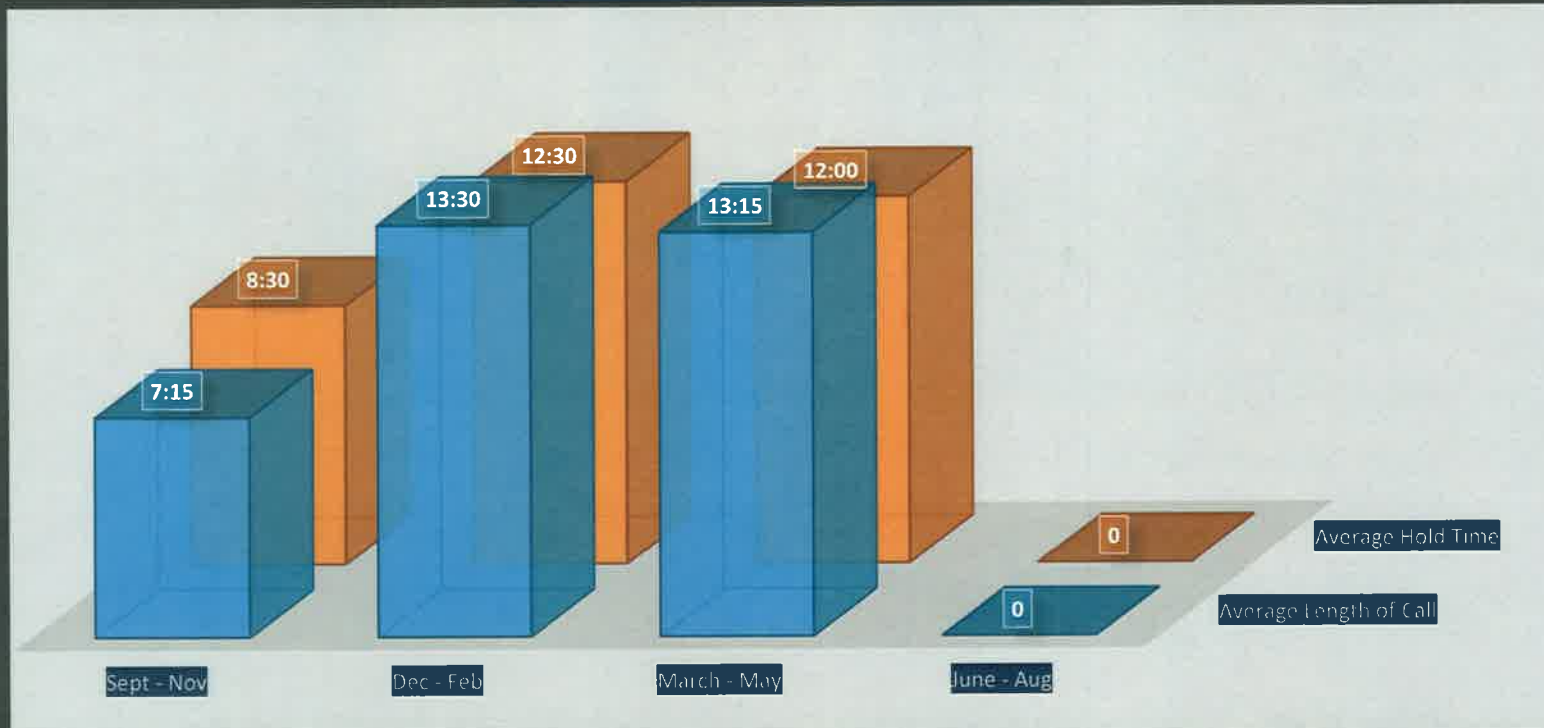
FY2016	Surveys Received	Responded by Email	Responded by Phone	Anonymous (No Contact Info)
September	14	10	1	3
October	17	9	1	7
November	15	7	3	5
December	21	9	3	9
January	46	14	11	21
February	35	17	2	16
March	41	18	1	18
April	33	10	4	19
May	23	8	7	8
June	26	10	0	16
July				
August				
Grand Total	271	112	33	122

C2 Report

## FY2016 CALL AVERAGES

MIN:SEC

■ Average Length of Call ■ Average Hold Time



C3 Report

## TEXAS APPRAISER LICENSING AND CERTIFICATION BOARD

### ACTIVE CERTIFICATIONS AND LICENSES

FISCAL YEAR	END OF MONTH	GENERAL	RESIDENTIAL	LICENSE	TOTAL G.R.L. & P	G.R.L. & P CHANGE	TRAINEE	TRAINEE CHANGE	TOTAL	TOTAL CHANGE	
2013	Aug13	2,367	2,371	470	5,208		724		5,932		
2014	Sep13	2,368	2,375	467	5,210	2	741	17	5,951	19	
	Oct13	2,367	2,381	467	5,215	5	767	26	5,982	31	
	Nov13	2,371	2,381	467	5,219	4	781	14	6,000	18	
	Dec13	2,374	2,380	466	5,220	1	792	11	6,012	12	
	Jan14	2,363	2,382	461	5,206	-14	786	-6	5,992	-20	
	Feb14	2,365	2,379	457	5,201	-5	780	-6	5,981	-11	
	Mar14	2,368	2,385	453	5,206	5	788	8	5,994	13	
	Apr14	2,373	2,393	454	5,220	14	783	-5	6,003	9	
	May14	2,375	2,399	457	5,231	11	779	-4	6,010	7	
	Jun14	2,378	2,401	451	5,230	-1	777	-2	6,007	-3	
	Jul14	2,377	2,403	454	5,234	4	766	-11	6,000	-7	
	Aug14	2,386	2,405	453	5,244	10	760	-6	6,004	4	
2015	Sep14	2,393	2,407	451	5,251	7	767	7	6,018	14	
	Oct14	2,402	2,418	448	5,268	17	766	-1	6,034	16	
	Nov14	2,407	2,415	440	5,262	-6	749	-17	6,011	-23	
	Dec14	2,409	2,431	442	5,282	20	756	7	6,038	27	
	Jan15	2,405	2,437	446	5,288	6	767	11	6,055	17	
	Feb15	2,417	2,437	442	5,296	8	760	-7	6,056	1	
	Mar15	2,423	2,445	444	5,312	16	761	1	6,073	17	
	Apr15	2,408	2,451	442	5,301	-11	763	2	6,064	-9	
	May15	2,404	2,444	436	5,284	-17	761	-2	6,045	-19	
	Jun15	2,413	2,436	432	5,281	-3	773	12	6,054	9	
	Jul15	2,409	2,424	432	5,265	-16	774	1	6,039	-15	
	Aug15	2,408	2,415	434	5,257	-8	779	5	6,036	-3	
2016	Sep15	2,406	2,417	428	5,251	-6	786	7	6,037	1	
	Oct15	2,414	2,418	431	5,263	12	791	5	6,054	17	
	Nov15	2,417	2,420	430	5,267	4	793	2	6,060	6	
	Dec15	2,419	2,425	430	5,274	7	795	2	6,069	9	
	Jan16	2,420	2,422	428	5,270	-4	794	-1	6,064	-5	
	Feb16	2,418	2,418	427	5,263	-7	783	-11	6,046	-18	
	Mar16	2,423	2,417	427	5,267	4	784	1	6,051	5	
	Apr16	2,431	2,415	429	5,275	8	774	-10	6,049	-2	
	May16	2,425	2,415	417	5,257	-18	773	-1	6,030	-19	
	Jun16	2,425	2,422	416	5,263	6	784	11	6,047	17	
	(June 2016: Out-of-State Temporary Registrations = 1,148; Inactive Appraisers = 147)										

# Appraisal Management Company Registrations June 2016

	Month	Paper Apps. Received	Online Apps. Received	Total Apps. Received	Total AMC Registrations Issued	Total AMC Renewals Issued
<b>FY-2012</b>	<b>Total</b>	130	46	176	169	0
<b>FY-2013</b>	<b>Total</b>	6	11	17	23	0
<b>FY-2014</b>	Sep-13	0	3	3	2	
	Oct-13	0	1	1	2	
	Nov-13	0	0	0	0	
	Dec-13	0	1	1	0	0
	Jan-14	0	0	0	1	1
	Feb-14	0	0	0	0	5
	Mar-14	0	2	2	2	9
	Apr-14	1	0	1	2	18
	May-14	1	1	2	0	28
	Jun-14	1	1	2	4	38
	Jul-14	0	0	0	0	24
	Aug-14	0	0	0	0	15
<b>FY-2015</b>	Sep-14	1	1	2	1	4
	Oct-14	0	0	0	1	2
	Nov-14	1	1	2	2	2
	Dec-14	3	1	4	1	0
	Jan-15	3	0	3	1	1
	Feb-15	0	0	0	5	1
	Mar-15	1	0	1	0	0
	Apr-15	0	1	1	0	1
	May-15	0	0	0	1	0
	Jun-15	0	0	0	1	0
	Jul-15	1	0	1	1	6
	Aug-15	1	1	2	1	0
<b>FY-2016</b>	Sep-15	1	0	1	0	1
	Oct-15	0	0	0	2	2
	Nov-15	2	0	2	1	0
	Dec-15	1	0	1	0	0
	Jan-16	2	0	2	2	1
	Feb-16	0	0	0	1	2
	Mar-16	0	0	0	1	7
	Apr-16	1	1	2	1	10
	May-16	0	1	1	1	21
	Jun-16	1	0	1	2	36
<b>TOTALS</b>		<b>158</b>	<b>73</b>	<b>231</b>	<b>231</b>	<b>235</b>
Registrations Surrendered as of June 2016						-14
Registrations Revoked as of June 2016						-3
Registrations Expired > 6 months as of June 2016						-26
<b>TOTAL AMC REGISTRATIONS</b>						<b>188</b>

# Education & Licensing Services Division - TALCB

## Fiscal Year Comparison

Fiscal Year - 2016

JUNE

	This YTD 09/15 - 06/16	Last YTD 09/14 - 06/15	Count	Change Percent
<b>Original Applications Received</b>				
Certified General Applications	103	104	-1	-0.96%
Certified Residential Applications	90	127	-37	-29.13%
Licensed Residential Applications	54	50	4	8.00%
Appraiser Trainee Applications	250	169	81	47.93%
Non-Residential Temporary Applications	207	181	26	14.36%
<b>Total Original Applications</b>	<b>704</b>	<b>631</b>	<b>73</b>	<b>11.57%</b>
<b>Licenses Issued from Original Applications</b>				
Certified General Licenses	120	104	16	15.38%
Certified Residential Licenses	128	135	-7	-5.19%
Licensed Residential Licenses	49	53	-4	-7.55%
Appraiser Trainee Licenses	216	148	68	45.95%
Non-Residential Temporary Licenses	209	176	33	18.75%
<b>Total Licenses from Original Applications</b>	<b>722</b>	<b>616</b>	<b>106</b>	<b>17.21%</b>
<b>Licenses Issued from Renewal Applications</b>				
Certified General Renewals	939	1,012	-73	-7.21%
Certified Residential Renewals	1,081	856	225	26.29%
Licensed Residential Renewals	184	183	1	0.55%
Appraiser Trainee Renewals	300	331	-31	-9.37%
<b>Total Renewal Licenses Issued</b>	<b>2,504</b>	<b>2,382</b>	<b>122</b>	<b>5.12%</b>
<b>Licenses Issued from Late Renewal Applications</b>				
Certified General Late Renewals	5	14	-9	-64.29%
Certified Residential Late Renewals	6	7	-1	-14.29%
Licensed Residential Late Renewals	2	4	-2	-50.00%
Appraiser Trainee Late Renewals	11	10	1	10.00%
<b>Total Late Renewal Licenses Issued</b>	<b>24</b>	<b>35</b>	<b>-11</b>	<b>-31.43%</b>

## Examination Activity - Fiscal Year 2015-2016

### YEAR-TO-DATE RESULTS: September 2015 thru June 2016

	Licensed Residential	Certified Residential	Certified General	Overall Pass Rate	Overall Failure Rate
Examinations Passed	29	37	32	98	
Examinations Failed	32	35	23		90
<b>Examinations Taken</b>	61	72	55	188	188
Examination Pass Rate (%)	47.54%	51.39%	58.18%	52.13%	47.87%

All examination types	
Total first time candidates:	102
Total repeat candidates:	86
Total pass:	98
Total fail:	90
Total examinations taken:	188

## Examination Activity - Fiscal Year 2015-2016

### MONTHLY RESULTS: June 2016

	Licensed Residential	Certified Residential	Certified General	Overall Pass Rate	Overall Failure Rate
Examinations Passed	3	3	3	9	
Examinations Failed	4	2	2		8
<b>Examinations Taken</b>	7	5	5	17	17
Examination Pass Rate (%)	42.86%	60.00%	60.00%	52.94%	47.06%

All examination types	
Total first time candidates:	10
Total repeat candidates:	7
Total pass:	9
Total fail:	8
Total examinations taken:	17

## EXAMINATION ACTIVITY

### FISCAL YEAR-TO-DATE COMPARISON JUNE

	<u>2016</u> <u>Pass Rate</u>	<u>2015</u> <u>Pass Rate</u>
Certified General Appraiser	58.1%	63.4%
Certified Residential Appraiser	51.3%	58.2%
Licensed Residential Appraiser	47.5%	42.1%
Overall Appraiser Pass Rate	52.1%	55.3%

## Information Technology Services Division

### Electronic Information Outlet Statistics

June 2016

<b>Website</b>	<b>Current Month</b>	<b>FYTD Total</b>	<b>Prior FYTD Total</b>
Total Pages Viewed	628,729	9,417,884	3,080,554
Total Monthly Unique Visitors	15,421	283,438	125,164

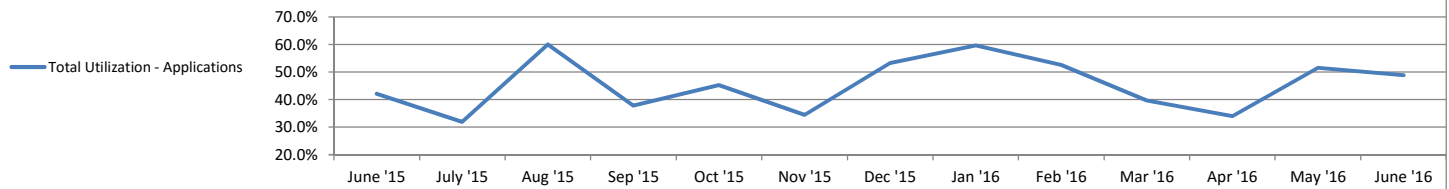
<b>Online Transactions</b>	<b>Total</b>	<b>Online</b>	<b>Online Percent</b>	<b>FYTD Online Percent</b>	<b>Prior FYTD Percent</b>
<b>Applications</b>	<b>43</b>	<b>21</b>	<b>48.8%</b>	<b>45.8%</b>	<b>39.9%</b>
AMC	2	1	50.0%	27.3%	53.8%
Certified General Appraiser	7	0	0.0%	12.9%	15.3%
Certified Residential Appraiser	10	3	30.0%	21.2%	22.4%
State Licensed Appraiser	3	2	66.7%	48.5%	44.4%
Appraiser Trainee	21	15	71.4%	73.3%	67.3%
<b>Renewals</b>	<b>260</b>	<b>239</b>	<b>91.9%</b>	<b>91.3%</b>	<b>88.9%</b>
AMC	36	26	72.2%	78.8%	81.8%
Certified General Appraiser	95	92	96.8%	91.0%	88.0%
Certified Residential Appraiser	92	91	98.9%	94.3%	94.3%
State Licensed Appraiser	15	11	73.3%	86.4%	72.8%
Appraiser Trainee	22	19	86.4%	88.5%	78.9%
<b>AMC Panel Transactions</b>	<b>1040</b>	<b>1040</b>	<b>100.0%</b>	<b>100.0%</b>	<b>100.0%</b>
Additions	916	916	100.0%	100.0%	100.0%
Removals	124	124	100.0%	100.0%	100.0%

## Information Technology Services Division Electronic Information Outlet Statistics

June 2016

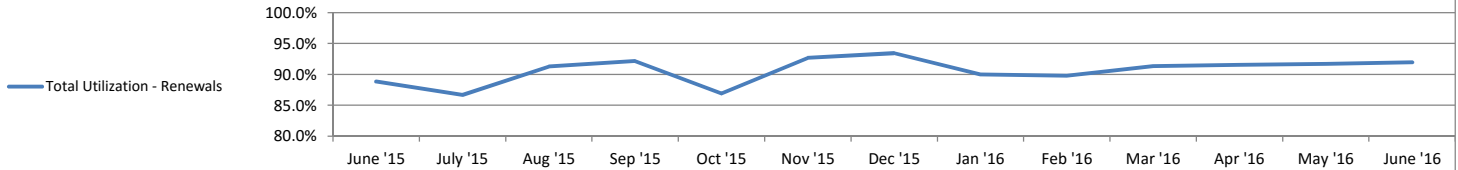
Applications	June '15	July '15	Aug '15	Sep '15	Oct '15	Nov '15	Dec '15	Jan '16	Feb '16	Mar '16	Apr '16	May '16	June '16
AMC	100.0%	100.0%	0.0%	0.0%	50.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	100.0%	50.0%
Certified General Appraiser	33.3%	6.3%	66.7%	0.0%	8.3%	14.3%	10.0%	46.2%	25.0%	8.3%	0.0%	0.0%	0.0%
Certified Residential Appraiser	0.0%	0.0%	0.0%	11.1%	40.0%	14.3%	25.0%	28.6%	20.0%	22.2%	0.0%	12.5%	30.0%
State Licensed Appraiser	50.0%	50.0%	71.4%		20.0%	0.0%	75.0%	40.0%	66.7%	20.0%	100.0%		66.7%
Appraiser Trainee	64.7%	64.7%	64.7%	65.0%	70.8%	66.7%	85.7%	90.0%	81.3%	65.4%	60.9%	78.9%	71.4%
<b>Total Utilization - Applications</b>	<b>42.1%</b>	<b>31.9%</b>	<b>60.0%</b>	<b>37.8%</b>	<b>45.3%</b>	<b>34.5%</b>	<b>53.2%</b>	<b>59.6%</b>	<b>52.5%</b>	<b>39.6%</b>	<b>34.0%</b>	<b>51.5%</b>	<b>48.8%</b>

### Utilization Online Application Services



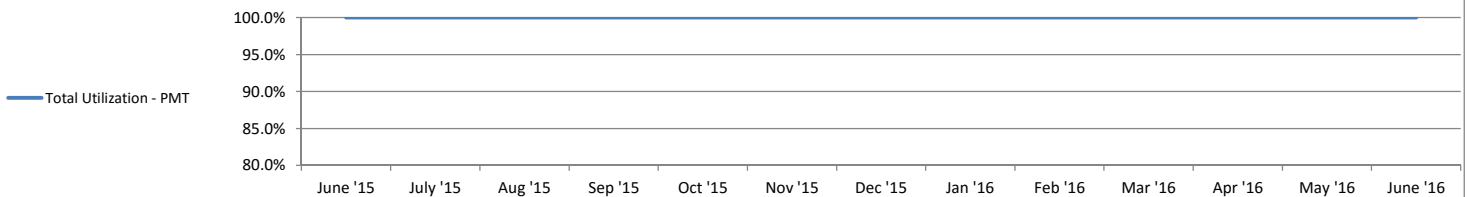
Renewals	June '15	July '15	Aug '15	Sep '15	Oct '15	Nov '15	Dec '15	Jan '16	Feb '16	Mar '16	Apr '16	May '16	June '16
AMC		83.3%	0.0%	100.0%	100.0%		0.0%	100.0%	100.0%	57.1%	100.0%	0.0%	72.2%
Certified General Appraiser	86.7%	87.2%	90.1%	87.9%	87.7%	93.0%	92.4%	84.3%	85.2%	92.8%	95.9%	91.2%	96.8%
Certified Residential Appraiser	91.7%	93.0%	93.2%	95.2%	86.6%	94.3%	94.7%	94.6%	97.0%	93.9%	91.9%	95.3%	98.9%
State Licensed Appraiser	92.3%	83.3%	90.0%	93.8%	75.0%	83.3%	92.0%	90.0%	50.0%	82.6%	71.4%	92.9%	73.3%
Appraiser Trainee	83.3%	84.6%	85.7%	85.7%	93.3%	83.3%	94.1%	90.9%	92.3%	91.3%	82.1%	87.5%	86.4%
<b>Total Utilization - Renewals</b>	<b>88.9%</b>	<b>86.7%</b>	<b>91.3%</b>	<b>92.2%</b>	<b>86.9%</b>	<b>92.7%</b>	<b>93.4%</b>	<b>90.0%</b>	<b>89.8%</b>	<b>91.3%</b>	<b>91.5%</b>	<b>91.7%</b>	<b>91.9%</b>

### Utilization Online Renewal Services



PMT	June '15	July '15	Aug '15	Sep '15	Oct '15	Nov '15	Dec '15	Jan '16	Feb '16	Mar '16	Apr '16	May '16	June '16
AMC Panel Invitations	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%
AMC Panel Removals	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%	100.0%
<b>Total Utilization - PMT</b>	<b>100.0%</b>	<b>100.0%</b>	<b>100.0%</b>	<b>100.0%</b>	<b>100.0%</b>	<b>100.0%</b>	<b>100.0%</b>	<b>100.0%</b>	<b>100.0%</b>	<b>100.0%</b>	<b>100.0%</b>	<b>100.0%</b>	<b>100.0%</b>

### Utilization Online Relationship Management Tool



**Staff & Support Services Division**

**TALCB Budget Status Report**

**June 2016**

2/12 = 16.67%

Expenditure Category	Budget FY2016	Expenditures	Balance	Budget % Remaining	Comments
Salaries & Wages	\$875,842	\$663,253	\$212,589	24.3%	
Employee Benefits	277,440	212,661	64,779	23.3%	
Retiree Insurance	39,600	26,700	12,900	32.6%	
Other Personnel Costs	25,220	19,841	5,379	21.3%	budget for Peer Assistance Committee not expended as of report date
Professional Fees & Services	77,550	49,538	28,012	36.1%	Versa customization budget not expended as of report date; moved to FY 2017
Consumables	7,500	3,811	3,689	49.2%	may have overbudgeted for FY16; FY17 proposed budget reduced by \$1K
Utilities	1,740	1,567	173	10.0%	
Travel	30,000	22,990	7,010	23.4%	board member budget of \$18K not fully expended as of report date
Office Rent	37,625	26,748	10,877	28.9%	refunded \$8K from Texas Facilities Commission in Dec FY16
Equipment Rental	14,138	5,561	8,577	60.7%	PC lease budget of \$5K expended by 50% as of report date; copier rental budget expended by 33% as of report date; Purchasing expecting a revised invoice for PC refresh---total invoice \$14K, not certain how much of this amount is applicable to TALCB
Registration & Membership	16,125	7,680	8,445	52.4%	Attorney CLE budget not expended as of report date
Maintenance & Repairs	12,267	12,861	(594)	-4.8%	Versa annual maintenance paid
Reproduction & Printing	1,600	172	1,428	89.3%	budget for envelopes not expended as of report date
Contract Services	29,540	4,726	24,814	84.0%	budget for court report, ERS and transcripts not expended as of report date
Postage	6,350	3,544	2,806	44.2%	agency consistently expends \$500 a month
Supplies & Equipment	6,500	1,578	4,922	75.7%	budget for computer software and computer hardware not expended as of report date
Communication Services	8,246	6,116	2,130	25.8%	
Other Operating Expenses	4,342	1,800	2,542	58.6%	budget for certified copies, witness fees, and appraiser registry not expended as of report date
<b>Subtotal -Operations Expenditures</b>	<b>1,471,625</b>	<b>1,071,146</b>	<b>400,479</b>	<b>27.2%</b>	
DPS Criminal History Background Checks	3,000	2,320	680	22.7%	agency consistently expends to perform secured site name searches; FY17 budget has a slight increase to accommodate this task
Statewide Cost Allocation Plan (SWCAP)	45,000	30,775	14,225	31.6%	1 quarterly payment remaining
Contribution to General Revenue	30,000	25,000	5,000	16.7%	% allocated monthly but pmt not due until 8/31/16
<b>Subtotal - Nonoperational Expenditures</b>	<b>78,000</b>	<b>58,095</b>	<b>19,905</b>	<b>25.5%</b>	
<b>Total Expenditures</b>	<b>\$1,549,625</b>	<b>\$1,129,241</b>	<b>\$420,384</b>	<b>27.1%</b>	

Revenue	FY2016 Projected	Revenue Collected	Revenue Remaining to be Collected	Revenue % Remaining to be Collected	Comments
License Fees	\$1,084,345	\$935,785	\$148,560	13.7%	
AMCs	749,580	643,089	\$106,491	14.2%	Majority of renewals occur in last fiscal quarter (June-August)
Administrative Penalties	45,000	44,800	\$200	0.4%	
Other Miscellaneous Revenue	26,280	19,975	\$6,305	24.0%	Exam Admin Fees/NSF fees/Misc/Public Info fees less Administrative Penalties
<b>Total Revenue</b>	<b>\$1,905,205</b>	<b>\$1,643,649</b>	<b>\$261,556</b>	<b>13.7%</b>	

	FY16 Carry Forward	Allocated Amount	Remaining to be Allocated	Carry Forward % Remaining	This is estimated AMC revenues collected in FY16 that will be set aside for FY17 budget.
<b>AMC Revenue Carry Forward from FY16</b>	<b>(\$290,054)</b>	<b>(\$241,711.67)</b>	<b>(\$48,342)</b>	<b>16.7%</b>	<b>Pro-rated thru May</b>
<b>Revenue Over/(Under) Expenditures &amp; Transfers</b>	<b>\$65,526</b>	<b>\$272,697</b>			<b>Includes AMC Carry Forward</b>

# Staff Services Division

## Tx Appraiser Licensing & Certification Board Operating Account No. 3056 Investments Current Securities

June 2016

Purchase Date	Par Value	Purchase Price	Beginning Market Value	Additions Changes	Ending Market Value	Accrued Interest	Description	Maturity Date
12/04/2014	100,000.00	100,484.97	100,012.00	(100,012.00)	0.00	0.00	U.S. T-Notes, 0.50%	06/15/2016
07/16/2015	100,000.00	100,839.34	100,136.00	(22.00)	100,114.00	256.79	U.S. T-Notes, 0.88%	09/15/2016
12/24/2015	150,000.00	149,911.72	150,058.50	94.50	150,153.00	40.98	U.S. T-Notes, 0.63%	12/15/2016
06/14/2016	99,300.00	99,980.31	0.00	99,641.59	99,641.59	37.98	U.S. T-Notes, 0.88%	06/15/2017
<b>Totals</b>	<b>\$ 449,300.00</b>	<b>\$ 451,216.34</b>	<b>\$ 350,206.50</b>	<b>\$ (297.91)</b>	<b>\$ 349,908.59</b>	<b>\$ 335.75</b>		

### Receipts:

Treasury Note Earnings

### Current Month

1,153.19

### FY2016

### Cumulative Total

2,403.19

Investment Compliance: These investments have been made in compliance with the Board's Investment Policy.

*Barbara C Kolb*

Barbara Kolb, Acting Investment Officer

# TALCB Standards & Enforcement Services

## CASE STATUS REPORT as of JUNE 30, 2016

# of Cases Received															
Case Classification	FY2014	FY2015	15-Sep	15-Oct	15-Nov	15-Dec	16-Jan	16-Feb	16-Mar	16-Apr	16-May	16-Jun	16-Jul	16-Aug	FYTD
Complaint Category:															
AMCs	12	1	0	0	0	0	2	4	1	1	2	1			11
Dodd Frank	16	22	0	0	0	4	0	1	3	3	1	1			13
Ethics	5	4	0	0	0	0	0	0	0	1	0	2			3
USPAP	114	149	22	12	10	6	10	11	8	7	16	15			117
Other	4	11	1	1	0	0	0	1	5	2	6	1			17
No Jurisdiction	0	4	2	2	0	0	0	0	0	1	0	3			8
	151	191	25	15	10	10	12	17	17	15	25	23		SUB:	169
Experience Audits	155	161	19	14	11	6	12	9	10	12	9	17			119
RFAs & Covert Complaints	3	13	0	0	2	0	3	0	0	0	0	0			5
MCD Inquiries	4	3	0	0	0	1	0	0	2	2	0	0			5
	162	177	19	14	13	7	15	9	12	14	9	17		SUB:	129
Opened During FY Year   Month	313	368	44	29	23	17	27	26	29	29	34	40			298

# of Cases Closed															
Case Disposition	FY2014	FY2015	15-Sep	15-Oct	15-Nov	15-Dec	16-Jan	16-Feb	16-Mar	16-Apr	16-May	16-Jun	16-Jul	16-Aug	FYTD
Surrendered	4	5	0	0	4	0	0	3	0	0	0	0			7
Agreed Final Order / Final Order	44	42	0	0	20	0	1	15	0	0	2	0			38
Other Disciplinary Action	3	5	0	0	0	0	0	0	0	0	0	0			0
Insufficient Evidence	0	2	0	0	0	0	0	0	1	0	0	2			3
Dismissed	110	98	12	10	12	9	9	12	8	3	17	19			111
No Jurisdiction	0	5	1	3	2	0	0	0	0	1	0	1			8
	161	157	13	13	38	9	10	30	9	4	19	22		SUB:	167
Experience Audits	131	171	8	12	10	19	15	10	12	8	8	13			115
RFAs	14	10	0	0	0	1	0	3	0	0	0	0			4
MCD Inquiries	3	5	0	0	0	0	0	1	1	0	2	1			5
	148	186	8	12	10	20	15	14	13	8	10	14		SUB:	124
Closed During FY Year   Month	309	343	21	25	48	29	25	44	22	12	29	36			291

Total Cases Open as of 6/30/16: 209

## TALCB Standards & Enforcement Services

### AMC CASE STATUS REPORT as of JUNE 30, 2016

# of Cases Received															
Case Classification	FY2014	FY2015	15-Sep	15-Oct	15-Nov	15-Dec	16-Jan	16-Feb	16-Mar	16-Apr	16-May	16-Jun	16-Jul	16-Aug	FYTD
Complaint Category:															
AMC Compliance	0	0	0	0	0	0	0	0	0	0	0	1			1
Dodd Frank	0	0	0	0	0	0	0	0	0	0	0	0			0
Ethics	1	0	0	0	0	0	0	0	0	0	0	0			0
USPAP	9	7	0	0	0	0	0	1	0	1	1	0			3
Other	1	0	0	0	0	0	2	3	1	0	2	0			8
No Jurisdiction	0	1	0	1	0	0	0	0	0	0	0	2			3
	11	8	0	1	0	0	2	4	1	1	3	3		SUB:	15
RFAs & Covert Complaints	0	0	0	0	0	0	0	0	0	0	0	0			0
Opened During FY Year   Month	11	8	0	1	0	0	2	4	1	1	3	3			15

# of Cases Closed															
Case Disposition	FY2014	FY2015	15-Sep	15-Oct	15-Nov	15-Dec	16-Jan	16-Feb	16-Mar	16-Apr	16-May	16-Jun	16-Jul	16-Aug	FYTD
Surrendered	0	0	0	0	0	0	0	0	0	0	0	0			0
Agreed Final Order	0	0	0	0	0	0	0	0	0	0	0	0			0
Other Disciplinary Action	2	0	0	0	0	0	0	0	0	0	0	0			0
Insufficient Evidence	0	0	0	0	0	0	0	0	0	0	0	0			0
Dismissed	7	6	1	1	1	0	1	0	2	0	0	1			7
No Jurisdiction	0	1	0	1	0	0	0	0	0	0	0	1			2
	9	7	1	2	1	0	1	0	2	0	0	2	SUB:		9
RFAs & Covert Complaints	0	0	0	0	0	0	0	0	0	0	0	0			0
Closed During FY Year   Month	9	7	1	2	1	0	1	0	2	0	0	2			9

Total Cases Open as of 6/30/16:

10