



## **Staff Reports for August 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	16,412	18,900	219,012
<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>923</b>	<b>1,149</b>	<b>13,467</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>17,335</b>	<b>20,049</b>	<b>232,479</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	108	112	1,645
Education	26	22	24	25	41	34	29	26	48	32	28	45	380
Inspector	3	17	10	10	11	9	11	11	18	17	14	17	148
Enforcement	6	3	4	10	10	14	12	9	15	29	11	9	132
<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>9</b>	<b>15</b>	<b>68</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>0</b>	<b>4</b>	<b>20</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>170</b>	<b>202</b>	<b>2,393</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	4,889	6,193	61,925
Education	1,066	938	785	1,065	1,272	1,327	1,652	1,344	1,468	1,836	1,599	1,314	15,666
Inspector	84	50	39	38	17	24	43	36	21	49	50	61	512
Enforcement	117	108	125	128	135	155	177	132	146	158	110	120	1,611
<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>303</b>	<b>241</b>	<b>3,850</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>16</b>	<b>14</b>	<b>224</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>6,967</b>	<b>7,943</b>	<b>83,788</b>

C1 Report  
FY2016

### Customer Service Surveys

<b>FY2016</b>	<b>Surveys Received</b>	<b>Responded by Email</b>	<b>Responded by Phone</b>	<b>Anonymous (No Contact Info)</b>
<b>September</b>	14	10	1	3
<b>October</b>	17	9	1	7
<b>November</b>	15	7	3	5
<b>December</b>	21	9	3	9
<b>January</b>	46	14	11	21
<b>February</b>	35	17	2	16
<b>March</b>	41	18	1	18
<b>April</b>	33	10	4	19
<b>May</b>	23	8	7	8
<b>June</b>	26	10	0	16
<b>July</b>	28	10	2	16
<b>August</b>	20	12	0	8
<b>Grand Total</b>	<b>319</b>	<b>134</b>	<b>35</b>	<b>146</b>

C2 Report

# FY2016 CALL AVERAGES

MIN:SEC

■ Average Length of Call ■ Average Hold Time



**TEXAS APPRAISER LICENSING AND CERTIFICATION BOARD**  
**ACTIVE CERTIFICATIONS AND LICENSES**

FISCAL YEAR	END OF MONTH	TOTAL			G.R.L. & P		TRAINEE		TOTAL	
		GENERAL	RESIDENTIAL	LICENSE	G.R.L. & P	CHANGE	TRAINEE	CHANGE	TOTAL	CHANGE
<b>2013</b>	Aug13	2,367	2,371	470	5,208		724		5,932	
<b>2014</b>	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
<b>2015</b>	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
<b>2016</b>	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
	Jul16	2,425	2,423	417	5,265	2	774	-10	6,039	-8
	Aug16	2,426	2,425	416	5,267	2	789	15	6,056	17

**(August 2016: Out-of-State Temporary Registrations = 1,186; Inactive Appraisers = 149)**

**TEXAS APPRAISER LICENSING AND CERTIFICATION BOARD**  
**APPRAISAL MANAGEMENT COMPANY REGISTRATIONS**  
**August 2016**

<b>FISCAL YEAR</b>	<b>MONTH</b>	<b>Paper Apps Received</b>	<b>Online Apps Received</b>	<b>Total Apps Received</b>	<b>Total AMC Registrations Issued</b>	<b>Total AMC Renewals Issued</b>
<b>2012 - Total</b>						
		130	46	176	169	0
<b>2013 - Total</b>						
		6	11	17	23	0
<b>2014 - Total</b>						
		3	9	12	13	138
<b>2015 - Total</b>						
		11	5	16	15	17
<b>2016</b>	Sep15	1	0	1	0	1
	Oct15	0	0	0	2	2
	Nov15	2	0	2	1	0
	Dec15	1	0	1	0	0
	Jan16	2	0	2	2	1
	Feb16	0	0	0	1	2
	Mar16	0	0	0	1	7
	Apr16	1	1	2	1	10
	May16	0	1	1	1	21
	Jun16	1	0	1	2	36
	Jul16	0	0	0	0	34
	Aug16	0	0	0	0	14
<b>ACCUMULATIVE TOTALS</b>		<b>158</b>	<b>73</b>	<b>231</b>	<b>231</b>	<b>283</b>
Registrations Surrendered as of August 2016						-17
Registrations Revoked as of August 2016						-3
Registrations Expired > 6 months as of August 2016						-26
<b>TOTAL AMC REGISTRATIONS -AUGUST 2016</b>						<b>185</b>

# Education & Licensing Services Division - TALCB

## Fiscal Year Comparison

### Fiscal Year - 2016

#### AUGUST

	This YTD 09/15 - 07/16	Last YTD 09/14 - 07/15	Change Count	Percent
<b><i>Original Applications Received</i></b>				
Certified General Applications	121	134	-13	-9.70%
Certified Residential Applications	111	162	-51	-31.48%
Licensed Residential Applications	64	65	-1	-1.54%
Appraiser Trainee Applications	307	235	72	30.64%
Non-Residential Temporary Applications	246	238	8	3.36%
<b>Total Original Applications</b>	<b>849</b>	<b>834</b>	<b>15</b>	<b>1.80%</b>
<b><i>Licenses Issued from Original Applications</i></b>				
Certified General Licenses	140	132	8	6.06%
Certified Residential Licenses	146	162	-16	-9.88%
Licensed Residential Licenses	57	71	-14	-19.72%
Appraiser Trainee Licenses	275	201	74	36.82%
Non-Residential Temporary Licenses	249	235	14	5.96%
<b>Total Licenses from Original Applications</b>	<b>867</b>	<b>801</b>	<b>66</b>	<b>8.24%</b>
<b><i>Licenses Issued from Renewal Applications</i></b>				
Certified General Renewals	1,110	1,366	-256	-18.74%
Certified Residential Renewals	1,251	1,252	-1	-0.08%
Licensed Residential Renewals	459	244	215	88.11%
Appraiser Trainee Renewals	379	438	-59	-13.47%
<b>Total Renewal Licenses Issued</b>	<b>3,199</b>	<b>3,300</b>	<b>-101</b>	<b>-3.06%</b>
<b><i>Licenses Issued from Late Renewal Applications</i></b>				
Certified General Late Renewals	7	17	-10	-58.82%
Certified Residential Late Renewals	9	11	-2	-18.18%
Licensed Residential Late Renewals	2	5	-3	-60.00%
Appraiser Trainee Late Renewals	15	13	2	15.38%
<b>Total Late Renewal Licenses Issued</b>	<b>33</b>	<b>46</b>	<b>-13</b>	<b>-28.26%</b>

## Examination Activity - Fiscal Year 2015-2016

YEAR-TO-DATE RESULTS: <b>September 2015 thru August 2016</b>				Overall Pass Rate
	<u>Licensed Residential</u>	<u>Certified Residential</u>	<u>Certified General</u>	
Examinations Passed	35	43	41	119
Examinations Failed	36	40	25	
<b>Examinations Taken</b>	<b>71</b>	<b>83</b>	<b>66</b>	<b>220</b>
Examination Pass Rate (%)	49.30%	51.81%	62.12%	54.09%

All examination types	
Total first time candidates:	126
Total repeat candidates:	94
Total pass:	119
Total fail:	101
Total examinations taken:	220

## Examination Activity - Fiscal Year 2015-2016

MONTHLY RESULTS: <b>August 2016</b>				Overall Pass Rate
	<u>Licensed Residential</u>	<u>Certified Residential</u>	<u>Certified General</u>	
Examinations Passed	1	4	6	11
Examinations Failed	2	3	2	
<b>Examinations Taken</b>	<b>3</b>	<b>7</b>	<b>8</b>	<b>18</b>
Examination Pass Rate (%)	33.33%	57.14%	75.00%	61.11%

All examination types	
Total first time candidates:	14
Total repeat candidates:	4
Total pass:	11
Total fail:	7
Total examinations taken:	18

## EXAMINATION ACTIVITY

### FISCAL YEAR-TO-DATE COMPARISON AUGUST

	<u>2016</u> <u>Pass Rate</u>	<u>2015</u> <u>Pass Rate</u>
Certified General Appraiser	62.1%	61.0%
Certified Residential Appraiser	51.8%	57.1%
Licensed Residential Appraiser	49.3%	45.0%
<b>Overall Appraiser Pass Rate</b>	<b>54.0%</b>	<b>54.6%</b>

## Information Technology Services Division Electronic Information Outlet Statistics

August 2016

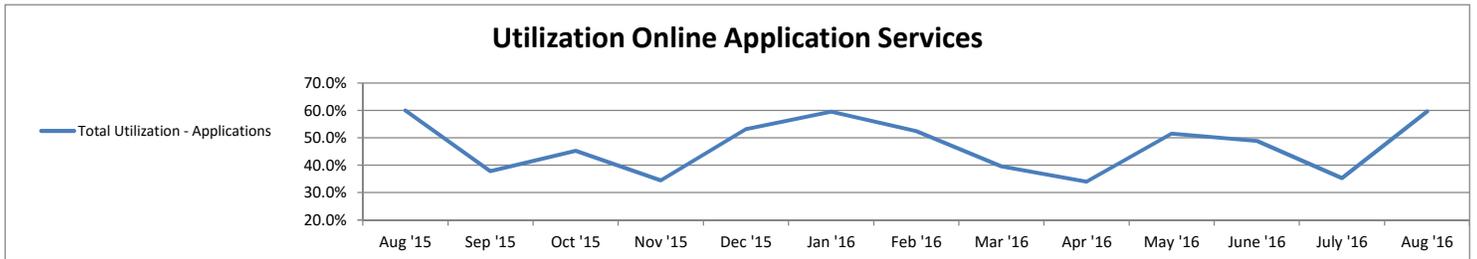
Website	Current Month	FYTD Total	Prior FYTD Total
Total Pages Viewed	2,285,757	12,367,373	4,595,627
Total Monthly Unique Visitors	33,237	316,782	177,567

Online Transactions	Total	Online	Online Percent	FYTD Online Percent	Prior FYTD Percent
<b>Applications</b>	<b>57</b>	<b>34</b>	<b>59.6%</b>	<b>46.7%</b>	<b>40.3%</b>
AMC	0	0		27.3%	53.3%
Certified General Appraiser	10	1	10.0%	13.8%	15.4%
Certified Residential Appraiser	9	3	33.3%	20.8%	20.5%
State Licensed Appraiser	2	2	100.0%	51.3%	50.0%
Appraiser Trainee	36	28	77.8%	71.9%	66.8%
<b>Renewals</b>	<b>198</b>	<b>177</b>	<b>83.8%</b>	<b>89.7%</b>	<b>88.9%</b>
AMC	14	11	0.0%	79.7%	82.4%
Certified General Appraiser	68	63	92.6%	91.3%	88.1%
Certified Residential Appraiser	74	70	94.6%	94.3%	94.1%
State Licensed Appraiser	20	15	75.0%	82.2%	74.4%
Appraiser Trainee	22	18	81.8%	87.5%	79.9%
<b>AMC Panel Transactions</b>	<b>911</b>	<b>911</b>	<b>100.0%</b>	<b>100.0%</b>	<b>100.0%</b>
Additions	777	777	100.0%	100.0%	100.0%
Removals	134	134	100.0%	100.0%	100.0%

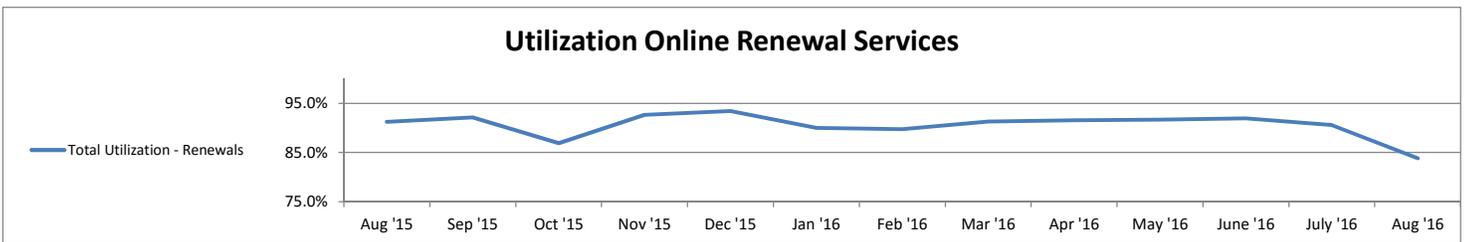
**Information Technology Services Division  
Electronic Information Outlet Statistics**

**August 2016**

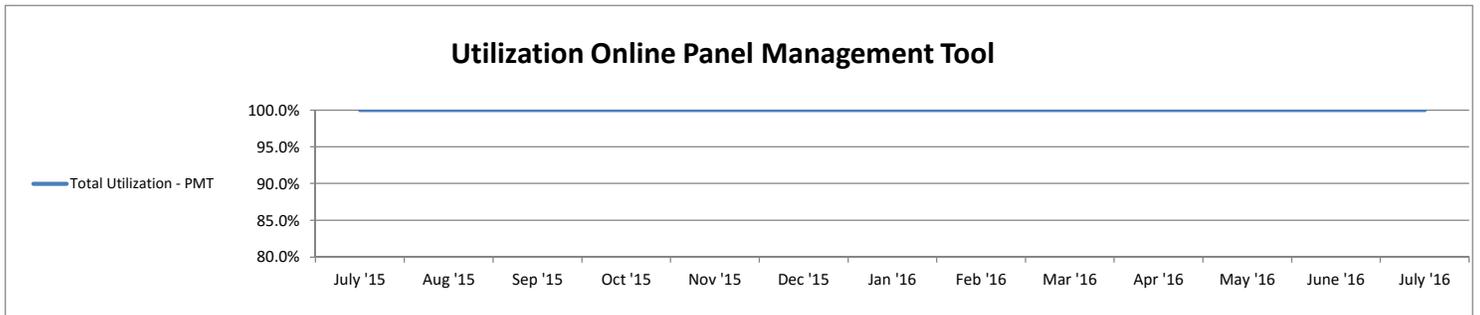
Applications	Aug '15	Sep '15	Oct '15	Nov '15	Dec '15	Jan '16	Feb '16	Mar '16	Apr '16	May '16	June '16	July '16	Aug '16
AMC	0.0%	0.0%	50.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	100.0%	50.0%		
Certified General Appraiser	66.7%	0.0%	8.3%	14.3%	10.0%	46.2%	25.0%	8.3%	0.0%	0.0%	0.0%	40.0%	10.0%
Certified Residential Appraiser	0.0%	11.1%	40.0%	14.3%	25.0%	28.6%	20.0%	22.2%	0.0%	12.5%	30.0%	0.0%	33.3%
State Licensed Appraiser	71.4%		20.0%	0.0%	75.0%	40.0%	66.7%	20.0%	100.0%		66.7%	50.0%	100.0%
Appraiser Trainee	64.7%	65.0%	70.8%	66.7%	85.7%	90.0%	81.3%	65.4%	60.9%	78.9%	71.4%	44.4%	77.8%
<b>Total Utilization - Applications</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>	<b>35.3%</b>	<b>59.6%</b>



Renewals	Aug '15	Sep '15	Oct '15	Nov '15	Dec '15	Jan '16	Feb '16	Mar '16	Apr '16	May '16	June '16	July '16	Aug '16
AMC	0.0%	100.0%	100.0%		0.0%	100.0%	100.0%	57.1%	100.0%	0.0%	72.2%	82.4%	0.0%
Certified General Appraiser	90.1%	87.9%	87.7%	93.0%	92.4%	84.3%	85.2%	92.8%	95.9%	91.2%	96.8%	94.1%	92.6%
Certified Residential Appraiser	93.2%	95.2%	86.6%	94.3%	94.7%	94.6%	97.0%	93.9%	91.9%	95.3%	98.9%	95.2%	94.6%
State Licensed Appraiser	90.0%	93.8%	75.0%	83.3%	92.0%	90.0%	50.0%	82.6%	71.4%	92.9%	73.3%	80.0%	75.0%
Appraiser Trainee	85.7%	85.7%	93.3%	83.3%	94.1%	90.9%	92.3%	91.3%	82.1%	87.5%	86.4%	83.3%	81.8%
<b>Total Utilization - Renewals</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>	<b>90.6%</b>	<b>83.8%</b>



PMT	Aug '15	Sep '15	Oct '15	Nov '15	Dec '15	Jan '16	Feb '16	Mar '16	Apr '16	May '16	June '16	July '16	Aug '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>												



**Staff & Support Services Division**

**TALCB Budget Status Report**

**August 2016**

0/12 = 0%

Expenditure Category	Budget FY2016	Expenditures	Balance	Budget % Remaining	Comments
Salaries & Wages	\$875,842	\$801,185	\$74,657	8.5%	
Employee Benefits	277,440	257,274	20,166	7.3%	
Retiree Insurance	39,600	32,633	6,967	17.6%	
Other Personnel Costs	25,220	25,636	(416)	-1.6%	budget for Peer Assistance Committee not expended as of report date; unemployment expenditures of \$9K exceeded budgeted amount
Professional Fees & Services	77,550	50,686	26,864	34.6%	Versa customization budget not expended as of report date; moved to FY 2017
Consumables	7,500	4,154	3,346	44.6%	may have overbudgeted for FY16; FY17 proposed budget reduced by \$1K
Utilities	1,740	1,882	(142)	-8.2%	
Travel	30,000	22,504	7,496	25.0%	expended 50% of Board Member budget 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	9,239	4,899	34.6%	it appears we may have overbudgeted for copiers; processed invoice payment for PC refresh lease in August FY16
Registration & Membership	16,125	9,950	6,175	38.3%	Attorney CLE budget not expended as of report date
Maintenance & Repairs	12,267	13,162	(895)	-7.3%	Versa annual maintenance paid; exceeded budget with DIR
Reproduction & Printing	1,600	202	1,398	87.4%	budget for envelopes not expended as of report date
Contract Services	29,540	6,296	23,244	78.7%	budget for court report, ERS and transcripts not expended as of report date
Postage	6,350	4,582	1,768	27.8%	agency consistently expends \$500 a month; it appears we overbudgeted for our Meter postage
Supplies & Equipment	6,500	1,637	4,863	74.8%	budget for computer software and computer hardware not expended as of report date
Communication Services	8,246	9,404	(1,158)	-14.0%	Video streaming of TREC and TALCB commission/board meetings was not included in original budgeted amount
Other Operating Expenses	4,342	1,864	2,478	57.1%	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>1,279,037</b>	<b>192,588</b>	<b>13.1%</b>	
DPS Criminal History Background Checks	3,000	2,934	66	2.2%	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	41,034	3,966	8.8%	
Contribution to General Revenue	30,000	30,000	0	0.0%	% allocated monthly but pmt not due until 8/31/16
<b>Subtotal - Nonoperational Expenditures</b>	<b>78,000</b>	<b>73,968</b>	<b>4,032</b>	<b>5.2%</b>	
<b>Total Expenditures</b>	<b>\$1,549,625</b>	<b>\$1,353,005</b>	<b>\$196,620</b>	<b>12.7%</b>	

Revenue	FY2016 Projected	Revenue Collected	Revenue Remaining to be Collected	Revenue % Remaining to be Collected	Comments
License Fees	\$1,084,345	\$1,101,560	(\$17,215)	-1.6%	
AMCs	749,580	845,639	(\$96,059)	-12.8%	Majority of renewals occur in last fiscal quarter (June-August)
Administrative Penalties	45,000	44,800	\$200	0.4%	
Other Miscellaneous Revenue	26,280	23,435	\$2,845	10.8%	Exam Admin Fees/NSF fees/Misc/Public Info fees less Administrative Penalties
<b>Total Revenue</b>	<b>\$1,905,205</b>	<b>\$2,015,434</b>	<b>(\$110,229)</b>	<b>-5.8%</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.
AMC Revenue Carry Forward from FY16	(\$290,054)	(\$290,054.00)	\$0	0.0%	Pro-rated thru August

<b>Revenue Over/(Under) Expenditures &amp; Transfers</b>	<b>\$65,526</b>	<b>\$372,374</b>			<b>Includes AMC Carry Forward</b>
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**Staff Services Division**

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

**August 2016**

<b>Purchase Date</b>	<b>Par Value</b>	<b>Purchase Price</b>	<b>Beginning Market Value</b>	<b>Additions Changes</b>	<b>Ending Market Value</b>	<b>Accrued Interest</b>	<b>Description</b>	<b>Maturity Date</b>
07/16/2015	100,000.00	100,839.34	100,078.00	(55.00)	100,023.00	404.21	U.S. T-Notes, 0.88%	09/15/2016
12/24/2015	150,000.00	149,911.72	150,142.50	(37.50)	150,105.00	199.80	U.S. T-Notes, 0.63%	12/15/2016
06/14/2016	99,300.00	99,980.31	99,556.19	(70.50)	99,485.69	185.17	U.S. T-Notes, 0.88%	06/15/2017
<b>Totals</b>	<b>\$ 349,300.00</b>	<b>\$ 350,731.37</b>	<b>\$ 349,776.69</b>	<b>\$ (163.00)</b>	<b>\$ 349,613.69</b>	<b>\$ 789.18</b>		

<b>Receipts:</b>		<b>FY2016</b>
Treasury Note Earnings	<u>Current Month</u>	<u>Cumulative Total</u>
	0.00	2,403.19

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

## TALCB Standards & Enforcement Services

### CASE STATUS REPORT as of AUGUST 31, 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
<b>Complaint Category:</b>															
AMCs	12	1	0	0	0	0	2	4	1	1	2	1	2	0	13
Dodd Frank	16	22	0	0	0	4	0	1	3	3	1	1	3	0	16
Ethics	5	4	0	0	0	0	0	0	0	1	0	2	0	0	3
USPAP	114	149	22	12	10	6	10	11	8	7	16	15	10	12	139
Other	4	11	1	1	0	0	0	1	5	2	6	1	0	1	18
No Jurisdiction	0	4	2	2	0	0	0	0	0	1	0	3	1	0	9
	<b>151</b>	<b>191</b>	<b>25</b>	<b>15</b>	<b>10</b>	<b>10</b>	<b>12</b>	<b>17</b>	<b>17</b>	<b>15</b>	<b>25</b>	<b>23</b>	<b>16</b>	<b>13</b>	<b>SUB: 198</b>
<b>Experience Audits</b>	155	161	19	14	11	6	12	9	10	12	9	17	13	14	146
<b>RFAs &amp; Covert Complaints</b>	3	13	0	0	2	0	3	0	0	0	0	0	0	0	5
<b>MCD Inquiries</b>	4	3	0	0	0	1	0	0	2	2	0	0	1	1	7
	<b>162</b>	<b>177</b>	<b>19</b>	<b>14</b>	<b>13</b>	<b>7</b>	<b>15</b>	<b>9</b>	<b>12</b>	<b>14</b>	<b>9</b>	<b>17</b>	<b>14</b>	<b>15</b>	<b>SUB: 158</b>
<b>Opened During FY Year   Month</b>	<b>313</b>	<b>368</b>	<b>44</b>	<b>29</b>	<b>23</b>	<b>17</b>	<b>27</b>	<b>26</b>	<b>29</b>	<b>29</b>	<b>34</b>	<b>40</b>	<b>30</b>	<b>28</b>	<b>356</b>

# 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	0	0	7
Agreed Final Order / Final Order	44	42	0	0	20	0	1	15	0	0	2	0	0	16	54
Other Disciplinary Action	3	5	0	0	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	1	0	4
Dismissed	110	98	12	10	12	9	9	12	8	3	17	19	1	8	120
No Jurisdiction	0	5	1	3	2	0	0	0	0	1	0	1	1	0	9
	<b>161</b>	<b>157</b>	<b>13</b>	<b>13</b>	<b>38</b>	<b>9</b>	<b>10</b>	<b>30</b>	<b>9</b>	<b>4</b>	<b>19</b>	<b>22</b>	<b>3</b>	<b>24</b>	<b>SUB: 194</b>
<b>Experience Audits</b>	131	171	8	12	10	19	15	10	12	8	8	13	11	11	137
<b>RFAs</b>	14	10	0	0	0	1	0	3	0	0	0	0	0	4	8
<b>MCD Inquiries</b>	3	5	0	0	0	0	0	1	1	0	2	1	1	0	6
	<b>148</b>	<b>186</b>	<b>8</b>	<b>12</b>	<b>10</b>	<b>20</b>	<b>15</b>	<b>14</b>	<b>13</b>	<b>8</b>	<b>10</b>	<b>14</b>	<b>12</b>	<b>15</b>	<b>SUB: 151</b>
<b>Closed During FY Year   Month</b>	<b>309</b>	<b>343</b>	<b>21</b>	<b>25</b>	<b>48</b>	<b>29</b>	<b>25</b>	<b>44</b>	<b>22</b>	<b>12</b>	<b>29</b>	<b>36</b>	<b>15</b>	<b>39</b>	<b>345</b>

Total Cases Open as of 8/31/16:

210

## TALCB Standards & Enforcement Services

### AMC CASE STATUS REPORT as of AUGUST 31, 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
<b>Complaint Category:</b>															
AMC Compliance	0	0	0	0	0	0	0	0	0	0	0	1	0	0	1
Dodd Frank	0	0	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	0	0
USPAP	9	7	0	0	0	0	0	1	0	1	1	0	0	0	3
Other	1	0	0	0	0	0	2	3	1	0	2	0	2	0	10
No Jurisdiction	0	1	0	1	0	0	0	0	0	0	0	2	0	0	3
	<b>11</b>	<b>8</b>	<b>0</b>	<b>1</b>	<b>0</b>	<b>0</b>	<b>2</b>	<b>4</b>	<b>1</b>	<b>1</b>	<b>3</b>	<b>3</b>	<b>2</b>	<b>0</b>	<b>SUB: 17</b>
<b>RFAs &amp; Covert Complaints</b>	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
<b>Opened During FY Year   Month</b>	<b>11</b>	<b>8</b>	<b>0</b>	<b>1</b>	<b>0</b>	<b>0</b>	<b>2</b>	<b>4</b>	<b>1</b>	<b>1</b>	<b>3</b>	<b>3</b>	<b>2</b>	<b>0</b>	<b>17</b>

#### # 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	0	0
Agreed Final Order	0	0	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	0	0
Insufficient Evidence	0	0	0	0	0	0	0	0	0	0	0	0	1	0	1
Dismissed	7	6	1	1	1	0	1	0	2	0	0	1	0	1	8
No Jurisdiction	0	1	0	1	0	0	0	0	0	0	0	1	0	0	2
	<b>9</b>	<b>7</b>	<b>1</b>	<b>2</b>	<b>1</b>	<b>0</b>	<b>1</b>	<b>0</b>	<b>2</b>	<b>0</b>	<b>0</b>	<b>2</b>	<b>1</b>	<b>1</b>	<b>SUB: 11</b>
<b>RFAs &amp; Covert Complaints</b>	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
<b>Closed During FY Year   Month</b>	<b>9</b>	<b>7</b>	<b>1</b>	<b>2</b>	<b>1</b>	<b>0</b>	<b>1</b>	<b>0</b>	<b>2</b>	<b>0</b>	<b>0</b>	<b>2</b>	<b>1</b>	<b>1</b>	<b>11</b>

Total Cases Open as of 8/31/16:

11