



# FY 2017 BUDGET REQUEST TABLES

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## Full-Time Equivalents and Positions by Program

	FY 2015 Actual		FY 2016 Enacted		FY 2017 Request	
	FTE	Actual Positions	FTE	Budgeted Positions	FTE	Budgeted Positions
<b>Enforcement</b>	1,331	1,431	1,376	1,452	1,435	1,504
<b>Compliance Inspections and Examinations</b>	925	1,098	1,055	1,145	1,152	1,272
<b>Corporation Finance</b>	463	505	485	511	498	515
<b>Trading and Markets</b>	243	280	264	284	276	291
<b>Investment Management</b>	173	197	183	201	191	208
<b>Economic and Risk Analysis</b>	133	161	154	167	163	173
<b>General Counsel</b>	135	151	145	153	150	155
<b>Other Program Offices</b>						
Chief Accountant	45	49	48	50	50	52
Investor Education and Advocacy	39	45	41	46	44	48
International Affairs	49	57	53	58	55	60
Administrative Law Judges	14	15	13	15	13	16
Investor Advocate	5	9	8	10	9	11
Credit Ratings	37	48	45	49	48	51
Municipal Securities	6	9	7	9	8	10
Total	195	232	215	237	227	248
<b>Agency Direction and Administrative Support</b>						
Executive Staff	43	46	40	46	41	46
Public Affairs	10	14	12	14	14	15
Secretary	20	25	23	25	24	26
Chief Operating Officer	25	35	16	17	18	18
Financial Management	97	104	101	104	102	105
Information Technology	165	180	174	183	181	191
Human Resources	117	126	121	130	131	141
Acquisitions	58	60	58	60	58	60
Support Operations	99	109	102	110	105	113
Strategic Initiatives <sup>1</sup>	0	0	15	15	15	16
Ethics Counsel	15	17	16	17	16	18
Minority and Women Inclusion	8	10	8	10	9	11
Equal Employment Opportunity	11	11	11	11	11	12
Total	668	737	697	742	725	772
<b>Inspector General</b>	35	48	47	54	53	58
<b>Total FTE and Positions</b>	<b>4,301</b>	<b>4,840</b>	<b>4,621</b>	<b>4,946</b>	<b>4,870</b>	<b>5,196</b>

<sup>1</sup> The Office of Strategic Initiatives (OSI) was established in FY 2016.

## Obligations by Object Class

<i>(DOLLARS IN THOUSANDS)</i>	FY 2015 Actual <sup>1</sup>	FY 2016 Enacted	FY 2017 Request
<b>Personnel Compensation &amp; Benefits</b>			
Total Personnel Compensation (11.9)	\$ 744,607	\$ 851,315	\$ 916,249
Civilian Personnel Benefits (12.1)	248,384	276,704	297,033
<b>Subtotal Cost of Compensation</b>	<b>\$ 992,991</b>	<b>\$ 1,128,019</b>	<b>\$ 1,213,282</b>
<b>Other Expenses</b>			
Benefits for Former Personnel (13.0)	612	903	916
Travel and Transportation of Persons (21.0)	12,816	15,404	15,904
Transportation of Things (22.0)	115	210	214
Rent, Communications & Utilities (23.0)	39,897	32,674	33,306
Printing and Reproduction (24.0)	8,681	8,945	9,083
Other Contractual Services (25.0)	364,966	367,673	373,748
Supplies and Materials (26.0)	2,694	3,286	3,414
Equipment (31.0)	46,226	44,941	47,311
Building Alterations (32.0)	9,054	6,775	8,944
Claims and Indemnities (42.0)	531	1,000	1,015
Refunds (44.0)	—	—	—
Undistributed (92.0)	—	—	—
<b>Subtotal Cost of Other Expenses</b>	<b>\$ 485,592</b>	<b>\$ 481,811</b>	<b>\$ 493,855</b>
<b>Subtotal, Obligations</b>	<b>\$ 1,478,583</b>	<b>\$ 1,609,830</b>	<b>\$ 1,707,137</b>
Budget Authority used to Liquidate Prior Obligations for Deficient Leases, per a October 3, 2011 report from the Comptroller General	71,965	73,453	74,320
<b>Total Budget Authority</b>	<b>\$ 1,550,548</b>	<b>\$ 1,683,283</b>	<b>\$ 1,781,457</b>

<sup>1</sup> The FY 2015 actual obligations differ from those shown in the President's Budget, because they include only FY 2015 activity.

## Strategic Goal and Program

<i>(DOLLARS IN THOUSANDS)</i>			FY 2017 Request									
SEC Program	FY 2015 Actual	FY 2016 Enacted	Goal 1	Goal 2	Goal 3	Goal 4	FY 2017 Request	Change over FY 2015 Actual		Change over FY 2016 Enacted		
			Effective Regulatory Environ.	Enforce Securities Laws	Facilitate Access To Info.	Align & Manage Resources		\$	%	\$	%	
<b>FY 2015 Actual</b>			<b>\$ 151,711</b>	<b>\$ 839,137</b>	<b>\$ 187,029</b>	<b>\$ 300,706</b>						
<b>FY 2016 Enacted</b>			<b>\$ 166,324</b>	<b>\$ 907,426</b>	<b>\$ 203,050</b>	<b>\$ 333,030</b>						
Enforcement	\$ 485,014	\$ 513,048	\$ 5,433	\$ 516,125	\$ —	\$ 21,731	\$ 543,289	\$ 58,275	12	\$ 30,241	6	
Compliance Inspections and Examinations	285,201	315,293	3,417	324,608	3,417	10,251	341,693	56,492	20	26,400	8	
Corporation Finance	136,805	146,788	26,081	1,534	115,062	10,739	153,416	16,611	12	6,628	5	
Trading and Markets	75,127	80,420	40,948	21,327	23,034	—	85,309	10,182	14	4,889	6	
Investment Management	54,520	57,283	23,675	16,997	18,819	1,214	60,705	6,185	11	3,422	6	
Economic and Risk Analysis	52,279	68,348	30,261	25,217	10,087	6,484	72,049	19,770	38	3,701	5	
General Counsel	43,736	46,935	8,876	29,094	1,479	9,863	49,312	5,576	13	2,377	5	
Other Program Offices	62,821	71,649	19,054	27,037	25,513	4,824	76,428	13,607	22	4,779	7	
Agency Direction and Administrative Support	272,109	295,304	9,883	2,663	19,403	276,486	308,435	36,326	13	13,131	4	
Inspector General	10,971	14,762	—	—	—	16,501	16,501	5,530	50	1,739	12	
<b>Subtotal</b>	<b>1,478,583</b>	<b>1,609,830</b>	<b>167,628</b>	<b>964,602</b>	<b>216,814</b>	<b>358,093</b>	<b>1,707,137</b>	<b>228,554</b>	<b>15%</b>	<b>97,307</b>	<b>6%</b>	
Percent Increase over Prior Year			1%	6%	7%	4%						
Budget Authority used to Liquidate Prior Obligations for Deficient Leases, per a October 3, 2011 report from the Comptroller General	71,965	73,453	—	—	—	—	74,320	—	—	—	—	
<b>Total Budget Authority</b>	<b>\$1,550,548</b>	<b>\$1,683,283</b>					<b>\$1,781,457</b>	<b>\$228,554</b>	<b>15%</b>	<b>\$ 97,307</b>	<b>6%</b>	

## Summary of Changes

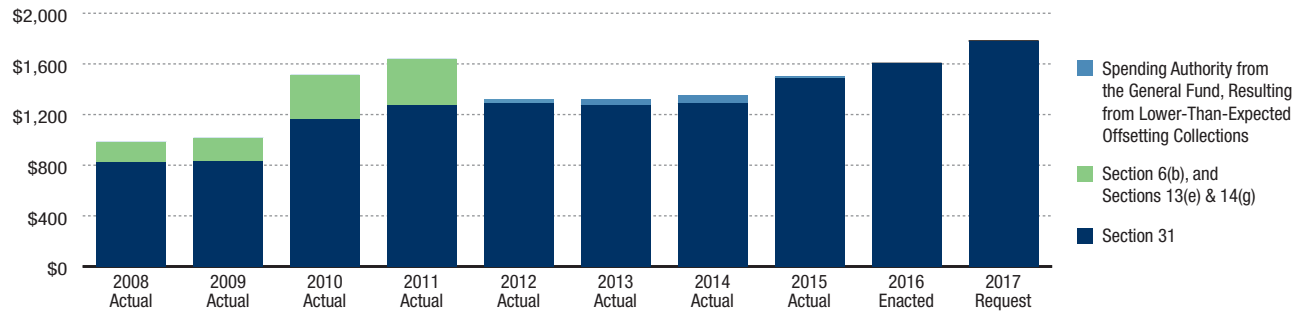
<i>(DOLLARS IN THOUSANDS)</i>	Positions	FTE	Amount
<b>FY 2016 Enacted Levels</b>	<b>4,946</b>	<b>4,621</b>	<b>\$ 1,683,283</b>
<b>FY 2017 Base Changes:</b>			
Annualization of FY 2016 staffing increases	—	164	31,823
FY 2017 Pay Raise, effective January 2017	—	—	12,722
Merit pay and other increases for eligible staff	—	—	22,730
Non-compensation inflation	—	—	8,287
<b>Subtotal, Base Changes</b>	<b>—</b>	<b>164</b>	<b>\$ 75,562</b>
<b>FY 2017 Current Services Level</b>	<b>4,946</b>	<b>4,785</b>	<b>\$ 1,758,845</b>
<b>FY 2017 Program Increases:</b>			
Staffing increase of 250 positions (85 FTE)			
Enforcement	52	18	
Compliance Inspections and Examinations	127	41	
Corporation Finance	4	1	
Trading and Markets	7	2	
Investment Management	7	2	
Economic and Risk Analysis	6	2	
General Counsel	2	1	
Other Program Offices	11	5	
Agency Direction and Administrative Support	30	12	
Inspector General	4	1	
<b>Subtotal, Program Increases</b>	<b>250</b>	<b>85</b>	<b>\$ 22,612</b>
<b>Total FY 2017 Request</b>	<b>5,196</b>	<b>4,870</b>	<b>\$ 1,781,457</b>

*These figures include amounts in FY 2016 and FY 2017 necessary to liquidate prior obligations on deficient leases.*

## Offsetting Collections and Spending Authority

### OFFSETTING COLLECTIONS AND SPENDING AUTHORITY

(DOLLARS IN MILLIONS)



### SOURCE OF OFFSETTING COLLECTIONS

(DOLLARS IN THOUSANDS)	FY 2015 Actual	FY 2016 Estimate	FY 2017 Estimate
Securities Transaction Fees under the Securities Exchange Act of 1934 (Section 31)	\$ 1,491,913	\$ 1,605,000	\$ 1,781,457
<b>Total Offsetting Collections</b>	<b>\$ 1,491,913</b>	<b>\$ 1,605,000</b>	<b>\$ 1,781,457</b>

### SPENDING AUTHORITY

(DOLLARS IN THOUSANDS)	FY 2015 Actual	FY 2016 Enacted	FY 2017 Request
Current Year Appropriated Offsetting Collections	\$ 1,491,913	\$ 1,605,000	\$ 1,781,457
Available Balances from Prior Years	86,090	77,283	—
Spending Authority from the General Fund, Resulting from Lower-Than-Expected Offsetting Collections	8,087	—	—
<b>Total Authority</b>	<b>\$ 1,586,090</b>	<b>\$ 1,682,283</b>	<b>\$ 1,781,457</b>