



FY 2016 BUDGET REQUEST TABLES

FTE and Positions by Program	14
Obligations by Object Class	15
Strategic Goal and Program	16
Summary of Changes	17
Offsetting Collections and Spending Authority	18

FTE and Positions by Program

	FY 2014 Actual		FY 2015 Enacted		FY 2016 Request	
	FTE	Actual Positions	FTE	Budgeted Positions	FTE	Budgeted Positions
Enforcement	1,266	1,373	1,343	1,400	1,410	1,493
Compliance Inspections and Examinations	902	975	964	1,080	1,106	1,305
Corporation Finance	457	497	474	506	494	513
Trading and Markets	242	271	256	279	282	291
Investment Management	165	190	186	198	204	210
Economic and Risk Analysis	56	150	140	164	164	170
General Counsel	122	140	131	144	136	148
Other Program Offices						
Chief Accountant	31	47	45	48	49	51
Investor Education and Advocacy	42	45	41	46	45	50
International Affairs	46	54	50	55	57	58
Administrative Law Judges	10	14	14	14	14	15
Investor Advocate	2	6	5	8	7	9
Credit Ratings	32	44	41	47	49	51
Municipal Securities	4	8	7	9	9	10
Total	167	218	203	227	230	244
Agency Direction and Administrative Support						
Executive Staff	44	49	46	49	48	50
Public Affairs	9	11	10	12	12	13
Secretary	19	21	19	22	21	23
Chief Operating Officer	23	26	26	30	31	32
Financial Management	88	101	96	102	104	103
Information Technology	153	175	170	181	183	195
Human Resources	104	122	121	130	137	149
Acquisitions	48	59	58	59	59	59
Operations Support	90	104	102	105	106	110
Ethics Counsel	15	16	16	17	18	18
Minority and Women Inclusion	8	9	9	10	11	12
Equal Employment Opportunity	10	11	10	11	11	13
Total	611	704	683	728	742	777
Inspector General	25	34	36	48	47	54
Total FTE and Positions	4,150	4,663	4,460	4,818	4,859	5,249
Permanent	4,013	4,552	4,416	4,774	4,815	5,205
Temporary	137	111	44	44	44	44

Obligations by Object Class

<i>(DOLLARS IN THOUSANDS)</i>	FY 2014 Actual	FY 2015 Enacted	FY 2016 Request
Personnel Compensation & Benefits			
Total Personnel Compensation (11.9)	\$ 681,000	\$ 782,005	\$ 880,936
Civilian Personnel Benefits (12.1)	219,788	236,381	270,695
Subtotal Cost of Salaries	\$ 900,788	\$ 1,018,386	\$ 1,151,631
Other Expenses			
Benefits for Former Personnel (13.0)	1,826	1,738	1,766
Travel and Transportation of Persons (21.0)	11,292	13,501	14,148
Transportation of Things (22.0)	82	283	287
Rent, Communications & Utilities (23.0) ¹	108,827	113,947	115,986
Printing and Reproduction (24.0)	8,833	9,150	9,296
Other Contractual Services (25.0)	344,653	358,270	364,218
Supplies and Materials (26.0)	1,994	3,488	3,767
Equipment (31.0)	32,260	44,071	46,931
Building Alterations (32.0)	5,032	10,390	12,751
Claims and Indemnities (42.0)	227	1,200	1,219
Refunds (44.0)	—	—	—
Undistributed (92.0)	—	—	—
Subtotal Cost of Other Expenses	\$ 515,026	\$ 556,038	\$ 570,369
Spending Authority	\$ 1,415,814	\$ 1,574,424	\$ 1,722,000

¹ These figures include funding of obligations (actual or planned) for real property leases found to be anti-deficient under an October 3, 2011 report from the Comptroller General, as well as obligations (actual or planned) for non-deficient leases. The President's Budget Appendix reports activity on the anti-deficient leases in a separate schedule.

Strategic Goal and Program

(DOLLARS IN THOUSANDS)

SEC Program	FY 2014 Actual	FY 2015 Enacted	FY 2016 Request					Change over FY 2014 Actual		Change over FY 2015 Enacted		
			Goal 1 Effective Regulatory Environ.	Goal 2 Enforce Securities Laws	Goal 3 Facilitate Access To Info.	Goal 4 Align & Manage Resources	FY 2016 Request	\$	%	\$	%	
FY 2014 Actual			\$ 151,349	\$ 785,418	\$ 217,457	\$ 261,591						
FY 2015 Enacted			\$ 163,355	\$ 874,259	\$ 200,199	\$ 336,611						
Enforcement	\$ 455,777	\$ 494,704	\$ 5,281	\$ 501,820	\$ 5,281	\$ 15,847	\$ 528,229	\$ 72,452	16	\$ 33,525	7	
Compliance Inspections and Examinations	277,689	305,034	3,496	332,133	3,496	10,487	349,612	71,923	26	44,578	15	
Corporation Finance	135,470	144,510	21,678	3,096	120,775	9,289	154,838	19,368	14	10,328	7	
Trading and Markets	74,633	81,149	43,254	22,527	24,330	—	90,111	15,478	21	8,962	11	
Investment Management	52,808	57,793	25,069	17,997	19,927	1,285	64,278	11,470	22	6,485	11	
Economic and Risk Analysis	51,956	60,971	38,206	21,149	6,140	2,728	68,223	16,267	31	7,252	12	
General Counsel	39,204	42,414	8,611	27,191	1,359	8,156	45,317	6,113	16	2,903	7	
Other Program Offices	59,348	67,199	21,989	30,424	21,512	1,813	75,738	16,390	28	8,539	13	
Agency Direction and Administrative Support	259,971	307,547	8,436	4,205	16,057	300,900	329,598	69,627	27	22,051	7	
Inspector General	8,958	13,103	—	—	161	15,895	16,056	7,098	79	2,953	23	
Total SEC Funding	\$1,415,814	\$1,574,424	\$ 176,020	\$ 960,542	\$ 219,038	\$ 366,400	\$1,722,000	\$ 306,186	22%	\$ 147,576	9%	
Percent Increase over Prior Year			8%	10%	9%	9%						

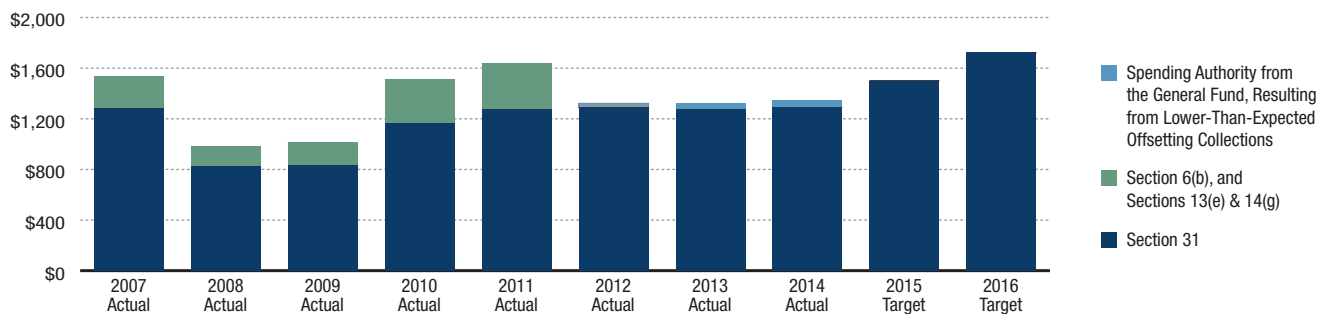
Summary of Changes

	Positions	FTE	Amount
FY 2015 Enacted Levels	4,774	4,416	\$ 1,574,424
FY 2016 Base Changes:			
Annualization of FY 2015 staffing increases	—	288	+61,328
FY 2016 Pay Raise, 1.0% effective January 2016	—	—	+10,184
Merit pay and other increases for eligible staff	—	—	+36,000
Non-compensation inflation (1.6%)	—	—	+8,897
Increase in agency contributions to the Federal Employee Retirement System	—	—	+3,815
Subtotal, Base Changes	—	288	+120,224
FY 2016 Current Services Level	4,774	4,704	\$ 1,694,648
FY 2016 Program Increases:			
Staffing increase of 431 positions (111 FTE)			
Enforcement	93	24	
Compliance Inspections and Examinations	225	57	
Corporate Finance	7	2	
Trading and Markets	12	3	
Investment Management	12	3	
Economic and Risk Analysis	6	2	
General Counsel	4	1	
Other Program Offices	17	4	
Agency Direction and Administrative Support	49	13	
Inspector General	6	2	
Subtotal, Program Changes	431	111	+27,352
Total FY 2016 Request	5,205	4,815	\$ 1,722,000

Offsetting Collections and Spending Authority

OFFSETTING COLLECTIONS AND SPENDING AUTHORITY

(DOLLARS IN MILLIONS)



SOURCE OF OFFSETTING COLLECTIONS

(DOLLARS IN THOUSANDS)	FY 2014 Actual	FY 2015 Estimate	FY 2016 Estimate
Securities Transaction Fees under the Securities Exchange Act of 1934 (Section 31)	\$ 1,290,987	\$ 1,500,000	\$ 1,722,000
Total Offsetting Collections	\$ 1,290,987	\$ 1,500,000	\$ 1,722,000

SPENDING AUTHORITY

(DOLLARS IN THOUSANDS)	FY 2014 Actual	FY 2015 Enacted	FY 2016 Request
Current Year Appropriated Offsetting Collections	\$ 1,290,987	\$ 1,500,000	\$ 1,722,000
Available Balances from Prior Years	—	74,000	—
Spending Authority from the General Fund, Resulting from Lower-Than-Expected Offsetting Collections	59,013	—	—
Total Authority	\$ 1,350,000	\$ 1,574,000	\$ 1,722,000