BEFORE THE SECURITIES COMMISSIONER
OF THE STATE OF KANSAS

In re:
Fiscal Year 2022 Fee Moratorium.

Docket No. 21-134

SPECIAL ORDER
FISCAL YEAR 2022 FEE MORATORIUM

WHEREAS, a person shall pay the fee specified by K.A.R. 81-3-2(a) when initially filing an application for registration and when filing a renewal of registration as a broker-dealer pursuant to K.S.A. 17-12a410(a)(1) and 17-12a406(a) and (d);

WHEREAS, a person shall pay the fee specified by K.A.R. 81-3-2(b) when filing an application for registration, when filing a renewal of registration, and when filing for a change of registration as an agent pursuant to K.S.A. 17-12a410(a)(2), 17-12a406(a) and (d), and 17-12a408(b);

WHEREAS, a person shall pay the fee specified in K.A.R. 81-14-2 when filing an application for registration and when filing a renewal of registration as an investment adviser pursuant to K.S.A. 17-12a410(a)(3) and 17-12a406(a) and (d);

WHEREAS, an individual shall pay the fee specified in K.A.R. 81-14-2 when filing an application for registration, when filing a renewal of registration, and when filing a change of registration as an investment adviser representative pursuant to K.S.A. 17-12a410(a)(4) and 17-12a406(a) and (d);

WHEREAS, a federal covered investment adviser required to file a notice under K.S.A. 17-12a405, and amendments thereto, shall pay the initial fee and an annual renewal notice fee specified in K.A.R. 81-14-2 pursuant to K.S.A. 17-12a410(a)(5) and 17-12a405(c);
WHEREAS, an order issued under the Kansas Uniform Securities Act may waive, in whole or in part, specific requirements in connection with registration as are in the public interest and for the protection of investors pursuant to K.S.A. 17-12a102(1), 17-12a406(e), 17-12a601(a), and 17-12a605(a).

WHEREAS, a person filing a registration statement, a posteffective amendment made to increase the number of securities to be offered or sold, or an application to extend the effective period of a registration statement shall pay the registration fee specified in K.A.R. 81-4-1 and 81-4-4 pursuant to K.S.A. 17-12a303, 17-12a304, 17-12a305(b), (h) and (j);

WHEREAS, with respect to a federal covered security that is not otherwise exempt from notice filing, the issuer shall pay the fee specified in K.A.R. 81-5-14 before the initial offer and in conjunction with a renewal of a notice filing pursuant to K.S.A. 17-12a302(a) and (b);

WHEREAS, with respect to a federal covered security that is a federal covered security under section 18(b)(4)(F) of the Securities Act of 1933, 15 U.S.C. § 77r(b)(4)(F), the issuer shall pay the fee specified in K.A.R. 81-5-15 pursuant to K.S.A. 17-12a302(c);

WHEREAS, the securities commissioner of Kansas may waive or modify, in whole or in part, any or all of the requirements of K.S.A. 17-12a302, 17-12a303, 17-12a304(b), and amendments thereto, or the requirement of any information or record in a registration statement pursuant to K.S.A. 17-12a102(1), 17-12a307, 17-12a601(a), and 17-12a605(a).

WHEREAS, the State of Kansas enacted Laws 2021, ch. 116, § 64, effective June 1, 2021, which provides that during the fiscal years ending June 30, 2021, and June 30, 2022, no moneys shall be transferred from the securities act fee fund to the state general fund pursuant to K.S.A. 17-12a601(a)(4);

WHEREAS, the balance remaining in the securities act fee fund on June 30, 2021, will be sufficient to administer securities regulation under the Kansas uniform securities act, K.S.A. 17-
12a101 through 17-12a703, for fiscal year 2022, beginning July 1, 2021 and extending through June 30, 2022; and

WHEREAS, this order is in the public interest and for the protection of investors;

NOW THEREFORE, IT IS ORDERED THAT for all registrations, applications, and submissions that require payment of a fee under the statutes and rules identified in this order, which fee is due beginning July 1, 2021, through and including June 30, 2022, the fee payable to the Office of the Kansas Securities Commissioner is $0.00; and

IT IS FURTHER ORDERED that this order shall be effective on the date indicated below.

IT IS SO ORDERED.

Entered at Topeka, Kansas on this 28th day of June, 2021.

Daniel J. Klucas
Securities Commissioner

Pursuant to K.S.A. 77-415(b)(2)(A), this order is designated as precedent by the Office of the Securities Commissioner and the Kansas Insurance Department.