

OFFICE OF THE KANSAS SECURITIES COMMISSIONER
A DIVISION OF THE KANSAS INSURANCE DEPARTMENT
INVESTOR EDUCATION GRANT PROCESS

The Office of the Kansas Securities Commissioner (“KSC”) develops and implements financial literacy and investor education initiatives to inform the public about investing in securities and the prevention of securities fraud. As part of this mission, the Commissioner may collaborate with public and nonprofit organizations with an interest in investor education.

Any entity interested in obtaining a grant from the KSC should submit a completed Kansas Investor Education Grant Application Form with exhibits by the due date specified in the announcement of the invitation to submit grant applications. In addition to the application, applicants should include:

Organization Summary – Summarize the history of your organization, including the organization’s missions, goals, current programs and historical accomplishments.

Project Summary – If the grant request is for a specific project rather than for general support, describe the proposed project including; the goals of the project, the target audience, timeline for the project, staff and volunteer qualifications relevant to the project, proposed funding for the project and a description of the proposed measurables and methods to determine results of the project.

Applicability Summary – Summarize how the mission of your organization generally, or the proposed project specifically, will serve to inform Kansans about investing in securities and/or prevent or detect securities fraud. This section should also include an explanation of how the requested funds will be used to support the mission or project and explain the impact on Kansans.

List of Executive Officers and Board of Directors – Include the full names, addresses, affiliations, tenures and terms.

Annual Report – Provide the most recent annual report if available.

Undertaking – Submit a completed Undertaking Form, signed by the Chief Executive Officer of the grant applicant entity, which certifies that no executive officer or member of the board of directors has engaged in any activity, nor is the subject of any legal action described in K.A.R. 81-5-13(b)(2) with respect to the entity, rather than, or in addition to an issuer as described in that regulation.

The grants committee may also request one or more of the following:

Organizational Documents – A copy of the most recent IRS determination letter indicating 501(c)(3) tax-exempt status and/or the most recent filing with the Kansas Secretary of State.

Organizational Financial Statements – Financial statements for the last two fiscal years and current operating budget for the organization.

Project Financial Statements – The operating budget (expenses and income) for the specific project with dates specified for the term of the project.

List of Other Funders – A list of any other external funders (committed or potential) and the respective amounts committed or requested.