

OFFICE OF THE KANSAS SECURITIES COMMISSIONER
A DIVISION OF THE KANSAS INSURANCE DEPARTMENT

**PROTOCOL FOR INVESTOR EDUCATION
GRANT APPLICATIONS**

1. A Grants Committee of three persons shall review each application. Applications are due August 1.
2. The Grants Committee shall consist of the Director of Government Affairs, the Kansas Insurance Commissioner and the Securities Commissioner.
3. Upon receipt of a grant application, staff shall provide copies of the grant application to the other members of the Grants Committee and shall provide a copy of the list of executive officers and board of directors to the Director of Compliance and Enforcement for review on CRD, iSeries case files and/or other databases deemed appropriate with regard to possible disqualification conditions.
4. After reviewing the background of the executive officers, board of directors and other individuals whose information may be requested by the Grants Committee, the Director of Compliance and Enforcement shall provide findings to the committee.
5. Upon completion of each member's review of the application and the findings of the Director of Compliance and Enforcement, the Grants Committee shall meet to review the application, conduct any desired interviews of grant applicant representatives, and make their selections. Such recommendation may be to deny, approve, partially approve, or conditionally approve the grant request.
6. The Grants Committee shall make a final determination regarding disbursement of grant funds from the Investor Education and Protection Fund.
7. In the event that a grant is awarded, the parties shall execute a Memorandum of Agreement (the MOA) including the amount of the grant, the terms of usage and any other terms particular to that grant request.