

**Uniform Surety Bond Form**  
(Form KSC-B)

**State of Kansas**  
**Office of the Kansas Securities Commissioner**  
**109 SW 9<sup>th</sup> Street, Suite 600**  
**Topeka, KS 66612**

**Bond No.** \_\_\_\_\_

KNOW ALL PERSONS BY THESE PRESENTS:

That \_\_\_\_\_,  
*(Name and address of investment adviser)*

as Principal, having filed an application with the Office of the Kansas Securities Commissioner  
on or about \_\_\_\_\_  
*(Date)* to transact business in the State of Kansas as an  
investment adviser, and

\_\_\_\_\_,  
*(Name and address of Surety)*

as Surety, a corporation organized under the laws of the State of \_\_\_\_\_ and

being duly authorized to transact the business of indemnity and suretyship in this State of

Kansas, do hereby acknowledge our indebtedness to the State of Kansas for the use and benefit

of any person having a claim under the conditions of this obligation, in the sum of a\_\_a\_\_\_\_\_,

as required by Kan. Admin. Reg. 81-14-09(e); provided, however, that the aggregate liability

hereunder shall not exceed the sum of aa\_\_a\_\_\_\_\_, regardless of the number of claimants, and

shall not be construed as individual liability.

**Conditions.** Liability for the payment of this sum, to which we hereby obligate and bind

ourselves, our heirs, executors, administrators, successors and assigns, jointly and severally,

becomes effective upon the following conditions:

1. Registration of the Principal to transact business in the State of Kansas as an investment adviser, and
2. Failure by the Principal to strictly comply with all applicable provisions of, and orders, rules and regulations issued pursuant to, the applicable securities statutes of the particular state, commonwealth or territory in which such Principal is registered.

**Expiration.** This Bond shall expire at such time as the Principal's registration is withdrawn, terminates through non-renewal or revocation by the Office of the Kansas Securities Commissioner except as to liability for acts or omissions which occur prior to such time. This Bond may also be canceled by the Surety upon 60 days written notice by registered mail to the Principal and to the Office of the Kansas Securities Commissioner in which case this Bond shall be considered canceled upon the expiration of said 60 day period except as to liability for acts or omissions which occur prior to the date of cancellation. Notice shall be deemed effective upon receipt by the Office of the Kansas Securities Commissioner of said written notice along with sufficient proof of notice to the Principal.

**Time Limitation.** No suit may be maintained to enforce any liability arising under this Bond unless brought within the earlier of two years after discovery of the act or omission upon which liability is based or five years after the violation.

**Claims.** It is understood and agreed that any person(s) having a claim under the conditions of this obligation may initiate suit in any court of competent jurisdiction against the Principal and/or the Surety upon this Bond.

WITNESS OUR SIGNATURES, this the \_\_\_\_\_ day of \_\_\_\_\_, aaa \_\_\_\_.

\_\_\_\_\_  
PRINCIPAL

(corporate seal, if applicable)

By: \_\_\_\_\_  
(signature of authorized person, if company)

By: \_\_\_\_\_  
(print name and title of authorized person)

\_\_\_\_\_  
SURETY

By: \_\_\_\_\_  
(counter signature of agent of surety resident)

By: \_\_\_\_\_  
(print name and title of counter signatory)

Note: A true and correct copy of the applicable "Power of Attorney" must be attached hereto where the Bond is signed by an "Attorney in Fact."

**ACKNOWLEDGMENT**

State of \_\_\_\_\_ )  
 ) ss.  
County of \_\_\_\_\_ )

On this, the \_\_\_\_\_ day of \_\_\_\_\_, aaa \_\_\_\_, the foregoing instrument was signed before me by \_\_\_\_\_, who acknowledged to me that such person was signing as Principal or with the authority to act on behalf of Principal.

\_\_\_\_\_  
Notary Public

(seal)

My appointment expires: \_\_\_\_\_