

Kansas Administrative Regulations

Department of Insurance Assistant Commissioner, Securities Division

Article 14.—Investment Advisers and Investment Adviser Representatives

81-14-7. Notice filing requirements for federal covered investment advisers.

(a) Initial notice filing. The notice filing for a federal covered investment adviser pursuant to K.S.A. 17-12a405, and amendments thereto, shall be filed on form ADV with the IARD. A notice filing of a federal covered investment adviser shall be deemed filed when the fee required by K.A.R. 81-14-2 and the form ADV are filed with and accepted by the IARD on behalf of the administrator.

(b) Part 2 of form ADV. Until the IARD accepts the electronic filing of part 2 of form ADV, part 2 shall be deemed by the administrator to be filed if a federal covered investment adviser provides part 2 to the administrator within five business days of a request by the administrator.

(c) Renewal notice filing. The annual renewal of the notice filing for a federal covered investment adviser pursuant to K.S.A. 17-12a405, and amendments thereto, shall be filed with the IARD. The renewal of the notice filing for a federal covered investment adviser shall be deemed filed when the fee required by K.A.R. 81-14-2 is filed with and accepted by the IARD on behalf of the administrator.

(d) Updates and amendments. Each federal covered investment adviser shall file with the IARD, in accordance with the instructions in the form ADV, any amendments to the federal covered investment adviser's form ADV.

(Authorized by K.S.A. 2005 Supp. 17-12a605(a); implementing K.S.A. 2005 Supp. 17-12a405(c); effective Oct. 26, 2001; amended Aug. 18, 2006.)

***** Authenticated Kansas Administrative Regulation *****