

Approved: 3/27/96
Date

MINUTES OF THE Senate Committee on Financial Institutions and Insurance.

The meeting was called to order by Chairperson Dick Bond at 11:35 a.m. on March 27, 1996 at the rail outside the Senate Chamber of the Capitol.

Members present were: Senator Emert, Senator Hensley, Senator Lee, Senator Petty, Senator Praeger, Senator Steffes

Committee staff present: Dr. William Wolff, Legislative Research Department
June Kossover, Committee Secretary

The committee met at the rail to consider the confirmation of David R. Brant as Kansas Securities Commissioner. Due to the difficulty involved in attempting to schedule a formal hearing before the full committee this near the end of the legislative session, and considering Mr. Brant's excellent qualifications, the committee agreed to consider the confirmation of Mr. Brant without requiring his presence. (Attachment #1)

Senator Petty made a motion, seconded by Senator Emert, to favorably recommend the confirmation of David Brant as Securities Commissioner. The motion carried.

The committee adjourned at 11:40 a.m.

B. D. H.

4. List any positions held with a foreign, federal or local government entity along with the dates of service.

Position	Government Entity	Dates
None		

5. List any lobbying activities you have been involved in during the past five years. This includes activities as a registered lobbyist or lobbying activities for which you were compensated.

Group	Compensation (yes/no)	Dates
<u>My legislative contacts have been limited to providing information to lobbyists and legislators on occasional bills involving public finance, municipalities, and securities.</u>		

6. List experience or interests which qualify you for the position to which you have been appointed. Have worked in the securities industry for 12 years and am licensed as a Municipal Principal (Series 53) and as a Registered Representative (Series 7) in addition to being an attorney.

7. Summarize business and professional experience. Have worked as an investment banker serving as financial advisor or underwriter for municipal bonds and leases issued by Kansas municipalities. Current position is Vice President of Public Finance for BANK IV.

8. List any service in the United States military. Include dates of service, branch, date and type of discharge.

Branch	Discharge	Dates
None		

9. Provide details of any arrest, charge or questioning by a federal, state or other law enforcement authority for violation of any federal, state, county or municipal law, regulation or ordinance (excluding traffic violations for which a fine of \$100 or less was imposed).

None

10. List and provide details of any interests that may present a conflict of interest for this position. None perceived

I, David R. Brant, declare that this questionnaire is true, correct and complete to the best of my knowledge.

David R Brant
Signature

March 22, 1996
Date

414
3/27/96
1-2

1. RECEIPT OF COMPENSATION: List all places of employment in the last calendar year, and any other businesses from which you or your spouse received \$2,000 or more in compensation (salary, thing of value, or economic benefit conferred on in return for services rendered, or to be rendered), which was reportable as taxable income on your federal income tax returns.

1. YOUR PLACE(S) OF EMPLOYMENT OR OTHER BUSINESS IN THE PRECEDING CALENDAR YEAR. IF SAME AS SECTION "B", CHECK HERE ____.
If you have nothing to report in Section "E"1, check here ____.

	NAME OF BUSINESS	ADDRESS	TYPE OF BUSINESS
1.	BANK IV, N.A.	P.O. Box 4, Wichita, KS	Banking
2.		67201	

2. SPOUSE'S PLACE(S) OF EMPLOYMENT OR OTHER BUSINESS IN THE PRECEDING CALENDAR YEAR.
If you have nothing to report in Section "E"2, check here .

	NAME OF BUSINESS	ADDRESS	TYPE OF BUSINESS
1.			
2.			

F. OFFICER OR DIRECTOR OF AN ORGANIZATION OR BUSINESS: List any organization or business in which you or your spouse hold a position of officer, director, associate, partner or proprietor at the time of filing, irrespective of the amount of compensation received for holding such position. Please insert additional page if necessary to complete this section. If you have nothing to report in Section "F", check here ____.

	BUSINESS NAME AND ADDRESS	POSITION HELD	HELD BY WHOM
1.	BANK IV, N.A. P.O. Box 4, Wichita, KS 67201	Vice President	Self
2.	Topeka Public Schools Foundation P.O. Box 5883, Topeka, KS 66605	Board Member and Past President	Self
3.	West Side Christian Church 432 Lindenwood, Topeka, KS 66606	Committee Co-Chair and Board Member	Self
4.			
5.			

7147
3/27/96 1-5

RECEIPT OF FEES AND COMMISSIONS: List each client or customer who pays fees or commissions to a business or combination of businesses from which fees or commissions you or your spouse received an aggregate of \$2,000 or more in the preceding calendar year. *The phrase "client or customer" relates only to businesses or combination of businesses.* In the case of a partnership, it is the partner's proportionate share of the business, and hence of the fee, which is significant, without regard to expenses of the partnership. An individual who receives a salary as opposed to portions of fees or commissions is generally not required to report under this provision. Please insert additional page if necessary to complete this section.

If you have nothing to report in Section "G", check here .

	NAME OF CLIENT / CUSTOMER	ADDRESS	RECEIVED BY
1.			
2.			
3.			
4.			
5.			
6.			
7.			
8.			
9.			
10.			
11.			
12.			
13.			

H. DECLARATION:

I, David R. Brant, declare that this statement of substantial interests (including any accompanying pages and statements) has been examined by me and to the best of my knowledge and belief is a true, correct and complete statement of all of my substantial interests and other matters required by law. I understand that the intentional failure to file this statement as required by law or intentionally filing a false statement is a class B misdemeanor.

March 22, 1996
Date

David R Brant
Signature of Person Making Statement

NUMBER OF ADDITIONAL PAGES _____.

Return your completed statement to the Secretary of State, State House, Topeka, Kansas 66612.

4141
3/27/96 1-6

DAVID R. BRANT

Experience

Vice President, Public Finance, **BANK IV, N.A.**, since November 5, 1990.
 Works as an investment banker to provide financial advisory and underwriting services to cities, counties, school districts, colleges, and hospitals for tax-exempt and taxable municipal bond and lease obligations.

Vice President, **Ranson & Company, Inc.**, October 1985 to November 2, 1990.

Associate, **Becroft, Cole & Company**, June 1983 to September 1985.

Professional

Licensed Municipal Securities Principal (Series 53) with the Municipal Securities Rulemaking Board.

Licensed Registered Representative (Series 7) with the National Association of Securities Dealers.

Licensed Attorney with the Supreme Court of Kansas and the United States District Court.

Associate Member, National Association of Bond Lawyers and City Attorneys Association of Kansas.

Education

Juris Doctor degree, Washburn University School of Law, December 1983.
 University of Kansas School of Law, Summer 1981.

Bachelor of Business Administration degree in Finance, Washburn University, May 1981.

Involvement

President, Topeka Public Schools Foundation, 1994-95. Board Member since 1991.

World and Local Outreach Committee, West Side Christian Church, since 1992.

Leadership Kansas, a program of the Kansas Chamber of Commerce and Industry, Class of 1988.

Friends of Scouring Capital Campaign Committee, Jayhawk Area Council, 1987 and 1988.

Leadership Topeka, a program of the Greater Topeka Chamber of Commerce, Class of 1985.

Personal

Birthdate: June 29, 1959
 Office: 534 S. Kansas Avenue
 Topeka, Kansas 66603
 913-295-3543

Married: Deba Langston Brant; 3 children.
 Residence: 1823 S.W. Collins Avenue
 Topeka, Kansas 66604
 913-354-4335

7/4/96
 3/27/96
 1-7

SENATE CONFIRMATION QUESTIONNAIRE

Office of Governor Bill Graves

Please complete and return this form to the Governor's Appointments Office. Attach additional sheets if necessary.

Name: BRANT, David R.

Home Address: 1823 S.W. Collins Avenue

City, State, Zip: Topeka, Kansas 66604

Business Address: 534 S. Kansas Avenue

City, State, Zip: Topeka, Kansas 66603

Home Phone: 913-354-4335 Business Phone: 913-295-3543

Date of Birth: 06/29/59 Place of Birth: Salina, Kansas

Party Affiliation: R KBI Check: NA ^{3/22} In Process Complete

Appointed as: Kansas Securities Commissioner

Appointment Date: 03/22/96 Expiration Date: _____

Term Length: _____ Statutory Authority: 75-6301

Salary: \$ 70,700.00 Predecessor: John Wine

Statutory Requirements: Special training and qualifications for securities

BACKGROUND

1. List high school, college, or other education institution attended along with the date attended and degree conferred.

Education Institution	Dates	Degree
Atchison High School Atchison, KS	08/73 to 05/77	High School
Washburn University	08/77 to 05/81	B.B.A. Finance
University of Kansas School of Law	05/81 to 07/81	
Washburn University School of Law	08/81 to 12/83	J.D.

2. List memberships in business, trade and professional organizations for the past 10 years.

Organization	Dates
Kansas Bar Association	04/84 to present
Topeka Bar Association	04/84 to present
National Association of Bond Lawyers	01/88 to present
Government Finance Officers Association	10/86 to present
Greater Topeka Chamber of Commerce	06/84 to present

3. List any public offices you have been elected or appointed to, along with the dates of service.

Office Held	Dates
None	

Senate
7/4/96
3/27/96
Attachment #1